

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator (3)	Est. Qtr Completion
<u>Prior Year Audits Not Completed (DNFs):</u>										
FY16		UCSB	DNF	DNF Audit #1 - YR 2		75				
FY16		UCSB	DNF	DNF Audit #2 - YR 2		75				
(a) Subtotal - Planned Carry Forward						150				
<u>Planned New Audits (PNs):</u>										
IT: Financial System Implementation Project (FSIP) - Limited Scope										
FY16		UCSB	PN	Progress Review	1	325	G.b.04.06		S	09/30/15
FY16		UCSB	PN	UCSB Extension	3	300	A.c.03			09/30/15
FY16		UCSB	PN	California Nanosystems Institute (CNSI)	3	275	E.c.01.01			09/30/15
FY16		UCSB	PN	Stewardship of Student Funds	3	300	O			09/30/15
IT: Financial System Implementation Project (FSIP) - Phase I Post										
FY16		UCSB	PN	Implementation Internal Control Review (Business & Financial Services)	1	275	H		I	12/31/15
FY16		UCSB	PN	Lab Safety: Settlement Compliance	3	275	I.b.03			12/31/15
FY16		UCSB	PN	Associated Students Internal Control Review	3	275	O.c.			12/31/15
FY16		UCSB	PN	Construction (Systemwide)	3	250	K.a			12/31/15
Long Range Development Plan (LRDP): Reporting and Mitigation										
FY16		UCSB	PN	Monitoring	1	250	A			03/31/16
FY16		UCSB	PN	IT: Information Security - Restricted Information	1	250	G.b.07		G	03/31/16
FY16		UCSB	PN	IT: Information Security - North Hall Data Center Physical Security	3	250	G.b.02.05		G	03/31/16
Executive Compensation: Annual Report on Executive Compensation										
FY16		UCSB	PN	(AREC) (Systemwide)	3	100	J.b.06			03/31/16
FY16		UCSB	PN	Credit Cards: PCI Compliance	1	275	G			03/31/16
FY16		UCSB	PN	Sponsored Projects: Cost Sharing	1	250	E.d.03			03/31/16
Intercollegiate Athletics and Department of Recreation: Procurement										
FY16		UCSB	PN	and Contracting	1	300	M.a.01			06/30/16
FY16		UCSB	PN	IT: Enterprise and Campus-wide IT Project Costs: FY 2015-16 Review	1	275	G			06/30/16
FY16		UCSB	PN	Research Conflict of Interest	3	250	E.a.02			06/30/16
FY16		UCSB	PN	IT: Information Security (Systemwide)	1	200	G.b.07		G	06/30/16
(b) Subtotal - Planned New Audits						4675				
FY16		UCSB	PS	(c) Planned Supplemental Audits (lumpsum)		500				
FY16		UCSB	PNF	(d) Audit Follow Up (lump sum)		400				
Total Planned Audit Program (a+b+c+d) (1)						5725				
<u>Planned Advisory Services:</u>										
FY16		UCSB	SC	IT: UCPath Implementation Support - Business Process Evaluation	3	275	G.b.04.01		I	03/31/16
FY16		UCSB	SC	IT: UCPath Implementation Support - Facilitating UCPath-Driven Change	3	275	G.b.04.01		I	06/30/16
FY16		UCSB	SC	IT: Financial Aid System Implementation - As-Needed Project	3	200	G.b.04		S	06/30/16
FY16		UCSB	SC	IT: Enterprise Systems Implementation - As-Needed Project	3	150	G.b.04		S	06/30/16
FY16		UCSB	SC	Data Analytics Program - Development and Collaboration	3	250	A			06/30/16
FY16		UCSB	SC	Outreach, Training, and Presentations	3	200	A			06/30/16
(e) Subtotal - Planned Advisory Services						1350				
<u>Unplanned Advisory Services (by Category) (2)</u>										
FY16		UCSB	SC	Unplanned SC		120				
FY16		UCSB	SE	Unplanned SE		300				
FY16		UCSB	SI	Unplanned SI		70				
FY16		UCSB	SP	Unplanned SP		70				
FY16		UCSB	SU	Unplanned SU		70				
FY16		UCSB	SR	Unplanned SR		150				
(f) Subtotal - Unplanned Advisory Services						780				
Total Advisory Services (e+f) (1)						2130				
FY16		IN		Planned Investigation Hours (lump sum)		2150				
Total Audits, Advisory Services, and Investigations						10005				

(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

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