

FY	LOB	LOC	Type	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):											
FY17	Campus	SC	DNF				0				
(a) Subtotal - Planned Carry Forward							0				
Planned New Audits (PNs):											
FY17	Campus	SC	PN	SC-17-01	Distributed User Authentication Controls		350	G.a.01			Q2
FY17	Campus	SC	PN	SC-17-02	Information Technology End Point Security (BigFix)		350	G.a.01			Q3
FY17	Campus	SC	PN	SC-17-03	Laptop Security		350	G.a.01			Q4
FY17	Campus	SC	PN	SC-17-04	Independent Contactors		350	H.f.01			Q2
FY17	Campus	SC	PN	SC-17-05	Export Control Awareness Update		350	E.a.03			Q3
FY17	Campus	SC	PN	SC-17-06	Laser Safety		350	I.b.03			Q4
FY17	Campus	SC	PN	SC-17-07	Conflict of Interest Disclosures on Federal Contracts		350	E.a.02			Q2
FY17	Campus	SC	PN	SC-17-08	Chancellor's Expenses UC Policy BFB-G-45 (systemwide)		150	J.b.07			Q3
FY17	Campus	SC	PN	SC-17-09	Annual Report on Executive Compensation (AREC) (systemwide)		150	J.b.06			Q3
FY17	Campus	SC	PN	SC-17-10	Campus Use of Consultants		200	H.f.01			Q4
FY17	Campus	SC	PN	SC-17-11	Audit Placeholder (systemwide)		300				
(b) Subtotal - Planned New Audits							3250				
FY17	Campus	SC	PS	-	(c) Planned Supplemental Audits (lump sum)		296				
FY17	Campus	SC	PNF	-	(d) Audit Follow Up (lump sum)		125				
Total Planned Audit Program (a+b+c+d) ⁽¹⁾							3671				
Planned Advisory Services:											
FY17	Campus	UCSC	SC	SC-17-50	Office of Physical Education, Recreation and Sports (OPERS) Financial Review		350	M.a.01			1
FY17	Campus	UCSC	SC	SC-17-51	Summer Session Operations		300	A.c.02			4
FY17	Campus	UCSC	SC	SC-17-52	IAS Annual Risk Assessment and Audit Plan		180	-			4
FY17	Campus	UCSC	SC	SC-17-53	National Collegiate Athletic Association (NCAA) Report Annual Review		60	M.a.01			3
FY17	Campus	UCSC	SC	SC-17-54	Spreadsheet Use and Reporting Survey		80	Z.a.05			4
FY17	Campus	UCSC	SC	SC-17-55	Data Analytics Initiative		80	Z.a.06			4
FY17	Campus	UCSC	SC	-	Student Intern Program		60				
FY17	Campus	UCSC	SC	-	Compliance/Campus Ethics and Compliance Officer (CECO) Support		60				
FY17	Campus	UCSC	SC	-	Business & Administrative Services (BAS) Committees/Workgroups		40				
FY17	Campus	UCSC	SC	-	Investigation Workgroup		40				
FY17	Campus	UCSC	SC	-	Information Technology Security Committee		40				
FY17	Campus	UCSC	SC	-	Business & Administrative Services (BAS) Support		40				
FY17	Campus	UCSC	SC	-	University of California Laboratory Audit Committee Support		80				
FY17	Campus	UCSC	SC	-	Limited Scope Consultations/Special Projects (Max 4 hours)		175				
(e) Subtotal - Planned Advisory Services							1585				
Unplanned Advisory Services (by Category) ⁽²⁾											
FY17	CAM	UCSC	SE	-	External Audit Coordination		8				
FY17	CAM	UCSC	SI	-	Internal Control & Accountability Control Risk Self Assessment (CRSA)		1				
FY17	CAM	UCSC	SP	-	California Information Practices Act (IPA), Conflict of Interest (COI) & Other		1				
FY17	CAM	UCSC	SU	-	Compliance Support		1				
FY17	CAM	UCSC	SR	-	Systems Development, Reengineering Teams		20				
(f) Subtotal - Unplanned Advisory Services							31				
Total Advisory Services (e+f) ⁽¹⁾							1616				
FY17	CAM	UCSC	IN		Planned Investigation Hours (lump sum)		250				
Total Audits, Advisory Services, and Investigations							5537				

⁽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)