

FY	LOB	LOC	Type	Prj Code	Name/Title of Audit	High Risk ⁽¹⁾ 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator ⁽³⁾	Est. Qtr Completion
Prior Year Audits Not Completed (DNFs):											
FY16	Campus	UCM	DNF	M16A006	2nd Year Export controls	1	50	E.a.03			1st Quarter
(a) Subtotal - Planned Carry Forward							50				
Planned New Audits (PNs):											
FY17	Campus	UCM	PN	M17A001	Pre-Award and Post-Award Processes	2	150	E.d.01/02			1st Quarter
FY17	Campus	UCM	PN	M17A002	Pay Increases and Performance Evaluations	2	300	J.b.07			2nd Quarter
FY17	Campus	UCM	PN	M17A003	Access to Student Data - Banner Access Controls	1	200	G.a.01		G	3rd Quarter
FY17	Campus	UCM	PN	M17A004	Annual Report of Executive Compensation	3	100	J.b.06			3rd Quarter
FY17	Campus	UCM	PN	M17A005	Safety (Safe Work Practices and Building Access)	3	200	I.b.03			3rd Quarter
FY17	Campus	UCM	PN	M17A006	Strategic Sourcing	1	100	H.f.04			4th Quarter
FY17	Campus	UCM	PN	M17A007	Fair Wage/Fair Work (Systemwide)	3	100	J.b.03			4th Quarter
(b) Subtotal - Planned New Audits							1,150				
<i>Added to Plan during Year:</i>											
FY17	Campus	UCM	PN	M17A008	Campuswide Hiring Practices		300				
FY17	Campus	UCM	PS		(c) Planned Supplemental Audits (lumpsum)		200				
FY17	Campus	UCM	PNF		(d) Audit Follow Up (lump sum)		40				
Total Planned Audit Program (a+b+c+d) ⁽¹⁾							1,440				
Planned Advisory Services:											
FY17	Campus	UCM	SC	M17C001	Fraud Risk Management Program (Reviewing Fraud Risks and Conflicts of Interest)	2	300	N.c.03			1st Quarter
FY17	Campus	UCM	SC	M17C002	Employee Turnover and Employee Success (Reclasses, Equity, Work Environment, Training)	2	200	J.b.07			1st Quarter
FY17	Campus	UCM	SC	M17C003	Student Housing	2	200	O.c.02			2nd Quarter
FY17	Campus	UCM	SC	M17C004	2020 Project Impact on Campus Risk Assessment	1	300	F.a.04			4th Quarter
(e) Subtotal - Planned Advisory Services							1,000				
Unplanned Advisory Services (by Category) ⁽²⁾											
FY17	Campus		SC		Unplanned SC		500				
FY17	Campus		SE		Unplanned SE						
FY17	Campus		SI		Unplanned SI						
FY17	Campus		SP		Unplanned SP						
FY17	Campus		SU		Unplanned SU						
FY17	Campus		SR		Unplanned SR						
(f) Subtotal - Unplanned Advisory Services							500				
Total Advisory Services (e+f) ⁽¹⁾							1,500				
FY17	Campus		IN	M17I100	Planned Investigation Hours (lump sum)		400				
Total Audits, Advisory Services, and Investigations							3,340				

⁽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