

| FY                                                              | LOB    | LOC | Prj Code | Prj Number | Name/Title of Audit                                   | OPTIONAL                 | Planned | Primary    | OPTIONAL | IT                       | Est. Qtr   |
|-----------------------------------------------------------------|--------|-----|----------|------------|-------------------------------------------------------|--------------------------|---------|------------|----------|--------------------------|------------|
|                                                                 |        |     |          |            |                                                       | High Risk <sup>(1)</sup> |         |            | Core (x) |                          |            |
|                                                                 |        |     |          |            |                                                       | 1, 2, 3                  | Hours   | Index Code | Core (x) | Indicator <sup>(3)</sup> | Completion |
| <b>Prior Year Audits Not Completed (DNFs):</b>                  |        |     |          |            |                                                       |                          |         |            |          |                          |            |
| FY13                                                            | Campus | SC  | DNF      |            |                                                       |                          | 0       |            |          |                          |            |
| <b>(a) Subtotal - Planned Carry Forward</b>                     |        |     |          |            |                                                       |                          | 0       |            |          |                          |            |
| <b>Planned New Audits (PNs):</b>                                |        |     |          |            |                                                       |                          |         |            |          |                          |            |
| FY13                                                            | Campus | SC  | PN       | SC-13-01   | Outside Professional Activities (Systemwide)          | 3                        | 60      | H.h.01     |          |                          | Q3         |
| FY13                                                            | Campus | SC  | PN       | SC-13-02   | IT Governance (Systemwide)                            | 3                        | 200     | G.a.01     |          | G                        | Q3         |
| FY13                                                            | Campus | SC  | PN       | SC-13-03   | Construction ID Funded Projects (Systemwide)          | 3                        | 90      | K.a.01     | x        |                          | Q4         |
| FY13                                                            | Campus | SC  | PN       | SC-13-04   | G-45/AREC/ Executive Travel and Expenses (Systemwide) | 3                        | 450     | J.b.06     |          |                          | Q3         |
| FY13                                                            | Campus | SC  | PN       | SC-13-05   | UNEX Deficit Management (Year 2)                      | 1                        | 25      | A.b.01     |          |                          | Q1         |
| FY13                                                            | Campus | SC  | PN       | SC-13-06   | Network Management                                    | 1                        | 325     | G.g.01     | x        | G                        | Q4         |
| FY13                                                            | Campus | SC  | PN       | SC-13-07   | Industry Funded Research                              | 2                        | 375     | H.h.01     |          |                          | Q2         |
| FY13                                                            | Campus | SC  | PN       | SC-13-08   | Student Record Security                               | 1                        | 325     | A.d.05     |          | I                        | Q2         |
| FY13                                                            | Campus | SC  | PN       | SC-13-09   | Volunteers/Volunteer Support Groups (Year 2)          | 1                        | 175     | J.b.04     |          |                          | Q1         |
| FY13                                                            | Campus | SC  | PN       | SC-13-10   | Annual Analytical Review and Fraud Detection          | 3                        | 178     | H          |          |                          | Q2         |
| FY13                                                            | Campus | SC  | PN       | SC-13-11   | Financial Aid                                         | 1                        | 350     | A.d.03     | x        |                          | Q3         |
| <b>(b) Subtotal - Planned New Audits</b>                        |        |     |          |            |                                                       |                          | 2553    |            |          |                          |            |
| FY13                                                            | Campus | SC  | PS       |            | <b>(c) Planned Supplemental Audits (lumpsum)</b>      |                          | 358     |            |          |                          |            |
| FY13                                                            | Campus | SC  | PNF      |            | <b>(d) Audit Follow Up (lump sum)</b>                 |                          | 204     |            |          |                          |            |
| <b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>     |        |     |          |            |                                                       |                          | 3115    |            |          |                          |            |
| <b>Planned Advisory Services:</b>                               |        |     |          |            |                                                       |                          |         |            |          |                          |            |
| FY13                                                            | Campus | SC  | SC       | SC-13-50   | UC PATH Project Implementation (SC)                   | 1                        | 200     | J.b.01     |          | S                        | Q4         |
| FY13                                                            | Campus | SC  | SC       | SC-13-51   | Supervision of Minors (SC)                            | 1                        | 200     | Z.a.01     |          |                          | Q4         |
| FY13                                                            | Campus | SC  | SC       | SC-13-52   | NCAA Report Annual Review (SC)                        | 3                        | 80      | M.a.01     |          |                          | Q2         |
| FY13                                                            | Campus | SC  | SC       |            | Investigation Workgroup (SC)                          |                          | 35      |            |          |                          | Q4         |
| FY13                                                            | Campus | SC  | SC       |            | HIPAA Committee (SC)                                  |                          | 10      |            |          |                          | Q4         |
| FY13                                                            | Campus | SC  | SC       |            | ERMCP Committee Workgroup (SC)                        |                          | 150     |            |          |                          | Q4         |
| <b>(e) Subtotal - Planned Advisory Services</b>                 |        |     |          |            |                                                       |                          | 675     |            |          |                          |            |
| <b>Unplanned Advisory Services (by Category) <sup>(2)</sup></b> |        |     |          |            |                                                       |                          |         |            |          |                          |            |
| FY13                                                            | Campus | SC  | SC       |            | Consultations/Spec. Projects (SC)                     |                          | 273     |            |          |                          |            |
| FY13                                                            | Campus | SC  | SE       |            | External Audit Coordination (SE)                      |                          | 30      |            |          |                          |            |
| FY13                                                            | Campus | SC  | SI       |            | Internal Control & Accountability (CRSA) (SI)         |                          | 0       |            |          |                          |            |
| FY13                                                            | Campus | SC  | SP       |            | IPA, COI & Other (SP)                                 |                          | 0       |            |          |                          |            |
| FY13                                                            | Campus | SC  | SU       |            | Compliance Support (SU) - CECO Support                |                          | 50      |            |          |                          |            |
| FY13                                                            | Campus | SC  | SR       |            | Systems Development, Reengineering Teams (SR)         |                          | 60      |            |          |                          |            |
| <b>(f) Subtotal - Unplanned Advisory Services</b>               |        |     |          |            |                                                       |                          | 413     |            |          |                          |            |
| <b>Total Advisory Services (e+f) <sup>(1)</sup></b>             |        |     |          |            |                                                       |                          | 1088    |            |          |                          |            |
| FY12                                                            | Campus | SC  | IN       |            | <b>Planned Investigation Hours (lump sum)</b>         |                          | 355     |            |          |                          |            |
| <b>Total Audits, Advisory Services, and Investigations</b>      |        |     |          |            |                                                       |                          | 4558    |            |          |                          |            |

<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>(\*)</sup> 1 = Top 10 scores, 2 = next top 10 scores, 3 = all others

<sup>(3)</sup> IT Indicators: A – application review  
I – integrated review

G – general controls review  
S – system development or post-implementation review