

UCM

FY	LOB	LOC	Prj 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):										
FY13	CAM	UCM	PN	IT Performance, Backups of PC's and Laptops, e-mail storage (Postponed during FY 2012)	2	100	G.d.01		G	3
(a) Subtotal - Planned Carry Forward						100				
Planned New Audits (PNs):										
FY13	CAM	UCM	PN	Travel and Entertainment Audit - Systemwide	3	150	H.c.04	x		1
FY13	CAM	UCM	PN	IT Governance - Systemwide	1	200	G.a.01		G	2
FY13	CAM	UCM	PN	AREC, G-45 & Executive T&E - Systemwide	3	100	D.d.04			3
FY13	CAM	UCM	PN	Outside Professional Activities - Systemwide	3	25	H.h.01			3
FY13	CAM	UCM	PN	Construction (Prop 1D Project) - Systemwide (Include review of low value projects)	2	150	K.a	x		3
FY13	CAM	UCM	PN	Review of Financial Procedures - GL Reconciliation, Subledgers, and Recharge	2	150	H.d	x		1
FY13	CAM	UCM	PN	Grant Processing - Pre and Post Award	1	200	E.d	x		2
FY13	CAM	UCM	PN	Review of Human Resources and Payroll (Complete at same time as UCSPATH review)	1	150	J.b	x		4
FY13	CAM	UCM	PN	Low Value Purchases in Departments and P-Cards	2	100	H.f.03	x		1
(b) Subtotal - Planned New Audits						1,225				
FY13	CAM	UCM	PS	(c) Planned Supplemental Audits (lumpsum)		120				
FY13	CAM	UCM	PNF	(d) Audit Follow Up (lump sum)		20				
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						1,465				
Planned Advisory Services:										
FY13	CAM	UCM	SC	UCSPATH - Systemwide		200	J.b		S	4
Limited Scope Reviews of Departments and processes										
FY13	CAM	UCM	SI	Review of EH&S Responsibilities	1	50	I.b			3
FY13	CAM	UCM	SI	Bookstore Operations	1	50	M.a.02			2
FY13	CAM	UCM	SI	Sierra Nevada Research Institute (SNRI)	2	75	E.c			4
FY13	CAM	UCM	SI	Athletics - Team Travel, etc.	3	75	M.a.01			4
FY13	CAM	UCM	SI	Center for Educational Partnership	3	50	A.e.01			4
(e) Subtotal - Planned Advisory Services						500				
Unplanned Advisory Services (by Category) ⁽²⁾										
FY13			SC	Unplanned SC						
FY13			SE	Unplanned SE						
FY13			SI	Unplanned SI						
FY13			SP	Unplanned SP						
FY13			SU	Unplanned SU						
FY13			SR	Unplanned SR						
(f) Subtotal - Unplanned Advisory Services						-				
Total Advisory Services (e+f) ⁽¹⁾						500				
FY13			IN	Planned Investigation Hours (lump sum)		80				
Total Audits, Advisory Services, and Investigations						2,045				

⁽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