The University of California
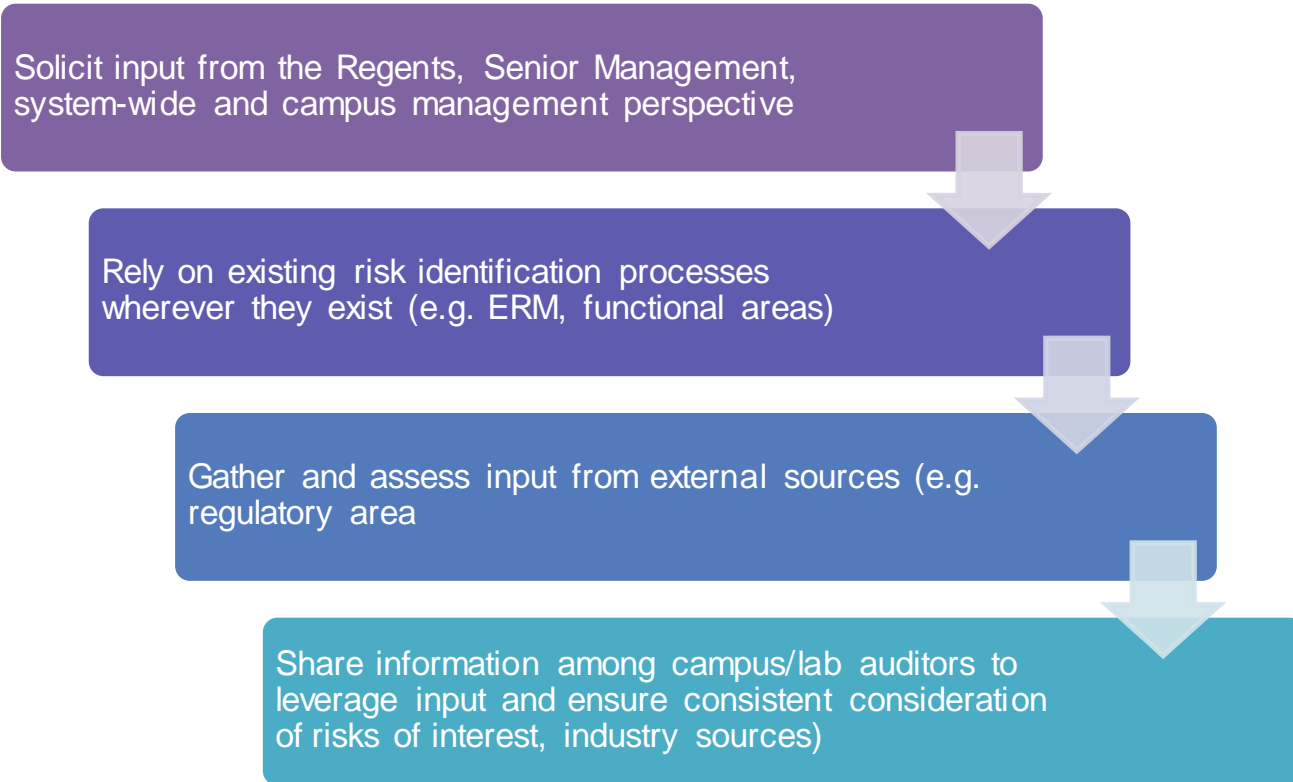

Internal Audit Plan

2012-13

Internal Audit Plan Objectives

- Address the University's significant financial, operational and compliance risks;

- Leverage existing efforts by others to identify, evaluate and mitigate risks;

- Support management's restructuring and budget coping strategies;

- Serve the needs of campus/lab leadership while addressing broader issues from a systemwide perspective;

- Support the evolution of the Systemwide Compliance Program; and

- Meet the challenge to enhance the value of the Internal Audit Program.

Audit Plan Development
Risk Assessment Process for 2012-13

Solicit input from the Regents, Senior Management, system-wide and campus management perspective

Rely on existing risk identification processes wherever they exist (e.g. ERM, functional areas)

Gather and assess input from external sources (e.g. regulatory area

Share information among campus/lab auditors to leverage input and ensure consistent consideration of risks of interest, industry sources)

The result of the risk assessment is an informed perspective on the current risk environment – including a prioritization of risks that are scalable to available resources.

High Level View of Key Audit Risk Areas

Financial	Operational	Compliance
• Compensation	• IT Security	• Policy
• Construction	• Business Continuity	• Research
• Account Reconciliations	• Data Center Operations	• Conflicts of Interest/commitment
• Extramural Funds Accounting	• Business Contracts	• Compensation
• Charge Capture (hospital)	• Third Party Relationships	• Health Sciences
• Billing and Coding (hospital)	• Disaster Recovery Plans	• HIPAA/Privacy
• Physician Billings	• Contracts & Grant Administration	• EH&S/Lab Safety
• Investments	• International Activities	• ARRA – Stimulus monies and related compliance
• Segregation of Duties	• Facilities Administration	• Development areas/commitment of monies
• Cash Handling		

Note: Issues are inter-related across these risk types. The above categorization is not meant to be exclusive.

2012-13 Planned Systemwide Audit Areas

Review	Reason on Plan	Scope	Projected Timing
Travel and Entertainment (T&E) Expenses	President's request	Review of T&E for compliance with policy	1st Quarter
IT Governance	Required by Institute of Internal Auditors (IIA) standards	Assess whether information technology governance supports the organization's strategies and objectives	2nd Quarter
Compensated Outside Professional Activities	President's request	Assessment of compliance with policies and procedures on reporting compensated outside professional activities	3rd Quarter

Additionally, local audit departments have been advised to include the following reviews in their audit plans:

• Electronic Health Records and HITECH Act "Meaningful Use" Provision (regulatory requirement) – Medical Centers only

• Construction projects funded by Proposition 1D (regulatory requirement) – request by Department of Finance

• Executive Compensation (if not performed in 2011-12) – recurring audit

• Chancellor's Expenses (if not performed in 2011-12) – recurring audit

Highlights of the Consolidated Audit Plans

Personnel:

Authorized staff level	104 FTE's
Avg. Staff Level	100 FTE's

Distribution of Planned Activities:

By Audit Activity Type (hours/%):

Audits	95,632	66%
Advisory Services	31,138	22%
Investigations	17,975	12%
	144,745	100%

By University area:

Campus/Laboratory*	71%
Health Sciences	29%
	100%

* Includes Lawrence Berkeley National Laboratory (LBNL), Agriculture & Natural Resources (ANR), UCOP and UC Merced

Highlights of the Consolidated Audit Plans

- The Plan provides for over 30,000 Advisory Service hours to be able to assist management in addressing internal control issues in a restructured and budget constrained environment;

- The Plan affords flexibility with over 17,000 hours provided for audit topics to be determined based on emerging local or systemwide priorities;

- The Plan contains over 8,000 hours to continue the emphasis on audit follow-up on corrective actions;

- Over 7,000 hours are budgeted for continued professional development for our internal audit staff; and

- While the budgeted hours for investigations increased compared to the previous year, there continues to be an emphasis on reducing audit involvement in investigations that are appropriately handled by management.

Available Resources

	FY13 Plan		3/31/12 Annualized	
Weighted Average FTE	100		96	
	Hours	**Percent**	**Hours**	**Percent**
Personnel Hours	208,021	98.6%	198,950	95.7%
Other Resource Hours	6,815	3.2%	8,921	4.3%
Gross Available Hours	214,836	100.0%	207,871	100.0%
Less: Non-Controllable Hours	35,216	16.5%	36,134	17.4%
Less: Admin/Training	22,197	10.4%	28,724	13.8%
Total Direct Hours	**157,423**	**73.3%**	**143,013**	**68.8%**

Resource Allocation

	FY13 Plan		3/31/12 Annualized	
Audit Program	**Hours**	**Percent**	**Hours**	**Percent**
Planned Audits* (260 projects)	69,833	44.4%	68,639	48.0%
Supplemental Audits	17,775	11.3%	7,019	4.9%
Audit Follow Up	8,024	5.0%	9,081	6.3%
Total Audit Program	**95,632**	**60.7%**	**84,739**	**59.2%**
Advisory Services				
Planned Projects* (73 projects)	11,255	7.2%	N/A	N/A
Supplemental Hours	19,883	12.6%	N/A	N/A
Total Advisory Services	**31,138**	**19.8%**	**30,881**	**21.6%**
Investigations	**17,975**	**11.4%**	**14,652**	**10.2%**
Audit Support Activities	**12,678**	**8.1%**	**12,741**	**8.9%**
Total Direct Audit Hours	**157,423**	**100.0%**	**143,013**	**100.0%**

*Total Hours for 333 Planned Projects = 81,088 (see Planned Projects at Appendix 1)

Available Resources

The table to the left depicts the staffing level assumed in the Plans and quantifies the human resources available to assign to audit activities. Total hours are reduced for non-controllable hours (vacation, holiday and illness per University policy) and for program administration and training.
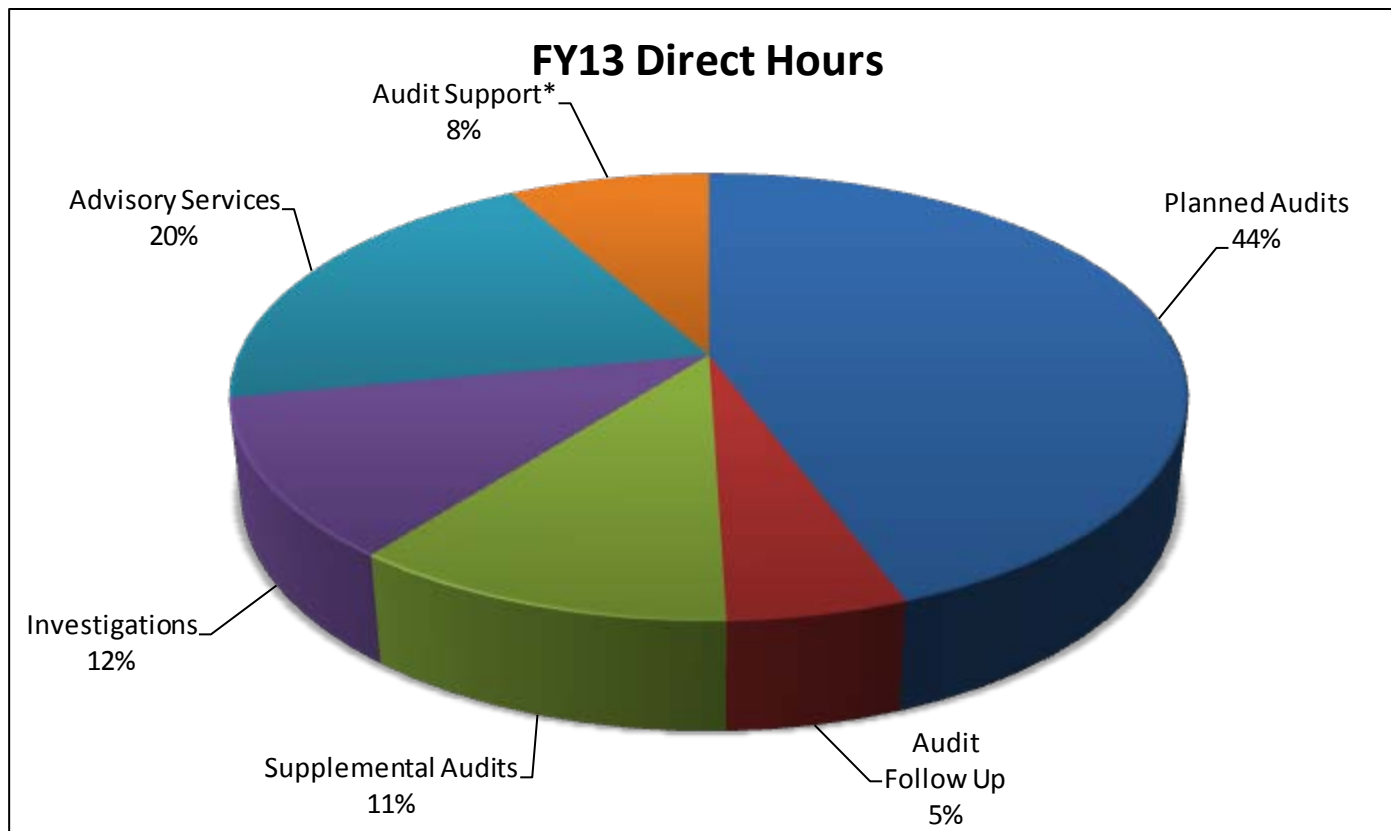
Resource Allocation

The table to the left displays the deployment of the Available Resources among our activities by type (audit, advisory services and investigations). While the mix over time tends to shift somewhat between Investigations and Advisory Services, the commitment of the majority of our efforts to a substantial program of regular audits remains evident.

The chart below depicts the direct audit coverage of our FY13 plan. It demonstrates that our main emphasis is centered on planned audits and supplemental audit projects that arise during the year – while focusing efforts on advisory service projects and investigations. (refer to the next page for the specific detail of the direct areas).

FY13 Direct Hours

- Audit Support* — 8%
- Advisory Services — 20%
- Investigations — 12%
- Supplemental Audits — 11%
- Audit Follow Up — 5%
- Planned Audits — 44%

Distribution of Direct Hours

* Audit support activities include audit planning, audit committee support, systemwide audit support, computer support and quality assurance
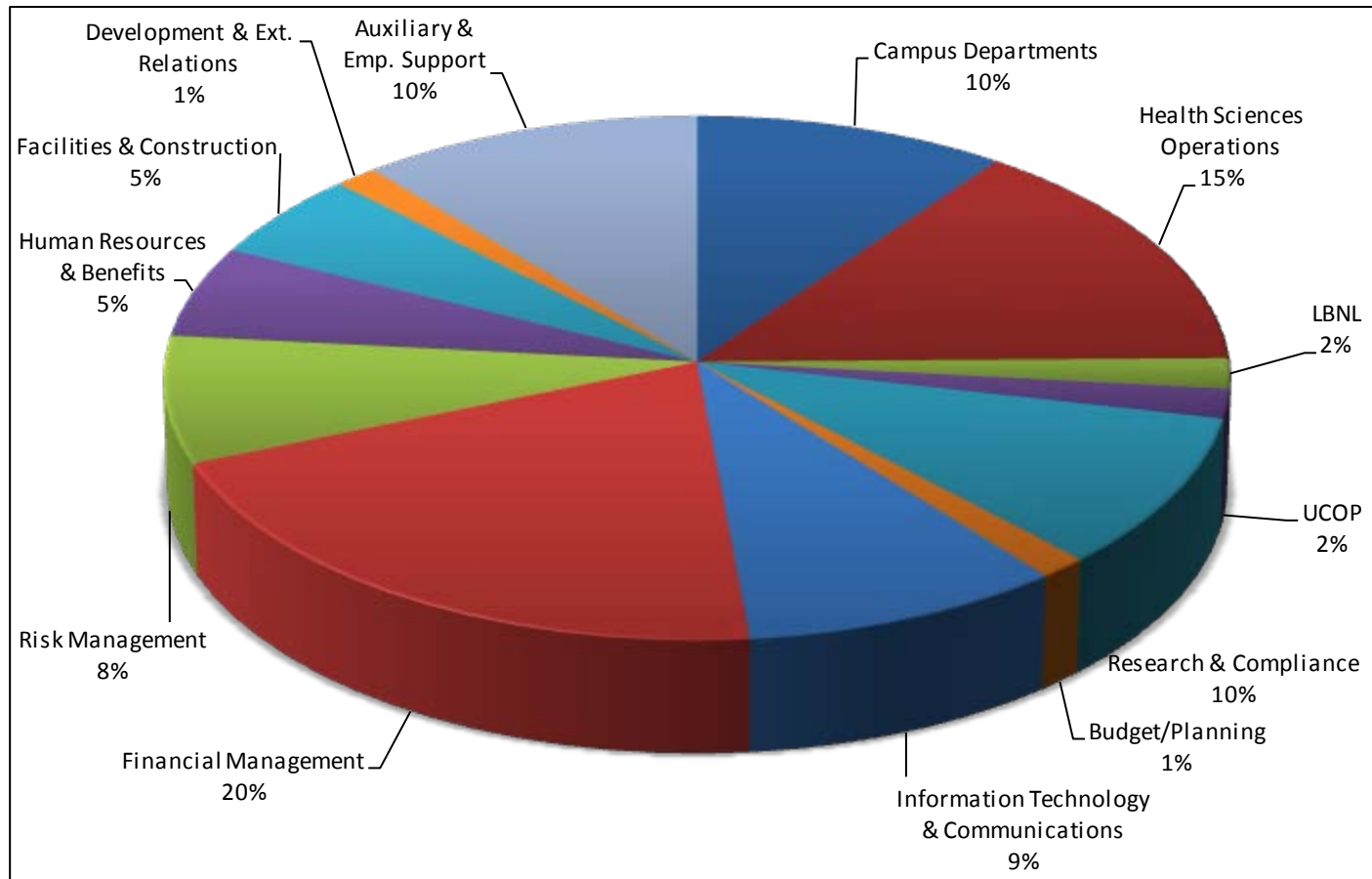
DISTRIBUTION OF AVAILABLE HOURS				
	FY13		3/31/2012 Annualized	
	Plan	Percent	Actual	Percent
INDIRECT HOURS				
Administration	14,459	8.0%	19,940	11.6%
Professional Development	7,272	4.0%	8,784	5.1%
Other	466	0.3%	-	0.0%
Total Indirect Hours	**22,197**	**12.4%**	**28,724**	**16.7%**
DIRECT HOURS				
Audit Program				
Planned New Audits, PN	69,833	38.9%	68,639	40.0%
Supplemental Audits, PS	17,775	9.9%	7,019	4.1%
Audit Follow up, PNF	8,024	4.5%	9,081	5.3%
Total Audit Program Hours	**95,632**	**53.2%**	**84,739**	**49.3%**
Advisory Services				
Consultations/Spec. Projects, SC	18,643	10.4%	18,011	10.5%
Ext. Audit Coordination, SE	6,280	3.5%	6,910	4.0%
Systems Dev., Reeingineering Teams, etc., SR	2,110	1.2%	2,067	1.2%
Internal Control & Accountability, SI	2,380	1.3%	2,999	1.7%
Compliance Support, SU	1,535	0.9%	888	0.5%
IPA, COI & Other, SP	190	0.1%	7	0.0%
Total Advisory Services Hours	**31,138**	**17.3%**	**30,881**	**18.0%**
Investigations Hours, IN	**17,975**	**10.0%**	**14,652**	**8.5%**
Audit Support Activities				
Audit Planning	2,871	1.6%	2,770	1.6%
Audit Committee Support	1,582	0.9%	956	0.6%
Systemwide Audit Support	2,997	1.7%	4,695	2.7%
Computer Support*	2,575	1.4%	3,716	2.2%
Quality Assurance	2,653	1.5%	603	0.4%
Total Audit Support Hours	**12,678**	**7.1%**	**12,741**	**7.4%**
Total Direct Hours	**157,423**	**87.6%**	**143,013**	**83.3%**
TOTAL NET AVAILABLE HOURS	**179,620**	**100.0%**	**171,737**	**100.0%**

Distribution of Available Hours

The table to the left provides a more detailed breakdown of planned time as a basis for ongoing accountability. From this detail the continuing commitment to timely audit follow-up is displayed by the plan to invest over 8,000 hours. The category of Compliance Support is intended to facilitate our efforts to integrate the Compliance and Audit Programs into joint efforts such as annual plan development, project coordination and ongoing risk monitoring.

* Includes time spent on TeamMate (Audit Management System) implementation

The chart below depicts audit coverage across the University organizationally. It demonstrates breadth of coverage while indicating that major business processes, Research & Compliance activities, Health Sciences operations, campus academic departments and information technology collectively command nearly 75% of our effort.

Distribution of Planned Projects

- Development & Ext. Relations 1%
- Auxiliary & Emp. Support 10%
- Campus Departments 10%
- Health Sciences Operations 15%
- Facilities & Construction 5%
- Human Resources & Benefits 5%
- LBNL 2%
- UCOP 2%
- Risk Management 8%
- Research & Compliance 10%
- Budget/Planning 1%
- Financial Management 20%
- Information Technology & Communications 9%

UNIVERSITY of CALIFORNIA

Appendix – List of Audit and Advisory Service Projects

Appendix lists all the planned audit and advisory service projects at each location - the progress and status of these projects are reported quarterly.

Systemwide (1.5 FTE) – Audits	Hours	Est. Completion Qtr
IT Governance (Systemwide)	120	2
Ethics & Compliance Program (Systemwide)	40	2
Executive Compensation (Systemwide)	40	3
Chancellor's Expenses (Systemwide)	40	3
Travel and Entertainment (T&E) Expenses (Systemwide)	120	3
Compensated Outside Professional Activities (Systemwide)	120	3
Construction (Systemwide)	120	4
Electronic Health Records/HITECH "Meaningful Use" (Systemwide)	120	4
UCPATH Implementation (Systemwide)	300	4
ECAS Subtotal	1,020	
Lawrence Berkeley National Laboratory (5 FTE) – Audits	Hours	Est. Completion Qtr
FY12 Cost Allowability (Annual)	650	3
Small Construction Projects (Deferred from FY11) (Systemwide)	400	4
IT Governance (Systemwide)	250	2
Maintenance	400	4
Billings and Receivables	450	2
eBuy Pricing	450	2
Annual Employee Performance Evaluation Process	400	3
Receiving and Shipping	400	3

Lawrence Berkeley National Laboratory – Advisory Services	Hours	Est. Completion Qtr
Joint Ventures/Partnerships/Affiliations/Memorandums of Understanding (MOUs)	400	1
CY12 Executive Compensation and Travel & Entertainment (T&E) (Systemwide)	200	2
Science Project Management	400	2
Entity Controls	350	4
Compensated Outside Professional Activities (Systemwide)	25	2
LBNL Subtotal	**4,775**	

UC Berkeley (8 FTE) – Audits	Hours	Est. Completion Qtr
Human Resources Hiring Practices	300	2
IT Governance (Systemwide)	200	3
IT Architecture	300	4
Travel and Entertainment (T&E) Expenses (Systemwide)	300	1
Shared Services	200	2
Support and Affiliated Organizations	240	3
Online Education Programs	160	3
Identity and Access Management	200	2
Compensation and Classification	300	2
Extramural Fund Accounting	280	3
Delegation of Authority and Signature Authorization	180	2
Research Enterprise Services	180	2
Timekeeping and Leave Accrual	240	4
BearBuy	240	2
Key Financial Controls	240	2
Privacy	160	2
Chancellor's Office	160	1
Youth on Campus	140	2
Student Financial Aid - Middle Class Access Plan	160	4
Major Construction - California Memorial Stadium (Systemwide)	200	3

UC Berkeley – Advisory Services	Hours	Est. Completion Qtr
Annual Report on Executive Compensation (Systemwide)	120	3
Contracts and Grants System Implementation	120	4
Internal Control Documentation Review	120	4
Student Information Systems Implementation	120	4
UCB Subtotal	4,860	
UC Davis (11 FTE) – Audits	**Hours**	**Est. Completion Qtr**
Annual Report on Executive Compensation- Systemwide (Systemwide)	150	3
Executive Travel and Entertainment (Systemwide)	300	2
Cashiering	300	1
Construction Contracts (Systemwide)	350	2
Donor Restrictions on Gift Expenditures	300	1
Math and Physical Sciences Transition Review	300	2
University Extension (UNEX)	350	1
Recharge Rates	300	3
UCOP Ethics and Compliance Program Review Support (Systemwide)	50	3
Compensated Outside Professional Activities (Systemwide)	25	3
IT Governance - Distributed Application Development (Systemwide)	250	2
Campus IT Virtualization Infrastructure	300	4
Stores /Distribution Controls	300	2
Dermatology Billing /Cash /Inventory Controls	300	1
Capitation Costs Monitoring	300	1
Telecommunications	300	3
Sub Award Monitoring	300	3
IT Purchasing	350	2
Depreciation Expense	300	1
Anesthesiology Revenue Cycle	300	4
Blood Products Management	300	3

UC Davis – Audits	Hours	Est. Completion Qtr
Healthcare Incentive Plans Clinical Enterprise Management Recognition Plan (CEMRP)	25	2
Decentralized IT Operations	300	2
UCDHS IT Incident Response	250	4
UC Davis – Advisory Services	**Hours**	**Est. Completion Qtr**
Non-Resident Tuition	225	2
Funds Management	225	2
EPIC Implementation	300	3
UCD Subtotal	**7,050**	
UC Irvine (9 FTE) – Audits	**Hours**	**Est. Completion Qtr**
Travel and Entertainment (Systemwide)	300	1
School of Medicine (SOM)-Anaheim clinic	300	1
Stem Cell Research Center	300	1
School of Law	300	1
UC Irvine Medical Center (UCIMC) -Cash handling at clinics	300	2
SOM-Willed body program & Willed body program IT	500	2
UC Irvine Medical Center (UCIMC)-Referral Lab (in conjunction with Compliance) (Systemwide)	350	1
Payroll certification	300	2
IT Governance (Systemwide)	200	2
UCIMC-Radiology & Radiology IT (in conjunction with Compliance)	500	3
UCIMC-Dietary Services	300	3
Payments to Human Subjects	300	3
Construction (Systemwide)	300	3
Annual Report on Executive Compensation (AREC)/Chancellor's expenses/Senior Management Group (SMG) travel & entertainment (Systemwide)	200	3
UCIMC-Cancer Center	300	4

UC Irvine (9 FTE) – Audits	Hours	Est. Completion Qtr
IT-Electronic Health Records-Sunrise (in conjunction with Compliance) (Systemwide)	400	4
IT-Meaningful use (Systemwide)	150	4
SOM-Department of Medicine	300	4
SOM-Epidemiology	300	4
Research- Pre & Post Award	300	4
UC Irvine – Advisory Services	**Hours**	**Est. Completion Qtr**
Healthcare Incentive Plans Clinical Enterprise Management Recognition Plan (CEMRP) (Systemwide)	25	1
Ethics and Compliance Program (Systemwide)	50	2
Compensated Outside Professional Activities (Systemwide)	25	3
UCI Subtotal	**6,300**	
UC Los Angeles (27 FTE) – Audits	**Hours**	**Est. Completion Qtr**
Textbooks Store	280	3
General Books Department	160	3
Restaurants - Operations Division	240	1
Restaurants- Maintenance	260	1
Trademarks & Licensing, Graphic Services, and other Service Areas	260	2
General Operations: Energy Services	450	4
Materials and Equipment: Design, Projects, Management and Operations.	350	2
Material and Equipment: Maintenance and Alterations	400	3
Purchasing Process Review	400	1
CapStar System Review	400	2
Construction - Project Planning and Development (Systemwide)	400	1
Capital Programs - Records Center Administration	350	4
Capital Programs- State of California 1-D Programs	250	3
Bruin Café	300	1
Dining Services Personnel/Payroll Review	250	1
Housing Cashiers Office	300	4
Housing Accounts Receivable	300	2

UC Los Angeles – Audits	Hours	Est. Completion Qtr
Housing Accounts Receivable	300	2
Office of Community Housing (OCH) Maintenance Shop	250	3
OCH Personnel/Payroll Review	250	2
Undergraduate Assistant (UA) Major Maintenance Reserve	250	1
UCLA Catering	300	4
Vending Cashiering Operations	200	2
Vending Procurement and Inventory	250	2
UCLA- Police- Equipment Inventory Review	300	3
UCLA Police- Property and Evidence Management	300	1
UCLA Police- Alarm Services	300	1
Mail, Document and Distribution Services (MDDS) Purchasing and A/P	200	3
MDDS Laser Check Control	100	4
Wilshire Center Operations	300	1
Office of Real Estate	300	1
IT Services- Personnel/Payroll	300	2
IT Services- Voice Tool Crib	300	4
Central Ticket Office (CTO) Recharges	400	2
Parking Permit Inventory	180	1
Parking Recharge Activity	250	2
Executive Travel & Expenses (T&E)	280	4
Fleet and Transit Services (FTS) Equipment Management	400	3
Academic Department Reviews - Multiple	400	1
Foundation	400	1
Annual Report on Executive Compensation (AREC) (Systemwide)	200	3
Travel, Entertainment, Catering and Donations (Systemwide)	350	1
Near Relative Employment (Legal, AP)	300	2
IT Governance (Systemwide)	200	4
Cashiering (Main Cashiers)	400	4

UC Los Angeles – Audits	Hours	Est. Completion Qtr
Purchasing/Accounts Payable	400	2
Visiting Scholars/Students	250	3
Academic Personnel Office (APO) - Conflict of Commitment (APM 025)	200	3
Continuing Education of the Bar	300	1
Extension	300	2
Athletics	200	4
Financial Aid	450	3
Registrar's Office	350	4
Career Center	300	2
Transplant Programs	500	4
Wound Care Center	450	2
Neuro-Rehab Center	450	2
Psychiatric Transfers - Emergency Medical Treatment and Active Labor Act (EMTALA) Compliance	400	1
Pharmacy 340B Discount Drugs Program	400	2
Staff Licenses	400	1
Nursing Education Hours	250	1
Supplies Management - Interventional Radiology	500	2
Radiation Oncology	450	3
IT Governance/Strategy and Planning	600	4
Service Recovery Kits	350	2
Private Duty Home Care Nursing Referrals	300	1
Outside Professional Activities Reporting - Hospital Executive	150	4
Mobile Device Data Storage	250	2
Internal Joint Ventures	500	4
Employee Onboarding Process	300	4
Electronic Health Record (EHR) Meaningful Use (Systemwide)	300	4
Primary Network Clinics	500	2

UC Los Angeles – Audits	Hours	Est. Completion Qtr
Primary Network Clinics	500	3
Primary Network Clinics	600	4
House staff Duty Hours - Accreditation Council for Graduate Medical Education (ACGME) Compliance	340	3
Surgery Divisions - Z Payments	300	2
Faculty Conflict of Commitment Reporting	200	4
UC Los Angeles – Advisory Services	**Hours**	**Est. Completion Qtr**
UCPATH (Payroll) (Systemwide)	200	TBD
International Programming (VISA administration)	200	TBD
F-1 Visa Processing	200	TBD
Gift Administration (Student Support)	150	TBD
Electronic Health Record (Systemwide)	300	TBD
Donated Body Program	50	TBD
Operation Mend	200	TBD
UCLA Subtotal	**26,050**	
UC Merced (1 FTE) – Audits	**Hours**	**Est. Completion Qtr**
Travel and Entertainment Audit (Systemwide)	150	1
IT Governance (Systemwide)	200	2
Annual Report Executive Compensation, G-45 & Executive Travel & Expenses (Systemwide)	100	3
Compensated Outside Professional Activities (Systemwide)	25	3
Construction (Prop 1D)- Include review of low value projects (Systemwide)	150	3
Review of Financial Procedures- General Ledgers Reconciliations, Sublegers, and Recharges	150	1
Grant Processing - Pre and Post Award	200	3
Review of Human Resources and Payroll Processes - Post Human Capital Project	150	4
Low Value Purchases in Departments and P-cards	100	1

UC Merced – Advisory Services	Hours	Est. Completion Qtr
UCPATH (Systemwide)	200	4
Review of Environmental Health & Safety (EH&S) Responsibilities	50	1
Bookstore Operations	50	2
Sierra Nevada Research Institute (SNRI)	75	4
Athletics- Team Travel, etc.	75	4
Center for Educational Partnership	50	4
UCM Subtotal	1,725	

UCOP (1 FTE) – Audits	Hours	Est. Completion Qtr
Agriculture & Natural Resources (ANR) West Side Research and Extension Center (WSREC)	150	2
Human Resources Onboarding, Offboarding and Leaves	250	2
Student Affairs Application Fees and Student Loan Repayments Processing	150	1
General Ledger Reconciliation	200	4
IT Governance- Systemwide (Systemwide)	200	2
Travel and Entertainment (T&E) Expenses (Systemwide)	300	1
Treasury Workstation	100	1

UCOP – Advisory Services	Hours	Est. Completion Qtr
Medical Centers Clinical Enterprise Management Recognition Plan (CEMRP)	300	1
Office of the Treasurer Annual Incentive Plan (AIP)	200	1
ANR Multi-County Partnerships	250	4
UCPATH - Information Technology Services (ITS) Operational Readiness Assessment	200	3
IT Quality Assurance	150	3
Research Grants Program Office (RGPO) Online Grant Management System Business Requirements	20	1
RGPO Research Program Invoicing	100	2
Fundriver Endowment Administration System Implementation Review	100	1
Education Partnerships Youth Protection Departmental Policy Implementation	100	4

UCOP – Advisory Services	Hours	Est. Completion Qtr
Executive Compensation (Systemwide)	150	3
President's Expenses (Systemwide)	100	3
UCPATH Implementation (Systemwide)	200	4
UCOP Subtotal	3,220	

UC Riverside (5 FTE) – Audits	Hours	Est. Completion Qtr
Safety of Minors	50	4
Construction Financed with Proposition 1D Funding - Systemwide (Systemwide)	200	3
Payment Card Industry (PCI) Compliance	250	2
Environment Health & Safety (EH&S) - Emergency Management System	150	4
Payroll Certification	225	2
Vice Chancellor of Research (VCR)/The Office of Research Affairs (ORA)	225	3
Natural Reserves	150	2
Electrical Engineering	175	4
Financial Aid	175	3
Annual Analytic Review and Fraud Detection	600	4
University Library	200	2
Chancellor Housing (Systemwide)	50	3
Annual Report on Executive Compensation (AREC) (Systemwide)	50	2
Senior Management Group (SMG)/ Dean et al Travel and Entertainment (Systemwide)	300	1
Center for Plant Cell Biology	175	3
Distributed Computing General IT Controls	250	2
Compensated Outside Professional Activities (Systemwide)	50	3
Wire Transfers/Electronic Funds Transfers (EFTs) - Automated Clearing House (ACH)	75	2
Computing and Communications (C&C) - IT Governance (SW)	100	2

UC Riverside – Advisory Services	Hours	Est. Completion Qtr
UC Path (Payroll and HR) (Systemwide)	200	4
Major Campus Systems - GSIS	40	4
Major Campus Systems - Learning Management System (LMS)/Human Resources (HR)	50	4
Major Campus Systems - Student Information System (SIS)	105	4
Major Campus Systems - Academic Personnel System (Acaper)	80	4
Major Campus Systems - Financial Aid	150	4
Major Campus Systems - Capital Programs	75	4
Major Campus Systems - Time and Attendance Reporting Time	40	4
Smart Mobile Devices Security Guidelines	150	2
Campus Efficiencies	150	2
Sport Camps	100	4
Succession Planning	100	2
College of Humanities, Arts and Social Sciences Student Affairs (CHASS) Cluster Financial Staffing	100	2
NCAA Compliance	20	4
Financial Services Organizational Review	100	4
School of Medicine (including systems)	500	4
UCR Subtotal	5,410	
UC Santa Barbara (5 FTE) – Audits	**Hours**	**Est. Completion Qtr**
Succession Planning	200	1
UC Education Abroad Program	250	1
Marine Science Institute (MSI)	325	1
IT: Financial System Replacement: Shadow Systems/Grand Unified System (GUS)	225	1
Travel and Entertainment (Systemwide)	250	1
Exercise and Sports Studies Field Audit Follow-up	200	2
Cost Sharing	250	2

UC Santa Barbara – Audits	Hours	Est. Completion Qtr
IT: Financial System Replacement: Project Progress	200	2
IT: Mainframe Project: Migration of Other Systems	275	2
IT: Student Information System Replacement: Project Progress Field Audit Follow-up	100	2
IT: InCommon (IC) Validation Review	50	2
IT: Governance (Systemwide)	200	2
Executive Compensation: AREC Review (Systemwide)	100	3
Executive Compensation: Chancellor's Expenses G-45 and Executive T&E Review (Systemwide)	100	3
Bren School of Environmental Science & Management	300	3
Athletics Field Audit Follow-up	200	3
Construction: Prop 1D Construction (Systemwide)	250	3
Use of University Facilities and Resources	300	3
Contracting Timeline	250	4
Construction: Project Costing	250	4
Graduate Financial Aid	375	4
Fund Balances	275	4
UC Santa Barbara – Advisory Services	**Hours**	**Est. Completion Qtr**
Ethics and Compliance Support (Systemwide)	50	2
UCSB Subtotal	**4,975**	
UC Santa Cruz (4 FTE) – Audits	**Hours**	**Est. Completion Qtr**
Compensated Outside Professional Activities (Systemwide)	60	3
IT Governance (Systemwide)	200	3
Construction Proposition 1D Funded Projects (Systemwide)	90	4
G-45/AREC/ Executive Travel and Expenses (Systemwide)	450	3
University Extension (UNEX) Deficit Management	25	1
Network Management	325	4

UC Santa Cruz (4 FTE) – Audits	Hours	Est. Completion Qtr
Industry Funded Research	375	2
Student Record Security	325	2
Volunteers/Volunteer Support Groups	175	1
Annual Analytical Review and Fraud Detection	178	2
Financial Aid	350	3
UC Santa Cruz – Advisory Services	**Hours**	**Est. Completion Qtr**
UC PATH Project Implementation (Systemwide)	200	4
Supervision of Minors	200	4
NCAA Report Annual Review	80	2
UCSC Subtotal	3,033	
UC San Diego (14.2 FTE) – Audits	**Hours**	**Est. Completion Qtr**
Information Technology Governance (Systemwide)	200	2
Construction (Proposition 1D Funded Facility) (Systemwide)	150	3
Information Technology Security – San Diego Supercomputer	300	4
Youth Programs	250	2
Department of Theatre and Dance	200	2
Department of Education Studies	150	1
Geosciences Research Division- Scripps Institution of Oceanography (SIO)	200	3
Intercollegiate Athletics	250	3
Marketplace/Sci-Quest	300	4
California Student Opportunity and Access Program (Cal SOAP)	250	2
Travel (Systemwide)	300	1
Entertainment (Systemwide)	300	1
Epic Electronic Health Record – Access Management	250	1
Pharmacy – Controlled Substances/Medication Waste Tracking and Reporting	300	2
Pharmacy – 340B Drug Pricing Program Activity	300	1
Meaningful Use Standards and Certification (Systemwide)	150	4

UC San Diego – Audits	Hours	Est. Completion Qtr
Regulatory Oversight – Non-Licensed Clinics	300	3
Electrophysiology (EP) Unit and Non-Invasive Lab (Cardiology Cost Center Reviews)	300	2
Accounts Payable	250	3
Medical Center Utilization Review Process	250	1
Stericycle Waste Material Removal Management Agreement and Services	250	2
International Service Agreements/Affiliations	250	4

UC San Diego – Advisory Services	Hours	Est. Completion Qtr
UCPATH- Payroll Personnel System (PPS) Replacement Initiative (Systemwide)	200	4
Review of Annual Report on Executive Compensation (AREC) (Systemwide)	100	3
Epic Revenue Cycle System Implementation (Systemwide)	150	4
Clinical Research Billing - Pilot Project Work Group	200	4
Health Sciences Clinical Enterprise Cashiering System	200	2
UCSD Subtotal	**6,300**	

UC San Francisco (12 FTE) – Audits	Hours	Est. Completion Qtr
Travel Expenditure (Systemwide)	300	1
Entertainment Expenditure (Systemwide)	300	1
Department General Ledger Review Assessment	350	2
Procurement-to-Pay (BearBuy) System	350	4
Contract and Grant Management	350	3
Construction - Proposition 1D (Systemwide)	250	3
Cash Operations	300	4
IT Governance	300	2
Cash and Charge Processing	250	2
Computer Access Controls Review	350	1
Electronic Health Record - Meaningful Use Incentive Program (Systemwide)	300	2
Professional Fee Billing	350	3

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UC San Francisco – Audits	Hours	Est. Completion Qtr
Hospital Billing - Charge Capture	350	3
Web Application Security	350	3
Construction- Mission Bay Hospital (Systemwide)	800	4

UC San Francisco – Advisory Services	Hours	Est. Completion Qtr
Compensated Outside Professional Activities (Systemwide)	20	3
Mission Bay Hospitals - External Audit Support	700	4
Clinical Compliance Program- Pharmacy Charges	200	3
Mission Bay Hospitals- Invoice Processing System	100	1
Healthcare Incentive Plans - Clinical Enterprise Management Recognition Plan (CEMRP)	50	3
Ethics and Compliance Program Review (Systemwide)	50	2
UCSF Subtotal	**6,370**	
All Campuses and Lab Total Planned Hours	**81,088**	