

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk <sup>(1)</sup> 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator <sup>(3)</sup>	Est. Qtr Completion
<b>Prior Year Audits Not Completed (DNFs):</b>										
FY18	UCSB	DNF		DNF Audit #1 - YR 2		100				
FY18	UCSB	DNF		DNF Audit #2 - YR 2		100				
<b>(a) Subtotal - Planned Carry Forward</b>						200				
<b>Planned New Audits (PNs):</b>										
FY18	UCSB	PN		IT: Information Security - Web Applications		250	G.b.		G	09/30/17
FY18	UCSB	PN		IT: Information Security - Cyber Security		250	G.b.07		G	09/30/17
FY18	UCSB	PN		IT: General Controls - Campus Security		300	G.a.01		G	03/31/18
FY18	UCSB	PN		Marine Science Institute		275	E.c.01.08			09/30/17
FY18	UCSB	PN		Deferred Maintenance		300	K.b.04			12/31/17
FY18	UCSB	PN		IT: Campus Financial System (CFS) - Phase I Post Implementation						
FY18	UCSB	PN		Internal Control Review (Business and Financial Services)		300	H		S	03/31/18
FY18	UCSB	PN		IT: General Controls - Cloud Computing		250	G.b.		G	12/31/17
FY18	UCSB	PN		Environmental Health & Safety (EH&S): Construction Close Out		275	K.a			12/31/17
FY18	UCSB	PN		Hiring Practices - Faculty Recruitments		250	J.d.01			12/31/17
FY18	UCSB	PN		IT: Transcript Tracking System (TTS) and Transfer Evaluation and						
FY18	UCSB	PN		Articulation System (TEAS)		250	G.b.05.03		G	03/31/18
FY18	UCSB	PN		Police Department		250	I.c.02			09/30/17
FY18	UCSB	PN		Environmental Health & Safety (EH&S): Safety Training		250	I.b.			03/31/18
FY18	UCSB	PN		Executive Compensation: Chancellor's Expenses and Executive T&E						
FY18	UCSB	PN		(Systemwide)		150	J.b.06			03/31/18
FY18	UCSB	PN		Executive Compensation: Annual Report on Executive Compensation						
FY18	UCSB	PN		(AREC) (Systemwide)		150	J.b.06			03/31/18
FY18	UCSB	PN		Fair Work /Fair Wage		150	H.f.			03/31/18
FY18	UCSB	PN		Outside Professional Activities		50	J.d.			03/31/18
FY18	UCSB	PN		IT: UCPath Project Progress Review		275	G.b.04.01		S	06/30/18
FY18	UCSB	PN		Conference Services - Internal Control Review		275	M.b.01			06/30/18
FY18	UCSB	PN		IT: Enterprise and Campus-wide IT Project Costs - FY 2017-18 Review		250	G		S	06/30/18
FY18	UCSB	PN		HR Background Checks		275	J.b.04			06/30/18
<b>(b) Subtotal - Planned New Audits</b>						4775				
FY18		PS		<b>(c) Planned Supplemental Audits (lumpsum)</b>		500				
FY18		PNF		<b>(d) Audit Follow Up (lump sum)</b>		400				
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						<b>5875</b>				
<b>Planned Advisory Services:</b>										
FY18	UCSB	SC		Work Order Systems and Processes		250	K			12/31/17
FY18	UCSB	SC		Information Security Advisory - Placeholder for As-Needed Services		225	G.b.07			12/31/17
FY18	UCSB	SC		Campus Physical Security Assessment		275	I.c			03/31/18
FY18	UCSB	SC		Clery Act Reporting Process Advisory		275	N.c.10			09/30/17
FY18	UCSB	SC		Internal Control Self Assessment		275	A			03/31/18
FY18	UCSB	SC		Data Analytics Program - Development and Collaboration		250	A			06/30/18
FY18	UCSB	SC		Outreach, Training, and Presentations		200	A			06/30/18
FY18	UCSB	SC		Financial Management Advisory - Placeholder As Needed		125	H			06/30/18
<b>(e) Subtotal - Planned Advisory Services</b>						1875				
<b>Unplanned Advisory Services (by Category) <sup>(2)</sup></b>										
FY18		SC		<b>Unplanned SC</b>		120				
FY18		SE		<b>Unplanned SE</b>		300				
FY18		SI		<b>Unplanned SI</b>		70				
FY18		SP		<b>Unplanned SP</b>		70				
FY18		SU		<b>Unplanned SU</b>		70				
FY18		SR		<b>Unplanned SR</b>		150				
<b>(f) Subtotal - Unplanned Advisory Services</b>						780				
<b>Total Advisory Services (e+f) <sup>(1)</sup></b>						<b>2655</b>				
FY18		IN		<b>Planned Investigation Hours (lump sum)</b>		<b>2100</b>				
<b>Total Audits, Advisory Services, and Investigations</b>						<b>10630</b>				

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