

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk ⁽¹⁾ 1, 2, 3	Planned Hours	Primary Index Code	IT Indicator ⁽³⁾
				Prior Year Audits Not Completed (DNFs):				
FY12		UCD	DNF	none				
				(a) Subtotal - Planned Carry Forward				
				Planned New Audits (PNs):				
FY13	C	UCD	PN	Annual Report on Executive Compensation	1	150	J.b.01	
FY13	C	UCD	PN	Executive Travel and Entertainment	1	300	H.c.04	
FY13	C	UCD	PN	Cashiering	1	300	H.b.02	
FY13	C	UCD	PN	Construction Contracts	1	350	K.a.01	
FY13	C	UCD	PN	Donor Restrictions on Gift Expenditures	1	300	L.a.02	
FY13	C	UCD	PN	Math and Physical Sciences	1	300	A.b.01	
FY13	C	UCD	PN	UNEX	1	350	A.c.03	
FY13	C	UCD	PN	Recharge Rates	1	300	H.i.01	
FY13	C	UCD	PN	UCOP Ethics and Compliance Program Systemwide Review Support	1	50	E.a.01	
FY13	C	UCD	PN	UCOP Compensated Outside Professional Activities Review Support	1	25	J.b.01	
FY13	C	UCD	PN	IT Governance - Distributed Application Development	1	250	G.b.01	x
FY13	C	UCD	PN	Campus IT Virtualization Infrastructure	1	300	G.b.01	x
FY13	H	UCD	PN	Stores /Distribution Controls	1	300	B.b.07	
FY13	H	UCD	PN	Dermatology Billing /Cash /Inventory Controls	1	300	B.e.01	
FY13	H	UCD	PN	Capitation Costs Monitoring	1	300	H.a.01	
FY13	H	UCD	PN	Telecommunications	1	300	B.b.07	
FY13	H	UCD	PN	Sub Award Monitoring	1	300	E	
FY13	H	UCD	PN	IT Purchasing	1	350	H.f	
FY13	H	UCD	PN	Depreciation Expense	1	300	H.d	
FY13	H	UCD	PN	Anesthesiology Revenue Cycle	1	300	B.i.03	
FY13	H	UCD	PN	Blood Products Management	1	300	B.e.01	
FY13	H	UCD	PN	Healthcare Incentive Plans (CEMRP)	1	25	H.a.01	
FY13	H	UCD	PN	Decentralized IT Operations	1	300	G.a.01	x
FY13	H	UCD	PN	UCDHS IT Incident Response	1	250	G.e.01	x
				(b) Subtotal - Planned New Audits		6,300		
				(c) Planned Supplemental Audits (lumpsum)				
FY13	C	UCD	PS	Campus	1	650	I.a	
FY13	C	UCD	PS	Director - C	1	350	I.a	
FY13	H	UCD	PS	Health System	1	194	I.a	
FY13	H	UCD	PS	Director - HS	1	350	I.a	
FY13	IT	UCD	PS	IT	1	100	I.a	x
				(d) Audit Follow Up (lump sum)				
FY13	C	UCD	PNF	Follow-up Reviews of MCAs - Campus	2	220	I.a	
FY13	C	UCD	PNF	Follow-up Reviews of MCAs - Campus IT	2	200	I.a	x
FY13	H	UCD	PNF	Follow-up Reviews of MCAs - Health System	2	450	I.a	
FY13	H	UCD	PNF	Follow-up Reviews of MCAs - Health System IT	2	420	I.a	x
				Total Planned Supplemental & Follow Up		2,934		
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						9,234		
				Planned Advisory Services:				
FY13	C	UCD	SC	Non-Resident Tuition	2	225	A.d.06	
FY13	C	UCD	SC	Funds Management	2	225	H.d.01	
FY13	C	UCD	SC	Campus Committees /Director Advisory	2	176	I.a	
FY13	C	UCD	SC	IT Committees	2	80	I.a	x
FY13	H	UCD	SC	IT Education	2	80	I.a	x
FY13	H	UCD	SC	Health System Committees	3	80	I.a	
FY13	H	UCD	SC	EPIC Implementation	3	300	I.a	
FY13	H	UCD	SC	ACL Routines	3	40	I.a	
FY13	C	UCD	SE	External Audit Coordination	2	1,200	E.e	
				(e) Subtotal - Planned Advisory Services		2,406		
FY13	C	UCD	SC	Unplanned / Supplemental Advisory Services - Campus		0	I.a	
FY13	C	UCD	SC	Unplanned / Supplemental Advisory Services - IT		200	I.a	x
FY13	H	UCD	SC	Unplanned / Supplemental Advisory Services - HS		734	I.a	
FY13	H	UCD	SC	Director Advisory /Health System		176	I.a	
FY13	H	UCD	SC	Unplanned / Supplemental Advisory Services - IT		400	I.a	x
				(f) Subtotal - Unplanned Advisory Services		1,510		
Total Advisory Services (e+f) ⁽¹⁾						3,916		

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FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk ⁽¹⁾ 1, 2, 3	Planned Hours	Primary Index Code	IT Indicator ⁽³⁾
FY13				Planned Investigation Hours (lump sum)				
		IN		Campus	1	1,000		
				Health System	1	1,000		
				IT	1	400		x
Total Investigation Hours						2,400		
FY13				Audit Support				
				Campus	3	500		
				Health System	3	500		
				IT	3	218		x
Total Audit Support Hours						1,218		
Total Audits, Advisory Services, and Investigations						16,768		

⁽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)

^(*) 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

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FY12		UCD	DNF	none					
				(a) Subtotal - Planned Carry Forward					
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FY13	C	UCD	PN	Annual Report on Executive Compensation	1	150	J.b.01		3
FY13	C	UCD	PN	Executive Travel and Entertainment	1	300	H.c.04		2
FY13	C	UCD	PN	Cashiering	1	300	H.b.02		1
FY13	C	UCD	PN	Construction Contracts	1	350	K.a.01		4
FY13	C	UCD	PN	Donor Restrictions on Gift Expenditures	1	300	L.a.02		4
FY13	C	UCD	PN	Math and Physical Sciences	1	300	A.b.01		2
FY13	C	UCD	PN	UNEX	1	350	A.c.03		1
FY13	C	UCD	PN	Recharge Rates	1	300	H.i.01		3
FY13	C	UCD	PN	UCOP Ethics and Compliance Program Systemwide Review Support	1	50	E.a.01		4
FY13	C	UCD	PN	UCOP Compensated Outside Professional Activities Review Support	1	25	J.b.01		4
FY13	C	UCD	PN	IT Governance - Distributed Application Development	1	250	G.b.01	x	2
FY13	C	UCD	PN	Campus IT Virtualization Infrastructure	1	300	G.b.01	x	4
FY13	H	UCD	PN	Stores /Distribution Controls	1	300	B.b.07		3
FY13	H	UCD	PN	Dermatology Billing /Cash /Inventory Controls	1	300	B.e.01		2
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FY13	H	UCD	PN	Telecommunications	1	300	B.b.07		1
FY13	H	UCD	PN	Sub Award Monitoring	1	300	E		3
FY13	H	UCD	PN	IT Purchasing	1	350	H.f		2
FY13	H	UCD	PN	Depreciation Expense	1	300	H.d		1
FY13	H	UCD	PN	Anesthesiology Revenue Cycle	1	300	B.i.03		3
FY13	H	UCD	PN	Blood Products Management	1	300	B.e.01		4
FY13	H	UCD	PN	Healthcare Incentive Plans (CEMRP)	1	25	H.a.01		2
FY13	H	UCD	PN	Decentralized IT Operations	1	300	G.a.01	x	2
FY13	H	UCD	PN	UCDHS IT Incident Response	1	250	G.e.01	x	4
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FY13	C	UCD	PS	Director - C	1	350	I.a		4
FY13	H	UCD	PS	Health System	1	194	I.a		4
FY13	H	UCD	PS	Director - HS	1	350	I.a		4
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FY13	C	UCD	PNF	Follow-up Reviews of MCAs - Campus	2	220	I.a		4
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FY13	C	UCD	SC	Unplanned / Supplemental Advisory Services - Campus		0	I.a		4
FY13	C	UCD	SC	Unplanned / Supplemental Advisory Services - IT		200	I.a	x	4
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		IN		Campus	1	1,000			n/a
				Health System	1	1,000			n/a
				IT	1	400		x	n/a
				Total Investigation Hours		2,400			
FY13				Audit Support					
				Campus	3	500			n/a
				Health System	3	500			n/a
				IT	3	218		x	n/a
				Total Audit Support Hours		1,218			
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