

FY 2018 Audit Plan - Schedules 1 & 2

UCD

Schedule 1 - Personnel Gross & Net Available Hours Calculation		Total Year FTE's	1st Quarter 9/30/2017	2nd Quarter 12/31/2017	3rd Quarter 3/31/2018	4th Quarter 6/30/2018
Number of authorized professional staff		12.00	12.00	12.00	12.00	12.00
Number of Permanently <b>OPEN</b> Authorized Professional Staff Positions			0.00	0.00	0.00	0.00
Number of professional positions at full staffing		12.00	12.00	12.00	12.00	12.00
<b>PLANNED ACTUAL FTEs</b>						
Beginning of Period		12.00	12.00	12.00	12.00	12.00
Additions--Permanent		0.00	0.00	0.00	0.00	0.00
Additions--Temporary		0.00	0.00	0.00	0.00	0.00
Departure --Within UC		(0.00)	(0.00)	(0.00)	(0.00)	(0.00)
Departure--Outside UC		(0.00)	(0.00)	(0.00)	(0.00)	(0.00)
Retirements		(0.00)	(0.00)	(0.00)	(0.00)	(0.00)
Long-Term Leave		(0.00)	(0.00)	(0.00)	(0.00)	(0.00)
Estimated Turnover		(0.00)	(0.00)	(0.00)	(0.00)	(0.00)
End of Period		12.00	12.00	12.00	12.00	12.00
<b>GROSS &amp; NET AVAILABLE HRS CALCULATION</b>						
Weighted Avg. FTE's		12.00	12.00	12.00	12.00	12.00
Hours in the period - Campus		2,080	520	520	520	520
Hours in the period - Lab		0				
Subtotal - Lab / Campus		24,960	6240	6240	6240	6240
Other Resources:						
Overtime		0	0	0	0	0
Contract Labor/Interns		0	0	0	0	0
Recharge In (or Out)		0	0	0	0	0
Admin. & Other		0	0	0	0	0
Subtotal		0	0	0	0	0
Gross Available Hours		24,960	6240	6240	6240	6240
Non Controllable Hours		4,252	1042	1166	1135	909
Non Controllable Hours Percent		17.04%	16.70%	18.69%	18.19%	14.57%
Net Available Hours		20,708	5198	5074	5105	5331

Schedule 2 - Activity Report Distribution of Net Available Hours		UCOP % Guideline	Total Year Hours	1st Quarter 9/30/2016	2nd Quarter 12/31/2016	3rd Quarter 3/31/2017	4th Quarter 6/30/2017
<b>INDIRECT HOURS</b>							
Administration	5--10%		1,300	350	300	300	350
Professional Development	2--5%		700	175	175	175	175
Other	0--3%		0	0	0	0	0
Total Indirect Hours			2,000	525	475	475	525
Total Indirect Percent	15%		9.66%	10.10%	9.37%	9.31%	9.85%
<b>DIRECT HOURS</b>							
<b>Audit Program</b>							
Prior Year Audits Not Completed, DNF			0				
Planned New Audits, PN			6,600	1650	1650	1650	1650
Supplemental Audits, PS	Approx 10%		2,850	712	713	712	713
Audit Follow up, PNF			1,540	385	385	385	385
Total Audit Program Hours			10,990	2747	2748	2747	2748
Total Audit Program Percent	40--60%		53.07%	52.85%	54.16%	53.81%	51.55%
<b>Advisory Services</b>							
Consultations/Spec. Projects, SC			4,110	1028	1027	1028	1027
Ext. Audit Coordination, SE			1,200	300	300	300	300
Unplanned SC			698	174	175	174	175
Internal Control & Accountability, SI			0				
IPA, COI & Other, SP			0				
Compliance Support, SU			0				
Systems Dev., Reengineering Teams, etc., SR			0				
Total Advisory Services Hours			6,008	1502	1502	1502	1502
Total Advisory Services Percent	10--25%		29.01%	28.90%	29.60%	29.42%	28.17%
<b>Investigations Hours, IN</b>							
Investigations Hours, IN			775	194	194	193	194
Investigations Percent	10--20%		3.74%	3.73%	3.82%	3.78%	3.64%
<b>Audit Support Activities</b>							
Audit Planning			250	0	0	81	169
Audit Committee Support			185	45	50	45	45
Systemwide Audit Support			260	108	50	7	95
Computer Support			240	77	55	55	53
Quality Assurance			0	0	0	0	0
Total Audit Support Hours			935	230	155	188	362
Total Audit Support Percent	5--10%		4.52%	4.42%	3.05%	3.68%	6.79%
Total Direct Hours			18,708	4673	4599	4630	4806

<b>Total Direct Percent</b>	<b>85%</b>	<b>90.34%</b>	<b>89.90%</b>	<b>90.63%</b>	<b>90.69%</b>	<b>90.15%</b>
<b>Total Net Available Hours</b>		<b>20,708</b>	<b>5198</b>	<b>5074</b>	<b>5105</b>	<b>5331</b>
<b>Total Net Available Percent</b>	<b>100%</b>	<b>100.00%</b>	<b>100.00%</b>	<b>100.00%</b>	<b>100.00%</b>	<b>100.00%</b>