

| FY | LOB | LOC | Prj Code | Name/Title of Audit | High Risk ⁽¹⁾ 1, 2, 3 | Planned Hours | Primary Index Code | IT Core (x) Indicator ⁽³⁾ | Est. Qtr Completion |
|---|------|------|----------|---|---|------------------|-----------------------|---|------------------------|
| FY16 | CAM | UCOP | DNF | Prior Year Audits Not Completed (DNFs): <insert projects> | | | | | |
| (a) Subtotal - Planned Carry Forward | | | | | | | | | |
| Planned New Audits (PNs): | | | | | | | | | |
| P16A001 | FY16 | CAM | UCOP | PN | ANR 4-H Youth Development Program Cash Review | 200.0 | D.b.06 | | 1 |
| P16A002 | FY16 | CAM | UCOP | PN | ANR Research and Extension Center (REC) Review | 200.0 | D.b.05 | | 1 |
| P16A003 | FY16 | CAM | ECAS | PN | UCOP Executive Compensation (Systemwide) | 125.0 | J.b.06 | | 4 |
| P16A004 | FY16 | CAM | ECAS | PN | IT Security (Systemwide) | 200.0 | G.b.07 | | 4 |
| P16A005 | FY16 | CAM | ECAS | PN | Construction (Systemwide) | 200.0 | K.a | | 4 |
| P16A006 | FY16 | CAM | ECAS | PN | Medical Centers Clinical Enterprise Management Recognition Plan (CEMRP) | 250.0 | J.b.06 | | 2 |
| P16A007 | FY16 | CAM | ECAS | PN | Office of the Treasurer Annual Incentive Plan (AIP) | 250.0 | J.b.06 | | 2 |
| P16A008 | FY16 | CAM | ECAS | PN | OCIO Cash Management | 250.0 | H.b | | 1 |
| P16A009 | FY16 | CAM | ECAS | PN | OCIO Defined Contributions Plan | 250.0 | D.e | | 3 |
| P16A010 | FY16 | CAM | ECAS | PN | UCPath Application Security | 175.0 | G.b.07 | | 1 |
| P16A011 | FY16 | CAM | ECAS | PN | RASC Targeted Process Reviews | 225.0 | D.c.02 | | 3 |
| (b) Subtotal - Planned New Audits | | | | | | 2325.0 | | | |
| FY16 | CAM | UCOP | PS | | (c) Planned Supplemental Audits (lumpsum) | 975.0 | | | |
| FY16 | CAM | UCOP | PNF | | (d) Audit Follow Up (lump sum) | 300.0 | | | |
| Total Planned Audit Program (a+b+c+d) ⁽¹⁾ | | | | | | 3600.0 | | | |
| Planned Advisory Services: | | | | | | | | | |
| P16C001 | FY16 | CAM | UCOP | SR | Research Grants Program Office (RGPO) System Implementation Advisory Assistance | 100.0 | G.b.04 | | 4 |
| P16C002 | FY16 | CAM | UCOP | SC | ANR Cooperative Extension Support Costs - Phase 2 | 120.0 | D.b.03 | | 2 |
| P16C003 | FY16 | CAM | UCOP | SC | ANR Data Analytics Assistance | 100.0 | D.b.01 | | 4 |
| P16C004 | FY16 | CAM | UCOP | SR | ANR UCPath Future State Process Design Assistance | 150.0 | G.b.04 | | 2 |
| P16C005 | FY16 | CAM | UCOP | SC | OGC Financial Controls Review | 100.0 | H | | 1 |
| P16C006 | FY16 | CAM | UCOP | SC | Business Resource Center (BRC) Data Analytics Assistance | 100.0 | H | | 4 |
| P16C007 | FY16 | CAM | UCOP | SC | Data Center Migration | 150.0 | G.b.05 | | 2 |
| P16C008 | FY16 | CAM | ECAS | SC | Student Health Self-Assessment Assistance | 100.0 | O.b.01 | | 4 |
| P16C009 | FY16 | CAM | ECAS | SC | OCIO Business Continuity/Disaster Recovery Planning Assistance | 50.0 | G.b.08 | | 4 |
| P16C010 | FY16 | CAM | ECAS | SC | Uniform Guidance Advisory Assistance | 100.0 | E.a | | 4 |
| P16C011 | FY16 | CAM | ECAS | SR | UCPath Implementation Advisory Assistance | 400.0 | G.b.04 | | 4 |
| (e) Subtotal - Planned Advisory Services | | | | | | 1470.0 | | | |
| Unplanned Advisory Services (by Category) ⁽²⁾ | | | | | | | | | |
| FY16 | CAM | UCOP | SC | | Unplanned SC | 500 | | | |
| FY16 | CAM | UCOP | SE | | Unplanned SE | 320 | | | |
| FY16 | CAM | UCOP | SI | | Unplanned SI | 0 | | | |
| FY16 | CAM | UCOP | SP | | Unplanned SP | 0 | | | |
| FY16 | CAM | UCOP | SU | | Unplanned SU | 600 | | | |
| FY16 | CAM | UCOP | SR | | Unplanned SR | 230 | | | |
| (f) Subtotal - Unplanned Advisory Services | | | | | | 1650 | | | |
| Total Advisory Services (e+f) ⁽¹⁾ | | | | | | 3120.0 | | | |
| FY16 | | | IN | | Planned Investigation Hours (lump sum) | 500 | | | |
| Total Audits, Advisory Services, and Investigations | | | | | | 7220.0 | | | |

⁽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)

⁽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