

UNIVERSITY OF CALIFORNIA

Office of Ethics, Compliance and Audit Services

Guidelines on Internal Communication during State Audits

All University employees should follow these protocols for communication during fieldwork for an audit conducted by the California State Auditor:

- The primary contact for any inquiries relating to a State audit during audit fieldwork is a member of the State Auditor's audit team.
- The campus [Internal Audit Director](#) or designated external audit coordinator will serve as the internal point of contact for inquiries relating to a State audit and can serve to facilitate communication with the State Auditor's office as necessary, unless otherwise directed by the State Auditor's office.
- If there is a need for a campus to contact the Office of the President for guidance during audit fieldwork, this communication should be handled exclusively between the campus Internal Audit Director/designated external audit coordinator and the Chief Compliance and Audit Officer or Systemwide Deputy Audit Officer.
- If there is uncertainty at a campus about whether UCOP should be contacted regarding a State audit matter, the campus Internal Audit Director/designated external audit coordinator should contact the Office of the State Auditor for guidance.

If you have any questions about these guidelines, please contact Matt Hicks, Systemwide Deputy Audit Officer (Matthew.Hicks@ucop.edu).