

UC Merced

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk <sup>(1)</sup> 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator <sup>(3)</sup>	Est. Qtr Completion	
<b>Prior Year Audits Not Completed (DNFs):</b>											
<b>(a) Subtotal - Planned Carry Forward</b>						-					
<b>Planned New Audits (PNs):</b>											
FY16	CAM	UCM	PN	Control of Equipment and Supplies	1	200	H.g.05			1st Quarter	
FY16	CAM	UCM	PN	Records Management	2	200	G.a.02		G	1st Quarter	
FY16	CAM	UCM	PN	Human Resources - Leaves and Workers Compensation	1	200	I.a.04			1st Quarter	
FY16	CAM	UCM	PN	Purchase Card and Low Value Purchases	1	200	H.f.03			2nd Quarter	
FY16	CAM	UCM	PN	Financial Aid and Scholarships	2	200	O.a.02	x		2nd Quarter	
FY16	CAM	UCM	PN	Export controls	2	200	E.a.03			2nd Quarter	
FY16	CAM	UCM	PN	IT Security (Systemwide)	1	200	G.a.01	x	G	3rd Quarter	
FY16	CAM	UCM	PN	Executive Compensation (Systemwide)	3	100	J.b.06			3rd Quarter	
FY16	CAM	UCM	PN	Construction (Systemwide)	3	200	K.a.01			4th Quarter	
FY16	CAM	UCM	PN	Dining Services - Control of Payments and Inventories	1	200	O.c.01			4th Quarter	
<b>(b) Subtotal - Planned New Audits</b>						1,900					
FY16	CAM	UCM	PS	<b>(c) Planned Supplemental Audits (lumpsum)</b>		200					
FY16	CAM	UCM	PNF	<b>(d) Audit Follow Up (lump sum)</b>		40					
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						2,140					
<b>Planned Advisory Services:</b>											
FY16	CAM	UCM	SC	Financial Processes Reviews - School of Engineering and SSHA	3	150	A.b.01			1st Quarter	
FY16	CAM	UCM	SI	Additional uses of Data Analytics	3	200	H.f.			3rd Quarter	
FY16	CAM	UCM	SC	Review of Uniform Guidance requirements	3	200	E.d.02			4th Quarter	
<b>(e) Subtotal - Planned Advisory Services</b>						550					
<b>Unplanned Advisory Services (by Category) <sup>(2)</sup></b>											
FY16			SC	<b>Unplanned SC</b>		300					
FY16			SE	<b>Unplanned SE</b>							
FY16			SI	<b>Unplanned SI</b>							
FY16			SP	<b>Unplanned SP</b>							
FY16			SU	<b>Unplanned SU</b>		40					
FY16			SR	<b>Unplanned SR</b>							
<b>(f) Subtotal - Unplanned Advisory Services</b>						340					
<b>Total Advisory Services (e+f) <sup>(1)</sup></b>						890					
FY16			IN	<b>Planned Investigation Hours (lump sum)</b>		400					
<b>Total Audits, Advisory Services, and Investigations</b>						3,430					

<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