

FY	LOB	LOC	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):										
FY12		UCLA	DNF	TBD						
(a) Subtotal - Planned Carry Forward						0				
Planned New Audits (PNs):										
ASUCLA										
FY12	CAM	UCLA	PN	ASUCLA		1500	M.a.02/03			TBD
Capital Programs										
FY12	CAM	UCLA	PN	Capital Programs I		350	K.a.01			Q2
FY12	CAM	UCLA	PN	Capital Programs II		350	K.a.01			Q4
Facilities										
FY12	CAM	UCLA	PN	Equipment Inventory Review		360	K.b.02			Q3
FY12	CAM	UCLA	PN	General Operations: Maintenance & Alterations		460	K.b.02			Q1
FY12	CAM	UCLA	PN	Personnel/Payroll Review		360	H.e.01			Q3
FY12	CAM	UCLA	PN	Recycling Program Review		300	K.b.02			Q2
Administration										
FY12	CAM	UCLA	PN	Audit Administration		300				
FY12	CAM	UCLA	PN	Transportation		1160	M.a.07			TBD
FY12	CAM	UCLA	PN	Fleet Management		240	M.b.04			TBD
FY12	CAM	UCLA	PN	Housing		2440	M.a.04			TBD
FY12	CAM	UCLA	PN	UCLA Police Department		650	I.c.02			TBD
FY12	CAM	UCLA	PN	Real Estate		620	H.g.03			TBD
FY12	CAM	UCLA	PN	Information Technology Services		480	H.g.05			TBD
FY12	CAM	UCLA	PN	Human Resource Service Centers		400	H.e.01/H.e.04			TBD
FY12	CAM	UCLA	PN	Ticketing and Events Management		530	H.g.05			TBD
Campus										
FY12	CAM	UCLA	PN	Academic Department IT Reviews		400	G.e.01			TBD
FY12	CAM	UCLA	PN	Academic Department Reviews - Multiple		600	A.b.01			TBD
FY12	CAM	UCLA	PN	Chancellor's Expenses (G-45)		150	H.c.03			Q3
FY12	CAM	UCLA	PN	Conflict of Commitment - APM025 Compliance		400	H.h.01			TBD
FY12	CAM	UCLA	PN	Annual Report on Executive Compensation		300	J.b.06			Q3
FY12	CAM	UCLA	PN	Executive Travel and Entertainment		300	J.b.06			Q3
FY12	CAM	UCLA	PN	Foundation		500	L.a.03			Q1
FY12	CAM	UCLA	PN	Government Payments		250	H.c.02			Q4
FY12	CAM	UCLA	PN	Petty Cash		250	H.b.02			TBD
FY12	CAM	UCLA	PN	Research Pre-Award/Post Award		600	E.d.01/02			TBD
FY12	CAM	UCLA	PN	Safety Programs - Radiation/Radio Active Materials		400	I.b.03			TBD
FY12	CAM	UCLA	PN	School of Public Affairs - Research Institutes		400	E.d.02			TBD
FY12	CAM	UCLA	PN	Audit Administration		700				
Health Sciences										
FY12	HS	UCLA	PN	HS - Audit Administration		300				
FY12	HS	UCLA	PN	I.T. Enterprise Security (IS-3) (systemwide audit)		300	G.g.01			Q4
FY12	HS	UCLA	PN	HIPPA Privacy (systemwide audit)		300	E.a.07			Q2
FY12	HS	UCLA	PN	Annual Report on Executive Compensation and Executive T&E		300	J.b.06			Q3
FY12	HS	UCLA	PN	Main Cashier's Office - Medical Plaza		400	H.b.02			Q2
FY12	HS	UCLA	PN	Subcashingier - various		600	H.b.02			Q4
FY12	HS	UCLA	PN	Purchasing		400	H.f..04			Q2
FY12	HS	UCLA	PN	Organ Transplants		500	B.g.03			Q2
FY12	HS	UCLA	PN	Accounts Payable		450	H.c.01			Q4
FY12	HS	UCLA	PN	Child Life		450	B.g.02			Q2
FY12	HS	UCLA	PN	Neuropsychiatric Hospital		600	B.c.01			Q4
FY12	HS	UCLA	PN	Hyperbaric Medicine		400	B.c.01			Q3
FY12	HS	UCLA	PN	Emergency Room - Westwood		375	B.g.00			Q2
FY12	HS	UCLA	PN	Emergency Room - Santa Monica		375	B.g.01			Q3
FY12	HS	UCLA	PN	Consigned Supplies		400	H.f..01			Q3
FY12	HS	UCLA	PN	Primary Network Clinic		500	B.c.02			Q2
FY12	HS	UCLA	PN	Primary Network Clinic		500	B.c.02			Q4
FY12	HS	UCLA	PN	Housestaff Duty Hours - ACGME Compliance		400	J.b.02			Q3
FY12	HS	UCLA	PN	Faculty Outside Income Reporting		300	B.c.02			Q4
(b) Subtotal - Planned New Audits						23600				
(c) Planned Supplemental Audits (lumpsum)						1900				
(d) Audit Follow Up (lump sum)						1300				
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						26800				

				Planned Advisory Services:			
FY12	CAM	UCLA	SC	Student Support Workgroup	150	A.d.03	TBD
FY12	CAM	UCLA	SC	Academic Department Support	200	A.b.01	TBD
FY12	CAM	UCLA	SC	F&A Rate Allocation	300	E.d.02	TBD
FY12	CAM	UCLA	SC	Gift Administration	150	L.a.03	TBD
FY12	CAM	UCLA	SC	PCI	300	H.b.02	TBD
FY12	HS	UCLA	SC	Electronic Medical Record Implementation	400	B.b.03	Q4
FY12	HS	UCLA	SC	Unallocated Advisory Services	200		TBD
(e) Subtotal - Planned Advisory Services					1700		
Unplanned Advisory Services (by Category) ⁽²⁾							
FY12		UCLA	SE	Ext. Audit Coordination	2400		
FY12		UCLA	SI	Internal Control & Accountability	400		
FY12		UCLA	SP	IPA, COI & Other	0		
FY12		UCLA	SU	Compliance Support	331		
FY12		UCLA	SR	Systems Dev., Reengineering Teams, etc.	500		
(f) Subtotal - Unplanned Advisory Services					3631		
Total Advisory Services (e+f) ⁽¹⁾					5331		
FY12	UCLA	IN		Planned Investigation Hours (lump sum)	1600		
Total Audits, Advisory Services, and Investigations					33731		

⁽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