Internal Audit:
We're here to help

Ashvin Thomas – Senior Auditor

Dan Landsberg – Senior IT Auditor

Zenaida Shattuck – Assoc. Director, Internal Audit

W

Mission of Internal Audit

- To assist the:
  - Board of Regents
  - University Management
- By providing:
  - Independent Assurance
  - Consulting
  - Education
  - Investigative Services

Who are we, and what do we do?

- UW Employees

- Independent Reporting

- Observe processes and evaluate controls

- Full access to audit any area
  - Provided directly by the Board of Regents
  - Report also to new Audit Advisory Committee

Timeline of an Audit

- Beginning the Audit:
  – Planning/Walkthrough
  – Entrance Conference
- Performing the Audit:
  – Fieldwork
  – Draft Report
  – Exit Conference
- Final Report (with management response)
- Follow-up (Post Audit Report)

HIPAA Audit of Clinics

Preliminary Objectives:

To determine whether internal controls are sufficient to provide reasonable assurance that:

- HIPAA privacy and security policies and procedures are effectively communicated to schools and personnel.

- HIPAA training is provided to and received by personnel handling or with access to patient health information (PHI).

- Clinics adhere to HIPAA privacy and security policies and procedures.

HIPAA Audit of Clinics

- Preliminary Scope:
  - Initial audit will focus on HIPAA Privacy and Security controls for two clinics within:
    - School of Dentistry
    - Department of Speech & Hearing Sciences

- Preliminary Fieldwork Timing:
  - Estimated March through June 2015 (final report delivery)

What does an audit require of me?

- Attendance at opening/exit meetings
- Communicating with audit on a periodic basis
- Assist the auditor in validating identified risks
- Discuss and respond to any audit findings
- Coordinate resolution of audit findings

Questions?

- Any additional questions or concerns, please reach out to us!
  - Ashvin apthomas@uw.edu
  - Dan danl2@uw.edu
  - 543-4028