

AUDIT COMMITTEE MEETING (OPEN)

AGENDA ITEM 9

ATTACHMENT 9-I

REPORT on COMPLETED AUDITS

PRESENTED BY: Lisa Middleton

November 12, 2009

INTERNAL AUDIT PROJECTS



Audit Committee (Open Session) ATTACHMENT: 9-1

A. SERVICES COMPLETED

1. COMPLETED AUDIT REPORTS
2. COMPLETED CONTROL ASSESSMENT REPORTS (CSA)/MANAGEMENT ASSESSMENT (MA)
3. COMPLETED FACILITATION AND ADVISORY SERVICES

B. INCIDENT REPORT SUMMARY

1. INCIDENT REPORTS RECEIVED JAN 2008—OCTOBER 2009 BY SOURCE & TOPIC
2. INCIDENT REPORT VOLUME BY MONTH OF RECEIPT JAN. 2008 THROUGH OCT. 21, 2009

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A. SERVICES COMPLETED

1. COMPLETED AUDIT REPORTS

Item	TOPIC	STATUS
PAO 559	New Case Makeup (Claims)	Completed 10/23/09
PAO 653	Internal Audit Records Retention	Completed 10/23/09
PAO 564	Human Resource Payroll Audit	Completed 10/23/09
PAO 566	Human Resources: Access rights to Oracle and admin issues	Completed 10/23/09
PAO 568	Human Resources—Hiring process, performance appraisals, state of economic interest filing, and ethics training certification	Completed 10/23/09
PAO 569	Merit Audit Report	Completed 10/23/09
PAO 570	Real Property Management	Completed 10/23/09
PAO 571	Wire Transfer	Completed 10/23/09
PAO 584	Travel Expense Report	Completed 10/23/09
PAO 588	Fiscal Security—Employee Reimbursement	Completed 10/23/09
PAO 653	Internal Audit Records Retention	Completed 10/23/09

2. COMPLETED CONTROL ASSESSMENT REPORTS (CSA)/MANAGEMENT ASSESSMENT (MA)

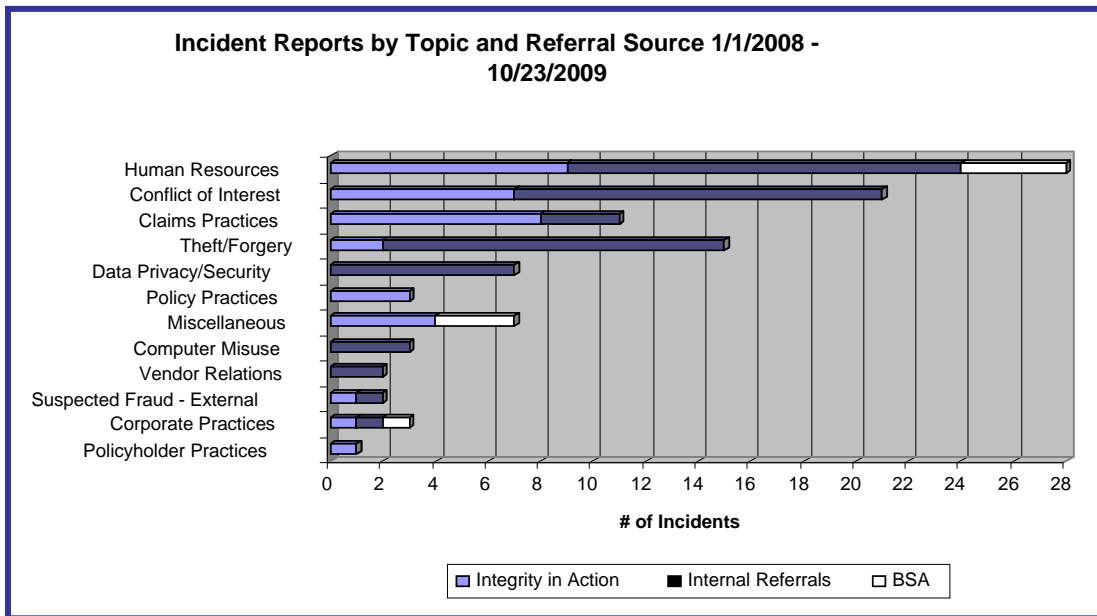
Item	TOPIC	STATUS
2009-03-2.3	MA: Monitoring Information Security	Completed 10/22/09

3. COMPLETED FACILITATION AND ADVISORY SERVICES

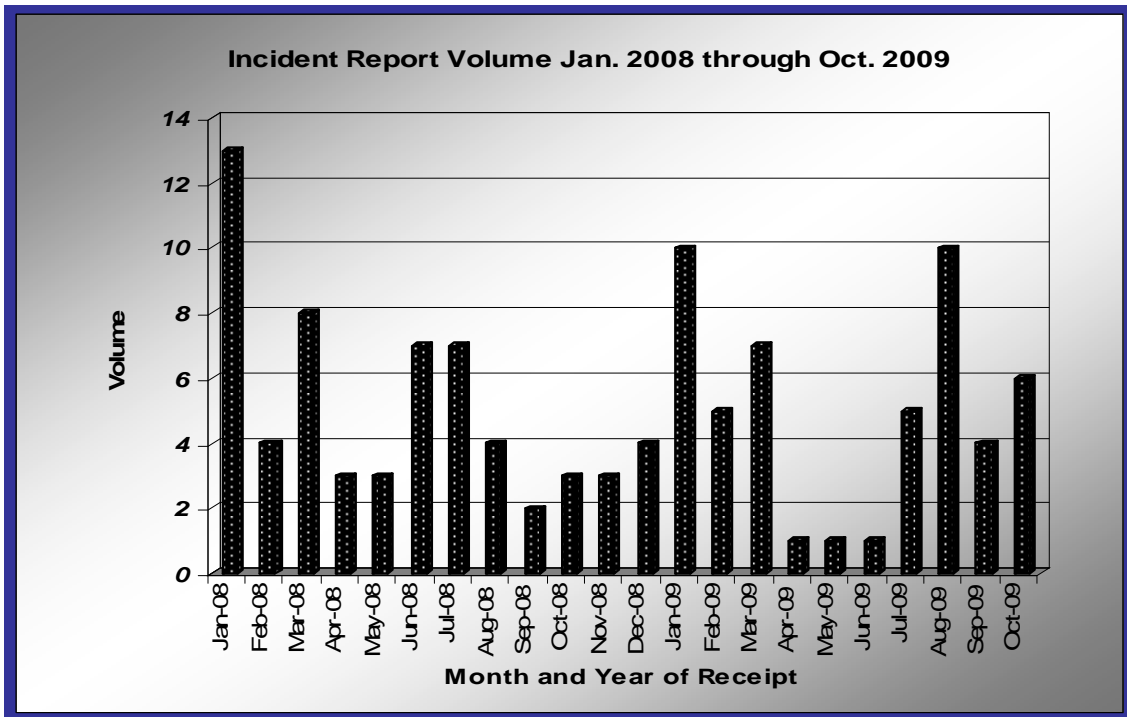
Item	TOPIC	STATUS
4.6	Enterprise Risk/Compliance Ethics Project: Completed 6 walk throughs and write ups	As of Oct. 2009
2009-01-3.6	Records Retention and Records Management	Report sign off August 28, 2009

B. INCIDENT REPORT SUMMARY

1. INCIDENT REPORTS RECEIVED JAN 2008 -- OCTOBER 2009 BY SOURCE & TOPIC



2. INCIDENT REPORT VOLUME BY MONTH OF RECEIPT JAN. 2008 THROUGH OCT. 30, 2009



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