

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk ⁽¹⁾ 1, 2, 3	Planned Hours	Primary Index Code	IT Indicator ⁽³⁾	Est. Qtr Completion
				<u>Prior Year Audits Not Completed (DNFs):</u>					
FY12			DNF	N/A					
				(a) Subtotal - Planned Carry Forward					
				<u>Planned New Audits (PNs):</u>					
FY12	CAM	UCI	PN	Bren Center Operations	2	300.0	M.a.01.01		1
FY12	CAM	UCI	PN	Account Reconciliation - Periodic Reviews of Ledgers	1	300.0	H.b.01.01		1
FY12	HS	UCI	PN	Labor & Delivery	1	300.0	B.e.01.04		1
FY12	CAM	UCI	PN	Systemwide - HIPAA Privacy	1	300.0	Z.a.01		2
FY12	CAM	UCI	PN	Dining Services	2	300.0	M.a.03		2
FY12	CAM	UCI	PN	Library	2	300.0	M.a.05		2
FY12	CAM	UCI	PN	School of Engineering	1	400.0	A.b.01.01		2
FY12	HS	UCI	PN	FQHC Santa Ana Clinic	2	300.0	B.c.01		2
FY12	HS	UCI	PN	Plastic Surgery	1	300.0	B.e.01.05		2
FY12	CAM	UCI	PN	IT - Admissions	2	300.0	A.d.01.01	X	2
FY12	CAM/HS	UCI	PN	SOM - Willed Body	1	300.0	B.e.01.02		3
FY12	HS	UCI	PN	Nurse Registries	2	300.0	B.g.02		3
FY12	CAM/HS	UCI	PN	Systemwide - AREC, SMG T&E, and Chancellor's Expenses	2	200.0	J.b.06.01		3
FY12	HS	UCI	PN	SOM - Child Development Center	2	300.0	B.e.01.03		3
FY12	CAM	UCI	PN	School of Business	2	300.0	A.b.01.02		3
FY12	HS	UCI	PN	Systemwide - BFB IS-3 Medical Center	1	300.0	Z.a.01	X	3
FY12	HS	UCI	PN	SOM - Pediatrics	1	400.0	B.e.01.01		4
FY12	HS	UCI	PN	IT - Electronic Medical Records	1	300.0	B.b.03	X	4
FY12	CAM	UCI	PN	Research - Pre & Post Award	1	400.0	E.d.01		4
FY12	CAM	UCI	PN	Student Health Center	2	300.0	A.d.07		4
				(b) Subtotal - Planned New Audits		6200.0			
FY12			PS	(c) Planned Supplemental Audits (lumpsum)		1200.0			
FY12			PNF	(d) Audit Follow Up (lump sum)		600.0			
				Total Planned Audit Program (a+b+c+d) ⁽¹⁾		8000.0			
				<u>Planned Advisory Services:</u>					
FY12			SC	Misc SC	3	1000.0			
FY12			SE	Misc SE	3	70.0			
FY12			SI	Misc SI	3	70.0			
FY12			SP	Misc SP	3	70.0			
FY12			SU	Misc SU	3	70.0			
FY12			SR	Misc SR	3	70.0			
				(e) Subtotal - Planned Advisory Services		1350.0			
				<u>Unplanned Advisory Services (by Category) ⁽²⁾</u>					
FY12			SC	Unplanned SC	3	200.0			
FY12			SE	Unplanned SE	3	50.0			
FY12			SI	Unplanned SI	3	50.0			
FY12			SP	Unplanned SP	3	50.0			
FY12			SU	Unplanned SU	3	50.0			
FY12			SR	Unplanned SR	3	50.0			
				(f) Subtotal - Unplanned Advisory Services		450.0			
				Total Advisory Services (e+f) ⁽¹⁾		1800.0			
FY12			IN	Planned Investigation Hours (lump sum)		2400.0			
				Total Audits, Advisory Services, and Investigations		12200.0			

⁽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)

^(*) 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