



Winston-Salem State University / University of North Carolina School of the Arts
Office of Internal Audit & Institutional Compliance

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TO: Lisa Smith, Chief Information Officer

FROM: Shannon B. Henry, Chief Audit Executive

DATE: January 16, 2015

SUBJECT: **Examination of Information Technology Operations**

Internal Audit is conducting an audit of Information Technology (IT) operations. Selection of this audit is based upon a comprehensive plan to assess the internal control environment across all divisions of the University of North Carolina School of the Arts. The objectives of the audit are as follows:

To address the effectiveness of IT's management across key applications and systems by:

- **Assessing the effectiveness and appropriateness of current IT strategic planning to suit the organization's short and long term needs (including any key application upgrades/acquisitions); and**
- **Assessing if the access management to key applications and data is managed effectively such that access to sensitive data is restricted to authorized staff and that additions and deletions of rights is performed in a timely and efficient manner.**

We expect the fieldwork to begin on February 11, 2015. A draft report will be issued at the conclusion of audit fieldwork to obtain your agreement with the findings and recommendations. Once we are in agreement, we will issue a final report.

We will require assistance directly from you and your staff during the course of our work, including providing the necessary information to complete our procedures as well as answering relevant questions or providing explanations to issues encountered during our testing. We appreciate your commitment to providing the necessary information so that we may adhere to an efficient timeline.

We will be contacting you shortly to schedule a meeting to discuss our objectives and begin coordinating the advance preparation and audit activities. In advance of this meeting, we would appreciate obtaining the following items, in electronic format if possible, by February 4, 2015:

- IT's strategic plan;
- Key performance indicators and reports for IT activities;
- IT's risk management plan;
- The latest enterprise-level IT security threat and risk assessment;

- Any and all governing standards;
- IT's policy and procedure manuals and guidelines, including information regarding data security;
- The latest IT gap analysis;
- List of key applications along with any upgrades/acquisitions;
- List of major processes/activities;
- Current organizational chart; and
- Reports or letters from external audits or reviews.


The following individuals will be involved in this audit:

- Stacy Sneed, Audit Manager
- Javon Lee, Auditor

We will distribute the copies of our final report to Mr. Lindsay Bierman, Chancellor; Mr. George Burnette, Chief Operating Officer; and the Audit Committee of the UNCSA Board of Trustees.

Please indicate your agreement with the terms set forth by signing as indicated below. If you have any particular areas of concern that you would like us to consider we will be happy to meet and discuss. Please direct all inquiries to Shannon Henry at 750-2020, or Stacy Sneed at 750-2028.

Lisa Smith, Chief Information Officer / Date

 1-16-15

*Shannon B. Henry, Chief Audit Executive /
Date*

Cc: Lindsay Bierman, Chancellor
George Burnette, Chief Operating Officer