Audit Checklist Umich

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Academic Program Audit

- ☐ Program accreditation status
- ☐ Curriculum compliance review
- ☐ Faculty credentials verification
- ☐ Student enrollment analysis
- ☐ Course scheduling efficiency
- ☐ Academic integrity policies
- ☐ Grade distribution review
- ☐ Student outcomes assessment
- ☐ Advisory board engagement
- ☐ Program review schedule
- ☐ Learning objectives alignment
- ☐ Assessment methods evaluation

Research Compliance

- ☐ IRB protocol compliance
- ☐ Human subjects protection
- ☐ Animal care compliance
- ☐ Research integrity verification
- ☐ Grant management review
- ☐ Cost sharing validation
- ☐ Effort reporting accuracy
- ☐ Equipment inventory
- ☐ Intellectual property management
- ☐ Export control compliance
- ☐ Conflict of interest disclosures
- ☐ Data management practices

Financial Aid Audit

- ☐ Federal aid compliance
- ☐ Satisfactory academic progress
- ☐ Verification procedures
- ☐ Disbursement controls
- ☐ Return of Title IV funds
- ☐ Enrollment reporting
- ☐ Student eligibility
- ☐ Award packaging review

- ☐ Documentation requirements
- ☐ System access controls
- ☐ Reconciliation procedures
- ☐ Default management

Student Services Audit

- ☐ Admission procedures
- ☐ Registration processes
- ☐ Academic records management
- ☐ FERPA compliance
- ☐ Student billing accuracy
- ☐ Housing operations
- ☐ Dining services
- ☐ Health services compliance
- ☐ Counseling services
- ☐ Career services
- ☐ Student organizations
- ☐ Title IX compliance

IT Security Audit

- ☐ Network security controls
- ☐ System access management
- ☐ Data classification
- ☐ Incident response procedures
- ☐ Business continuity planning
- ☐ Change management
- ☐ Patch management
- ☐ Vulnerability assessments
- ☐ Security awareness training
- ☐ Third-party access
- ☐ Mobile device management
- ☐ Cloud security

Facilities Management

- ☐ Building maintenance records
- ☐ Safety inspections
- ☐ Emergency procedures
- ☐ Key control systems
- ☐ Work order management
- ☐ Preventive maintenance
- ☐ Energy management
- ☐ Space utilization
- ☐ Capital projects
- ☐ Environmental compliance
- ☐ Accessibility compliance

☐ Security systems

Human Resources Compliance

☐ Hiring procedures
☐ Background check processes
☐ I-9 compliance
☐ Benefits administration
☐ Payroll processing
☐ Time reporting
☐ Performance management
☐ Training records
☐ Union contract compliance
☐ Grievance procedures
☐ Workers compensation
☐ Leave administration

Procurement Audit

☐ Purchasing procedures
☐ Vendor selection
☐ Contract management
☐ P-card controls
☐ Competitive bidding
☐ Sole source justification
☐ Conflict of interest
☐ Receiving procedures
☐ Invoice processing
☐ Payment controls
☐ Supplier diversity
☐ Sustainability practices

Athletics Compliance

☐ NCAA compliance
☐ Eligibility certification
☐ Recruiting regulations
☐ Financial aid rules
☐ Academic progress
☐ Playing/practice time
☐ Equipment and apparel
☐ Camps and clinics
☐ Booster involvement
☐ Title IX athletics
☐ Drug testing program
☐ Medical services

Auxiliary Services

- [ ] Bookstore operations
- [ ] Parking services
- [ ] Transportation systems
- [ ] Conference services
- [ ] Mail services
- [ ] Printing services
- [ ] Telecommunications
- [ ] Vending operations
- [ ] Licensing and trademarks
- [ ] Revenue controls
- [ ] Inventory management
- [ ] Customer service

Compliance Monitoring

- [ ] Policy adherence
- [ ] Regulatory updates
- [ ] Training effectiveness
- [ ] Incident reporting
- [ ] Corrective actions
- [ ] Risk assessment
- [ ] Control testing
- [ ] Documentation standards
- [ ] Communication protocols
- [ ] Accountability measures
- [ ] Performance metrics
- [ ] Continuous improvement