

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk* 1, 2, 3	Planned Hours	Primary Index Code	Core (X=Yes ⁽¹⁾)
Planned Carry Forward (PCs):								
							H.c.01	
							H.c.02	
FY07	CAM	UCD	PC	Accounts Payable	1	250	H.c.05	X
FY07	CAM	UCD	PC	Employee / Labor Relations	3	250	J.b.03	
FY07	CAM	UCD	PC	Major Construction	1	300	K.a.01	X
FY07	CAM	UCD	PC	Organized Research Units	2	150	E.c.01	
FY07	CAM	UCD	PC	Post Award	1	250	E.d.02	X
FY07	CAM	UCD	PC	UCD Foundation	1	275	L.a.03	
FY07	HS	UCD	PC	Electronic Medical Records - Advisory	1	170	G.b.01	
FY07	HS	UCD	PC	Major Construction	1	285	K.a.01	X
FY07	HS	UCD	PC	Physician Receivables	1	230	B.i.03	X
FY07	HS	UCD	PC	Post Award	1	115	E.d.02	X
FY07	HS	UCD	PC	HIPAA Security Review	1	115	E.a.07	
(a) Subtotal - Planned Carry Forward						2390		
Planned New Audits (PNs):								
FY07	CAM	UCD	PN	Wireless Networks	1	300	G.a.02	
FY07	CAM	UCD	PN	Financial Aid	1	350	A.d.03	X
							G.b.04	
							G.b.05	
FY07	CAM	UCD	PN	General Controls	1	250	G.b.06	X
FY07	CAM	UCD	PN	Logical Security	1	250	G.b.02	X
FY07	CAM	UCD	PN	Donor Gift Expenditures	1	300	L.a.05	
FY07	CAM	UCD	PN	Construction Soft Costs	1	225	K.a.01	
FY07	CAM	UCD	PN	Ethics - Conflict of Commitment	1	200	J.b.07	
FY07	CAM	UCD	PN	Executive Compensation	1	400	J.b.06	X
FY07	CAM	UCD	PN	Special Chancellor Fund Allocations (Searles Funds)	3	150	F.a.01	
FY07	HS	UCD	PN	Hospital Receivables	1	450	B.i.01	X
FY07	HS	UCD	PN	Continued Medical Education	1	250	B.e.01.25	
FY07	HS	UCD	PN	Logical Security	2	250	G.b.02	X
FY07	HS	UCD	PN	Corporate Compliance Infrastructure Review	1	150	E.a.06	
FY07	HS	UCD	PN	Corporate Compliance Program Review (1)	1	200	E.a.06	
FY07	HS	UCD	PN	Transplant Services	1	300	B.e.01.27	
FY07	HS	UCD	PN	Donor Gift Expenditures	2	300	L.a.05	
FY07	HS	UCD	PN	UCDMC Departmental Financial Controls Review	1	200	H.d.01	
FY07	HS	UCD	PN	Ethics - Conflict of Commitment	1	200	J.b.07	
FY07	HS	UCD	PN	Construction Soft Costs	1	200	K.a.01	
(b) Subtotal - Planned New Audits						4925		
Planned Supplemental Audits (lumpsum)								
FY07	CAM	UCD	PS	Supplemental		578		
FY07	HS	UCD	PS	Supplemental		1066		
(c) Subtotal - Planned Supplemental Audits						1644		
Planned Follow Up								
FY07	CAM	UCD	PNF	Follow Up		400		
FY07	HS	UCD	PNF	Follow Up		500		
(d) Subtotal - Follow Up						900		
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						9859		
Planned Advisory Services:								
FY07	CAM	UCD	SC	Committee for Research Integrity	3	40	E.a	
FY07	CAM	UCD	SC	FARE Committee	3	80	E.f.03	
FY07	CAM	UCD	SC	University Ethics Advisory Committee	1	40	J.b.07	
FY07	CAM	UCD	SC	Investigations Coordination Work Group	3	100	H	
FY07	CAM	UCD	SC	Senior Advisors Group	3	40	H.d	
FY07	CAM	UCD	SC	Mondavi Center	1	250	A.b.01.14	
FY07	HS	UCD	SC	Corporate Compliance Committee	3	150	E.a	
FY07	HS	UCD	SC	Professional Fee Billing Compliance Committee	3	50	E.a.04	
FY07	HS	UCD	SC	Facilities Compliance Committee (Hospital)	2	50	E.a.01	
FY07	HS	UCD	SC	HIPAA Privacy & Security Sub-Committee	3	50	B.b.03	
FY07	HS	UCD	SC	SOM Department Review - Neurosurgery	1	200	B.e.01.22	
FY07	CAM	UCD	SI	CCFIT	3	40	G.a.01	
FY07	CAM	UCD	SI	Enterprise Risk Work Group	3	40	I.a	
FY07	CAM	UCD	SI	Internal Control Training	3	40	I.a	
FY07	CAM	UCD	SR	Travel & Entertainment System Committee	2	40	H.c.04	
FY07	HS	UCD	SR	Cyber Safety Assessment	3	115	G.b.03	
FY07	HS	UCD	SR	Time & Attendance Committee	3	150	H.e.04	
(e) Subtotal - Planned Advisory Services						1475		
Unplanned Advisory Services (by Category) ⁽²⁾								
FY07	CAM/HS	UCD	SE	External Audit Coordination		200		
FY07	CAM	UCD	SC	Unassigned Small Consults		200		
FY07	HS	UCD	SC	Unassigned Small Consults		100		
(f) Subtotal - Unplanned Advisory Services						300		
Total Advisory Services (e+f) ⁽¹⁾						1975		
FY07	CAM	UCD		Support		275		
FY07	HS	UCD		Support		275		
(g) Subtotal - Support						550		
FY06			IN	Planned Investigation Hours (lump sum)				
FY07	CAM	UCD	IN	Investigation		1598		
FY07	HS	UCD	IN	Investigation		1200		
(g) Total - Investigations						2798		
Total Audits, Advisory Services, and Investigations						15182		

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

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

⁽³⁾ indicates core program will be used

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