

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
<u>Prior Year Audits Not Completed (DNFs):</u>										
FY17	Campus	UCB	DNF	Leave Management and Accrual		100.0	J.c.01			
FY17	Campus	UCB	DNF	General Prior Year Cleanup		200.0				
						(a) Subtotal - Planned Carry Forward	300.0			
<u>Planned New Audits (PNs):</u>										
FY17	Campus	UCB	PN	Internal Communication	1	160.0	N.d.02			4
FY17	Campus	UCB	PN	Sponsored Projects—Award Close-out	1	300.0	E.d.02			3
FY17	Campus	UCB	PN	Sponsored Projects—Indirect Cost Recovery	2	240.0	E.d.07			2
FY17	Campus	UCB	PN	Sponsored Projects—Sub-awards	1	300.0	E.d.04			4
FY17	Campus	UCB	PN	International Agreements	1	300.0	A.c.04			4
FY17	Campus	UCB	PN	Campus Shared Services	1	400.0	N.e.03			2
FY17	Campus	UCB	PN	Restricted Gifts	1	300.0	L.a.07			2
FY17	Campus	UCB	PN	Facility Services	1	300.0	K.b.02			4
FY17	Campus	UCB	PN	Capitalized Assets — Equipment and Software	1	300.0	H.g.02			4
FY17	Campus	UCB	PN	Disability Governance	1	300.0	N.c.10			2
FY17	Campus	UCB	PN	Common Good Expenses versus Recharged Expenses	1	240.0	H.i.01			3
FY17	Campus	UCB	PN	Supply Chain Management	1	300.0	H.f.04			4
FY17	Campus	UCB	PN	Intercollegiate Athletics—Expenses	2	240.0	M.a.01			3
FY17	Campus	UCB	PN	IT Disaster Recovery	1	300.0	G.b.08		G	3
FY17	Campus	UCB	PN	Human Resources—Data Management	1	300.0	G.a.02			2
FY17	Campus	UCB	PN	Cybersecurity (ECAS)	1	40.0	G.b.07		T	1
FY17	Campus	UCB	PN	Executive Compensation	2	180.0	J.b.06			3
						(b) Subtotal - Planned New Audits	4500.0			
FY17	Campus	UCB	PS	(c) Planned Supplemental Audits (lumpsum)		1000.0				
FY17	Campus	UCB	PNF	(d) Audit Follow Up (lump sum)		520.0				
						Total Planned Audit Program (a+b+c+d) ⁽¹⁾	6320.0			
<u>Planned Advisory Services:</u>										
FY17	Campus	UCB	SC	Operational Excellence—Leveraging Lessons Learned		300	N.e.05			
FY17	Campus	UCB	SC	Financial Fraud and Misconduct Risk Management - Procure to Pay Process		200	N.c.03			
						(e) Subtotal - Planned Advisory Services	500			
<u>Unplanned Advisory Services (by Category) ⁽²⁾</u>										
FY17	Campus	UCB	SC	Unplanned SC		698				
FY17	Campus	UCB	SE	Unplanned SE		100				
FY17	Campus	UCB	SI	Unplanned SI		200				
FY17	Campus	UCB	SP	Unplanned SP		0				
FY17	Campus	UCB	SU	Unplanned SU		200				
FY17	Campus	UCB	SR	Unplanned SR		100				
						(f) Subtotal - Unplanned Advisory Services	1298			
						Total Advisory Services (e+f) ⁽¹⁾	1798			
FY17	Campus	UCB	IN	Planned Investigation Hours (lump sum)		700				
						Total Audits, Advisory Services, and Investigations	8818.0			

⁽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)

^(*) 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