

IRVINE

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk <sup>(1)</sup> 1, 2, 3	Planned Hours	Primary Index Code	IT Indicator <sup>(3)</sup>	Est. Qtr Completion
<b>Planned New Audits (PNs):</b>									
FY13	CAM/HS	UCI	PN	Travel & Entertainment (Systemwide)	1	300.0	H.c.03		1
FY13	HS	UCI	PN	SOM-Anaheim Clinic	2	300.0	B.c.01		1
FY13	CAM/HS	UCI	PN	Stem Cell Research Center	1	300.0	E.c.01.01		1
FY13	CAM	UCI	PN	School of Law	2	300.0	A.b.01.01	I	1
FY13	HS	UCI	PN	UCIMC-Cash Handling at Clinics	1	300.0	H.b.02.01		2
FY13	HS	UCI	PN	SOM-Willed Body Program & Willed Body Program IT	1	500.0	B.e.01.01	I	2
FY13	HS	UCI	PN	UCIMC-Referral Lab (in conjunction with Compliance)	1	350.0	B.b.01.01		2
FY13	CAM/HS	UCI	PN	Payroll Certification	2	300.0	E.f.02		2
FY13	CAM/HS	UCI	PN	IT Governance (Systemwide)	2	200.0	G.a.01	G	2
FY13	HS	UCI	PN	UCIMC-Radiology & Radiology IT (in conjunction with Compliance)	2	500.0	B.b.05	A	3
FY13	HS	UCI	PN	UCIMC-Dietary Services	2	300.0	B.b.07.01		3
FY13	CAM/HS	UCI	PN	Payments to Human Subjects	1	300.0	E.b.01.01		3
FY13	CAM/HS	UCI	PN	Construction (Systemwide)	1	300.0	K.a.01		3
FY13	CAM/HS	UCI	PN	AREC/Chancellor's Expenses (Systemwide)	1	200.0	J.b.06.01		3
FY13	HS	UCI	PN	UCIMC-Cancer Center	2	300.0	B.e.01.03		4
FY13	HS	UCI	PN	IT-Electronic Health Records-Sunrise (in conjunction with Compliance)	1	400.0	B.b.03.01	T	4
FY13	HS	UCI	PN	IT-Meaningful Use (Systemwide)	1	150.0	G.b.01	T	4
FY13	HS	UCI	PN	SOM-Department of Medicine	2	300.0	B.e.01.04		4
FY13	HS	UCI	PN	SOM-Epidemiology	2	300.0	B.e.01.05		4
FY13	CAM/HS	UCI	PN	Research - Pre & Post Award	1	300.0	E.d.01		4
<b>(b) Subtotal - Planned New Audits</b>						6200.0			
FY13		PS		<b>(c) Planned Supplemental Audits (lumpsum)</b>		1200.0			
FY13		PNF		<b>(d) Audit Follow Up (lump sum)</b>		600.0			
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						8000.0			
<b>Planned Advisory Services:</b>									
FY13		SC		Healthcare Incentive Plans (CEMRP) (Systemwide)	3	25.0			
FY13		SC		Ethics and Compliance Program (Systemwide)	3	50.0			
FY13		SC		Compensated Outside Professional Activities (Systemwide)	3	25.0			
FY13		SC		<b>Misc SC</b>	3	900.0			
FY13		SE		<b>Misc SE</b>	3	70.0			
FY13		SI		<b>Misc SI</b>	3	70.0			
FY13		SP		<b>Misc SP</b>	3	70.0			
FY13		SU		<b>Misc SU</b>	3	70.0			
FY13		SR		<b>Misc SR</b>	3	70.0			
<b>(e) Subtotal - Planned Advisory Services</b>						1350.0			
<b>Unplanned Advisory Services (by Category) <sup>(2)</sup></b>									
FY13		SC		<b>Unplanned SC</b>	3	200.0			
FY13		SE		<b>Unplanned SE</b>	3	50.0			
FY13		SI		<b>Unplanned SI</b>	3	50.0			
FY13		SP		<b>Unplanned SP</b>	3	50.0			
FY13		SU		<b>Unplanned SU</b>	3	50.0			
FY13		SR		<b>Unplanned SR</b>	3	50.0			
<b>(f) Subtotal - Unplanned Advisory Services</b>						450.0			
<b>Total Advisory Services (e+f) <sup>(1)</sup></b>						1800.0			
FY13		IN		<b>Planned Investigation Hours (lump sum)</b>		2400.0			
<b>Total Audits, Advisory Services, and Investigations</b>						12200.0			

<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> 1 = Top 10 scores, 2 = next top 10 scores, 3 = all others

IT Indicators: A – application review  
I – integrated review  
T – technical review  
S – system development or post-implementation review  
G – general controls review