

FY	LOB	LOC	Pri Code	Name/Title of Audit	High Risk ⁽¹⁾ 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator ⁽³⁾	Est. Qtr Completion
Prior Year Audits Not Completed (DNFs):										
FY14			DNF	<insert projects>						
(a) Subtotal - Planned Carry Forward										
Planned New Audits (PNs):										
FY15			R2015-01	PCI Compliance		240	H.b.02			1
			R2015-02	Temporary Employees		330	J.b.05			1
			R2015-03	Campus HR functions		270	J.b			1
			R2015-04	SOBA		330	A			2
			R2015-05	Agricultural Operations		290	D.b.02			2
			R2015-06	Mobile Device Security (IT)		230	G.b.07			4
			R2015-07	School of Medicine (IT)		230	G.a.02			3
			R2015-08	Compensation (SW)		240	O.b.01			3
			R2015-09	Athletics (SW)		105	H			2
			R2015-10	EH&S Program		220	I.b			4
			R2015-11	Physical Safety & Security		220	K.b			2
			R2015-12	Graduate Student Association		220	O.b.03			4
			R2015-13	AREC (SW)		105	J.b.06			4
			R2015-14	Sociology Cluster		220	A.a.01			4
			R2015-15	Chemistry		270	A.a.01			3
			R2015-16	Annual Analytic Review & Fraud Detection		680	H			4
(b) Subtotal - Planned New Audits						4,200				
FY15			PS	(c) Planned Supplemental Audits (lumpsum)		412				
FY15			PNF	(d) Audit Follow Up (lump sum)		412				
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						5,024				
Planned Advisory Services:										
			R2015-17	SIS Replacement project (IT)		120	G.b.01			4
			R2015-18	Major Campus systems (New GSIS)		50	G.b.01			4
			R2015-19	Major Campus systems (TARS)		50	G.b.01			4
			R2015-20	Major Campus systems (Capital programs)		50	G.b.01			4
			R2015-21	Major Campus systems (Academic Personnel System)		50	G.b.01			4
			R2015-22	School of Medicine		310	B			4
			R2015-23	UC Path		210	G.b.01			4
			R2015-24	Athletics Aspire Agreement		150	M.a.01			3
			R2015-25	Patent Expenses		150	E.g.02			3
			R2015-26	Early Academic Outreach Program		90	M.a.02			4
			R2015-27	Training - other		350	J.b.02			4
			R2015-28	Training - WB & Fraud		90	J.b.02			4
			R2015-29	Training - Orientation		90	J.b.02			4
			R2015-30	ERM		80	I.a			4
(e) Subtotal - Planned Advisory Services						1,840				
Unplanned Advisory Services (by Category) ⁽²⁾										
FY15			SC	Unplanned SC		290				
FY15			SE	Unplanned SE		60				
FY15			SI	Unplanned SI		-				
FY15			SP	Unplanned SP		-				
FY15			SU	Unplanned SU		-				
FY15			SR	Unplanned SR		-				
(f) Subtotal - Unplanned Advisory Services						350				
Total Advisory Services (e+f) ⁽¹⁾						2,190				
FY15			IN	Planned Investigation Hours (lump sum)		1,381				
Total Audits, Advisory Services, and Investigations						8,595				

⁽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⁾ 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