

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk <sup>(1)</sup> 1, 2, 3	Planned Hours	Primary Index Code	IT Core (x) Indicator <sup>(3)</sup>	Est. Qtr Completion
<b>Prior Year Audits Not Completed (DNFs):</b>									
FY14	C	9	UCD	DNF Minor Maintenance and Renovation Management		150	K.b		
<b>(a) Subtotal - Planned Carry Forward</b>						<b>150</b>			
<b>Planned New Audits (PNs):</b>									
FY15	C/HS	2A	UCD	PN Review of Annual Report on Executive Compensation	1	200	J.b.06		
FY15	C/HS	2	UCD	PN Indirect Cost Recovery	1	250	E.f.03		
FY15	C	3	UCD	PN Strategic Sourcing	1	300	H.f.04		
FY15	C	4	UCD	PN Construction Contracts	1	350	K.a.01	x	
FY15	C	5	UCD	PN Financial Aid	1	300	O.a.02		
FY15	C/HS	6	UCD	PN Conflict of Commitment	2	300	H.h.01		
FY15	C	1	UCD	PN Compensation (Systemwide)	1	150	J.b.01	x	
FY15	C	S	UCD	PN Athletics (Systemwide)	1	50	M.a.01		
FY15	C	8	UCD	PN Payroll Time Reporting	1	300	H.e.04	x	
FY15	C/HS	9	UCD	PN Financial Audits (System-wide)	1	200	H.d	x	
FY15	C	11	UCD	PN Graduate Studies Administrative Review	1	300	A.b.01		
FY15	C	12	UCD	PN L&S Humanities, Arts and Cultural Studies Administrative Review	1	300	A.b.01	x	
FY15	HS	13	UCD	PN Epic Resolute Billing System	1	300	B.i.01/B.i.03	x	
FY15	HS	14	UCD	PN Patient Registration	1	300	B.a.01		
FY15	HS	15	UCD	PN EMR Access Surveillance	1	250	B.b.03		
FY15	HS	16	UCD	PN Mind Institute Administrative Review	2	300	B.i.01/B.i.03		
FY15	C/HS	1	UCD	PN Vendor IT Access Management	1	300	G.g.01	x	
FY15	C/HS	1	UCD	PN Active Directory Security	1	300	G.g.01	x	
FY15	HS	1	UCD	PN UCDHS Business Continuity and Disaster Recovery of IT systems	1	300	G.h.01	x	
FY15	C	1	UCD	PN IT Desktop Support	1	340	G.f.01	x	
FY15	C	1	UCD	PN IT Asset Management	1	340	G.b.02	x	
FY15	C	17	UCD	PN Research Administration	1	450	E.d.01		
FY15	C/HS	18	UCD	PN Primate Center	2	400	E.c.01		1
FY15	C	19	UCD	PN Business Contracts Administration	1	300	H.f.01		
FY15	C	20	UCD	PN Telecommunications	1	300	G.b.01		
FY15	C	7	UCD	PN Vet Med Teaching Hospital Billing System	2	300	H.a.02		
<b>(b) Subtotal - Planned New Audits</b>						<b>7,480</b>			
<b>(c) Planned Supplemental Audits (lumpsum)</b>									
FY15	C		UCD	PS Campus	1	600	I.a		
FY15	C		UCD	PS Director - Campus Audit	1	400	I.a		
FY15	HS		UCD	PS Health System	1	250	I.a		
FY15	HS		UCD	PS Director - Health System	1	370	I.a		
FY15	C/HS	1	UCD	PS IT	1	180	I.a		
FY15	C	1	UCD	PS IT Account Management	1	100	I.a		
<b>(d) Audit Follow Up (lump sum)</b>									
FY15	C		UCD	PNF Follow-up Reviews of MCAs - Campus	2	600	I.a		4
FY15	C	1	UCD	PNF Follow-up Reviews of MCAs - Campus IT	2	340	I.a	X	4
FY15	HS		UCD	PNF Follow-up Reviews of MCAs - Health System	2	600	I.a		4
FY15	HS	1	UCD	PNF Follow-up Reviews of MCAs - Health System IT	2	200	I.a	X	4
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						<b>11,270</b>			
<b>Planned Advisory Services:</b>									

FY15	C/HS	1A	UCD	SC	Student Admissions by Exception	2	200	B.a.01	
FY15	C	10	UCD	SC	Student Housing	1	300	O.c.02	
FY15	C/HS	!A	UCD	SC	Mileage Reimbursement & Travel Approval Process	3	250	H.c.03	
FY15	C	2A	UCD	SC	Redesign of Shared Service Center	1	120	F.a.03	
FY15	C	Jer	UCD	SC	Vet Med Clinical Trial Development	2	100	E.b.03	
FY15	C	3A	UCD	SC	Intercollegiate Athletics	2	300	B.i.01/B.i.03	
FY15	HS	Jer	UCD	SC	Director - HS Advisory	1	180	I.a	
FY15	C	Jer	UCD	SC	Director - Campus Advisory	1	190	I.a	
FY15	C/HS		UCD	SE	External Audit Coordination	1	1,200	E.e	
FY15	C		UCD	SC	Campus Committee Participation	3	180	I.a	
FY15	HS		UCD	SC	Health System Committee Participation	3	120	I.a	
FY15	C/HS		UCD	SC	ACL Analytics and Development	3	150	I.a	
FY15	C		UCD	SC	IT Committees	3	24	I.a	X
FY15	C		UCD	SC	IT training/presentation - IT Security Symposium	3	40	J.b.02	X
<b>(e) Subtotal - Planned Advisory Services</b>							<b>3,354</b>		

**Unplanned Advisory Services (by Category) (2)**

FY15	C/HS		UCD	SC	Unplanned SC		1,470		
FY15	C/HS		UCD	SE	Unplanned SE		0		
FY15	C/HS		UCD	SI	Unplanned SI		0		
FY15	C/HS		UCD	SP	Unplanned SP		0		
FY15	C/HS		UCD	SU	Unplanned SU		0		
FY15	C/HS		UCD	SR	Unplanned SR		730		
<b>(f) Subtotal - Unplanned Advisory Services</b>							<b>2,200</b>		

**Total Advisory Services (e+f) (1) 5,554**

**Planned Investigation Hours (lump sum) 1,750**

FY15	C/HS		UCD	IN	IT		150		X
FY15	C		UCD	IN	Campus		700		
FY15	HS		UCD	IN	Health System		700		
FY15	C/HS		UCD	IN	Director		200		

**Total Audits, Advisory Services, and Investigations 18,574**

**801 Reserved for Audit Support (Audit Planning, Systemwide, etc)**  
**19,375 Total Available Hours**

with Audit Program and Advisory Services on Schedule 2 Activity Report

enter lump sums for each applicable AS category (i.e. - SC, SE

1 = Top 10 scores, 2 = next top 10 scores, 3 = all others

(3) IT Indicators:

- A – application review
- I – integrated review
- T – technical review
- S – system development or post-implementation review
- G – general controls review

**PROJECT CODES**

- DNF - Did Not Finish
- PN - Plan New
- PS - Plan Supplemental
- PU - Unplanned Carry Forward
- SC - Consultations
- SE - External Audit
- SI - Internal Control
- SP - IPA/COI
- SU - Compliance
- SR - System Dev/Reeng
- IN - Investigations
- PNF - Plan New Followup