

Santa Cruz

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk* 1, 2, 3	Planned Hours	Primary Index Code	Core (X=Yes <sup>(3)</sup> )
<b>Planned Carry Forward (PCs):</b>								
FY06	CAM	UCSC	PC	IT Backup and Recovery Planning	1	100	G.b.05	X
FY06	CAM	UCSC	PC	Ethics Programs	1	50	J	
<b>(a) Subtotal - Planned Carry Forward</b>						150		
<b>Planned New Audits (PNs):</b>								
FY06	CAM	UCSC	PN	Network Management: PII Protection	1	400	G.a.02	X
FY06	CAM	UCSC	PN	Student Fees and Receivables: Student Business Services/ Registrars	1	350	A.d.06	X
FY06	CAM	UCSC	PN	Software Acquisition, Development & Maintenance: Change Controls	1	400	G.b.01	X
FY06	CAM	UCSC	PN	Post Consolidation Review of Financial Process Controls	1	450	H.c.02	X
FY06	CAM	UCSC	PN	EFT and ACH Transaction Controls	1	350	H.c.05	X
FY06	CAM	UCSC	PN	Human Resources: Employee and Benefits Eligibility	1	400	H.e.03	X
FY06	CAM	UCSC	PN	EH&S: Safety Programs	1	400	I.b.03	
FY06	CAM	UCSC	PN	Museums, Art Galleries, Arboretum, Special Collections Inventory Contro	1	350	M.a.06	
FY06	CAM	UCSC	PN	Conflict of Commitment: Reporting Process & Technology Transfer Contro	1	400	H.h. 01	
FY06	CAM	UCSC	PN	Food Services Internal Controls Review	1	400	M.a.03	
FY06	CAM	UCSC	PN	Ethics Programs-Phase 2	1	300	J	
<b>(b) Subtotal - Planned New Audits</b>						4,200		
FY06	CAM	UCSC	PS	<b>(c) Planned Supplemental Audits (lumpsum)</b>		400		
FY06	CAM	UCSC	PNF	<b>(d) Audit Follow Up (lump sum)</b>		400		
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						5,150		
<b>Planned Advisory Services:</b>								
FY06	CAM	UCSC	SC	Miscellaneous Advisory Services		420		
FY06	CAM	UCSC	SE	External Audit Coordination		40		
FY06	CAM	UCSC	SI	Policies and Procedures Reviews and Training		80		
FY06	CAM	UCSC	SP	Conflict of Interest Coordination and Reviews		80		
FY06	CAM	UCSC	SR	Consolidation Effort / Redesign Teams		80		
FY06	CAM	UCSC	SR	IT Security, HIPAA, PII and other ITS security Related Teams		80		
<b>(e) Subtotal - Planned Advisory Services</b>						780		
<b>Unplanned Advisory Services (by Category) <sup>(2)</sup></b>								
<b>(f) Subtotal - Unplanned Advisory Services</b>						0		
<b>Total Advisory Services (e+f) <sup>(1)</sup></b>						780		
FY06	Cam	UCSC	IN	<b>Planned Investigation Hours (lump sum)</b>		1,003		
						6,933		

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

<sup>(1)</sup> Must tie with Audit Program and Advisory Services on Schedule 2 Activity Report

<sup>(2)</sup> enter lump sums for each applicable AS category (i.e. - SC, SE)

<sup>(3)</sup> indicates core program will be used

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