

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
Planned New Audits (PNs):									
FY16	CA	UCI	PN	Mesa Court Housing	2	300.0	M.a.04		
FY16	CA/HS	UCI	PN	Overtime	2	300.0	H.e.04		
FY16	CA	UCI	PN	Donated Art	2	250.0	H.g		
FY16	HS	UCI	PN	Health Sciences Compensation Plan Management	1	400.0	J.b.01		
FY16	CA	UCI	PN	Cashiering - Campus	1	350.0	H.b.02		
FY16	HS	UCI	PN	Plastic Surgery	2	300.0	B.e.01.01	G	
FY16	HS	UCI	PN	Hospital Receivables - Denial Management	2	300.0	B.i.01		
FY16	HS	UCI	PN	Radiological Sciences	2	300.0	B.e.01.02		
FY16	HS	UCI	PN	Referral Labs	1	300.0	B.b.01		
FY16	CA/HS	UCI	PN	Executive Compensation (Systemwide) AREC & G-45	1	200.0	J.b.06.01		
FY16	CA/HS	UCI	PN	Conflict of Commitment/Outside Professional Activities	1	300.0	H.h.01		
FY16	CA	UCI	PN	Facilities Management - Campus	1	400.0	K.b.02		
FY16	HS	UCI	PN	Pharmacy Business Operations	1	350.0	B.b.04		
FY16	CA/HS	UCI	PN	IT Security (Systemwide)	1	200.0	G.g.01	G, T, A	
FY16	CA	UCI	PN	Campus Billing Services	1	300.0	H.a.01		
FY16	CA	UCI	PN	Pre Award and Post Award Administration	2	400.0	E.e.01		
FY16	CA	UCI	PN	School of Education	2	400.0	A.b.01.01	G	
FY16	HS	UCI	PN	Dermatology	2	300.0	B.e.01.03	G	
FY16	HS	UCI	PN	Disaster Recovery & Business Continuity Planning (Medical Center)	2	300.0	G.h.01	G & I	
FY16	CA	UCI	PN	Construction (Systemwide)	1	250.0	K.a.01		
(b) Subtotal - Planned New Audits					6200	6200.0			
FY16		PS		(c) Planned Supplemental Audits (lump sum)		1200.0			
FY16		PNF		(d) Audit Follow Up (lump sum)		600.0			
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						8000.0			
Planned Advisory Services:									
FY16		SC		Police Department Property Audits	3	75.0			
FY16		SC		Kuali Financial System Workflow	3	100.0			
FY16		SC		UC Path	3	75.0		S	
FY16		SC		Payroll Certification System	3	75.0			
FY16		SC		OMB Uniform Guidance	3	75.0			
FY16		SC		ICD-10 Readiness	3	100.0			
FY16		SC		Continuous Auditing Corporate Card Transactions	3	75.0			
FY16		SC		Student Information System Implementation	3	75.0		S	
FY16		SC		Physical Inventory Observations	3	50.0			
FY16		SC		Electronic Medical Record System	3	100.0		S	
FY16		SC		Misc SC	3	200.0			
FY16		SE		Misc SE	3	70.0			
FY16		SI		Misc SI	3	70.0			
FY16		SP		Misc SP	3	70.0			
FY16		SU		Misc SU	3	70.0			
FY16		SR		Misc SR	3	70.0			
(e) Subtotal - Planned Advisory Services						1350.0			
Unplanned Advisory Services (by Category) ⁽²⁾									
FY16		SC		Unplanned SC	3	200.0			
FY16		SE		Unplanned SE	3	50.0			
FY16		SI		Unplanned SI	3	50.0			
FY16		SP		Unplanned SP	3	50.0			
FY16		SU		Unplanned SU	3	50.0			
FY16		SR		Unplanned SR	3	50.0			
(f) Subtotal - Unplanned Advisory Services						450.0			
Total Advisory Services (e+f) ⁽¹⁾						1800.0			
FY15		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)

⁽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