

IRVINE

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):									
FY15	CAM/HS	UCI	PN	Travel & Entertainment	1	300.0	H.c.03		1
FY15	HS	UCI	PN	Critical Infrastructure IT Systems	1	300.0	G.b.01	G, A & T	1
FY15	CAM	UCI	PN	Anteater Recreation Center	2	300.0	A.d.01		1
FY15	HS	UCI	PN	Pharmacology	2	300.0	B.e.01.01		1
FY15	CAM/HS	UCI	PN	Disaster Recovery & Business Continuity Planning	2	300.0	G.h.01	G & I	2
FY15	CAM	UCI	PN	Police Department	2	350.0	I.c.02		2
FY15	CAM	UCI	PN	School of Social Ecology	2	350.0	A.b.01.01		2
FY15	HS	UCI	PN	Medical Center Security and Parking Department	2	350.0	I.c.02.01		2
FY15	CAM	UCI	PN	Compensation (Systemwide Placeholder)	1	150.0	B.d.01		2
FY15	HS	UCI	PN	Urology	2	300.0	B.e.01.03		3
FY15	CAM/HS	UCI	PN	Recharge Operations	2	250.0	H.i.01		3
FY15	CAM	UCI	PN	AREC & Chancellor's Expenses	1	200.0	J.b.06.01		3
FY15	HS	UCI	PN	Medical Center Main Cashiering	1	350.0	H.b.02		3
FY15	CAM	UCI	PN	Athletics	1	350.0	M.a.01		3
FY15	CAM	UCI	PN	Parking & Transportation	2	350.0	M.a.07		3
FY15	HS	UCI	PN	Dermatology	2	300.0	B.e.01.02		4
FY15	HS	UCI	PN	Emergency Department (with Compliance)	1	300.0	B.g.01		4
FY15	HS	UCI	PN	Electronic Medical Records	1	400.0	B.b.01	G & A	4
FY15	HS	UCI	PN	Meaningful Use Incentive Program Phase II	1	300.0	G.b.01.01	G, I & T	4
FY15	CAM	UCI	PN	Child Care Services	1	400.0	M.c.01		4
(b) Subtotal - Planned New Audits						6200.0			
FY15		PS		(c) Planned Supplemental Audits (lump sum)		1200.0			
FY15		PNF		(d) Audit Follow Up (lump sum)		600.0			
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						8000.0			
Planned Advisory Services:									
FY15		SC		Kuali (KFS & Coeus)	3	100.0		S	
FY15		SC		UC Path	3	100.0		S	
FY15		SC		Payroll Certification System	3	100.0		S	
FY15		SC		OMB Uniform Guidance	3	100.0			
FY15		SC		ICD-10 Readiness	3	100.0		S	
FY15		SC		Continuous Auditing Corporate Card Transactions	3	75.0			
FY15		SC		Sundry Debtors	3	75.0			
FY15		SC		IT Security Risk Assessment Questionnaire	3	100.0		G, I & T	
FY15		SC		PCI Compliance	3	50.0		G, I & T	
FY15		SC		Misc SC	3	200.0			
FY15		SE		Misc SE	3	70.0			
FY15		SI		Misc SI	3	70.0			
FY15		SP		Misc SP	3	70.0			
FY15		SU		Misc SU	3	70.0			
FY15		SR		Misc SR	3	70.0			
(e) Subtotal - Planned Advisory Services						1350.0			
Unplanned Advisory Services (by Category) ⁽²⁾									
FY15		SC		Unplanned SC	3	200.0			
FY15		SE		Unplanned SE	3	50.0			
FY15		SI		Unplanned SI	3	50.0			
FY15		SP		Unplanned SP	3	50.0			
FY15		SU		Unplanned SU	3	50.0			
FY15		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