

Annual Customer Survey

1. Internal Audit Division (IAD) 2010 Calendar Year Planning Survey

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve the organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

The IAD is responsible for developing and implementing an annual internal audit plan that outlines the engagements to be performed using an appropriate risk-based methodology. The annual plan includes consideration of any risks or control concerns identified by management and is reviewed and approved by the Chancellor and the Finance and Administration Committee of the State Board of Higher Education.

The goal of the annual audit plan is to provide broad-based coverage in the nine critical functional areas related to the OUS operations. The IAD assists campus management, the Chancellor, and the Board with assurances that controls are adequate to prevent the following risks from occurring:

- OPERATIONAL: Inability to adequately serve students, conduct business processes, or conduct research
- FINANCIAL: Loss of limited resources including inadequate safeguarding of assets
- COMPLIANCE: Failure to comply with applicable laws and regulations leading to a loss of funding and/or fines
- STRATEGIC: Inability to take advantage of opportunities to further the university's mission and goals
- REPUTATIONAL: Negative attention at a national, state, or local level impairing credibility

We ask that you complete the following questions for the nine functional units, which will greatly assist us in developing our 2010 calendar year plan.

Your feedback is greatly appreciated!

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2. Identification

Please specify your affiliation with the OUS:

- Oregon State Board of Higher Education F&A Committee Member
- Chancellor's Office
- Eastern Oregon University
- Oregon Institute of Technology
- Oregon State University
- Portland State University
- Southern Oregon University
- University of Oregon
- Western Oregon University

Please identify the area(s) below that most applies to your role within the OUS:

- Governance and Leadership
- Instruction and Academic Support
- Research and Development
- Student Services
- Human Resource Management
- Fiscal or Asset Management
- Plant Operations
- Auxiliaries and Services
- Information Technology

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3. Challenges

What do you believe are the three most significant challenges you face in your area(s) of influence in the upcoming year?

Examples may include implementing new systems or programs, new or existing compliance requirements, and/or business continuity challenges.

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4. Benefit Assessment

Based upon the critical nature of the operation, significant process or management changes, or control concerns, in your opinion, specifically describe what unit or process would benefit from an internal audit in the calendar year 2010? (Please complete the boxes below as you deem applicable.)

GOVERNANCE and LEADERSHIP examples may include the President, Provost, and University Advancement offices.

INSTRUCTION and ACADEMIC SUPPORT examples may include Colleges, Distance Education, Libraries, and International Programs.

RESEARCH and DEVELOPMENT processes may include conflict of interest statements, ensuring compliance with funding restrictions, and technology transfer.

STUDENT SERVICES examples may include Admissions, Registrars, Financial Aid, and Student Health Services.

HUMAN RESOURCE MANAGEMENT processes may include background checks, leave reporting, personnel evaluations, and benefit administration.

FISCAL or ASSET MANAGEMENT examples may include Business Affairs, purchasing and contracting, cashiering, payroll, and budget offices.

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PLANT OPERATIONS examples may include Facilities management, construction, Environmental Health and Safety, and Campus Public Safety.

AUXILIARIES and SERVICES examples may include Parking, Athletics, Printing and Mailing, and Bookstores.

INFORMATION TECHNOLOGY processes may include managing system access, network security, administrative or departmental computing, disaster recovery, and user training.

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5. Additional Comments

Are there any specific areas or concerns not listed above that you believe IAD should consider in developing the calendar year 2010 Audit Plan?