



The University of California



## Internal Audit Plan

2013-14

## 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/laboratory 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 2013-14

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

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

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

Share information among campus/laboratory 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

- Construction
- Account Reconciliations
- Extramural Funds Accounting
- Revenue Cycle (Health Sciences)
- Billing and Coding (Health Sciences)
- Investments
- Segregation of Duties
- Cash Handling
- Compensation

### Operational

- Business Continuity
- Data Center Operations
- Business Contracts
- Third Party Relationships
- Disaster Recovery Plans
- Contracts & Grant Administration
- International Activities
- Facilities Administration
- Resources

### Compliance

- Policy
- Research
- Conflicts of Interest/commitment
- Increased Regulations and Regulatory Enforcement
- Safety
- Laboratory Safety
- Protection of Minors
- Export Control
- Information Privacy
- IT Security
- International Activities

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

## 2013-14 Planned Systemwide Audit Areas

Review	Reason on Plan	Scope	Projected Timing
Laboratory Safety	Risk assessment results	Advisory service – Scope TBD	1 <sup>st</sup> Quarter
Student Health	Risk assessment results	Scope TBD	2 <sup>nd</sup> Quarter
Athletics	Regents' request	Collect information on campus athletic programs and identify gaps	2 <sup>nd</sup> 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 (as applicable, regulatory requirement) – Medical Centers only
- Construction projects funded by Proposition 1D (regulatory requirement) – as requested by Department of Finance in 2011 audit of Proposition 1D projects
- Periodic reviews of executive compensation and expenses (Annual Report on Executive Compensation, chancellor’s expenses, executive travel and entertainment expenses, compensated outside professional activities)

## Highlights of the Consolidated Audit Plans

### Personnel:

	FY14 Plan	Prior Year Plan
Authorized staff level	107 FTE's	104 FTE's
Avg. Staff Level	101 FTE's	100 FTE's

### Distribution of Planned Activities:

#### By Audit Activity Type (hours/%):

	FY14 Plan		Prior Year Plan	
<b><i>Audits</i></b>	93,139	64%	95,632	66%
<b><i>Advisory Services</i></b>	33,905	24%	31,138	22%
<b><i>Investigations</i></b>	<u>17,799</u>	<u>12%</u>	<u>17,975</u>	<u>12%</u>
	144,843	100%	144,745	100%

#### By University area:

	FY14 Plan	Prior Year Plan
<b><i>Campus/Laboratory*</i></b>	70%	71%
<b><i>Health Sciences</i></b>	<u>30%</u>	<u>29%</u>
	<b>100%</b>	<b>100%</b>

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

## Highlights of the Consolidated Audit Plans

- The Plan provides for nearly 34,000 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 14,000 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 8,000 hours are budgeted for continued professional development for our internal audit staff; and
- While the budgeted hours for investigations increased compared to the current year, there continues to be an emphasis on reducing audit involvement in investigations that are appropriately handled by management.

## Available Resources

	FY14 Plan		3/31/13 Annualized	
<b>Weighted Average FTE</b>	101		97	
	<u>Hours</u>	<u>Percent</u>	<u>Hours</u>	<u>Percent</u>
<b>Personnel Hours</b>	210,907	96.7%	200,932	98.1%
<b>Other Resource Hours</b>	<u>7,151</u>	<u>3.3%</u>	<u>3,806</u>	<u>1.9%</u>
<b>Gross Available Hours</b>	218,058	100.0%	204,738	100.0%
<b>Less: Non-Controllable Hours</b>	36,158	16.6%	38,700	18.9%
<b>Less: Admin/Training</b>	<u>23,844</u>	<u>10.9%</u>	<u>27,779</u>	<u>13.6%</u>
<b>Total Direct Hours</b>	<u><b>158,057</b></u>	<u><b>72.5%</b></u>	<u><b>138,258</b></u>	<u><b>67.5%</b></u>

## 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

	FY14 Plan		3/31/13 Annualized	
<b>Audit Program</b>	<u>Hours</u>	<u>Percent</u>	<u>Hours</u>	<u>Percent</u>
Planned Audits* (249 projects)	70,672	44.7%	66,416	48.0%
Supplemental Audits	13,820	8.7%	8,796	6.4%
Audit Follow Up	<u>8,647</u>	<u>5.5%</u>	<u>9,936</u>	<u>7.2%</u>
<b>Total Audit Program</b>	<b>93,139</b>	<b>58.9%</b>	<b>85,147</b>	<b>61.6%</b>
<b>Advisory Services</b>				
Planned Projects* (84 projects)	13,928	8.8%	N/A	N/A
Supplemental Hours	<u>19,977</u>	<u>12.6%</u>	<u>N/A</u>	<u>N/A</u>
<b>Total Advisory Services</b>	<b>33,905</b>	<b>21.4%</b>	<b>25,812</b>	<b>18.7%</b>
<b>Investigations</b>	<b>17,799</b>	<b>11.3%</b>	<b>15,167</b>	<b>11.0%</b>
<b>Audit Support Activities</b>	<u><b>13,214</b></u>	<u><b>8.4%</b></u>	<u><b>12,131</b></u>	<u><b>8.8%</b></u>
<b>Total Direct Audit Hours</b>	<u><b>158,057</b></u>	<u><b>100.0%</b></u>	<u><b>138,258</b></u>	<u><b>100.0%</b></u>

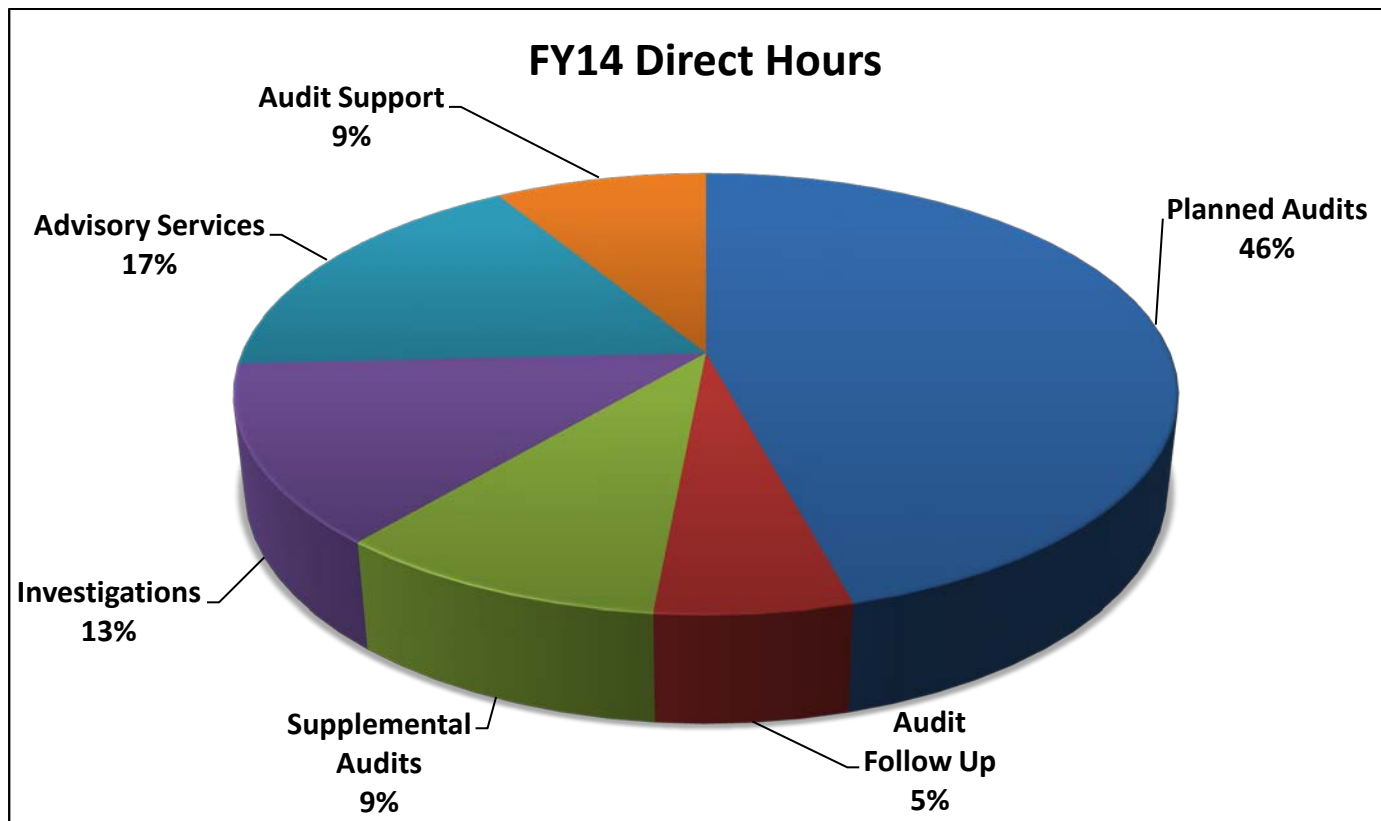
## Resource Allocation

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.

\*Total Hours for 333 Planned Projects = 84,600 (see Planned Projects at Appendix 1)



The chart below depicts the direct audit coverage of our FY14 plan. It demonstrates that nearly half of our planned direct hours have been allocated to planned audits, with the remaining time allocated to our other lines of service, advisory services and investigations, as well as audit follow up and audit support activities.  
(refer to the next page for the specific detail of the direct areas).



**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

	FY14		3/31/2013 Annualized	
	Plan	Percent	Actual	Percent
<b>INDIRECT HOURS</b>				
Administration	15,005	8.2%	19,197	11.6%
Professional Development	8,182	4.5%	8,582	5.2%
Other	657	0.4%	-	0.0%
<b>Total Indirect Hours</b>	<b>23,844</b>	<b>13.1%</b>	<b>27,779</b>	<b>16.7%</b>
<b>DIRECT HOURS</b>				
<b>Audit Program</b>				
Planned Audits	70,672	38.5%	66,416	40.0%
Supplemental Audits	13,820	7.9%	8,796	5.3%
Audit Follow Up	8,647	4.8%	9,936	6.0%
<b>Total Audit Program Hours</b>	<b>93,139</b>	<b>51.2%</b>	<b>85,147</b>	<b>51.3%</b>
<b>Advisory Services</b>				
Advisory Service Projects	25,005	13.7%	18,152	10.9%
External Audit Coordination	7,240	4.0%	6,422	3.9%
Compliance Support	1,660	0.9%	1,239	0.7%
<b>Total Advisory Services Hours</b>	<b>33,905</b>	<b>18.6%</b>	<b>25,812</b>	<b>15.5%</b>
<b>Investigations Hours, IN</b>	<b>17,799</b>	<b>9.8%</b>	<b>15,167</b>	<b>9.1%</b>
<b>Audit Support Activities</b>				
Audit Planning	3,370	1.9%	2,578	1.6%
Audit Committee Support	1,785	1.0%	1,299	0.8%
Systemwide Audit Support	3,150	1.7%	3,865	2.3%
Computer Support*	3,090	1.7%	3,192	1.9%
Quality Assurance	1,819	1.0%	1,197	0.7%
<b>Total Audit Support Hours</b>	<b>13,214</b>	<b>7.3%</b>	<b>12,131</b>	<b>7.3%</b>
<b>Total Direct Hours</b>	<b>158,057</b>	<b>86.9%</b>	<b>138,258</b>	<b>83.3%</b>
<b>TOTAL NET AVAILABLE HOURS</b>	<b>181,901</b>	<b>100.0%</b>	<b>166,037</b>	<b>100.0%</b>

### 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) upgrades and functional enhancement

## 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.**

<b>Systemwide* (2 FTE UCOP staff plus co-sourced auditors) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Student Health (Systemwide)	200	2
Laboratory Safety (Systemwide)	200	1
Athletics (Systemwide)	200	2
Senior Management Group (SMG) Market Reference Zones (MRZ) Implementation Review	150	3
Compensated Outside Professional Activities	100	4
External Financing Campus Reimbursement Process	150	2
Medical Centers Clinical Enterprise Management Recognition Plan (CEMRP)	250	2
Office of the Treasurer Annual Incentive Plan (AIP)	200	2
<b>Systemwide* – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Cloud Services	200	2
UC Path Implementation Advisory Assistance (Systemwide)	200	4
<b>Total Planned Hours - Systemwide</b>	<b>1,850</b>	

\* Projects performed by UCOP Internal Audit with a system focus

<b>Lawrence Berkeley National Laboratory (5 FTE**) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
FY13 Cost Allowability (Annual)	650	4
Human Resources Services	400	3
PO & Subcontract Awards and Compliance Monitoring	400	2
Intra-University Transactions (IUTs) Awards	300	2
Recharges	350	3
Payroll Processing	400	4
Indirect Expense Budgeting and Monitoring	300	4
Maintenance	350	3
Subcontract Audit (Annual)	400	4
<b>Lawrence Berkeley National Laboratory – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
CY13 Annual Report of Executive Compensation (Systemwide)	250	3
Administration of Employee Performance Evaluation	300	1
Compensated Outside Professional Activities	300	2
Post-Doc Classification and Compensation	250	1
Financial Systems Modernization Project (F\$M) Pre-implementation Review	600	4
<b>Total Planned Hours - LBNL</b>	<b>5,250</b>	
<b>UC Berkeley (9 FTE) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Timekeeping & Leave Accrual	240	3
Shared Services - Business and Financial Services	200	2
Shared Services - Human Resources	200	3
Shared Services - Research Administration	200	4
Cal Student Central	300	2
Human Resources - Compensation and Classification	300	3
Sponsored Projects - Facility and Administrative Cost Pools	300	4
Sponsored Projects - Effort Reporting - Summer Salaries	180	3
Sponsored Projects - Cost Transfers	300	2
Campus Police Department	240	2
Information Technology Governance	240	3

\*\* Plus contracted resources

<b>UC Berkeley – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Cal Planning and Budgeting	300	2
Self-supporting Academic Programs	300	4
Endowed Chairs	240	4
Information Technology - Second Tier Applications	290	2
NCAA Compliance	200	3
Governance – Policy Development, Promulgation, and Maintenance	240	4
Information Security - Mobile/Portable Devices	240	4
Student Health (Systemwide)	200	2
Laboratory Safety (Systemwide)	200	1
Fixed Asset Inventory - Special Collections	240	4
Composite Fringe Benefit Rates	240	3
<b>UC Berkeley – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Richmond Bay Campus	120	4
Annual Review of Executive Compensation (Systemwide)	120	3
Bear Buy - Cost Savings	120	1
Contracts and Grants System Implementation	120	4
Internal Control Documentation Review	120	4
Student Information Systems Implementation	120	4
Self Insurance	120	2
Fraud Risk Management	80	2
Online Education	120	2
Optometry Executive Leadership Transition	120	1
	<b>Total Planned Hours - UCB</b>	<b>6,550</b>
<b>UC Davis (11.5 FTE) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Donor Restrictions on Gift Expenditures	150	1
Meaningful Use	200	4
G-45 Chancellor's Expenses (Systemwide)	100	3
Student Health (Systemwide)	200	2

<b>UC Davis – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Athletics (Systemwide)	200	2
Minor Maintenance and Renovation Management	150	2
Export Controls	300	2
College of Agriculture and Environmental Services Transition Review	300	3
College of Engineering Administrative Review	300	2
College of Letters and Sciences - Social Sciences Administrative Review	300	3
Capitation Revenue Distribution	250	2
Stores and Distribution	350	2
Primary Care Network (PCN) Clinic Review	400	2
School of Nursing Administrative Review	300	1
Graduate School of Management Administrative Review	300	3
Parking Structure III Revenue	250	4
Veterinary Medicine Large Animal Clinic	300	4
Summer Session	350	4
Sales, Use and Unrelated Business Income Tax	300	1
Blood Products Management	300	4
Indirect Cost Recovery	250	3
Dermatology	300	1
Anesthesiology Revenue Cycle	350	1
Cloud Computing	300	3
Critical Infrastructure IT Systems	300	3
Veterinary Medicine Teaching Hospital IT	300	4
Database Security	300	1
Physical Security and Life Safety Systems	300	4
Information and Educational Technology IT Virtualization Service	300	2
<b>UC Davis – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
UC Path (Systemwide)	100	4
Vet Med Clinical Trials	150	3
e-Prescribe for Controlled Substances	100	2
<b>Total Planned Hours - UCD</b>	<b>8,350</b>	

<b>UC Irvine (9 FTE) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Software Licensing	300	1
Obstetrics and Gynaecology (OBGYN)	300	1
Police Department Business Operations	300	1
Facility Management (Medical Center)	300	1
Residency Programs	300	2
Meaningful Use	300	2
The Hill (Campus Bookstore)	400	2
Student Health Center (Systemwide)	200	2
Pathology	350	2
Supervisory Control and Data Acquisition (SCADA) Systems	350	3
Annual Report on Executive Compensation/Chancellor's Expenses (Systemwide)	200	3
Institute for Memory Impairments and Neurological Disorders (UCI Mind)	300	3
Athletics (Systemwide)	200	3
Main Cashiering (Medical Center)	400	3
Financial Conflict of Interest in Research	300	3
Electronic Medical Records	300	4
School of Biological Sciences & Biological Sciences IT	500	4
Center for Educational Partnerships	300	4
Family Medicine	300	4
Human Resources (Medical Center)	300	4
<b>UC Irvine – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Kuali	100	4
UC Path (Systemwide)	100	4
Payroll Certification System	100	4
IT - Self Assessments	100	4
Laboratory Safety (Systemwide)	100	4
University Club	100	4
<b>Total Planned Hours - UCI</b>	<b>6,800</b>	

<b>UC Los Angeles (27 FTE***) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Associated Students (ASUCLA) Student Union-Events Service and Postal Services	240	3
ASUCLA Store - Health Sciences Store	220	2
ASUCLA Restaurants - Operations Division	240	1
ASUCLA Restaurants - Central Division	260	3
ASUCLA Restaurants - Special Events Division	260	1
Customer Relations	400	4
Fund Management Review	400	1
Tool Crib Review	250	3
Work Order Review	400	2
Project Management	350	4
Capitalization Procedures	350	2
Share Point System Review	300	1
State of California Proposition 1D Construction Project	225	3
Fleet and Transit - Auto Parts Inventory	277	1
Fleet and Transit - Fuel Accountability	277	3
Events and Transportation - Revenue Recognition Audit	477	2
Events and Transportation - Cashiering	337	2
Pay Stations	277	3
Conference Services	368	3
Housing & Hospitality Services - Cashiering	418	1
Lake Arrowhead Conference Center	318	3
Student Technology Center	268	2
University Apartments - Revenue/Leasing/Vacancy	318	2
Vending Cashiering Operations	218	1
Early Care and Education	320	1
Office Insurance and Risk Management - Operational Review	320	3
Equipment Inventory Management	223	1
Enterprise Exchange	273	2
Central Ticket Office - Cashiering	285	2

\*\*\* Incorporates recharge model



<b>UC Los Angeles – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Cash Management	425	2
Recharges and Revenue Reconciliation	475	3
Office of Residential Life	350	3
CashNet Process and Reconciliation	400	2
Foundation	400	1
Athletics (Systemwide)	200	TBD
Laboratory Safety (Systemwide)	200	3
Facility Use Agreements	400	4
Departments/Principal Administrative Units	300	TBD
Student Health (Systemwide)	450	4
Meaningful Use - Electronic Health Records (EHR)	500	4
CareConnect 1 (UCLA's Electronic Health Record)	350	2
CareConnect 2 (UCLA's Electronic Health Record)	350	2
Dosimeter Monitoring (employee compliance)	300	3
Clinical Engineering	400	3
Rape Treatment Center	450	4
CareConnect 3 (UCLA's Electronic Health Record)	350	4
Nurse Float Pool (commitments versus actual effort)	300	2
Santa Monica UCLA Medical Center Surgery Center	500	3
Santa Monica UCLA Medical Center – Radiology Services in Orthopaedic Clinic	350	4
Laundry	275	4
Information Technology Governance	375	4
Marketing (financial management)	300	2
Tiverton House	400	3
Disposal of Hazardous Materials	275	3
Employee Recognition and Retention Program (gift card controls)	250	2
Child Life	300	4
Santa Monica UCLA Medical Center - Nutrition Cashiering	250	3
Discounted Drug Pricing	500	4

<b>UC Los Angeles – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Primary Network Clinic 1	450	2
Primary Network Clinic 2	450	3
Primary Network Clinic 3	450	4
Housestaff Duty Hour Compliance (Work hour limitations)	350	4
Donated Body Program	350	3
Clinical & Translational Science Institute (CTSI)	500	2
<b>UC Los Angeles – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Internal Joint Ventures	400	4
Santa Monica UCLA Medical Center - Gift Funds Allocation Protocols	200	2
Telecommunications Fees	300	3
Lawson (Purchasing & Accounts Payable) System Upgrade	300	2
Santa Monica UCLA Medical Center Auxiliary Gift Shop (Cash Handling Exposures)	225	3
International Programming	200	3
Financial Aid	200	4
UC Path (Systemwide)	320	4
School of Medicine - Research Reorganizations	120	4
J-1 Visas	200	3
<b>Total Planned Hours - UCLA</b>	<b>24,259</b>	
<b>UC Merced (1 FTE**) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Student Health (Systemwide)	200	2
Purchase Orders and Business Contracts	150	2
Construction Projects - Housing 4 and Student Services Building	200	1
Construction Project - Science and Engineering II Building	150	3
IT Security (IS-3 requirements) and Control over Confidential Information	200	3
Review of Grants (ARRA, Engineering, and others)	150	3
Control over Cash - Cashiering and SubCashiering	150	4

\*\* Plus contracted resources

<b>UC Merced – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Student Accounts - Student Fees and Receivables	75	4
Purchasing Card and T&E Card Reviews - Setting Up Continuous Monitoring	200	1
Development	100	4
Operational Review of Graduate Division	150	1
Review of Campus Receiving	100	2
UC Path (Systemwide)	100	4
<b>Total Planned Hours - UCM</b>	<b>1,925</b>	
<b>UCOP (1 FTE UCOP staff plus co-sourced auditors) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
General Ledger Review and Reconciliation	200	3
Agriculture and Natural Resources (ANR) Firearms Compliance Program	150	1
ANR Research and Extension Center (REC) Review	150	2
ITS Budgeting & Cost Accounting	200	3
Independent Contractors	200	4
Education Partnerships Youth Protection Departmental Policy Implementation	100	3
UCOP Remote Facilities	250	4
UCOP Network Security	200	3
<b>UCOP – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
IT Investment Review	200	4
ANR Multi-County Partnerships	250	3
UC Path - ITS Operational Readiness Assessment	300	4
Retirement Administration Services Center (RASC) Payroll Data Validation	100	2
UC Washington Center (UCDC) IT Security and Physical Security	200	2
Office of General Counsel (OGC) eBilling System Procurement Advisory Assistance	100	4
<b>Total Planned Hours - UCOP</b>	<b>2,600</b>	

<b>UC Riverside (5 FTE) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
School of Medicine	175	3
Capital Planning/Architects & Engineers	290	2
Finance Business Operations (FBO) Service Center	295	2
Laboratory Safety (Systemwide)	210	1
Athletics (Systemwide)	260	3
Student Health System (Systemwide)	255	2
IT Governance (IT)	173	2
College of Humanities, Arts, and Social Sciences (CHASS) Dean's Office	215	3
Contracts & Grants Post Award (other than colleges)	215	3
Cash Handling	305	4
Privacy and Confidentiality	161	4
Financial Aid	161	1
Kronos Systems Access	195	2
IT Security (smaller departments)	175	3
University Extension (UNEX)	181	4
Physical Plant - Plant Service's Recharges	215	3
Annual Analytic Review & Fraud Detection	580	4
<b>UC Riverside – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Major Campus Systems: System Information Systems (SIS) Replacement Project	200	4
Major Campus Systems: UNEX System	95	4
Major Campus Systems: New Graduate Student Information Systems (GSIS)	45	4
Major Campus Systems: Human Resources - iRecruit; iReview; Job Description System	45	4
Major Campus Systems: Time and Attendance Reporting System	45	4
Major Campus Systems: Capital Programs	80	4
Major Campus Systems: Academic Personnel System	45	4
Major Campus Systems: Financial System/Enterprise Systems Steering Committee	130	4
School of Medicine	320	4
UC Path (Systemwide)	165	4
Campus Efficiencies	145	4
<b>Total Planned Hours - UCR</b>	<b>5,376</b>	

<b>UC Santa Barbara (5 FTE) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Succession Planning – Phase 2	300	2
UCTrust Compliance Review	150	1
Orfalea Family Foundation Gift	250	1
IT: UCSB Procurement Gateway Post-Implementation Review	250	1
Integration and Control of Auxiliaries - Phase 1	250	1
University Inventories - Phase 1	250	1
Integration and Control of Auxiliaries - Phase 2	200	2
University Inventories - Phase 2	250	2
Student Health (Systemwide)	200	2
IT: Financial System Implementation Project (FSIP) Progress Review Field Audit Follow-up	250	2
IT: Student Information Systems (SIS) Modernization Progress Review Field Audit Follow-up	150	2
Sponsored Projects - Cost Sharing	250	2
Assessment of Campus Policies and Procedures	250	3
Delegated Procurement	250	3
Intercollegiate Athletics (Systemwide)	200	3
Graduate Financial Aid and Graduate Student Fee Remission	300	4
IT: Third Party IT Services	250	4
<b>UC Santa Barbara – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
IT: UC Path Advisory/Support (Systemwide)	125	4
IT: Support Contingency - Other IT	100	4
<b>Total Planned Hours - UCSB</b>	<b>4,255</b>	

<b>UC Santa Cruz (4 FTE) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Student Health (Systemwide)	200	2
Deferred/Preventative Maintenance	257	2
Financial Aid Compliance	350	2
Sub-Cashier Cash Handling Controls	215	1
PCI Merchant Compliance	200	3
Campus IT Equipment Disposition Practices	225	3
Distributed Computing Logical Security	400	4
Employee Off-Boarding/Termination Procedures	225	3
Cost of Construction Work Orders and Estimates	371	4
Campus Background Checks	284	4
<b>UC Santa Cruz – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Travel/Entertainment Process Streamlining	228	4
UC Path/Shared Initiative (Systemwide)	220	4
NCAA Report Annual Review	65	3
<b>Total Planned Hours - UCSC</b>	<b>3,240</b>	
<b>UC San Diego (16.2 FTE) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Graduate Program Revenues	300	2
Service Agreements	300	4
Recharge Operations – Central Oversight	300	3
Technology Transfer Office	300	4
Enterprise (Logical) Security – Information Technology (Administrative Computing and Telecommunications)	300	2
Central Colleges Business Office	250	1
Minor Capital Construction – Medical Center Projects	300	3
Human Resources - Background Checks	250	4
Student Health (Systemwide)	200	2
Limited Scope Department/Organized Research Unit Audits	450	1

<b>UC San Diego – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Pharmacy – 340B Drug Pricing Program	300	4
Transplant Program Operations	300	3
Email and Mobile Device Encryption	300	2
Health System Clinical Cashiering Operations – Phase II (Training & Background Checks)	300	1
Clinical Research Billing Systems	300	3
Department of Pharmacology	300	2
Department of Cellular and Molecular Medicine	300	1
Clinical Research Compliance – Investigational New Drug Program and Protocol Registration System	300	4
Anatomical Materials Program (Body Donation Program)	300	4
<b>UC San Diego – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Chancellor’s Expenses (Systemwide)	200	3
Review of Annual Report on Executive Compensation (Systemwide)	100	3
Appointment Watch Lists	200	2
UC Path – Data and Reporting (Systemwide)	200	4
Business Officer On-line Tools	200	2
Internal Medicine Practice Acquisition	200	1
Physician Relationships with Industry – Conflict of Interest/Conflict of Commitment	200	2
School of Medicine Core Services – Human Resources	200	2
ICD-10 Readiness (International Statistical Classification of Diseases and Related Health Problems)	200	4
Epic Revenue Cycle Implementation (Go-Live and Charge Interfaces)	200	3
Epic Module Post Implementation Reviews (ASAP and OpTime)	200	3
Meaningful Use Standards and Certification (Systemwide)	200	1
<b>Total Planned Hours - UCSD</b>	<b>7,950</b>	

<b>UC San Francisco (11 FTE) – Audits</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Physician Billing - San Francisco General Hospital	300	2
Contracts and Grants - End of Award Expenditures	350	4
Cash Operations	150	3
School of Dentistry - Dental Record Security	350	4
Chancellor's Administrative & Housing Expenses (Systemwide)	125	2
Student Health Center (Systemwide)	275	2
Clinical and Translational Science Institute (CTSI) - Financial Management	300	2
California Institute for Quantitative Biosciences (QB3) - Intellectual Property	250	3
Professional Services Agreement Management	250	2
Center for Health Professions - Contracting	200	3
Willed Body Program	350	2
Hospital Billing - Pharmacy Services	300	3
Clinic Operations	200	3
Electronic Health Records (HER) - Monitoring Access to Patient Records	300	4
Service Contract Review	300	2
Network Security - Firewalls	350	2
HIPAA Privacy and Security	350	4
Hospital Patient Accounts - Denial Management	300	3
APeX Disaster Recovery and Continuity Planning	200	4
<b>UC San Francisco – Advisory Services</b>	<b>Hours</b>	<b>Est. Completion Qtr</b>
Annual Report on Executive Compensation (Systemwide)	125	3
Department Assessment Tool	300	4
Hospital Nursing - Float Pool Payroll	100	1
Enterprise Content Management	75	4
Enterprise Data Warehouse	75	4
Finance3 Project Implementation	250	4
Capital Projects Management System	75	4
Identity and Access Management	25	4
	<b>Total Planned Hours - UCSF</b>	<b>6,225</b>
	<b>All Campuses and Laboratory Total Planned Hours</b>	<b>84,600</b>