

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk ^(*) 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator ⁽³⁾	Est. Qtr Completion
Prior Year Audits Not Completed (DNFs):										
FY15		UCD		Patient Registration - carryover from 2015		200				1
(a) Subtotal - Planned Carry Forward										
Planned New Audits (PNs):										
FY16	H	UCD		Epic Resolute Billing	1	400	B.i.01/B.i.03			1
FY16	C	UCD		Office of Research	1	400	E.d.01			2
FY16	C	UCD		Financial Aid	1	350	O.a.02			4
FY16	Sys wide	UCD		G-45	2	100	J.b.01			3
FY16	Sys wide	UCD		Construction	1	250	K.a.01			2
FY16	Sys wide	UCD		IT Security	1	50	G.b.07		x	4
FY16	C & H	UCD		Police Department	2	250	B.i.01/B.i.03			1
FY16	C & H	UCD		Student Admissions by Exception	2	200	B.a.01			4
FY16	C & H	UCD		Effort Reporting/Cost Sharing	1	300	H.d/H.			3
FY16	H	UCD		Charge Capture Pathology Labs	1	350	D.g			2
FY16	H	UCD		Clinical Operations - Clinic to be selected	1	300	B.i.01/B.i.03			1
FY16	H	UCD		Rehabilitation Unit	1	300	B.b.08			3
FY16	H	UCD		Wasting of Narcotics	1	250	B.b.04			3
FY16	IT - C&H	UCD		Remote Access/Third Party Access	1	380	G.b.07		x	4
FY16	IT - C&H	UCD		Research Computing Data Security	1	380	G.b.07		x	3
FY16	IT - H	UCD		Disaster Recovery	1	380	G.b.08		x	2
FY16	IT- C	UCD		Student Health Center Data Security	1	380	G.b.07		x	1
FY16	C	UCD		Receivable Reconciliations	1	400	H.a			3
(b) Subtotal - Planned New Audits						5,420				
(c) Planned Supplemental Audits (lumpsum)						4,750				
FY16	C	UCD	PS	Campus		2,100	I.a			
FY16	C	UCD	PS	Director - Campus Audit		600	I.a			
FY16	HS	UCD	PS	Health System		1,680	I.a			
FY16	HS	UCD	PS	Director - Health System		370	I.a			
FY16	C/HS	UCD	PS	IT		0	I.a			
(d) Audit Follow Up (lump sum)						1,350				
FY16	C	UCD	PNF	Follow-up Reviews of MCAs - Campus		600	I.a			
FY16	C	UCD	PNF	Follow-up Reviews of MCAs - Campus IT		75	I.a			
FY16	HS	UCD	PNF	Follow-up Reviews of MCAs - Health System		600	I.a			
FY16	HS	UCD	PNF	Follow-up Reviews of MCAs - Health System IT		75	I.a			
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						11,720				
Planned Advisory Services:										
FY16	C	UCD	SC	Volunteer Management		350	J.b.03			3
FY16	C	UCD	SC	Academic Advising		400	A.a.01			4
FY16	C & H	UCD	SC	Global Footprint		300	A.c.04			4
FY16	C & H	UCD	SC	Consulting Expenses		300	H.f.01			4

FY16	H	UCD	SC	Procurement System Implementation	200	H.f		4
FY16	H	UCD	SC	2-Factor Authentication	100	G.b.07	x	4
FY16	C	UCD	SC	ASUCD	400	A.b.01		1
FY16	C	UCD	SC	Education Administrative Review	300	A.b.01		3
FY16	C	UCD	SC	Vet Med Administrative Review	300	A.b.01		4
FY16	C	UCD	SC	Assist Controller COSO Assessment	40			1
FY16	C & H	UCD	SC	Law Fellow Development	750	I.a		
FY16	H	UCD	SC	Director - HS Advisory	90	I.a		
FY16	C	UCD	SC	Director - Campus Advisory	150	I.a		
FY16	C & H	UCD	SE	External Audit Coordination	1,200	E.e		
FY16	C	UCD	SC	Campus Committee Participation	180	I.a		
FY16	H	UCD	SC	Health System Committee Participation	50	I.a		
FY16	C & H	UCD	SC	ACL Analytics and Development	200	I.a		
FY16	C	UCD	SC	IT Committees	25	I.a		
(e) Subtotal - Planned Advisory Services					5,335			

Unplanned Advisory Services (by Category) (2)

FY16		UCD	SC	Unplanned SC	310			
FY16		UCD	SE	Unplanned SE	0			
FY16		UCD	SI	Unplanned SI	0			
FY16		UCD	SP	Unplanned SP	0			
FY16		UCD	SU	Unplanned SU	0			
FY16		UCD	SR	Unplanned SR	350			
(f) Subtotal - Unplanned Advisory Services					660			

Total Advisory Services (e+f) (1)

5,995

Planned Investigation Hours (lump sum)

750

FY16		UCD	IN	IT	100
FY16		UCD	IN	Campus	300
FY16		UCD	IN	Health System	300
FY16		UCD	IN	Director	50

Total Audits, Advisory Services, and Investigations

18,465

810 *Reserved for Audit Support (Audit Planning, Systemwide, etc)*

19,275 *Total Available Hours*

with Audit Program and Advisory Services on Schedule 2 Activity Report

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

PROJECT CODES

DNF - Did Not Finish

PN - Plan New

PS - Plan Supplemental

PU - Unplanned Carry Forward

SC - Consultations

SE - External Audit

SI - Internal Control

SP - IPA/COI

SU - Compliance

SR - System Dev/Reeng

IN - Investigations

PNF - Plan New Followup