

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
FY14			DNF	<u>Prior Year Audits Not Completed (DNFs):</u> <insert projects>		300.0				
				(a) Subtotal - Planned Carry Forward		300.0				
				<u>Planned New Audits (PNs):</u>						
FY14			PN	Alignment of Access, Administrative Roles and Responsibilities, Authority, and Accountability for Research Administration Post CSS Implementation		200.0				4
FY14			PN	Berkeley Education Alliance for Research in Singapore (BEARS)		240.0	A.b.01			3
FY14			PN	International contracting, Remote employees)		240.0	A.b.01			2
FY14			PN	Blum Center for Developing Economies		240.0	G.b.05	G		2
FY14			PN	Cloud Computing		240.0	N.c.10			4
FY14			PN	Institutional Compliance Program		240.0	K.b.04			4
FY14			PN	Deferred Maintenance – Governance and Resource Allocation		240.0	E.d.05			2
FY14			PN	Disclosure Statement (DS-2) Compliance		200.0	H.g.03			2
FY14			PN	Donor-Built Facilities		120.0	J.b.06			3
FY14			PN	Annual Report of Executive Compensation (system-wide)		120.0	J.b.06			3
FY14			PN	Chancellor's Expenses (G-45 Compliance) (system-wide)		150.0	J.b.01			3
FY14			PN	Compensation (system-wide)		280.0	J.b.04			3
FY14			PN	Human Resources - Hiring Practices (Independent Contractors vs. Contract Employees vs. Career Staff		300.0	J.b.03			3
FY14			PN	Human Resources - Employee and Labor Relation		50.0	M.a.01			1
FY14			PN	Intercollegiate Athletics (system-wide)		200.0	M.a.01			2
FY14			PN	Intercollegiate Athletics – Revenue Recognition		240.0	G.a.02	I		3
FY14			PN	Records Management		240.0	N.e.05			2
FY14			PN	Revenue Generation (including UBIT considerations)		300.0	H.i.01			2
FY14			PN	Service (Recharge) Center:		180.0	L.b.01	I		1
FY14			PN	Social Media		200.0	E.b.01			3
FY14			PN	Sponsored Projects - Participant Support		280.0	E.d.04			4
FY14			PN	Sponsored Projects - Subaward monitoring		240.0	A.c.04			1
FY14			PN	Supporting International Research		180.0	I.e.01			4
FY14			PN	Sustainability Reporting (Climate Neutral by 2025)		280.0	H.e.04	S		4
FY14			PN	Timekeeping, Leave Accrual, and Pavro						
				(b) Subtotal - Planned New Audits	0.0	5240.0				
FY14			PS	(c) Planned Supplemental Audits (lumpsum)		1160.0				
FY14			PNF	(d) Audit Follow Up (lump sum)		500.0				
				<b>Total Planned Audit Program (a+b+c+d) (1)</b>		<b>7200.0</b>				
				<u>Planned Advisory Services:</u>						
				Data Analysis						
				Procure to Pay - BearBuy – Ship to Address		60				
				Procure to Pay - Vendor Master		60				
				Procure to Pay - Duplicate Payments		60				
				Human Capital Management System - Employee Master/Ghost Employees		60				
				Human Capital Management System - Compensation Adjustments		60				
				(e) Subtotal - Planned Advisory Services		300				
				<u>Unplanned Advisory Services (by Category) (2)</u>						
FY14			SC	Unplanned SC		1200				
FY14			SE	Unplanned SE		100				
FY14			SI	Unplanned SI		240				
FY14			SP	Unplanned SP		0				
FY14			SU	Unplanned SU		240				
FY14			SR	Unplanned SR		374				
				(f) Subtotal - Unplanned Advisory Services		2154				
				<b>Total Advisory Services (e+f) (1)</b>		<b>2454</b>				
FY14			IN	Planned Investigation Hours (lump sum)		1400				
				<b>Total Audits, Advisory Services, and Investigations</b>		<b>11054.0</b>				

Identify Project Code for all specific projects →

(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