

**CAMPUS AUDITORS AND
POLICY OFFICERS –
REDUCING CAMPUS RISKS
THROUGH COLLABORATIVE
PARTNERSHIPS**

NANCY CAPELL (UCOP)
RICK CATALANO (UCSF)
META CLOW (UCSB)
MATT HICKS (UCOP)
MOLLY THEODOSSY (UCD)

Question 1

Policy Officers: Discuss your role on campus.

Question 2

Auditors: What is internal audit's role in policy implementation?

Question 3

Auditors: When you audit, what are the conditions you look for to achieve effective policy implementation?

Question 4

Auditors: What are some challenges or barriers you've seen that can result in ineffective policy implementation?

Question 5

All: What are the typical causes for lack of compliance with policy?

Question 6

All: What are some of the consequences of lack of compliance with policy?

Question 7

Policy Officers: If an audit issue is brought to your attention that requires action, how do you know whether it's a policy or a procedure or education/training that is needed?

Question 8

Auditors: How do you ensure that you are communicating internal audit results to your policy officer as appropriate?

Question 9

Auditors: What do you do if you identify a policy issue that may have systemwide implications?

Question 10

Policy Officers: What would be an effective method for internal audit to communicate trends to you that they're discovering at your location that might benefit from a new or revised policy?

Question 11

All: Can you give me an example of a situation where internal audit and policy officers worked together effectively to address a risk at your campus?
