

University of California Internal Audit Risk Universe

A	Academic Units and Programs
A.a	Academic Affairs & Support
A.a.01	Academic Affairs & Support
A.b	Departments / Principal Administrative Units
A.b.01	Departments / Principal Administrative Units / Tier 3
A.b.02	Libraries
A.c	Programs
A.c.01	Graduate Extended Studies
A.c.02	Summer Session
A.c.03	University Extension
A.c.04	Global Engagement
A.c.05	Online Education
A.c.06	Self Supporting Academic Programs
A.d	Outreach
A.d.01	Outreach Program(s)
B	Healthsciences Operations
B.a	Admissions, Registration and Scheduling
B.a.01	Admissions, Registration and Scheduling
B.b	Ancillary Services
B.b.01	Laboratories
B.b.02	Laundry
B.b.03	Medical Records
B.b.04	Pharmacy
B.b.05	Radiology
B.b.06	Tissue Bank
B.b.07	Respiratory Therapy
B.b.08	Rehabilitation Services
B.b.09	Dietary Services
B.b.10	Other Ancillary services
B.c	Clinics
B.c.01	Hospital Based Clinics
B.c.02	Physician Based Clinics
B.d	Compensation Plan
B.d.01	Compensation Plans
B.e	Departments
B.e.01	Departments / Tier 3
B.f	Managed Care
B.f.01	Affiliated Agreements
B.f.02	Claim Adjudication
B.f.03	Contracts
B.g	Medical/Surgical Services
B.g.01	Emergency and Trauma
B.g.02	Nursing
B.g.03	Surgical Operations
B.g.04	Solid Organ Transplants
B.g.05	Tissue Transplants
B.h	Medical Staff Administration
B.h.01	Medical Staff Administration
B.i	Medical Billing and Receivables
B.i.01	Hospital Receivables
B.i.02	MediCare Cost Reports
B.i.03	Physician Receivables
B.j	Housestaff Residents
B.j.01	Housestaff Training
B.k	Donated Body Program
B.k.01	Donated Body Program
B.l	Compliance
B.l.01	Hospital/Facility
B.l.02	Home Health
B.l.03	Laboratories
B.l.04	Pro Fee Billing
C	Lab Research Programs & Processes
C.a	Major Programs
C.a.01	Defense and Nuclear Technology
C.a.02	Laser Technology
C.a.03	Threat Reduction (Nonproliferation)
C.a.04	Homeland Security
C.b	Scientific Disciplines
C.b.01	Computing Sciences
C.b.02	Physical Sciences
C.b.03	Energy Sciences
C.b.04	BioSciences
C.b.05	Applied Energy Sciences
C.c	UC/DOE Contract Administration
C.c.01	Appendix F-Performance Measures
C.c.02	Appendix G
C.c.03	UCDRD Funds
C.c.04	Cost Allowability Clauses
C.c.05	Precious Metals Accountability
C.d	Safeguards and Security
C.d.01	Information Security
C.d.02	Physical Security
C.d.03	Personnel Security
C.d.04	Computer and Communications Security
C.d.05	Nuclear Material Control
C.d.06	Export Controls
C.e	Work for Others
C.e.01	Work for Others
C.f	Oversight & Monitoring Activities
C.f.01	Sub contract administration
C.f.02	Price Anderson
C.f.03	ES&H Review

C.f.04	Other Monitoring activities
D	Office of the President
D.a	Academic Affairs
D.a.01	Immediate Office (Provost)
D.a.02	California Digital Library
D.a.03	UC Center Sacramento
D.a.04	UC Online
D.a.05	UC Press
D.a.06	UC Washington Center (UCDC)
D.a.07	UCTV
D.a.08	Education Partnerships
D.a.09	Institutional Research
D.a.10	Academic Planning
D.a.11	Graduate Studies
D.a.12	Natural Reserve System
D.a.13	Research Grants Program Office
D.a.14	MultiCampus Research
D.b	Agriculture and Natural Resources
D.b.01	Administration
D.b.02	Agriculture Experment Station
D.b.03	Cooperative Extension
D.b.04	County Offices
D.b.05	Research and Extension Centers
D.b.06	Statewide Programs
D.c	Systemwide Human Resources
D.c.01	Pension and Retirement Programs
D.c.02	Retirement Administration Service Center
D.d	Systemwide Finance
D.d.01	Capital Markets Finance
D.d.02	Banking and Treasury Services
D.d.03	Loan Programs
D.e	Chief Investment Officer of the Regents
D.e.01	Investment Management
D.e.02	Investment Risk Management
D.e.03	Investment Services
D.e.04	Operations and Accounting
D.f	Health Sciences and Services
D.f.01	Immediate Office
D.f.02	California Health Benefits Review Program
D.f.03	Health Sciences and Services Strategy
D.f.04	Healthcare Operations and Technology Services
D.f.05	UC Center for Health Quality and Innovation
D.g	Laboratory Management
D.g.01	Laboratory Management Office
D.h	President
D.h.01	President's Executive Office
D.i	Secretary of The Regents
D.i.01	Coordination and Review
D.i.02	Regents Budget Process
D.i.03	Reports to the Legislature
E	Research
E.a	Research Compliance
E.a.01	Research Integrity
E.a.02	Research Conflict of Interest
E.a.03	Export Controls
E.a.04	Clinical Research
E.b	Research Subject Protection
E.b.01	Human Subjects protection
E.b.02	Animal Subjects protection
E.b.03	Clinical Trials
E.c	ORU's/Institutes/MRU
E.c.01	ORU's/Institutes/MRU / Tier 3
E.d	Contracts & Grant
E.d.01	Pre Award
E.d.02	Post Award
E.d.03	Extramural Fund Accounting
E.d.04	Sub award administration
E.d.05	Disclosure Statements
E.d.06	Effort Reporting
E.d.07	Facilities and Administrative Cost
E.d.08	Cost Transfers
E.e	Intellectual Property
E.e.01	Copyright
E.e.02	Patents
F	Budget/Planning
F.a	Budget/Planning
F.a.01	Chancellor's Contingency Funds
F.a.02	Budget Monitoring
F.a.03	Planning and Formulation
F.a.04	Capital Planning, Budgeting
F.a.05	Allocation Process
F.a.06	Regents Budget Process
F.a.07	Reports to the Legislature
G	Information Management and Technology
G.a	Information Management
G.a.01	Privacy
G.a.02	Records Management
G.b	Information Technology
G.b.01	IT Governance/Strategy and Planning
G.b.02	Infrastructure
G.b.03	Architecture
G.b.04	Project Management

G.b.05	Operations
G.b.06	Support
G.b.07	Enterprise Security
G.b.08	Disaster Recovery
H	Financial Management
H.a	Receivables
H.a.01	Student Receivables
H.a.02	Miscellaneous Receivables
H.b	Cash Management
H.b.01	Bank Account Administration and Reconciliation
H.b.02	Cashiering/Sub Cashiering
H.b.03	Cash Forecasting
H.c	Disbursements
H.c.01	Accounts Payable
H.c.02	Check Requests
H.c.03	Entertainment
H.c.04	Travel
H.c.05	Electronic Funds Transfer
H.d	Financial Reporting / Accounting
H.d.01	General Ledger/Balance Sheet acct rec
H.d.02	Sub Ledger Systems
H.d.03	Tax Accounting
H.d.04	Endowment Accounting
H.e	Payroll
H.e.01	Payroll Processing
H.e.02	Honoraria
H.e.03	Employee Eligibility
H.e.04	Time Reporting
H.f	Procurement
H.f.01	Business Contracts
H.f.03	Low Value Purchase Orders /Purchasing Cards
H.f.04	Purchase Orders
H.f.05	E-procurement
H.g	Property Management
H.g.01	Fabrication/Construction Accounting
H.g.02	Personal Property
H.g.03	Real Property/Leases
H.g.04	Equipment Leases
H.g.05	Major Supplies Management
H.h	Third Party Relationships
H.h.01	Conflict of Interest/Conflict of Commitment
H.h.02	Joint Ventures / MOUs/ Partnerships/Affiliations
H.h.03	Technology Transfer
H.i	Recharge Activities
H.i.01	Recharge
I	Risk, Environment, and Safety
I.a	Insurable Risks
I.a.01	General Liability
I.a.02	Medical Malpractice
I.a.03	Third Party Administrator
I.a.04	Workers Compensation
I.a.05	Self Insurance Programs
I.a.06	Property Insurance
I.b	Health and Safety
I.b.01	Controlled Substances
I.b.02	Hazardous Materials
I.b.03	Safety Programs
I.b.04	Select agents
I.c	Public Safety
I.c.01	Fire Safety
I.c.02	Police
I.d	Emergency Management
I.d.01	Emergency Preparedness Planning
I.d.02	Emergency Response
I.d.03	Emergency Recovery
I.e	Environment
I.e.01	Sustainability
I.e.02	Hazardous Waste
J	Human Resources & Benefits
J.a	Benefits Administration
J.a.01	Benefits Eligibility
J.a.02	UCRS
J.b	Human Resources
J.b.01	Compensation
J.b.02	Education / Training
J.b.03	Labor / Employee Relations
J.b.04	Recruitment / Staffing
J.b.05	Temporary Staffing Programs
J.b.06	Executive compensation & benefits
J.b.07	Employee Performance Management
J.c	Benefit Accounting
J.c.01	Compensated Absences
J.c.02	Employee Medical and Other Plan Premiums
J.d	Academic Personnel
J.d.01	Academic Personnel
K	Facilities, Construction & Maintenance
K.a	Construction Program
K.a.01	Major Construction Projects
K.a.02	Minor Construction Projects
K.b	Plant Operations and Maintenance
K.b.01	Emergency Services
K.b.02	Maintenance

K.b.03	Utilities
K.b.04	Deferred Maintenance
L	Development & External Relations
L.a	Development
L.a.01	Administrative Funds
L.a.02	Endowment Administration
L.a.03	Foundations
L.a.04	Alumni
L.a.05	Fund Raising and Gift Processing
L.a.06	Support Groups
L.a.07	Gift Administration
L.a.08	Affiliated Groups
L.b	External Relations
L.b.01	Brand Management
L.b.02	Government / Public Relations
L.b.03	Industry Relations
M	Auxiliary, Business, & Employee Support Services
M.a	Auxiliary Services
M.a.01	Athletics
M.a.02	Bookstore/Employee Store
M.a.03	Museums
M.a.04	Parking
M.a.05	Storehouse
M.a.06	University Events and Services
M.a.07	Hotels
M.a.08	Catering and Retail Food Services
M.b	Business Services
M.b.01	Conference Administration
M.b.02	Continuing Education
M.b.03	Faculty and University Clubs
M.b.04	Fleet Management
M.b.05	Mail Services
M.b.06	Printing,Graphics and Photo
M.c	Employee Support Services
M.c.01	Child Care
M.c.02	Staff Assistance Program
M.c.03	Commuter Assistance Programs
M.c.04	Faculty and Staff Housing
N	Governance
N.a	Strategy and Direction
N.a.01	Strategic Plan
N.a.02	Academic Plan
N.a.03	Long Range Development
N.b	Organizational Management/Structure
N.b.01	Governing Committees
N.b.02	Diversity, Equity and Inclusion
N.b.03	Operating Principles/Principles of Community
N.c	Compliance and Accountability
N.c.01	Enterprise Risk Management
N.c.02	Ethics Program
N.c.03	Fraud Risk Management
N.c.04	Continuity
N.c.05	Delegations of Authority
N.c.06	Policy Management
N.c.07	Legal Counsel
N.c.08	Conflict of Interest/Conflict of Commitment
N.c.09	Ombuds
N.c.10	Compliance Program
N.d	Communication
N.d.01	Management Reports
N.d.02	Internal Communication
N.d.03	External Communication
N.e	Performance Monitoring
N.e.01	Monitoring - Compliance
N.e.02	Monitoring - Financial
N.e.03	Monitoring - Operational
N.e.04	Monitoring - Strategic
N.e.05	Change Management
N.e.06	External Reviews
N.e.07	Recognition Programs
O	Student Affairs
O.a	Enrollment Management
O.a.01	Admissions
O.a.02	Financial Aid
O.a.03	Registrar
O.a.04	Student Fees and Receivables
O.b	Student Life
O.b.01	Student Health
O.b.02	Advising
O.b.03	ASUC
O.b.04	Residential Life
O.b.05	Career Development
O.c	Auxiliary student services
O.c.01	Food Services
O.c.02	Housing
O.c.03	Recreation
Z	Emerging Risk Issues
Z.a	Tier 2 Placeholder 1
Z.a.01	Tier 3 Placeholder 1
Z.a.02	Tier 3 Placeholder 2