

| FY   | LOB    | LOC   | Prj Code | Name/Title of Audit   | High Risk*<br>1, 2, 3 | Planned<br>Hours | Primary<br>Index Code | Core<br>(X=Yes <sup>(3)</sup> ) |  |
|--|--------|---|----------|---|-----------------------|------------------|-----------------------|---------------------------------|--|
| <b>Planned Carry Forward (PCs):</b>  |        |   |          |   |                       |                  |                       |                                 |  |
| 2007   | Campus | UCSB  | PC       | Network Management  | 1                     | 50.0             | G.a.02                | x                               |  |
| 2007   | Campus | UCSB  | PC       | Major Construction  | 1                     | 125.0            | K.a.01                | x                               |  |
| 2007   | Campus | UCSB  | PC       | Logical Security  | 1                     | 50.0             | G.b.02                | x                               |  |
| 2007   | Campus | UCSB  | PC       | Physical Access Control   | 2                     | 25.0             | I.c.00.01             |                                 |  |
| <b>(a) Subtotal - Planned Carry Forward</b>  |        |   |          |   |                       | 250.0            |                       |                                 |  |
| <b>Planned New Audits (PNs):</b>   |        |   |          |   |                       |                  |                       |                                 |  |
| 2007   | Campus | UCSB  | PN       | Contracts and Grants Post Award                                   | 1                     | 300.0            | E.d.02                | x                               |  |
| 2007   | Campus | UCSB  | PN       | Construction Soft Costs   | 1                     | 200.0            | K.a.01                |                                 |  |
| 2007   | Campus | UCSB  | PN       | Executive Compensation  | 1                     | 240.0            | J.b.06                | x                               |  |
| 2007   | Campus | UCSB  | PN       | Special Chancellor Allocations (Housing and Administrative Funds) | 1                     | 100.0            | F.a.01                |                                 |  |
| 2007   | Campus | UCSB  | PN       | Ethics - Conflict of Commitment                                   | 1                     | 300.0            | H.h.01                |                                 |  |
| 2007   | Campus | UCSB  | PN       | Student Counseling  | 3                     | 150.0            | A.d.00.05             |                                 |  |
| 2007   | Campus | UCSB  | PN       | Space Utilization - Internal Control Review                       | 1                     | 120.0            | F.a.04                |                                 |  |
| 2007   | Campus | UCSB  | PN       | Student and Third Party Billing                                   | 1                     | 240.0            | A.d.06                | x                               |  |
| 2007   | Campus | UCSB  | PN       | Application Development   | 2                     | 240.0            | G.b.01                |                                 |  |
| 2007   | Campus | UCSB  | PN       | Organized Research Unit   | 1                     | 200.0            | E.c.01.06             |                                 |  |
| 2007   | Campus | UCSB  | PN       | Purchasing Card Program   | 1                     | 200.0            | H.f.03                | x                               |  |
| Visitations  |        |   |          |   |                       |                  |                       |                                 |  |
| 2007   | Campus | UCSB  | PN       | Visitation 1 - TBD  | 3                     | 28.0             | A (TBD)               |                                 |  |
| 2007   | Campus | UCSB  | PN       | Visitation 2 - TBD  | 3                     | 28.0             | A (TBD)               |                                 |  |
| 2007   | Campus | UCSB  | PN       | Visitation 3 - TBD  | 3                     | 28.0             | A (TBD)               |                                 |  |
| 2007   | Campus | UCSB  | PN       | Visitation 4 - TBD  | 3                     | 28.0             | A (TBD)               |                                 |  |
| 2007   | Campus | UCSB  | PN       | Visitation 5 - TBD  | 3                     | 28.0             | A (TBD)               |                                 |  |
| <b>(b) Subtotal - Planned New Audits</b>   |        |   |          |   |                       | 2430.0           |                       |                                 |  |
| 2007   | C      | UCSB  | PS       | <b>(c) Planned Supplemental Audits (lumpsum)</b>                  |                       | 1094.0           |                       |                                 |  |
| 2007   | C      | UCSB  | PNF      | <b>(d) Audit Follow Up (lump sum)</b>                             |                       | 350.0            |                       |                                 |  |
| <b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>                                    |        |   |          |   |                       | 4124.0           |                       |                                 |  |
| <b>Planned Advisory Services:</b>  |        |   |          |   |                       |                  |                       |                                 |  |
|  |        |   |          |   |                       | 80               | I.e.01                |                                 |  |
|  |        |   |          |   |                       | 80               | E.d.02                |                                 |  |
| <b>(e) Subtotal - Planned Advisory Services</b>  |        |   |          |   |                       | 160              |                       |                                 |  |
| <b>Unplanned Advisory Services (by Category) <sup>(2)</sup></b>                                |        |   |          |   |                       |                  |                       |                                 |  |
|  |        |   |          |   |                       | 240              |                       |                                 |  |
|  |        |   |          |   |                       | 50               |                       |                                 |  |
|  |        |   |          |   |                       | 200              |                       |                                 |  |
|  |        |   |          |   |                       | 75               |                       |                                 |  |
|  |        |   |          |   |                       | 75               |                       |                                 |  |
| -<insert sub totals for each applicable advisory service category)                             |        |   |          |   |                       |                  |                       |                                 |  |
| <b>(f) Subtotal - Unplanned Advisory Services</b>  |        |   |          |   |                       | 640              |                       |                                 |  |
| <b>Total Advisory Services (e+f) <sup>(1)</sup></b>  |        |   |          |   |                       | 800              |                       |                                 |  |
| FY06   | IN     | <b>Planned Investigation Hours (lump sum)</b> |          |   |                       |                  | 1170                  |                                 |  |
| <b>Total Audits, Advisory Services, and Investigations</b>                                     |        |   |          |   |                       | 6094.0           |                       |                                 |  |
| <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   |        |   |          |   |                       |                  |                       |                                 |  |
| <b>* 1 = Top 10 scores, 2 = next top 10 scores, 3 = all others</b>                             |        |   |          |   |                       |                  |                       |                                 |  |