

UNIVERSITY OF CALIFORNIA
INTERNAL AUDIT PLAN DETAIL
FY 2015
UCSF

SCHEDULE 3

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator ⁽³⁾	Est. Qtr Completion
Planned New Audits (PNs):										
CAMPUS										
FY15	C	UCSF	PN	Compensation	3	150	J.b.01			3
FY15	C/H	UCSF	PN	Annual Report of Executive Compensation (AREC)	3	150	J.b.06			3
FY15	C	UCSF	PN	Shared Service Center - Human Resources	1	250	J.b.04		I	4
FY15	C	UCSF	PN	Cash Operations	1	175	H.b.02			2
FY15	C	UCSF	PN	SOD - Clinics	2	300	A.b.01			3
FY15	C	UCSF	PN	Research Compliance - Export Controls	2	300	E.a.03			2
FY15	C	UCSF	PN	Research Compliance - Sub-award monitoring	1	250	E.d.02			4
FY15	C	UCSF	PN	SOM - Departmental Reviews	2	400	A.b.01		I	2
FY15	C	UCSF	PN	Facilities Services - Internal Controls Assessment	2	250	K.b.02			2
FY15	C	UCSF	PN	Emergency Preparedness	2	250	I.e.01			2
FY15	C	UCSF	PN	Clinical Trials - Start Up	1	300	E.b.03			3
FY15	C/H	UCSF	PN	Encryption of Devices	1	300	G.b.07		T	1
						3075				
MEDICAL CENTER										
FY15	C/H	UCSF	PN	Cloud Computing	1	300	G.b.01		T	3
FY15	H	UCSF	PN	Clinic Operations	3	250	B.c.01			4
FY15	H	UCSF	PN	OCR Readiness - Phase II	2	350	E.a.07			2
FY15	H	UCSF	PN	Registration - Ambulatory Outpatient Clinics	1	300	B.a.01		I	2
FY15	H	UCSF	PN	Pharmacy - Billing	1	350	B.b.04		I	4
FY15	H	UCSF	PN	Pharmacy - Investigational Drugs	1	200	B.b.04			2
FY15	H	UCSF	PN	Hospital Billing - Single Billing Office	1	300	B.i.01 /03		I	4
FY15	H	UCSF	PN	Government Payors - Credit Balances	2	200	B.i.01 /03			2
FY16	H	UCSF	PN	Medical Staff Office - System Review	3	190	B.h.01		G	1
						2440				
CHILDREN'S HOSPITAL & RESEARCH CENTER AT OAKLAND						TBD				
Subtotal - Planned New Audits						5515				
(c) Planned Supplemental Audits (lumpsum)						1000				
(d) Audit Follow Up (lump sum)						700				
Total Planned Audit Program						7215				
Planned Advisory Services:										
FY15	H	UCSF	SR	Enterprise Data Warehouse		75	G.d.01		S	4
FY15	C	UCSF	SR	Capitol Program Business System		75	G.d.01		S	3
FY15	C	UCSF	SC	OMB-81 Workgroup		75	E.d.02			4
FY15	C/H	UCSF	SC	Continuous Monitoring Program		500	H.c			4
FY15	C/H	UCSF	SP	Investigation Support		700	n/a			4
FY15	C/H	UCSF	SE	External Audit Coordination		300	n/a			4

FY15	H	UCSF	SC	Medical Center Compliance Committee	30	E.a.01	4
FY15	C/H	UCSF	SC	Clinical Enterprise Compliance Committee	30	E.a.04	4
FY15	C/H	UCSF	SI	Investigations Workgroup	60	n/a	4
FY15	C/H	UCSF	SC	IT Governance Committee	30	G.a.01	4
FY15	C/H	UCSF	SC	IT Governance Business Committee	25	G.a.01	4
FY15	C/H	UCSF	SC	IT Governance Technology & Architecture Committee	25	G.a.01	4
FY15	C	UCSF	SC	Ethics & Compliance Board	60	E.a.06	4
FY15	C/H	UCSF	SC	Security and Policy Committee	25	G.a.02	4
FY15	H	UCSF	SC	ICD-10 Committee	25	B.b.03	4
FY15	C	UCSF	SI	Cell Culture Facilities - Billing	200	H.a.01	3
FY15	H	UCSF	SC	Privacy Steering Committee	25	E.a.07	4
FY15	H	UCSF	SC	Mission Bay Closeout	150	K.a.01	3
	C	UCSF	SC	Graduate Student Compensation	150	H.e.01	4
Planned Advisories					2,560		
			SU	Unplanned SU	315		
			SR	Unplanned SR	325		
				(f) Subtotal - Unplanned Advisory Services	640		
Total Advisory Services					3,200		
FY14		IN		Planned Investigation Hours (lump sum)	2720		
Total Audits, Advisory Services, and Investigations					13,135		

(1) Must tie with Audit Program and Advisory Services on Schedule 2 Activity Report

(2) enter lump sums for each applicable AS category (i.e. - SC, SE)

(*) **1 = Top 10 scores, 2 = next top 10 scores, 3 = all others**

(3) IT Indicators: A – application review
I – integrated review
T – technical review
S – system development or post-implementation review
G – general controls review