FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk [*] 1, 2, 3	Planned Hours	Primary Index Code	IT Indicator [3]	Est. Qtr. Completion
				Planned New Audits (PNs):					
FY17	CA	UCI	PN	School of Physical Sciences	2	300.0			1
FY17	CA	UCI	PN	Arroyo Vista Housing	2	300.0			1
FY17	HS	UCI	PN	School of Medicine - Orthopaedic Surgery	2	300.0			1
FY17	HS/CA	UCI	PN	Charging Food/Meals on Federal Awards	1	300.0			1
FY17	HS/CA	UCI	PN	Human Resources - Background Checks	2	200.0			1
FY17	CA	UCI	PN	Athletics	2	400.0		I	2
FY17	CA	UCI	PN	Data Inventory (EIR Database)	2	300.0		G	2
FY17	CA	UCI	PN	Mobile Device Security	1	300.0		T, G	2
FY17	HS	UCI	PN	Clinical Research Billing Systems	1	300.0		I, G	2
FY17	HS	UCI	PN	School of Medicine - Psychiatry & Human Behavior	2	300.0			2
FY17	HS	UCI	PN	School of Medicine - Anesthesiology	2	300.0			3
FY17	HS	UCI	PN	Medical Center Contract Management	1	300.0			3
FY17	HS/CA	UCI	PN	Vendor Master File Review	2	400.0		G	3
FY17	HS/CA	UCI	PN	Executive Compensation	1	100.0			3
FY17	HS/CA	UCI	PN	International Travel	1	300.0			3
FY17	CA	UCI	PN	Systemwide Audit (Placeholder)	1	300.0			4
FY17	HS	UCI	PN	Physician Billing Group	1	500.0		I	4
FY17	HS/CA	UCI	PN	Kuali Financial System	1	300.0		I, G, A, S, T	4
FY17	HS/CA	UCI	PN	Focused Audits (Cash Handling, Equipment, Ledger Reviews)	2	400.0			4
FY17	HS/CA	UCI	PN	IBM File Imaging System (Filenet)	1	300.0		S, T	4
				(b) Subtotal - Planned New Audits		6200.0			
FY17			PS	**(c) Planned Supplemental Audits (lump sum)**		1200.0			
FY17			PNF	**(d) Audit Follow Up (lump sum)**		600.0			
				Total Planned Audit Program (a+b+c+d) [1]		8000.0			
				Planned Advisory Services:					
FY17			SC	Sight of Service 11 and 22 Reviews	3	150.0			4
FY17			SC	Assessment of ICD 10 Implementation	3	100.0			4
FY17			SC	Information Security and Privacy Committee	3	50.0			4
FY17			SC	EHR Migration to Epic	3	50.0		S	4
FY17			SC	UC Path Workgroup	3	50.0		S	4
FY17			SC	Payroll Certification System	3	50.0			4
FY17			SC	Police Department Property Audits	3	75.0			4
FY17			SC	Continuous Auditing Corporate Card Transactions	3	100.0			4
FY17			SC	Physical Inventory Observations	3	75.0			4
FY17			SC	Exchange Server	3	50.0		S	4
FY17			SC	Student Information System Advisory Committee	3	50.0		S	4
FY17			SC	Control Substance and Drug Diversion; Security of Pharmacy in SNA	3	100.0			4
FY17			SC	UCI Applied Innovation Agreements and Revenue Streams	3	100.0			4
FY17			SE	**Misc SC**	3	70.0			
FY17			SI	**Misc SE**	3	70.0			
FY17			SP	**Misc SI**	3	70.0			
FY17			SU	**Misc SP**	3	70.0			
FY17			SR	**Misc SU**	3	70.0			
				Misc SR		1350.0			
				(e) Subtotal - Planned Advisory Services					
				Unplanned Advisory Services (by Category) [2]					
FY17			SC	**Unplanned SC**	3	200.0			
FY17			SE	**Unplanned SE**	3	50.0			
FY17			SI	**Unplanned SI**	3	50.0			
FY17			SP	**Unplanned SP**	3	50.0			
FY17			SU	**Unplanned SU**	3	50.0			
FY17			SR	**Unplanned SR**	3	50.0			
						450.0			
				(f) Subtotal - Unplanned Advisory Services					
				Total Advisory Services (e+f) [1]		1800.0			
FY16			IN	**Planned Investigation Hours (lump sum)**		2400.0			
						12200.0			
				Total Audits, Advisory Services, and Investigations					

[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