

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk ⁽¹⁾	Planned	Primary	IT	Est. Qtr
					1, 2, 3	Hours	Index Code	Core (x)	Indicator ⁽³⁾
Prior Year Audits Not Completed (DNFs):									
(a) Subtotal - Planned Carry Forward									
Planned New Audits (PNs):									
FY17	CAM	ECAS	P18A001	PN		250.0	H.e.01		4
FY18	CAM	ECAS	P18A002	PN		150.0	N.c.08		4
FY18	CAM	ECAS	P18A003	PN		100.0	H.f		4
FY18	CAM	ECAS	P18A004	PN		150.0	J.b.06		4
FY18	CAM	ECAS	P18A005	PN		150.0	H		2
FY18	CAM	ECAS	P18A006	PN		150.0	D		2
FY18	CAM	ECAS	P18A007	PN		300.0	J.b.06		2
FY18	CAM	ECAS	P18A008	PN		300.0	J.b.06		2
FY18	CAM	ECAS	P18A009	PN		900.0	G.b.07		4
FY18	CAM	UCOP	P18A010	PN		150.0	J.b.04		3
FY18	CAM	UCOP	P18A011	PN		200.0	D.b		2
FY18	CAM	UCOP	P18A012	PN		100.0	K.b.03		1
FY18	CAM	UCOP	P18A013	PN		200.0	I.a.05		3
(b) Subtotal - Planned New Audits						3100.0			
FY18	CAM	ECAS	PS		(c) Planned Supplemental Audits (lumpsum)	600.0			
FY18	CAM	ECAS	PNF		(d) Audit Follow Up (lump sum)	400.0			
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						4100			
Planned Advisory Services:									
FY18	CAM	ECAS	P18C001	SC	Cybersecurity - NIST Framework Advisory	200.0			
FY18	CAM	ECAS	P18C002	SC	Cyber security - Incident response	1200.0			
FY18	CAM	ECAS	P18C003	SC	Cyber security - UC Health Affiliates	200.0			
FY18	CAM	UCOP	P18C004	SC	Innovation and Entrepreneurship Process Review	150.0	H.c		1
FY18	CAM	ECAS	P18C005	SE	State Audit Follow-up	200.0			
FY18	CAM	ECAS	P18C006	SR	RASC Redwood Design Review	200.0			3
FY18	CAM	ECAS	P18C007	SC	Diversity - Campus Climate Action Plan Review Assistance	50.0			
FY18	CAM	ECAS	P18C008	SR	UCPath Pilot Deployment	700.0	G.b.04		1
FY18	CAM	ECAS	P18C009	SC	Retirement Administration Service Center (RASC) User Access	150.0			1
FY18	CAM	UCOP	P18C010	SC	ANR Financials - Phase 2	200.0	D.b.01		2
FY18	CAM	UCOP	P18C011	SR	ANR UCPath Future State	200.0	G.b.05		4
(e) Subtotal - Planned Advisory Services						3450.0			
Unplanned Advisory Services (by Category) ⁽²⁾									
FY18	CAM	ECAS	SC		Unplanned SC	300			
FY18	CAM	ECAS	SE		Unplanned SE	200			
FY18	CAM	ECAS	SI		Unplanned SI	50			
FY18	CAM	ECAS	SP		Unplanned SP	20			
FY18	CAM	ECAS	SU		Unplanned SU	400			
FY18	CAM	ECAS	SR		Unplanned SR	300			
(f) Subtotal - Unplanned Advisory Services						1270			
Total Advisory Services (e+f) ⁽¹⁾						4720			
FY18	CAM	UCOP	IN		Planned Investigation Hours (lump sum)	300			
Total Audits, Advisory Services, and Investigations						9120			

⁽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