FACILITIES MANAGEMENT

PREVENTIVE AND DEFERRED MAINTENANCE

AUDIT REPORT #23-2002

Audit & Advisory Services

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# Background

In accordance with the Administration fiscal year 2022-23 audit plan, Audit & Advisory Services (A&AS) conducted an audit of internal controls and business practices governing preventive and deferred maintenance activities within the Facilities Management (FM) department.

*Preventive Maintenance*

The Preventive Maintenance (PM) program works to improve the overall appearance of campus facilities and produce cost savings through the following:

* Reducing downtime of critical systems and equipment;
* Extending the life of facilities and equipment;
* Improving equipment reliability; and
* Ensuring proper equipment operation.

The PM program follows an organized plan to minimize administrative costs and maintain a consistent level of preventive maintenance workflow. Preventive Maintenance is that portion of the overall maintenance program that provides periodic inspection, adjustment, minor repair, lubrication, reporting, and data collection necessary to minimize building equipment and utility system breakdown, and maximize system and equipment efficiency at minimum cost. The PM program anticipates wear and tear, so continuous corrective actions are taken to minimize deterioration. Preventive maintenance is performed on scheduled intervals in accordance with written maintenance work plans and budgets.

*Deferred Maintenance*

The Deferred Maintenance (DM) program is designed to carry out maintenance tasks that were not performed when originally scheduled or due and were delayed to a future date. Conversely, capital renewal is based on the principle that buildings and infrastructure gradually use up their intended design life over time. Through normal deterioration, the infrastructure and buildings lose a portion of their functionality to support the University’s mission. Capital renewal projects are usually larger projects that involve whole system replacement or renewal.

Deferred maintenance is the unaddressed backlog of renewal projects stemming from chronic underfunding and regular and predictable investments in capital renewal. Much of the University’s funding cuts have resulted in “negative austerity measures,” such as reductions in building maintenance, scaled-back or eliminated PM programs, etc. Ongoing, successive years of budget cuts have compounded years of inadequate funding. Prolonged underfunding of basic maintenance activities shortens the useful life of building systems, exacerbating the maintenance needs of the University’s aging facilities and equipment.

Preventive maintenance funding for UCLA’s State-funded buildings is included in the budget for operation of maintenance and plant (OMP). The OMP budget for fiscal year 2021-22 was approximately $65.9 million. Preventive maintenance for self-supporting departments is recharged to those departments. Deferred maintenance funding for State-funded buildings for fiscal year 2021-22 was approximately $52.8 million. Most of this DM funding focused on energy efficiency, including allocations of $3.7 million for elevators, $3.5 million for roofing, and $136,000 for fire sprinklers.

Since 2020, FM’s annual deficit for basic maintenance was approximately $3 million. For UCLA’s current infrastructure inventory level, FM estimates that funding for deferred maintenance projects should be about $20 million annually. Because of these funding concerns, FM continues to operate in a reactive mode, and is working to address building systems that are either no longer operational or that have become maintenance intensive due to their age and condition.

Since the prior review in fiscal year 2017-18, the University has implemented a new comprehensive “Integrated Capital Asset Management Program” (iCAMP). iCAMP performs real-time condition-based assessments of all University-related buildings, provides detailed tracking of all infrastructure assets, and identifies and estimates facility-related DM needs.

Purpose and Scope

The purpose of the audit was to ensure that Facilities Management’s internal controls related to preventive and deferred maintenance projects are conducive to accomplishing its business objectives. Where applicable, compliance with departmental, campus, and University policies and procedures was also evaluated. The scope of the audit focused on the following activities:

* Project Scoping and Budgeting
* Project Funding, Tracking, and Monitoring
* Project Prioritization
* IT System Access

The review was conducted in conformance with the *International Standards for the Professional Practice of Internal Auditing* and included interviews, tests of records, and other auditing procedures considered necessary to achieve the audit purpose.

# Summary Opinion

Based on the results of the work performed within the scope of the audit, Facilities Management’s internal controls are generally conducive to accomplishing its business objectives related to its Preventive Maintenance and Deferred Maintenance programs. However, controls and business practices could be further strengthened by implementing the following:

*Preventive Maintenance – Work Plans*

* Management should review all PM tasks within Maximo to ensure the inclusion of estimated task work hours. Personnel with subject matter knowledge and experience should perform such assessments to determine the adequacy and reasonableness of estimated work hours assigned to each task. The results of this assessment should be documented for consistent performance throughout FM. Additionally, any significant variances identified between budgeted and actual hours for a PM task should be explained and documented on the related work order.

*Preventive Maintenance – Backlogged Fire/Life/Safety PM Work Orders*

* Management should ensure that approved work orders for fire/life/safety/security tasks are assigned and completed within their scheduled timeframe or an established overage period thereafter. Completing such PM work timely supports the prevention and detection of issues before they occur, as well as maintaining alignment with safety, compliance, and inspection requirements.

*Preventive Maintenance – Overdue Fire/Life/Safety PM Work Orders*

* Management should ensure that work orders related to fire/life/safety that have been assigned and being worked on are completed and closed within the scheduled frequency or an established overage period thereafter. Completing such PM work orders is critical to proactively identifying and addressing potential issues before they occur.

*Deferred Maintenance – Safety Issue - Crumbling Retaining Wall*

* Management should ensure that funding is identified and secured expeditiously to replace the crumbling retaining wall identified during the audit. Because this issue involves a potential safety risk for physical harm, this project should not be deferred or postponed into the future, if possible. Timely attention to the resolution of this issue will provide an appropriate level of safety for students, employees, and the public who traverse the campus.

*Information Systems – Maximo System Access - Separated Employees*

* Management should ensure that access to the Maximo system is removed promptly when an employee separates from the University or transfers to another campus department. At the time management becomes aware of an imminent employee separation or transfer, it should provide timely written notification to Campus Human Resources and FM Information Technology (IT) to maintain effective control over access to the Maximo system. Additionally, management should perform a timely follow-up to the notification to verify that access has been removed.

Audit Results and Recommendations

| **#** | **FINDING and**  **CRITERIA, where applicable** | **RECOMMENDATION** | **MANAGEMENT’S RESPONSE** |
| --- | --- | --- | --- |
| **PREVENTIVE MAINTENANCE** | | | |
| **Work Order Tracking, Monitoring and Inspection** | | | |
| Audit work included the following:   * Discussions with Material & Alterations (M&A) management and the FM Preventive Maintenance & Compliance Coordinator. * Reviewed Maximo system PM electronic work order data for October – December 2022. * Identified a judgmental sample selection of 20 current PM work orders. The sample selection process utilized the various cost centers for the FM trade shops, such as plumbing, elevator, carpentry, security systems/fire alarms, etc. * Evaluated supporting documentation for each sample work order to determine its adequacy. * Verified that each sample work order was supported by written maintenance instructions, and had estimated budgeted hours for completion. * Identified significant variances between work order budgeted hours vs. actual hours, and reviewed whether such variances were explained and reasonable.   The one issue noted is summarized below. | | | |
| 1. | Preventive Maintenance Work Plans  Based on audit test work performed, 14 of 20 (70%) PM tasks do not have estimated work hours for the item’s work plan. The work plans provide information necessary to perform the scheduled maintenance task, including the labor variance calculation between budgeted and actual labor hours. Work plans, including budgeted work hours, also support an orderly process on a recurring basis for the upkeep of University property, machinery, systems, facilities, buildings, utility infrastructure, roads, and grounds.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Criteria:**  The UC Facilities Manual, Volume 6, Chapter 1, section 1.4.2, “Preventive Maintenance” provides that the Preventive Maintenance program should be performed in accordance with written maintenance work plans. | Management should review all PM tasks within Maximo to ensure estimated task work hours are included. Personnel with subject matter knowledge and experience should perform such assessments to determine the adequacy and reasonableness of estimated work hours assigned to each task. The results of this assessment should be documented for consistent performance throughout FM. Additionally, any significant variances identified between budgeted and actual hours for a PM task should be explained and documented on the related work order. | Evaluating each PM with “Personnel with subject matter knowledge and experience” and developing a reasonable estimate for completion can be challenging. Instead, it's best to review the historical labor and actual hours spent on each PM and use that information to develop an estimated time to complete the task.  Although there may be similarities between PM types, the hours required to complete each one can vary based on factors such as location, age, criteria, attributes, and specifications. Additionally, sometimes extra parts are needed to finish a PM, which can take more time.  To achieve your recommendations, the first step is to clean up any discrepancies between the averaged labor and actual hours worked, and then compare them with the Maximo estimated hours expected to finish the PM. This will allow us to create reports that track +/- hour variances from the estimate and adjust and review performance as needed.  In the long term, we plan to convert paper tasks to electronic forms in our next FM Mobile build. This will enable technicians conducting PMs to audit the PM tasks in the field and request adjustments. PM administrators will then commit the adjustments to Maximo so the next time the technician is in the field, they can conduct the updated electronic tasks for that specific PM.  We plan to create a report that will compare the actual hours worked on all PMs with the estimated hours in Maximo. This will help us identify the gap between the estimated and actual hours worked to complete the PM. The report will be sorted by the shop and distributed to the shop supervisors/leads, who will then review the actual hours worked and determine if it's consistent with their expectations. If necessary, they will adjust the estimated hours in Maximo to match the actual time taken.  Target Date:  We aim to develop this report by January 2024. By March 2024, all shops will have adjusted the PM estimated hours. To ensure that we are efficiently completing our PMs, we will report the variances on a monthly basis. These reports will be used to ensure adherence to our policy going forward. |
| **Work Order Close-Out** | | | |
| Audit work included the following:   * From the Facilities Management M&A PM & Compliance Coordinator, received an overview of processes and procedures for closing-out work orders on a timely basis in the Maximo System. This information included: * Roles and responsibilities of shop staff, including engineers, technicians, and supervisors. * Description of Maximo system dashboard and work order close-out functionality, and hand-held device utilization. This information was reviewed for adequacy. * Conducted interviews with the PM & Compliance Coordinator on various aspects of the PM work order submission and completion processes. * Data queries were created for October – December 2022 from the Maximo system. PM electronic work order data was then analyzed to identify any month-to-month rollover of work orders that were not finalized as completed and closed within the monthly reporting period. This was accomplished by matching work order numbers on a month-to-month basis.   There were no significant control weaknesses noted in this area. | | | |
| **Work Order Backlog** | | | |
| Audit work included the following:   * Conducted interviews and held fieldwork discussions with Facilities Management M&A PM & Compliance Coordinator to obtain an overview of processes for measuring and monitoring work order backlogs. FM tracks and monitors work order completion status using Maximo system data and dashboard. * Assessed FM’s Maximo system “Metric Summary” report for October – December 2022, to determine the adequacy of measuring and monitoring backlogged work orders. * Examined October – December 2022 Maximo work order backlog data. This information was used to identify work orders that were approved to be completed in the month assigned, but were still incomplete as of January 27, 2023. * The descriptions within work order backlog data were searched to identify key terms related to critical work orders supporting fire/life/safety/compliance. Once these key terms were found, they were used to identify critical backlogged work orders. Backlogged work orders stay in the month originally assigned and approved. * Generated sample selection of all applicable work orders related to fire/life/safety. The sample selection process utilized the key terms noted above and the completion/closed status data as of March 29, 2023. This information was provided by the M&A PM Compliance Coordinator. * Compared December 2022 work order backlog data to March 2023 data to determine which items were still open and had not been closed on a timely basis or shortly thereafter. As mentioned above, March 29, 2023, is the date that status information was provided by FM for audit review.   Issues noted are summarized below. | | | |
| 2. | Backlogged Fire/Life/Safety PM Work Orders:  PM tasks are backlogged for fire/life/safety/security and compliance requirements. Audit testing performed for October – December 2022, work order data showed that there are approved but unassigned critical tasks for various campus locations. These approved but unassigned tasks include, but not limited to the following:   * Fire Alarm Systems * Fire Extinguisher and Exit Sign Inspections * HEPA Filtration System, Ronald Reagan Hospital * Medical Gas Outlet and Alarm Testing (Operating Rooms) * Operating Room Drain and Fixture Maintenance * Fire Sprinkler Main Drain Test * Fire Pump * Emergency Shower and Eye Wash Equipment * Gas and Earthquake Valve Testing * Battery Pack for Toxic Gas System * Fire Door Annual Inspection   Completing critical preventive maintenance tasks on a timely basis is important to minimize the risk of physical harm to individuals or facilities.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Criteria:**  Compliance requirements include all codes and regulations including but not limited to: California Building Standards Code as adopted by the University; applicable federal, state, and local agency regulations and legislation; patient care; environmental, health and safety. Additional detail is available from the UCOP Facilities Manual <https://www.ucop.edu/construction-services/facilities-manual> | Management should ensure that approved work orders for fire/life/safety/security tasks are assigned and completed within their scheduled timeframe or an established overage period thereafter. Completing such PM work timely supports the prevention and detection of issues before they occur, as well as maintaining alignment with safety, compliance, and inspection requirements. | Currently, all PMs in Maximo are being treated with the same level of priority. However, there is a need to establish a priority for fire/life/safety/security PMs. To address this, we will identify all fire/life/safety/security and regulatory PMs and prioritize them as “high”. This will allow supervisors/leads to easily assign and track PMs and ensure that they are completed appropriately.  Moreover, we will create a report that provides visibility on all “high” priority PMs that are not completed on time. Instead of waiting for the next cycle, high priority PMs will be completed during the cycle they were generated. By doing this, we can ensure that all fire/life/safety/security and regulatory PMs are appropriately addressed.  Target Date:  We aim to identify all “high” priority PMs by March 2024 and create an SOP to manage “high” priority PMs by April 2024. |
| 3. | Overdue Fire/Life/Safety PM Work Orders:  Preventive maintenance fire/life/safety/compliance work orders are not always completed within a reasonable amount of time.   * Four of 27 (15%) fire/life/safety/compliance work orders tested that were approved and assigned but not yet completed/closed for November 2022, were still open as of March 29, 2023.   Two of 67 (3%) fire/life/safety/compliance work orders tested that were approved and assigned but not yet completed/closed for December 2022, were still open as of March 29, 2023. | Management should ensure that work orders related to fire/life/safety that have been assigned and being worked on are completed and closed within the scheduled frequency or an established overage period thereafter. Completing such PM work orders is critical to proactively identifying and addressing potential issues before they occur. By not performing PM tasks on a timely basis per the PM plan and approved schedule, fire/life/safety building systems and equipment are at increased risk of downtime, accelerated deterioration, and decreased reliability for protecting life and property. | After all fire, life, safety, security, and regulatory PMs are flagged in Maximo, the supervisor/lead will have quick access to the status of high-priority PMs. To achieve this, we will modify the FM Mobile application that technicians use and create a PM "pool." Technicians assigned to the PM "pool" will be able to view all assigned PMs in a separate filtered PM view.  Since all fire, life, safety, security, and regulatory PMs are now identified as "high" priority, the "high-level" PMs in the pool will be highlighted in red and normal priority PMs in grey. This color coding will help prioritize the "high" priority PMs and ensure they are completed within the scheduled period.  Target Date:  The modification to the FM Mobile application will be completed June 2024. |
| **Work Order Prioritization** | | | |
| Audit work included the following:   * Discussions were held with the FM Director of Maintenance & Alterations, and PM & Compliance Coordinator to obtain information regarding task prioritization methodology. The purpose was to determine whether the prioritization methodology is risk based and considers fire/life/safety/security, compliance requirements, etc. * Assessed five judgmentally selected PM work order “procedure templates” to validate they contain information relevant to risk-based prioritization methodology information. These procedure templates are the basis for determining what is required by regulatory agencies based on safety risk. The five judgmentally selected work order procedure templates include the following: * Backflow Prevention Unit Testing and Maintenance * Monthly Fire Extinguisher Inspection * Ronald Reagan Medical Center Emergency Showers & Eyewash Inspection Maintenance * Ronald Reagan Medical Center Three-Year Emergency Generator Testing * Water-Based Fire Sprinkler Systems Inspection Maintenance * A&AS was advised that PM priority is based upon safety and building code requirements, patient care requirements, etc. Code required items are described on the PM procedure template. * Fire/Life/Safety PM work is always scheduled as priority over other types of PM work.   There were no significant control weaknesses noted in this area. | | | |
| **DEFERRED MAINTENANCE** | | | |
| **Campus Safety Issue** | | | |
| Audit work included the following:   * Preliminary survey planning interviews were conducted with FM personnel, including the department’s Executive Officer. * Assessed digital images of the crumbling retaining wall near Drake Stadium. * Reviewed correspondences with UCLA Insurance and Risk Management Director, General Liability Manager, Business Continuity Planner, and Senior Safety & Risk Control Specialist. * Obtained and reviewed information about the “Be Smart About Safety” (BSAS) program. The BSAS program provides loss prevention and mitigation funding through the UC system.   The one issue noted is summarized below. | | | |
| 4. | Safety Issue – Crumbling Retaining Wall  During the planning phase of the review, FM management provided information about a crumbling retaining wall near Drake Stadium. The information provided includes digital images and a brief description of the wall’s condition.  The wall borders a thoroughfare regularly used by campus pedestrian traffic. Management stated that there is an engineering report related to the wall, but this report has yet to be provided. Recognized by management as a safety condition, the wall has been added to FM’s deferred maintenance list as a prospective project. Management stated that prospective, deferred maintenance funds were in the process of being identified to replace the wall, but such funds have yet to be finalized.  With the assistance of FM and UCLA Insurance and Risk Management, efforts were made to identify and prioritize any other qualifying funds that could be used to promptly mitigate this safety risk. Those efforts resulted in the upgrading of the site’s existing pedestrian barrier to a more substantial chain link fence barricade. This action further reduced the risk from pedestrians evading the existing barrier, as they attempt to continue their use of the thoroughfare.  Without prompt verification of project funding and prioritized assignment of a DM project number, the retaining wall will continue to pose an ongoing safety hazard to members of the campus community who might be walking in proximity of the wall. | Management should ensure that funding is identified and secured expeditiously to replace the crumbling retaining wall identified during the audit. Because this involves a potential safety risk for physical harm, this project should not be deferred or postponed into the future, if possible. Timely attention to the resolution of this issue will provide an appropriate level of safety for students, employees, and the public who traverse the campus. | A structural engineer conducted a study on the retaining wall and declared it structurally safe. Facilities Management hired an arborist to remove the tree that had initially caused damage to the wall. Now that the wall has stabilized, FM will continue to monitor it.  A barricade has been installed on both sides of the wall to prevent pedestrian traffic. FM has informed the leadership about the stabilized but damaged wall and has requested funding for repair.  Target Date:  FM is currently waiting for a funding opportunity to become available before repairing the wall. |
| **Project Prioritization** | | | |
| Audit work included the following:   * Interviews were conducted with the FM Facility Condition Program Assessment Manager to determine whether DM project prioritization considers and includes the following: * Risk to the University’s mission via the loss of top researchers, faculty, and gifted students, due to run-down/outdated facilities. * Building condition and management sensitivity for DM project prioritization is documented and communicated to FM, and incorporated into the iCAMP DM project prioritization. * A&AS was advised by FM management that DM funding is approved by the California State Legislature and the Governor’s office. DM funding includes various statutory restrictions, and is allocated to each campus based on a UCOP-approved DM project list. * The “Facility Condition Assessment” of State-funded infrastructure and buildings only considers the condition of the building and its systems. DM project prioritization is based “risk scores” and considers whether buildings/space are related to patient care, research, and education. * FM corresponds with campus departments regarding any of their concerns. Revisions to the DM project status must meet funding restrictions.   There were no significant control weaknesses noted in this area. | | | |
| **Project Scoping and Budgeting** | | | |
| Audit work included the following:   * Discussions were conducted with FM Design and Project Management, Maintenance & Alterations, and Facility Condition Program Assessment Manager to ascertain DM project scoping and budgeting processes. * Reviewed the July 1, 2022, iCAMP DM project listing. This listing contains project number (aka “Opportunity Number”) and description, current cost estimate (including estimated labor, material, contract work, expense-to-date, cost estimate variance, fiscal year DM funding amount, cost estimate overage percentage, etc.). * Judgmentally selected 10 current projects from the November 16, 2022, DM project list published on the FM website. * Evaluated supporting documentation for the 10 sample projects. The supporting documentation reviewed included project summary, scope and cost estimate, Maximo systems dashboard excerpts, images, etc. This information was obtained via the FM management teams from Design and Project Management, Maintenance & Alterations, and the Facility Condition Program Assessment Manager. * Last year (as of August 2022) was the first year that FM began submitting DM information to the UC Office of the President (UCOP) for the iCAMP system. FM continues to transition from the previous DM local departmental system to the new UCOP iCAMP system. * The “Facility Condition Assessment” shows the condition of State-funded infrastructure and buildings. UCOP hired assessors to inspect, assess, and gather data about the buildings and infrastructure. Based on the assessors’ work, iCAMP utilizes its “cost library” to estimate the cost of each DM project. The “cost library” is created, owned, and managed by UCOP. When a DM project is scheduled to start, its scope and budget are reassessed and recalculated to ensure that any possible financial shortfalls are identified and adjustments are made by the assigned iCAMP DM team.   There were no significant control weaknesses noted in this area. | | | |
| **Project Funding – Monitoring** | | | |
| Audit work included the following:   * Evaluated documentation for the above-described sample of 10 DM projects. This is the same supporting documentation used for testing controls over project scoping and budgeting. This documentation is maintained on a current basis for the life of the DM project. * Verified that the iCAMP data accounts for the $52,846,000 in DM funding that was allocated/received for fiscal year 2021-22. This funding is generally available in July or August of each fiscal year. Once DM funding is made available, project numbers are assigned, budgeted project amounts are recorded, etc. * Reconciled fiscal year 2021-22 DM funding received to project cost estimates generated from the iCAMP system. * Verified calculated amounts reported on the July 1, 2022, iCAMP DM project listing for “budget to actual” and cost estimate under/overage percentage. * Verified that DM project variances are adequately tracked using DM project summaries/worksheets generated from the iCAMP system and Maximo Dashboard for each project. * Meetings were held with Design and Project Management, Maintenance & Alterations, and Facility Condition Program Assessment Manager to determine how DM funding received from UCOP is remitted to FM and Maintenance & Alterations for their DM projects. When a DM project requires a plant account, the campus Academic Planning and Budget department forwards the amounts to UCLA Capital Programs. For M&A DM projects, funding is recorded via a general ledger entry. * Analyzed supporting documentation for the DM project funding allocations for the 10 sample projects’ accounts.   There were no significant control weaknesses noted in this area. | | | |
| **INFORMATION SYSTEMS** | | | |
| **Maximo System – Access** | | | |
| Audit work included the following:   * Interviewed the FM IT management team to obtain an overview of processes and procedures governing Maximo system access. * Assessed procedures for assigning Maximo system access for new employees and removing access for separated employees. * Examined sample of relevant supporting documentation, including correspondence between management and FM IT/Helpdesk for assigning and removing Maximo system access. * Judgmentally-selected 30 Maximo system users as of November 21, 2022, from a Maximo system user data report. * Cross-referenced each sampled Maximo user to UCPath employee data to determine whether users are currently employed and that granting of such system access is based on assigned responsibilities.     Issues noted are summarized below. | | | |
| 5. | Maximo System Access - Separated Employees  Seven former FM employees still have active user accounts within the Maximo system. Of the seven employees, UCPath information indicates that two are retired and five were terminated at various times between September 21, 2018, and August 24, 2022. By not ensuring that access to the Maximo system is maintained on a current basis, where no former employees continue to have active accounts, unauthorized access to the system may occur thereby creating a risk of damage to or theft of departmental and University data. | Management should ensure that access to the Maximo system is removed promptly when an employee separates from the University or transfers to another campus department. At the time management becomes aware of an imminent employee separation or transfer, it should provide timely written notification to Campus Human Resources and FM Information Technology (IT) of the upcoming personnel transaction in order to maintain effective control over access to the Maximo system. Additionally, management should perform a timely follow-up to the notification to verify that access has been removed. | We agree that access to any business systems should be disabled once an employee has separated or terminated from the university. Unfortunately, there have been inconsistencies in reporting separations and terminations to the IT helpdesk. As a result, all system access is not always disabled.  Therefore, we will promptly email all leadership to inform them to quickly communicate separations and terminations to the IT Helpdesk and ensure that all system access for that individual has been disabled or deleted.  Additionally, we are coordinating with HRPOC to develop an off-boarding checklist and survey. The off-boarding checklist will include system and building access. Once this checklist is developed and utilized, we will standardize the off-boarding process in FM, ensuring that the IT Helpdesk is informed when an employee separates or terminates from UCLA.  Target Date:  Email to leadership will be sent by November 1, 2023. A checklist/survey for HRPOC will be implemented by July 2024 (estimated). |
| **iCAMP System – Access** | | | |
| Audit work included the following:   * Meetings were conducted with FM management to obtain an overview of processes and procedures over Maximo system access. * Evaluated procedures for assigning iCAMP system access for new employees, and removing access for separated employees. This process is controlled by “iCAMP Production Support” at UCOP. Email correspondence is utilized for granting and removing access as needed. A&AS reviewed sample emails to determine their adequacy. We noted that the only process step in this procedure that FM management owns involves sending emails to the UCOP iCAMP Production Support team with new access and/or access removal requests. * Assessed iCAMP read-only user access for appropriateness. iCAMP read-only access was determined to have no editing, updating and/or administrator functionality, and is assigned based on job responsibilities and job title. * A&AS obtained and reviewed a listing of active iCAMP System user access accounts as of November 21, 2022, from FM management via UCOP. This listing contains UCLA staff, UCOP staff, and authorized support consultants. * As applicable, A&AS cross-referenced each sampled iCAMP user to UCPath employee data to determine whether users are currently employed, job title, and granting of such iCAMP access is based on assigned responsibilities. Where iCAMP user info was not found in UCPath due to non-UCLA affiliation, such information was provided by FM management. Where the user access is for an iCAMP consultant, such access is for consultant(s) currently supporting FM/UCOP deferred maintenance projects and related work.   There were no significant control weaknesses noted in this area. | | | |

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