

| FY   | LOB | LOC  | Prj Code | Name/Title of Audit  | High Risk*<br>1, 2, 3 | Planned<br>Hours | Primary<br>Index Code | Core<br>(X=Yes <sup>(3)</sup> ) |
|--|-----|------|----------|--|-----------------------|------------------|-----------------------|---------------------------------|
| <b><u>Planned Carry Forward (PCs)</u></b>            |     |      |          |  |                       |                  |                       |                                 |
| <b>Campus</b>  |     |      |          |  |                       |                  |                       |                                 |
| FY06   | CAM | UCLA | PC       | IRB Animal Subjects  | 1                     | 350              | E.b.02                |                                 |
| FY06   | CAM | UCLA | PC       | Procurement Cards  | 1                     | 350              | H.f.03                |                                 |
| FY06   | CAM | UCLA | PC       | Regental Ethics Audits - Phase I                                     | 1                     | 200              | J.b.02.01             |                                 |
| FY06   | CAM | UCLA | PC       | Materials & Equipment Purchasing                                     | 3                     | 300              | K.b.02                |                                 |
| <b>Total Planned Carry Forward - Campus</b>          |     |      |          |  |                       | <u>1200</u>      |                       |                                 |
| <b>Health Sciences</b>                               |     |      |          |  |                       |                  |                       |                                 |
| FY06   | HS  | UCLA | PC       | CCP - Physician Receivables  | 1                     | 150              | B.i.03                |                                 |
| FY06   | HS  | UCLA | PC       | CCP - Professional Fee Compliance                                    | 3                     | 200              | E.a.04                |                                 |
| FY06   | HS  | UCLA | PC       | HS - Clinical Trials IRB   | 3                     | 50               | E.b.03                |                                 |
| FY06   | HS  | UCLA | PC       | HS - Nursing Staffing (Advisory)                                     | 3                     | 200              | J.b.04                |                                 |
| FY06   | HS  | UCLA | PC       | SMH - Rehabilitation Services  | 3                     | 200              | B.e.01.02             |                                 |
| <b>Total Planned Carry Forward - Health Sciences</b> |     |      |          |  |                       | <u>800</u>       |                       |                                 |
| <b>(a) Subtotal - Planned Carry Forward</b>          |     |      |          |  |                       | <u>2000</u>      |                       |                                 |
| <b><u>Planned New Audits (PNs):</u></b>              |     |      |          |  |                       |                  |                       |                                 |
| <b>Campus</b>  |     |      |          |  |                       |                  |                       |                                 |
| FY06   | CAM | UCLA | PN       | AS - UCLA Store - Apparel & Accessories                              | 3                     | 240              | M.a.02                |                                 |
| FY06   | CAM | UCLA | PN       | AS - UCLA Restaurants - North Campus & Coop                          | 3                     | 260              | M.a.03                |                                 |
| FY06   | CAM | UCLA | PN       | AS - Finance - Financial Reporting                                   | 3                     | 320              | A.d.02                |                                 |
| FY06   | CAM | UCLA | PN       | AS - Finance - Main Cashie's Office                                  | 3                     | 120              | A.d.02                |                                 |
| FY06   | CAM | UCLA | PN       | AS - Finance - Cash Count Verification                               | 3                     | 60               | A.d.02                |                                 |
| FY06   | CAM | UCLA | PN       | AS - IS - Restaurants POS System                                     | 3                     | 240              | A.d.02                |                                 |
| FY06   | CAM | UCLA | PN       | Central Ticket Office Cashiering                                     | 2                     | 280              | H.b.02                |                                 |
| FY06   | CAM | UCLA | PN       | Central Ticket Office Ticket Inventory                               | 3                     | 220              | H.g.05                |                                 |
| FY06   | CAM | UCLA | PN       | Communications Technology Services Recharges                         | 3                     | 460              | H.l.01                |                                 |
| FY06   | CAM | UCLA | PN       | Housing Accounts Receivable  | 2                     | 350              | M.a.04                |                                 |
| FY06   | CAM | UCLA | PN       | Housing Main Cashier's and Vending Services Cashiering Offices       | 2                     | 360              | H.b.02                |                                 |
| FY06   | CAM | UCLA | PN       | Lake Arrowhead Conference Center                                     | 3                     | 400              | M.b.01                |                                 |
| FY06   | CAM | UCLA | PN       | Mail, Document, and Distribution Services- Copy Services A/P and A/R | 3                     | 390              | H.a.01                |                                 |
| FY06   | CAM | UCLA | PN       | Mail, Document, and Distribution Services Laser Check Control        | 3                     | 100              | M.b.05                |                                 |
| FY06   | CAM | UCLA | PN       | UCLA Events Office   | 3                     | 240              | M.a.09                |                                 |
| FY06   | CAM | UCLA | PN       | University Apartments Furniture and Equipment Inventory              | 3                     | 190              | M.a.04                |                                 |
| FY06   | CAM | UCLA | PN       | University Guest House   | 2                     | 220              | M.a.04                |                                 |
| FY06   | CAM | UCLA | PN       | Wilshire Center Operations   | 3                     | 280              | H.g.03                |                                 |
| FY06   | CAM | UCLA | PN       | Bruin Park Plus  | 3                     | 180              | M.a.07                |                                 |
| FY06   | CAM | UCLA | PN       | TS - Cash Count/Other Misc.  | 3                     | 200              | M.a.07                |                                 |
| FY06   | CAM | UCLA | PN       | Faculty/Staff/Student Carpool  | 2                     | 300              | M.b.04                |                                 |
| FY06   | CAM | UCLA | PN       | FTS Recharge Activity  | 3                     | 240              | H.i.01                |                                 |
| FY06   | CAM | UCLA | PN       | TS - Cashier's Office/Meter Coll                                     | 3                     | 380              | M.a.07                |                                 |
| FY06   | CAM | UCLA | PN       | TS - Accounts Receivable   | 3                     | 350              | M.a.07                |                                 |
| FY06   | CAM | UCLA | PN       | Vanpool Program  | 2                     | 130              | M.b.04                |                                 |
| FY06   | CAM | UCLA | PN       | Regental Ethics Audit - Phase II                                     | 1                     | 200              | J.b.02.01             |                                 |
| FY06   | CAM | UCLA | PN       | ORU/Insitutes  | 1                     | 400              | E.c.01                | X                               |
| FY06   | CAM | UCLA | PN       | Logical Security   | 1                     | 200              | G.b.02                | X                               |
| FY06   | CAM | UCLA | PN       | Data Center Operations & OS Software                                 | 1                     | 200              | G.b.04                | X                               |
| FY06   | CAM | UCLA | PN       | Accounts Payable   | 1                     | 400              | H.c.01                | X                               |
| FY06   | CAM | UCLA | PN       | Entertainment  | 2                     | 240              | H.c.03                | X                               |
| FY06   | CAM | UCLA | PN       | Payroll Processing   | 1                     | 320              | H.e.01                | X                               |
| FY06   | CAM | UCLA | PN       | Major Construction   | 1                     | 400              | K.a.01                | X                               |
| FY06   | CAM | UCLA | PN       | Joint Ventures/Partnerships/Affiliated Organizations                 | 1                     | 400              | H.h.02                |                                 |

|      |     |      |    |                        |   |     |        |   |
|------|-----|------|----|------------------------|---|-----|--------|---|
| FY06 | CAM | UCLA | PN | Emergency Student Loan | 1 | 340 | A.d.03 | X |
| FY06 | CAM | UCLA | PN | Foundations            | 2 | 400 | L.a.03 |   |
| FY06 | CAM | UCLA | PN | Financial Aid          | 1 | 390 | A.d.03 | X |

|  |     |      |     |  |   |              |           |   |
|--|-----|------|-----|--|---|--------------|-----------|---|
| FY06   | CAM | UCLA | PN  | Work Order Review  | 3 | 400          | K.b.02    |   |
| FY06   | CAM | UCLA | PN  | Crafts & Alterations General Ops                             | 3 | 350          | K.b.02    |   |
| FY06   | CAM | UCLA | PN  | Maintenance Dept. Materials & Equipment                      | 3 | 300          | K.b.02    |   |
| FY06   | CAM | UCLA | PN  | Contracting & Project Management                             | 1 | 350          | K.a.08    |   |
| <b>Total Planned New Audits - Campus</b>                   |     |      |     |  |   | <u>11800</u> |           |   |
| <b>Health Sciences</b>                                     |     |      |     |  |   |              |           |   |
| FY06   | HS  | UCLA | PN  | HS - Hospital Receivables                                    | 1 | 550          | B.i.01    | X |
| FY06   | HS  | UCLA | PN  | HS - Logical Security  | 1 | 200          | G.b.02    | X |
| FY06   | HS  | UCLA | PN  | HS - Data Center Operations & OS Software                    | 1 | 200          | G.b.04    | X |
| FY06   | HS  | UCLA | PN  | HS - HIPAA Security Compliance                               | 1 | 300          | B.b.03    |   |
| FY06   | HS  | UCLA | PN  | HS - Accounts Payable  | 1 | 460          | H.c.01    | X |
| FY06   | HS  | UCLA | PN  | HS - Time Reporting  | 1 | 400          | H.e.04    | X |
| FY06   | HS  | UCLA | PN  | HS - Payroll Processing (combine w/ Time Reporting)          | 2 | 300          | H.e.01    | X |
| FY06   | HS  | UCLA | PN  | HS - Hospital/Facility Compliance (Annual Report)            | 1 | 400          | E.a.01    | X |
| FY06   | HS  | UCLA | PN  | HS - Dialysis Services                                       | 2 | 450          | B.c.01    |   |
| FY06   | HS  | UCLA | PN  | HS - Laboratories Compliance (Drill Down Element?)           | 2 | 580          | E.a.03    | X |
| FY06   | HS  | UCLA | PN  | HS - Housestaff Duty Hours                                   | 2 | 480          | J.b.02    |   |
| FY06   | HS  | UCLA | PN  | HS - Emergency Room  | 2 | 450          | B.g.01    |   |
| FY06   | HS  | UCLA | PN  | HS - Nursing Registries                                      | 2 | 380          | J.b.05    |   |
| FY06   | HS  | UCLA | PN  | HS - Regental Ethics Audit - Phase II                        | 1 | 200          | J.b.02.01 |   |
| FY06   | HS  | UCLA | PN  | CCP - Physician Receivables                                  | 1 | 550          | B.i.03    | X |
| <b>Total Planned New Audits - Health Sciences</b>          |     |      |     |  |   | <u>5900</u>  |           |   |
| <b>(b) Subtotal - Planned New Audits</b>                   |     |      |     |  |   | <u>17700</u> |           |   |
| FY06   | cam | UCLA | PS  | <b>(c) Planned Supplemental Audits (lumpsum)</b>             |   | <u>1000</u>  |           |   |
| FY06   | cam | UCLA | PNF | <b>(d) Audit Follow Up (lump sum)</b>                        |   | <u>750</u>   |           |   |
| <b>Total Planned Audit Program (a+b+c+d)<sup>(1)</sup></b> |     |      |     |  |   | <u>21450</u> |           |   |
| <b>Planned Advisory Services:</b>                          |     |      |     |  |   |              |           |   |
| <b>Consultations/Special Projects</b>                      |     |      |     |  |   |              |           |   |
| FY06   | CAM | UCLA | SC  | Accounts Payable/Purchasing/Strategic Sourcing Initiative    | 1 | 240          | H.c.01    |   |
| FY06   | CAM | UCLA | SC  | Stem Cell Research Initiative                                | 1 | 160          | E.c.01.01 |   |
| FY06   | HS  | UCLA | SC  | SOM - Willed Body Program                                    | 1 | 300          | B.e.01.04 |   |
| FY06   | HS  | UCLA | SC  | HS - Veterans Administration./UCLA Housestaff                | 1 | 375          | H.h.02    |   |
| FY06   | HS  | UCLA | SC  | Other Consultations/Special Projects                         |   | 1725         | E.f.02    | X |
| <b>Total Consultations/Special Projects</b>                |     |      |     |  |   | <u>2800</u>  |           |   |
| <b>Internal Control &amp; Accountability</b>               |     |      |     |  |   |              |           |   |
| FY06   | CAM | UCLA | SI  | DACSS/ASAP System Support                                    | 1 | 380          | G.b.02    |   |
| FY06   | CAM | UCLA | SI  | Training Development Support                                 | 1 | 300          | G.b.02    |   |
| FY06   | cam | UCLA | SI  | Other Internal Control & Accountability Projects             |   | 120          |           |   |
| <b>Total Internal Control &amp; Accountability</b>         |     |      |     |  |   | <u>800</u>   |           |   |
| <b>System Development, Reengineering Teams, etc.</b>       |     |      |     |  |   |              |           |   |
| FY06   | HS  | UCLA | SR  | HS - Electronic Medical Record Implementation                | 1 | 50           | B.b.03    |   |
| FY06   | HS  | UCLA | SR  | HS - Compliance Program - Hospital/Facility Committee        | 1 | 30           | E.a.01    |   |
| FY06   | HS  | UCLA | SR  | Other System Development, Reengineering Teams, etc. Projects |   | 720          |           |   |
| <b>Total System Development, Reengineering Teams, etc.</b> |     |      |     |  |   | <u>800</u>   |           |   |
| FY06   | CAM | UCLA | SE  | <b>External Audit Coordination</b>                           |   | <u>1800</u>  |           |   |
| <b>(e) Subtotal - Planned Advisory Services</b>            |     |      |     |  |   | <u>6200</u>  |           |   |

**Unplanned Advisory Services (by Category) <sup>(2)</sup>**

**(f) Subtotal - Unplanned Advisory Services**

0

**Total Advisory Services (e+f) <sup>(1)</sup>**

6200

|      |     |      |    |   |
|------|-----|------|----|---|
| FY06 | Cam | UCLA | IN | <b>Planned Investigation Hours (lump sum)</b> |
| FY06 | HS  | UCLA | IN | <b>Planned Investigation Hours (lump sum)</b> |

1200  
1200

**Total Audits, Advisory Services, and Investigations**

30050

<sup>(1)</sup> Must tie with Audit Program and Advisory Services on Schedule 2 Activity Report

<sup>(2)</sup> enter lump sums for each applicable AS category (i.e. - SC, SE)

<sup>(3)</sup> indicates core program will be used

\* 1 = Top 10 scores, 2 = next top 10 scores, 3 = all others