

UCB

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator ⁽³⁾	Est. Qtr Completion
				Prior Year Audits Not Completed (DNFs):						
FY13	Campus	UCB	DNF	TBD		100.0				
						(a) Subtotal - Planned Carry Forward	100.0			
				Planned New Audits (PNs):						
FY13	Campus	UCB	PN	Human Resources Hiring Practices	1	300	J.b.04			2
	Campus	UCB	PN	IT Governance (system)	1	200	G.a.01	G		3
	Campus	UCB	PN	IT Architecture	1	300	G.c.01	T		3
	Campus	UCB	PN	Travel and Entertainment	1	300	H.e.01	S		1
	Campus	UCB	PN	Shared Services	1	200	Z.a.03			3
	Campus	UCB	PN	Support and Affiliated Organizations	1	240	L.a.06			2
	Campus	UCB	PN	Online Education Programs	1	160	A.c			2
	Campus	UCB	PN	Identity and Access Management	1	200	G.g.01	G		3
	Campus	UCB	PN	Compensation and Classification	1	300	J.b.01			2
	Campus	UCB	PN	UC Path						
	Campus	UCB	PN	Extramural Funds Accounting	1	280	E.e.01			3
	Campus	UCB	PN	Delegation of Authority and Signature Authorization	1	180	H			2
	Campus	UCB	PN	Research Enterprise Services	1	180	E.c.01			4
	Campus	UCB	PN	Timekeeping and Leave Accrual	1	240	H.e.04; J.c.01	I		2
	Campus	UCB	PN	BearBuy	1	240	H.f.04; H.f.04	S		3
	Campus	UCB	PN	Key Financial Controls	1	240	H.d.01			4
	Campus	UCB	PN	Privacy	1	160	Z.a.02			2
	Campus	UCB	PN	Sustainability	1		Z.a.01			
	Campus	UCB	PN	Chancellor's Office	1	160	A.b.01			1
	Campus	UCB	PN	Youth on Campus	1	140	A.e.01			2
	Campus	UCB	PN	Student Financial Aid - Middle Class Access Plan	1	160	A.d.03			4
	Campus	UCB	PN	Major Construction - California Memorial Stadium	1	200	K.a.01			4
						(b) Subtotal - Planned New Audits	4380			
FY13	Campus	UCB	PS	(c) Planned Supplemental Audits (lumpsum)		1300				
FY13	Campus	UCB	PNF	(d) Audit Follow Up (lump sum)		700				
						Total Planned Audit Program (a+b+c+d) ⁽¹⁾	6480.0			
				Planned Advisory Services:						
	Campus	UCB	SC	Annual Report of Executive Compensation		120	J.b.06			
	Campus	UCB	SC	Contracts and Grants System Implementation		120				
	Campus	UCB	SC	Internal Control Documentation Review		120	H.d.01			
	Campus	UCB	SC	Student Information Systems Implementation		120				
						(e) Subtotal - Planned Advisory Services	480			
				Unplanned Advisory Services (by Category) ⁽²⁾						
FY13	Campus	UCB	SC	Consultations/Spec. Projects, SC		849				
FY13	Campus	UCB	SE	Ext. Audit Coordination, SE		100				
FY13	Campus	UCB	SI	Internal Control & Accountability, SI		240				
FY13	Campus	UCB	SP	IPA, COI & Other, SP		0				
FY13	Campus	UCB	SU	Compliance Support, SU		240				
FY13	Campus	UCB	SR	Systems Dev., Reengineering Teams, etc., SR		500				
						(f) Subtotal - Unplanned Advisory Services	1929			
						Total Advisory Services (e+f) ⁽¹⁾	2409			
FY13	Campus	UCB	IN	Planned Investigation Hours (lump sum)		1500				
						Total Audits, Advisory Services, and Investigations	10389.0			

⁽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