

UNIVERSITY OF CALIFORNIA								
INTERNAL AUDIT PLAN DETAIL								SCHEDULE 3
FY 2018								
UCR								
FY	LOB	LOC		Prj Code	Name/Title of Audit	Planned Hours	Primary Index Code	Est. Qtr Completion
					<u>Prior Year Audits Not Completed (DNFs):</u>			
					(a) Subtotal - Planned Carry Forward			
					<u>Planned New Audits (PNs):</u>			
FY18	HS	UCR	PN	R2018-01	School of Medicine	400		3
FY18	CAM	UCR	PN	R2018-02	IT Security - Small Departments	370		4
FY18	CAM	UCR	PN	R2018-03	School of Business Administration	400		1
FY18	CAM	UCR	PN	R2018-04	EH&S	400		4
FY18	CAM	UCR	PN	R2018-05	Annual Analytic Review & Fraud Detection	1,080		4
FY18	CAM	UCR	PN	R2018-06	Cash Handling	460		2
FY18	CAM	UCR	PN	R2018-07	Corporate Cards	500		3
FY18	CAM	UCR	PN	R2018-08	SMG Outside Professional Activities (SW)	150		4
FY18	CAM	UCR	PN	R2018-09	SMG Travel (SW)	170		4
FY18	CAM	UCR	PN	R2018-10	SMG AREC (SW)	150		4
FY18	CAM	UCR	PN	R2018-11	Temporary Employees	320		3
FY18	CAM	UCR	PN	R2018-12	Fair Wage Fair Work (SW)	300		4
					(b) Subtotal - Planned New Audits	4,700		
FY18	CAM	UCR	PS		(c) Planned Supplemental Audits (lumpsum)	670		
FY18	CAM	UCR	PNF		(d) Audit Follow Up (lump sum)	330		
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						<b>5,700</b>		
					<u>Planned Advisory Services:</u>			
FY18	CAM	UCR	SR	R2018-13	Organizational Excellence	420		4
FY18	CAM	UCR	SR	R2018-14	UC Path (Readiness Assessments) (SW)	740		1
FY18	CAM	UCR	SC	R2018-15	Natural Reserves	280		1
FY18	CAM	UCR	SC	R2018-16	Machine Shops	300		1
FY18	CAM	UCR	SI	R2018-17	Training - other	100		4
FY18	CAM	UCR	SI	R2018-18	Training - WB & Fraud	100		4
FY18	CAM	UCR	SI	R2018-19	Training - Orientation	70		4

					<b>Unplanned Advisory Services (by Category) <sup>(2)</sup></b>	2,010		
FY18			SC		<b>Unplanned SC</b>	200		
FY18			SE		<b>Unplanned SE</b>	60		
FY18			SI		<b>Unplanned SI</b>			
FY18			SP		<b>Unplanned SP</b>			
FY18			SU		<b>Unplanned SU</b>			
FY18			SR		<b>Unplanned SR</b>			
					<b>(f) Subtotal - Unplanned Advisory Services</b>	260		
					<b>Total Advisory Services (e+f) <sup>(1)</sup></b>	2,270		
FY18			IN		<b>Planned Investigation Hours (lump sum)</b>	1,340		
					<b>Total Audits, Advisory Services, and Investigations</b>	9,310		
					<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> <b>1 = Top 10 scores, 2 = next top 10 scores, 3 = all others</b>			
					<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			