

UNIVERSITY OF CALIFORNIA  
INTERNAL AUDIT PLAN DETAIL  
FY 2012  
UCOP

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk* 1,2,3	Planned Hours	Primary Index Code	Core (x)	IT Indicator <sup>(3)</sup>	Est. Qtr Completion	
<b><u>Prior Year Audits Not Completed (DNFs):</u></b>											
<b>(a) Subtotal - Not Completed</b>						0					
<b><u>Planned New Audits (PNs):</u></b>											
FY12	CAMPUS	UCOP	PN	Virtual Desktop-- Proof of Concept (LifeCycle Review)	1	250	G.f.01		S	Q1	
FY12	CAMPUS	UCOP	PN	Educational Partnerships Contracts and Grants Unit	1	300	D.a.02			Q2	
FY12	CAMPUS	UCOP	PN	MasterRecordKeeper - (467 and 403b)	1	100	D.d.03			Q4	
FY12	CAMPUS	UCOP	PN	Annual Travel and Entertainment Review	1	200	H.c.04	X		Q3	
FY12	CAMPUS	UCOP	PN	Risk Services Cash Controls Review	1	50	H.b.02	X		Q2	
FY12	CAMPUS	UCOP	PN	Cash Controls Review Budget and Capital Planning	1	50	H.b.02	X		Q3	
FY12	CAMPUS	UCOP	PN	Laboratory Management Office Cost Allowability 2011	1	150	D.h.01			Q3	
<b>(b) Subtotal - Planned New Audits</b>						1100					
FY12	CAMPUS	UCOP	PS	<b>(c) Planned Supplemental Audits (lumpsum)</b>		500					
FY12	CAMPUS	UCOP	PNF	<b>(d) Audit Follow Up (lump sum)</b>		200					
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						1800					
<b><u>Planned Advisory Services:</u></b>											
FY12	CAMPUS	UCOP	SC	Executive Compensation Review 2012		200	I.b.06			Q3	
FY12	CAMPUS	UCOP	SC	Records Management Task Force		50	M.b.08			Q1-Q4	
FY12	CAMPUS	UCOP	SC	Treasurer's Annual incentive Plan 2010-11 Data Review		85	J.b.06			Q1	
FY12	CAMPUS	UCOP	SC	ANR Internal Controls Review of the Kearney Service Center		300	F.a.05			Q2	
FY12	CAMPUS	UCOP	SC	IBM Mini review of RACF		50	G.g.01			Q1-Q4	
FY12	CAMPUS	UCOP	SC	Review of new wireless implementation		50	G.g.01			Q1	
FY12	CAMPUS	UCOP	SC	DOS Committee Participation		50	H.e.01			Q1-Q4	
FY12	CAMPUS	UCOP	SC	RASC Sales Force Implementation		300	D.d.03		S	Q1-Q4	
FY12	CAMPUS	UCOP	SC	Upgraded Endowment Reporting System (EIAS) 2 modules		200	H.d.04		S	Q1-Q4	
FY12	CAMPUS	UCOP	SC	RGPO Training on Financial Statement Analysis		20	H.d.			Q1-Q4	
FY12	CAMPUS	UCOP	SC	UCDC Review of Revenue Recognition and Students' Safety		350	D.a.04			Q1-Q4	
FY12	CAMPUS	UCOP	SC	Miscellaneous Consultations		100				Q1-Q4	
<b>(e) Subtotal - Planned Advisory Services</b>						1755					
<b><u>Unplanned Advisory Services (by Category) <sup>(2)</sup></u></b>											
FY12	CAMPUS	UCOP	SC	<b>Unplanned SC</b>		50					
FY12	CAMPUS	UCOP	SE	<b>Unplanned SE</b>		0					
FY12	CAMPUS	UCOP	SI	<b>Unplanned SI</b>		50					
FY12	CAMPUS	UCOP	SP	<b>Unplanned SP</b>							
FY12	CAMPUS	UCOP	SU	<b>Unplanned SU</b>							
FY12	CAMPUS	UCOP	SR	<b>Unplanned SR</b>		60					

(f) Subtotal - Unplanned Advisory Services

160

**Total Advisory Services (e+f) <sup>(1)</sup>**

1915

FY12 CAMPUS UCOP IN **Planned Investigation Hours (lump sum)**

0

FY12 CAMPUS UCOP **Total Audits, Advisory Services, and Investigations**

3715.0

<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