

UNIVERSITY OF CALIFORNIA  
INTERNAL AUDIT PLAN DETAIL  
FY 2012  
UCSF

SCHEDULE 3

FY	LOB	LOC	Prj Code	Name/Title of Audit	Planned Hours	Primary Index Code	IT Coverage <sup>(3)</sup>	Est. Qtr Completion
				<b><u>Planned Carry Forward (PCs):</u></b>				
FY12	UCSF		PC	<insert projects>				
<b>(a) Subtotal - Planned Carry Forward</b>					0			
				<b><u>Planned New Audits (PNs):</u></b>				
FY12	UCSF	C	PN	Campus Overtime	200	H.e.04		2
FY12	UCSF	C	PN	Bank Account Reconciliations	200	H.b.01		4
FY12	UCSF	C	PN	Web Application Security	350	G.g.01	T	4
FY12	UCSF	C	PN	School of Medicine Department Reviews	300	A.b.02	I	3
FY12	UCSF	C	PN	Contract and Grant Management	350	E.d.02		3
FY12	UCSF	C	PN	School of Pharmacy Computer Vulnerability Scanning	200	G.g.01.15	T	2
FY12	UCSF	C	PN	Tissue Management	300	E.a.08		2
FY12	UCSF	C	PN	Annual Report on Executive Compensation	150	J.b.06		3
FY12	UCSF	C	PN	Executive Travel & Entertainment	150	J.b.06		3
FY12	UCSF	C	PN	Chancellor's Allotment Funds	150	J.b.06		3
FY12	UCSF	H	PN	Medical Center Overtime	300	H.e.04		2
FY12	UCSF	H	PN	Cash Collections - Physician Service Co-Payments	300	B.i.03		3
FY12	UCSF	H	PN	Compliance with BFB IS-3 - Electronic Information Security	300	G.g.01	T	4
FY12	UCSF	H	PN	Procurement Card Review	250	H.f.04.01	I	3
FY12	UCSF	H	PN	Web Application Security	350	G.g.01	T	4
FY12	UCSF	H	PN	HIPAA Privacy Review	300	E.a.07.01		2
FY12	UCSF	C/H	PN	UCOP Requested Construction Placeholder	300	K.a.01		
<b>(b) Subtotal - Planned New Audits</b>					4,450			
FY12	UCSF		PS	<b>(c) Planned Supplemental Audits (lumpsum)</b>	800			
FY12	UCSF		PNF	<b>(d) Audit Follow Up (lump sum)</b>	800			
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>					6,050	48.02%		
				<b><u>Planned Advisory Services:</u></b>				
FY12	UCSF	C	SC	Operational Excellence Initiatives - Research Administration	200	Various	S	2
FY12	UCSF	C	SR	Academic Personnel - Advance System	100	G.d.01	S	4
FY12	UCSF	C	SR	Capital Program System Implementation	100	K.a.01	S	4
FY12	UCSF	H	SR	APEX EMR System Implementation	550	G.c.01.05	S	4
FY12	UCSF	H	SC	Mission Bay Hospitals - Contract Management (GMP)	720	K.a.01		4
FY12	UCSF	H	SI	Patient Registration	200	B.a.01		4
FY12	UCSF	H	SI	Medical Center - Continous Controls Monitoring	50	H. Various		1
FY12	UCSF	H	SC	Data Analysis Initiative	200	H. Various		4
FY12	UCSF	C/H	SI	Investigations Workgroup	100	n/a		4
FY12	UCSF	C/H	SI	Investigation Group Support	800	n/a		4
FY12	UCSF	C	SC	Ethics & Compliance Board Committee	40	E.a.06		4
FY12	UCSF	C	SC	UCOP Policy Advisory Committee	40	D.f.01		4
FY12	UCSF	C	SI	Direct Reports	40	n/a		4
FY12	UCSF	C	SC	Security and Policy Committee	20	G.a.02		4
FY12	UCSF	H	SC	Clinical Enterprise Compliance Committee	20	E.a.04		4
FY12	UCSF	H	SC	Privacy Steering Committee	20	E.a.07		4
FY12	UCSF	C/H	SC	IT Governance Committee	20	G.a.01		4
FY12	UCSF	C/H	SC	IT Governance Business Committee	20	G.a.01		4
FY12	UCSF	C/H	SC	IT Governance Technology & Architecture Committee	20	G.a.01		4
FY12	UCSF	C	SE	External Audit Coordination Committee	100	L.b.01		4
FY12	UCSF	H	SI	IT Infrastructure Sub-Committee	20	G.a.01		4
FY12	UCSF	H	SU	Medical Center Compliance Committee	20	E.a		4
<b>(e) Subtotal - Planned Advisory Services</b>					3,400			
				<b><u>Unplanned Advisory Services (by Category) <sup>(2)</sup></u></b>				

FY12	UCSF	SC	Unplanned SC	95
FY12	UCSF	SE	Unplanned SE	110
FY12	UCSF	SI	Unplanned SI	115
FY12	UCSF	SP	Unplanned SP	105
FY12	UCSF	SU	Unplanned SU	110
FY12	UCSF	SR	Unplanned SR	115
			<b>(f) Subtotal - Unplanned Advisory Services</b>	650

<b>Total Advisory Services (e+f) <sup>(1)</sup></b>				4,050	32.14%
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FY11	UCSF	IN	<b>Planned Investigation Hours (lump sum)</b>	2,500	19.84%
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**Total Audits, Advisory Services, and Investigations** 12,600

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

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

<sup>(\*)</sup> **1 = Top 10 scores, 2 = next top 10 scores, 3 = all others**

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

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FY	LOB	LOC	Prj Code	Name/Title of Audit	Planned Hours	Primary Index Code	IT Coverage <sup>(3)</sup>	Est. Qtr Completion	Notes Changes from March 31 Submission
FY12	UCSF		PC	<u>Planned Carry Forward (PCs):</u> <insert projects>					
				(a) Subtotal - Planned Carry Forward	0				
				<u>Planned New Audits (PNs):</u>					
<b>FY12</b>	<b>UCSF C</b>	<b>PN</b>		<b>Petty-Cash</b>	<b>200</b>	<b>H.b.02</b>		<b>2</b>	Project Dropped
FY12	UCSF C	PN		Campus Overtime	200	H.e.04		2	Hours decreased 250 » 200
FY12	UCSF C	PN		Bank Account Reconciliations	200	H.b.01		4	
FY12	UCSF C	PN		Web Application Security	350	G.g.01	T	4	Hours increased 300 » 350
FY12	UCSF C	PN		School of Medicine Department Reviews	300	A.b.02	I	3	Est. Qtr. changed 4 » 3
FY12	UCSF C	PN		Contract and Grant Management	350	E.d.02		3	Moved from Advisory » Audit & Est. Qtr 2 » 3
FY12	UCSF C	PN		School of Pharmacy Computer Vulnerability Scanning	200	G.g.01.15	T	2	Hours decreased 300 » 200 & Est. Qtr 3 » 2
FY12	UCSF C	PN		Tissue Management	300	E.a.08		2	Name changed (Tissue Bank) & Est. Qtr 2 » 1
<b>FY12</b>	<b>UCSF C</b>	<b>PN</b>		<b>Annual Report on Executive Compensation</b>	<b>150</b>	<b>J.b.06</b>		<b>3</b>	Project added as Systemwide Audit
<b>FY12</b>	<b>UCSF C</b>	<b>PN</b>		<b>Executive Travel &amp; Entertainment</b>	<b>150</b>	<b>J.b.06</b>		<b>3</b>	Project added as Systemwide Audit
<b>FY12</b>	<b>UCSF C</b>	<b>PN</b>		<b>Chancellor's Allotment Funds</b>	<b>150</b>	<b>J.b.06</b>		<b>3</b>	Project added as Systemwide Audit
FY12	UCSF H	PN		Medical Center Overtime	300	H.e.04		2	Est. Qtr. changed 1 » 2
FY12	UCSF H	PN		Cash Collections - Physician Service Co-Payments	300	B.i.03		3	Est. Qtr. changed 4 » 3
FY12	UCSF H	PN		Compliance with BFB IS-3 - Electronic Information Security	300	G.g.01	T	4	Hours decreased 350 » 300
FY12	UCSF H	PN		Procurement Card Review	250	H.f.04.01	I	3	Est. Qtr. 1 » 3
FY12	UCSF H	PN		Web Application Security	350	G.g.01	T	4	Hours decreased 400 » 350 & Est. Qtr 3 » 4
<b>FY12</b>	<b>UCSF H</b>	<b>PN</b>		<b>Recharge System and Procedures</b>	<b>300</b>	<b>H.i.01</b>		<b>3</b>	Project dropped
<b>FY12</b>	<b>UCSF H</b>	<b>PN</b>		<b>HIPAA Privacy Review</b>	<b>300</b>	<b>E.a.07.01</b>		<b>2</b>	Project added as Systemwide Audit
<b>FY12</b>	<b>UCSF C/H</b>	<b>PN</b>		<b>UCOP Requested Construction Placeholder</b>	<b>300</b>	<b>K.a.01</b>			
				(b) Subtotal - Planned New Audits	4,750				
FY12	UCSF	PS		(c) Planned Supplemental Audits (lumpsum)	800				Supplemental bucket decreased 1000 » 800
FY12	UCSF	PNF		(d) Audit Follow Up (lump sum)	800				
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>					<b>6,350</b>		<b>49.22%</b>		
				<u>Planned Advisory Services:</u>					
FY12	UCSF C	SC		Operational Excellence Initiatives - Research Administration	200	Various	S	2	
FY12	UCSF C	SR		Academic Personnel - Advance System	100	G.d.01	S	4	
FY12	UCSF C	SR		Capital Program System Implementation	100	K.a.01	S	4	
FY12	UCSF H	SR		<b>APEX EMR System Implementation</b>	<b>550</b>	<b>G.c.01.05</b>	<b>S</b>	<b>4</b>	Name changed (EPIC/APEX) & Est. Qtr 3 » 4
FY12	UCSF H	SC		Mission Bay Hospitals - Contract Management (GMP)	<b>720</b>	<b>K.a.01</b>		<b>4</b>	Hours increased 400 » 720 & Est. Qtr 2 » 4
FY12	UCSF H	SI		Patient Registration	200	B.a.01		4	
FY12	UCSF H	SI		Medical Center - Continuous Controls Monitoring	50	H. Various		1	Est. Qtr. changed 4 » 1
FY12	UCSF H	SC		Data Analysis Initiative	200	H. Various		4	
FY12	UCSF C/H	SI		Investigations Workgroup	100	n/a		4	

FY12	UCSF	C/H	SI	Investigation Group Support	800	n/a	4	
FY12	UCSF	C	SC	Ethics & Compliance Board Committee	40	E.a.06	4	
FY12	UCSF	C	SC	UCOP Policy Advisory Committee	40	D.f.01	4	
FY12	UCSF	C	SI	Direct Reports	40	n/a	4	
FY12	UCSF	C	SC	Security and Policy Committee	20	G.a.02	4	
FY12	UCSF	H	SC	Clinical Enterprise Compliance Committee	20	E.a.04	4	
FY12	UCSF	H	SC	Privacy Steering Committee	20	E.a.07	4	
FY12	UCSF	C/H	SC	IT Governance Committee	20	G.a.01	4	
FY12	UCSF	C/H	SC	IT Governance Business Committee	20	G.a.01	4	
FY12	UCSF	C/H	SC	IT Governance Technology & Architecture Committee	20	G.a.01	4	
FY12	UCSF	C	SE	External Audit Coordination Committee	100	L.b.01	4	Hours Increased 20 » 100
FY12	UCSF	H	SI	<b>IT Infrastructure Sub-Committee</b>	20	G.a.01	4	Name change (MC IT Enterprise Sub-Committee)
FY12	UCSF	H	SU	Medical Center Compliance Committee	20	E.a	4	

**(e) Subtotal - Planned Advisory Services** 3,400

**Unplanned Advisory Services (by Category) (2)**

FY12	UCSF	SC		<b>Unplanned SC</b>	<b>95</b>			Hours decreased from 125
FY12	UCSF	SE		<b>Unplanned SE</b>	<b>110</b>			Hours decreased from 125
FY12	UCSF	SI		<b>Unplanned SI</b>	<b>115</b>			Hours decreased from 125
FY12	UCSF	SP		<b>Unplanned SP</b>	<b>105</b>			Hours decreased from 125
FY12	UCSF	SU		<b>Unplanned SU</b>	<b>110</b>			Hours decreased from 125
FY12	UCSF	SR		<b>Unplanned SR</b>	<b>115</b>			Hours decreased from 125

**(f) Subtotal - Unplanned Advisory Services** 650

**Total Advisory Services (e+f) (1)** 4,050 31.40%

**FY11 UCSF IN Planned Investigation Hours (lump sum)** 2,500 19.38%

**Total Audits, Advisory Services, and Investigations** 12,900

(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