

FY	LOB	LOC	Type	Prj Code	Name/Title of Audit	High Risk <sup>(1)</sup>	Planned	Primary	IT	Est. Qtr
						1, 2, 3	Hours	Index Code	Core (x)	Indicator <sup>(3)</sup>
<b>Prior Year Audits Not Completed (DNFs):</b>										
<b>(a) Subtotal - Planned Carry Forward</b>							-			
<b>Planned New Audits (PNs):</b>										
FY17	Campus	UCM	PN	M17A001	Pre-Award and Post-Award Processes	2	200	E.d.01/02		1
FY17	Campus	UCM	PN	M17A002	Pay Increases and Performance Evaluations	2	300	J.b.07		2
FY17	Campus	UCM	PN	M17A003	Access to Student Data - Banner Access Controls	1	200	G.a.01	G	3
FY17	Campus	UCM	PN	M17A004	Annual Report of Executive Compensation	3	100	J.b.06		3
FY17	Campus	UCM	PN	M17A005	Safety (Safe Work Practices and Building Access)	3	200	I.b.03		3
FY17	Campus	UCM	PN	M17A006	Strategic Sourcing	1	200	H.f.04		4
<b>(b) Subtotal - Planned New Audits</b>							1,200			
FY17	Campus	UCM	PS		<b>(c) Planned Supplemental Audits (lumpsum)</b>		200			
FY17	Campus	UCM	PNF		<b>(d) Audit Follow Up (lump sum)</b>		40			
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>							1,440			
<b>Planned Advisory Services:</b>										
FY17	Campus	UCM	SC	M17C001	Fraud Risk Management Program (Reviewing Fraud Risks and Conflicts of Interest)	2	300	N.c.03		1
FY17	Campus	UCM	SC	M17C002	Employee Turnover and Employee Success (Reclasses, Equity, Work Environment, Training)	2	200	J.b.07		1
FY17	Campus	UCM	SC	M17C003	Student Housing	2	200	O.c.02		2
FY17	Campus	UCM	SC	M17C004	2020 Project Impact on Campus Risk Assessment	1	300	F.a.04		4
<b>(e) Subtotal - Planned Advisory Services</b>							1,000			
<b>Unplanned Advisory Services (by Category) <sup>(2)</sup></b>										
FY17	Campus	UCM	SC		<b>Unplanned SC</b>		400			
FY17	Campus	UCM	SE		<b>Unplanned SE</b>		100			
FY17	Campus		SI		<b>Unplanned SI</b>					
FY17	Campus		SP		<b>Unplanned SP</b>					
FY17	Campus		SU		<b>Unplanned SU</b>					
FY17	Campus		SR		<b>Unplanned SR</b>					
<b>(f) Subtotal - Unplanned Advisory Services</b>							500			
<b>Total Advisory Services (e+f) <sup>(1)</sup></b>							1,500			
FY17	Campus	UCM	IN		<b>Planned Investigation Hours (lump sum)</b>		400			
<b>Total Audits, Advisory Services, and Investigations</b>							3,340			

<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>(\*)</sup> 1 = Top 10 scores, 2 = next top 10 scores, 3 = all others

<sup>(3)</sup> IT Indicators:  
A – application review  
I – integrated review  
T – technical review  
S – system development or post-implementation review  
G – general controls review