




## COMPLIANCE & AUDIT EDUCATION SERIES

### Preliminary Surveys - Key to an Effective Audit

Dear Participant,

You have been invited to a ReadyTalk Meeting hosted by Tim Mulshine. All the information you need to join is below.

#### Step 1: Dial-In

 U.S. & Canada: 866.740.1260

 Access Code: 9870966

#### Step 2: Web Login

 <https://cc.readytalk.com/r/pu3dsqd3cv3a>

#### Meeting Description:

The preliminary survey is a critical part of an audit and is the auditor's best tool for gaining the insight, information and perspective needed to support a successful audit. The objective of an effective preliminary survey is to identify areas of highest risks for the business function/areas under review and provides an initial assessment of the internal control processes. The culmination of a preliminary survey is the development of an audit program that focuses on areas of the highest risk and executes an audit that provides management with audit results which will benefit the area audited and/or the University as a whole. The session will cover the basic approach to conducting a preliminary survey and meeting the *International Standards for the Professional Practice of Internal Auditing* and information collected from UC audit offices on survey approaches. The session also will present techniques and approaches used when performing a preliminary survey.

#### Date & Time

**Date:** Wed, Aug 17, 2011

**Time:** 10:00 AM PDT

**Duration:** 1 hour

**Host(s):** Tim Mulshine

#### ReadyTalk Support Information

**Test your computer for compatibility prior to the meeting.**

**For technical support:**

U.S. and Canada: 800.843.9166

International: 303.209.1600

Email: [help@readytalk.com](mailto:help@readytalk.com)

Web: [Conferencing Support](#)

#### Presenter Information

##### Rick Catalano

Richard (Rick) Catalano is Director of Audit Services at UC San Francisco (UCSF).

##### Tom Poon

Tom Poon is the Associate Director of Audit Services at UCSF.

##### Zuleikha Shakoor

Zuleikha Shakoor is Senior Associate Director of Audit Services at UCSF.