

UNIVERSITY OF CALIFORNIA
INTERNAL AUDIT PLAN DETAIL
FY 2013
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
<u>Planned New Audits (PNs):</u>										
FY13	C	UCSF	PN	Travel Expenditures	3	300	H.c.04			1
FY13	C	UCSF	PN	Entertainment Expenditures	3	300	H.c.03			1
FY13	C	UCSF	PN	Department General Ledger Review Assessment	1	350	H.d.01			2
FY13	C	UCSF	PN	Procurement-to-Pay (BearBuy) System	1	350	H.f.03		S	4
FY13	C	UCSF	PN	Contract and Grant Management	1	350	E.d.02			3
FY13	C	UCSF	PN	Construction - Proposition 1D	3	250	K.a.01			3
FY13	C	UCSF	PN	Cash Operations	1	300	H.b.02			4
FY13	C	UCSF	PN	IT Governance	3	300	G.a.01		G	2
FY13	H	UCSF	PN	Cash and Charge Processing	1	250	H.b.02			2
FY13	H	UCSF	PN	Computer Access Controls Review	1	350	G.g.01		I	1
FY13	H	UCSF	PN	Electronic Health Record - Meaningful Use Incentive Program	1	300	B.i.02		I	2
FY13	H	UCSF	PN	Professional Fee Billing	1	350	B.i.03			3
FY13	H	UCSF	PN	Hospital Billing - Charge Capture	1	350	B.i.01		I	3
FY13	H	UCSF	PN	Web Application Security	1	350	G.g.01		T	3
FY13	H	UCSF	PN	Construction - Mission Bay Hospitals	1	800	K.a.01			4
(b) Subtotal - Planned New Audits						5,250				
FY13	C/H	UCSF	PS	(c) Planned Supplemental Audits (lumpsum)		1,930				
FY13	C/H	UCSF	PNF	(d) Audit Follow Up (lump sum)		600				
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						7,780				
<u>Planned Advisory Services:</u>										
FY13	H	UCSF	SU	Healthcare Incentive Plans - CEMRP		50	H.e.01			3
FY13	C	UCSF	SU	Ethics and Compliance Program Review		50	E.a.			2
FY13	C	UCSF	SC	Reporting of Outside Professional Activities		20	H.h.01			3
FY13	H	UCSF	SC	Mission Bay Hospitals - External Audit Support		700	K.a.01			4
FY13	H	UCSF	SC	Clinical Compliance Program - Pharmacy Charges		200	E.a.04			3

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	H	UCSF	SC	Mission Bay Hospitals - Invoice Processing System		100	K.a.01			1
FY13	C/H	UCSF	SI	Investigation Work Group Committee and Support		650	n/a			4
FY13	C/H	UCSF	SC	IT Governance and Security Committees		120	G.a.01			4
FY13	C/H	UCSF	SC	Compliance and Privacy Committees		110	E.a.04			4
FY13	C	UCSF	SC	UCOP Policy Advisory Committee		25	D.f.01			4
FY13	C	UCSF	SE	External Audit Coordination Committee		25	L.b.01			4
FY13	C	UCSF	SC	Vacation Leave Accrual Committee		25	H.e.04			4
FY13	H	UCSF	SC	ICD-10 Committee		25	B.1.01			4
(e) Subtotal - Planned Advisory Services						2,100				
<u>Unplanned Advisory Services (by Category) ⁽²⁾</u>										
FY13			SC	Unplanned Consultations and Special Projects		1,150				
FY13			SE	Unplanned External Audit		300				
FY13			SI	Unplanned Internal Control & Accountability		300				
FY13			SP	Unplanned IPA/COI		0				
FY13			SU	Unplanned Compliance Support		350				
FY13			SR	Unplanned System Development & Reengineering Team		290				
(f) Subtotal - Unplanned Advisory Services						2,390				
Total Advisory Services (e+f) ⁽¹⁾						4,490				
FY13			IN	Planned Investigation Hours (lump sum)		2,500				
Total Audits, Advisory Services, and Investigations						14,770				

⁽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

UCSF A – application review

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I – integrated review
T – technical review
S – system development or post-implementation review
G – general controls review