

UNIVERSITY OF CALIFORNIA
INTERNAL AUDIT PLAN DETAIL
FY 2013

SCHEDULE 3

UCLA

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator	Est. Qtr Completion
<u>Prior Year Audits Not Completed (DNFs):</u>										
FY13		UCLA	DNF			-				
Subtotal - Planned Carry Forward						-				
<u>Planned New Audits (PNs):</u>										
FY13	CAM	UCLA	PN	Textbooks Store	3	280	M.a.02			3
FY13	CAM	UCLA	PN	General Books Department	3	160	M.a.02			3
FY13	CAM	UCLA	PN	Restaurants - Operations Division	3	240	M.a.03			1
FY13	CAM	UCLA	PN	Restaurants - Maintenance	2	260	M.a.03			1
FY13	CAM	UCLA	PN	Trademarks & Licensing, Graphic Services, and other Service Areas	3	260	M.a.02			2
FY13	CAM	UCLA	PN	General Operations: Energy Services	1	450	K.b.03			4
FY13	CAM	UCLA	PN	Materials and Equipment: Design, Proj. Mgmt. & Ops.	2	350	K.a.02			2
FY13	CAM	UCLA	PN	Materials and Equipment: Maintenance & Alterations	2	400	K.b.02			3
FY13	CAM	UCLA	PN	Purchasing Process Review	3	400	H.f.04			1
FY13	CAM	UCLA	PN	CapStar System Review	2	400	G.d.01			2
FY13	CAM	UCLA	PN	Construction - Project Planning and Development	1	400	K.a.01			1
FY13	CAM	UCLA	PN	Capital Programs - Records Center Administration	2	350	K.a.01			4
FY13	CAM	UCLA	PN	Capital Programs - State of California 1-D Programs	2	250	K.a.02			3
FY13	CAM	UCLA	PN	Bruin Café	3	300	H.b.02			1
FY13	CAM	UCLA	PN	Dining Services Personnel/Payroll Review	2	250	H.e.01			1
FY13	CAM	UCLA	PN	Housing Cashiers Office	2	300	H.b.02			4
FY13	CAM	UCLA	PN	Housing Accounts Receivable	2	300	H.a.01			2
FY13	CAM	UCLA	PN	OCH Maintenance Shop	3	250	H.g.05			3
FY13	CAM	UCLA	PN	OCH Personnel/Payroll Review	2	250	H.e.01			2
FY13	CAM	UCLA	PN	UA Major Maintenance Reserve	3	250	K.b.02			3
FY13	CAM	UCLA	PN	UCLA Catering	2	300	M.a.03			1
FY13	CAM	UCLA	PN	Vending Cashiering Operations	3	200	H.b.02			4
FY13	CAM	UCLA	PN	Vending Procurement and Inventory	3	250	M.a.03			2

FY13	CAM	UCLA	PN	UCLA Police - Equipment Inventory Review	3	300	I.c.02	2
FY13	CAM	UCLA	PN	UCLA police - Property and Evidence Management	3	300	I.c.02	3
FY13	CAM	UCLA	PN	UCLA Police - Alarm Services	2	300	I.c.02	1
FY13	CAM	UCLA	PN	MDDS Purchasing and A/P	3	200	M.b.05	1
FY13	CAM	UCLA	PN	MDDS Laser Check Control	3	100	M.b.06	3
FY13	CAM	UCLA	PN	Wilshire Center Operations	3	300	H.g.03	4
FY13	CAM	UCLA	PN	Office of Real Estate	3	300	H.g.03	1
FY13	CAM	UCLA	PN	IT Services - Personnel/Payroll	2	300	H.e.01	1
FY13	CAM	UCLA	PN	IT Services - Voice Tool Crib	2	300	H.g.05	2
FY13	CAM	UCLA	PN	CTO Recharges	3	400	H.i.01	4
FY13	CAM	UCLA	PN	Parking Permit Inventory	3	180	M.a.07	2
FY13	CAM	UCLA	PN	Parking Recharge Activity	3	250	M.a.07	1
FY13	CAM	UCLA	PN	E&T Cash Count	2	280	H.b.02	2
FY13	CAM	UCLA	PN	Place Holder		200		4
FY13	CAM	UCLA	PN	FTS Equipment Management/Shop Operation	3	400	M.b.04	3
				Audit Administration		600		
FY13	CAM	UCLA	PN	Academic Department Reviews - Multiple	2	400	A.b.01	1
FY13	CAM	UCLA	PN	Foundation	1	400	L.a.03	1
FY13	CAM	UCLA	PN	AREC	3	200	J.b.01	3
FY13	CAM	UCLA	PN	Travel, Entertainment, Catering and Donations	1	350	H.c.03/04	1
FY13	CAM	UCLA	PN	Near Relative Employment (Legal, AP)	3	300	J.b.04	2
FY13	CAM	UCLA	PN	IT Governance	1	200	G.a.01	4
FY13	CAM	UCLA	PN	Cashiering (Main Cashiers)	1	400	H.b.02	4
FY13	CAM	UCLA	PN	Purchasing/Accounts Payable	2	400	H.f.04/H.c.01	2
FY13	CAM	UCLA	PN	Visiting Scholars/Students	2	250	A.c.01	3
FY13	CAM	UCLA	PN	APO - Conflict of Commitment (APM 025)	2	200	H.h.01	3
FY13	CAM	UCLA	PN	Continuing Education of the Bar	3	300	M.b.02	1
FY13	CAM	UCLA	PN	Extension	2	300	A.c.03	2
FY13	CAM	UCLA	PN	Athletics	2	200	M.a.01	4
FY13	CAM	UCLA	PN	Financial Aid	1	450	A.d.03	3
FY13	CAM	UCLA	PN	Registrar's Office	2	350	A.d.05	4
FY13	CAM	UCLA	PN	Career Center	3	300	A.d.08	2
				Audit Administration		400		

FY13	HS	UCLA	PN	Transplant Programs	1	500	B.g.03	4
FY13	HS	UCLA	PN	Wound Care Center	1	450	B.c.01	2
FY13	HS	UCLA	PN	Neuro-Rehab Center	1	450	B.c.01	2
FY13	HS	UCLA	PN	Psychiatric Transfers - EMTALA Compliance	1	400	B.g.01	1
FY13	HS	UCLA	PN	Pharmacy 340B Discount Drugs Program	1	400	B.b.04	2
FY13	HS	UCLA	PN	Staff Licenses	1	400	J.b.02	1
FY13	HS	UCLA	PN	Nursing Education Hours	1	250	J.b.02	1
FY13	HS	UCLA	PN	Supplies Management - Interventional Radiology	1	500	H.g.05	2
FY13	HS	UCLA	PN	Radiation Oncology	1	450	B.b.05	3
FY13	HS	UCLA	PN	IT Governance/Strategy and Planning	1	600	G.a.01	4
FY13	HS	UCLA	PN	Service Recovery Kits	2	350	B.a.01	2
FY13	HS	UCLA	PN	Private Duty Home Care Nursing Referrals	2	300	B.g.02	1
FY13	HS	UCLA	PN	Outside Professional Activities Reporting - Hospital Executive	2	150	J.b.01	4
FY13	HS	UCLA	PN	Mobile Device Data Storage	2	250	E.a.07	2
FY13	HS	UCLA	PN	Internal Joint Ventures	2	500	H.h.02	4
FY13	HS	UCLA	PN	Employee Onboarding Process	2	300	J.b.04	4
FY13	HS	UCLA	PN	Systemwide Audit Placeholder for EHR Meaningful Use	1	300	B.b.03	4
				Audit Administration		600		
FY13	HS	UCLA	PN	Primary Network Clinics	1	500	B.c.02	2
FY13	HS	UCLA	PN	Primary Network Clinics	1	500	B.c.02	3
FY13	HS	UCLA	PN	Primary Network Clinics	1	600	B.c.02	4
FY13	HS	UCLA	PN	Housestaff Duty Hours - ACGME Compliance	1	340	J.b.02	3
FY13	HS	UCLA	PN	Surgery Divisions - Z Payments	2	300	J.b.01	2
FY1	HS	UCLA	PN	Faculty Conflict of Commitment Reporting	2	200	H.h.01	4
Subtotal - Planned New Audits						26,550		
FY13			PS	Planned Supplemental Audits (lumpsum)		3,500		
FY13			PNF	Audit Follow Up (lump sum)		2,200		
Total Planned Audit Program						32,250		
				Planned Advisory Services:				
FY13	CAM	UCLA	SC	UC Path (Payroll)	1	200	H.e.01	1
FY13	CAM	UCLA	SC	International Programming (VISA administration)	1	200	A.c.	3
FY13	CAM	UCLA	SC	F-1 Visa Processing	2	200	Z.a.01	4
FY13	CAM	UCLA	SC	Gift Administration (Student Support)	2	150	L.a.05	4

FY13	HS	UCLA	SC	Electronic Health Record	1	300	B.b.03	4
FY13	HS	UCLA	SC	Donated Body Program	2	50	B.b.06	4
FY13	HS	UCLA	SC	Operation Mend	2	200	L.a.05	4
				Unplanned Advisory Services		400		
Subtotal - Planned Advisory Services						1,700		
<u>Unplanned Advisory Services (by Category)</u>								
FY13			SC	Unplanned SC				
FY13			SE	Unplanned SE		1,600		
FY13			SI	Unplanned SI		500		
FY13			SP	Unplanned SP		-		
FY13			SU	Unplanned SU		250		
FY13			SR	Unplanned SR		500		
(f) Subtotal - Unplanned Advisory Services						-		
Total Advisory Services						4,550		
FY13		IN		Planned Investigation Hours (lump sum)		1,600		
Total Audits, Advisory Services, and Investigations						38,400		