

UCSB

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><u>Prior Year Audits Not Completed (DNFs):</u></b>										
FY13	UCSB	DNF		DNF # 1 - Year 2		151				
FY13	UCSB	DNF		DNF # 2 - Year 2		150				
FY13	UCSB	DNF		DNF # 3 - Year 2		150				
<b>(a) Subtotal - Prior Year Audits Not Completed</b>						<b>451</b>				
<b><u>Planned New Audits (PNs):</u></b>										
FY13	UCSB	PN		Succession Planning	3	200	A.a.01			09/30/12
FY13	UCSB	PN		UC Education Abroad Program	3	250	A.a.01.13			09/30/12
FY13	UCSB	PN		Marine Science Institute (MSI)	1	325	E.c.01.08			09/30/12
FY13	UCSB	PN		IT: Financial System Replacement: Shadow Systems/GU:	1	225	G.d.01.09	S		09/30/12
FY13	UCSB	PN		Travel and Entertainment (Systemwide)	3	250	H.c.04			09/30/12
FY13	UCSB	PN		Exercise and Sports Studies Field Audit Follow-up	3	200	A.a.01.07			12/31/12
FY13	UCSB	PN		Cost Sharing	1	250	E.e.01			12/31/12
FY13	UCSB	PN		IT: Financial System Replacement: Project Progress	1	200	G.d.01.09	S		12/31/12
FY13	UCSB	PN		IT: Mainframe Project: Migration of Other Systems	1	275	G.d.01.09	S		12/31/12
FY13	UCSB	PN		IT: Student Information System Replacement: Project Progress Field						
FY13	UCSB	PN		Audit Follow-up	1	100	G.d.01.08	S		12/31/12
FY13	UCSB	PN		IT: InCommon (IC) Validation Review	3	50	G.d.01.05	A		12/31/12
FY13	UCSB	PN		IT: Governance (Systemwide)	3	200	G.a.01.02	G		12/31/12
FY13	UCSB	PN		Executive Compensation: AREC Review (Systemwide)	3	100	J.b.06			03/31/13
FY13	UCSB	PN		Executive Compensation: Chancellor's Expenses G-45 and						
FY13	UCSB	PN		Executive T & E Review (Systemwide)	3	100	J.b.06			03/31/13
FY13	UCSB	PN		Bren School of Environmental Science & Management	3	300	A.b.01.09			03/31/13
FY13	UCSB	PN		Athletics Field Audit Follow-up	2	200	M.a.01			03/31/13
FY13	UCSB	PN		Construction: Prop 1D Construction (Systemwide)	3	250	K.a			03/31/13
FY13	UCSB	PN		Use of University Facilities and Resources	3	300	A.a.01			03/31/13
FY13	UCSB	PN		Contracting Timeline	3	250	H.f			06/30/13
FY13	UCSB	PN		Construction: Project Costing	3	250	K.a			06/30/13
FY13	UCSB	PN		Graduate Financial Aid	1	375	A.d.03			06/30/13
FY13	UCSB	PN		Fund Balances	1	275	E.e.01			06/30/13
<b>(b) Subtotal - Planned New Audits</b>						<b>4,925</b>				
FY13	UCSB	PS		<b>(c) Planned Supplemental Audits (lumpsum)</b>		795				
FY13	UCSB	PNF		<b>(d) Audit Follow Up (lump sum)</b>		300				
<b>Total Planned Audit Program (a+b+c+d) <sup>(1)</sup></b>						<b>6,471</b>				
<b><u>Planned Advisory Services:</u></b>										
FY13	UCSB	SR		IT: SciQuest-Gateway Implementation Facilitation	2	120	G.d.01.10	S		
FY13	UCSB	SU		Ethics and Compliance Support (Systemwide)	2	50	E.a.			
FY13	UCSB	SU		Student Affairs Compliance Support	3	80	A.d.			
FY13	UCSB	SU		OEOSSH Support	3	125	A.a.01			
FY13	UCSB	SC		Budget and Planning Support	3	100	E.a.03			
<b>(e) Subtotal - Planned Advisory Services</b>						<b>475</b>				
<b><u>Unplanned Advisory Services (by Category) <sup>(2)</sup></u></b>										
FY13	UCSB	SC		Unplanned SC		175				
FY13	UCSB	SE		Unplanned SE		200				
FY13	UCSB	SI		Unplanned SI		20				
FY13	UCSB	SP		Unplanned SP		20				
FY13	UCSB	SU		Unplanned SU		20				
FY13	UCSB	SR		Unplanned SR		20				
<b>(f) Subtotal - Unplanned Advisory Services</b>						<b>455</b>				
<b>Total Advisory Services (e+f) <sup>(1)</sup></b>						<b>930</b>				
FY13		IN		<b>Planned Investigation Hours (lump sum)</b>		<b>240</b>				
<b>Total Audits, Advisory Services, and Investigations</b>						<b>7,641</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>(3)</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