

FY 2018 Audit Plan - Schedules 1 & 2

UC Irvine

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	Lab 9/30/2018
Number of authorized professional staff		9.00	9.00	9.00	9.00	9.00	
Number of Permanently <u>OPEN</u> Authorized Professional Staff Positions							
Number of professional positions at full staffing		9.00	9.00	9.00	9.00	9.00	0.00
PLANNED ACTUAL FTEs							
Beginning of Period		9.00	9.00	9.00	9.00	9.00	-
Additions--Permanent		0.00					
Additions--Temporary		0.00					
Departure --Within UC		(0.00)					
Departure--Outside UC		(0.00)					
Retirements		(0.00)					
Long-Term Leave		(0.00)					
Estimated Turnover		(0.00)					
End of Period		9.00	9.00	9.00	9.00	9.00	0.00
GROSS & NET AVAILABLE HRS CALCULATION		Total Year Hours	1st Quarter 9/30/2017	2nd Quarter 12/31/2017	3rd Quarter 3/31/2018	4th Quarter 6/30/2018	Lab 9/30/2018
Weighted Avg. FTE's		9.00	9.00	9.00	9.00	9.00	
Hours in the period - Campus		2,080	520	520	520	520	
Hours in the period - Lab		2,080					520
Subtotal - Lab / Campus		18,720	4680	4680	4680	4680	0
Other Resources:							
Overtime		0					
Contract Labor/Interns		0					
Recharge In (or Out)		0					
Admin. & Other		0					
Subtotal		0	0	0	0	0	0
Gross Available Hours		18,720	4680	4680	4680	4680	0
Non Controllable Hours		3,440	980	1020	740	700	
Non Controllable Hours Percent		18.38%	20.94%	21.79%	15.81%	14.96%	-
Net Available Hours		15,280	3700	3660	3940	3980	0
Schedule 2 - Activity Report Distribution of Net Available Hours		Total Year Hours	1st Quarter 9/30/2017	2nd Quarter 12/31/2017	3rd Quarter 3/31/2018	4th Quarter 6/30/2018	Lab 9/30/2018
INDIRECT HOURS							
Administration		1,130	345	160	325	300	
Professional Development		920	230	230	230	230	
Other		180	45	45	45	45	
Total Indirect Hours		2,230	620	435	600	575	0
Total Indirect Percent		14.59%	16.77%	11.88%	15.23%	14.44%	-
DIRECT HOURS							
Audit Program							
Prior Year Audits Not Completed, DNF		0					
Planned New Audits, PN		6,350	1200	1600	1850	1700	
Supplemental Audits, PS		1,050	300	300	150	300	
Audit Follow up, PNF		600	150	150	150	150	
Total Audit Program Hours		8,000	1650	2050	2150	2150	0
Total Audit Program Percent		52.36%	44.59%	56.01%	54.57%	54.02%	-
Advisory Services							
Consultations/Spec. Projects, SC		1,200	300	300	300	300	
Ext. Audit Coordination, SE		120	30	30	30	30	
Internal Control & Accountability, SI		120	30	30	30	30	
IPA, COI & Other, SP		120	30	30	30	30	
Compliance Support, SU		120	30	30	30	30	
Systems Dev., Reengineering Teams, etc., SR		120	30	30	30	30	
Total Advisory Services Hours		1,800	450	450	450	450	0

Total Advisory Services Percent	11.78%	12.16%	12.30%	11.42%	11.31%	-
Investigations Hours, IN	2,400	800	500	500	600	-
Investigations Percent	15.71%	21.62%	13.66%	12.69%	15.08%	-
Audit Support Activities						
Audit Planning	275	50	75	100	50	
Audit Committee Support	160	40	40	40	40	
Systemwide Audit Support	375	80	100	90	105	
Computer Support	0	0	0	0	0	
Quality Assurance	40	10	10	10	10	
Total Audit Support Hours	850	180	225	240	205	0
Total Audit Support Percent	5.56%	4.86%	6.15%	6.09%	5.15%	-
Total Direct Hours	13,050	3080	3225	3340	3405	0
Total Direct Percent	85.41%	83.23%	88.12%	84.77%	85.56%	-
Total Net Available Hours	15,280	3700	3660	3940	3980	0
Total Net Available Percent	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

Schedule 1,2 - Cross Check	Total Year Hours	1st Quarter 9/30/2017	2nd Quarter 12/31/2017	3rd Quarter 3/31/2018	4th Quarter 6/30/2018	Lab 9/30/2018
<i>Total net available hours (From Sch 1)</i>	15280.00	3700.00	3660.00	3940.00	3980.00	0.00
<i>Total net available hours (From Sch 2)</i>	15280.00	3700.00	3660.00	3940.00	3980.00	0.00
Total A+AS+IN (Scd 3 Check)	12200	2900	3000	3100	3200	0
Actual FTEs, End of Period (Check down)	9.00	9.00	9.00	9.00	9.00	0.00
Avail. Hours, Other Res., Subtotal (Check Down)	0	0	0	0	0	0
Gross Available Hours	18720	4680	4680	4680	4680	0
Net Available Hours	15280	3700	3660	3940	3980	0
Indirect Hours	2230	620	435	600	575	0
Audit Program	8000	1650	2050	2150	2150	0
Audit Support Activities	850	180	225	240	205	0
Investigations Hours	2400	800	500	500	600	0
Advisory Services	1800	450	450	450	450	0
Total Direct Hours	13050	3080	3225	3340	3405	0
Net Available Hours	15280	3700	3660	3940	3980	0