

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk ⁽¹⁾ 1, 2, 3	Planned Hours	Primary Index Code	Core (x)	IT Indicator ⁽³⁾	Est. Qtr Completion
<u>Prior Year Audits Not Completed (DNFs):</u>										
FY17	CAM	UCSB	DNF	DNF Audit #1 - YR 2		100				1
FY17	CAM	UCSB	DNF	DNF Audit #2 - YR 2		100				1
						(a) Subtotal - Planned Carry Forward	200			
<u>Planned New Audits (PNs):</u>										
FY17	CAM	UCSB	PN	IT: Information Security - Restricted Information		250	G.b.07		G	1
FY17	CAM	UCSB	PN	Intercollegiate Athletics and Department of Recreation - Procurement and Contracting		300	M.a.01			1
FY17	CAM	UCSB	PN	Koegel Autism Center (and Clinic)		300	A.b.01. 51			1
FY17	CAM	UCSB	PN	Kavli Institute for Theoretical Physics (KITP)		300	E.c.01. 02			1
FY17	CAM	UCSB	PN	National Center for Ecological Analysis and Synthesis (NCEAS)		300	E.c.01.09			2
FY17	CAM	UCSB	PN	IT: Campus Financial System (CFS) - Phase I Post Implementation		275	H		I	2
FY17	CAM	UCSB	PN	Internal Control Review (Business and Financial Services)		250			G	2
FY17	CAM	UCSB	PN	IT: Administrative & Residential Information Technology (ARIT) – Operational Review		275	E.b.01			2
FY17	CAM	UCSB	PN	Human Subjects		300	A.b.01. 52			3
FY17	CAM	UCSB	PN	Hosford Counseling & Psychological Services Clinic		250			G	3
FY17	CAM	UCSB	PN	IT: Student Information Systems & Technology (SIS&T) - Operational Review		250	G.b.05		G	3
FY17	CAM	UCSB	PN	IT: Information Security - Server Practices		250	G.b.07		G	3
FY17	CAM	UCSB	PN	Housing – Internal Control Review		300	O.c.02			3
FY17	CAM	UCSB	PN	Executive Compensation: Chancellor's Expenses and Executive T&E (Systemwide)		125	J.b.06			3
FY17	CAM	UCSB	PN	Placeholder for Systemwide Projects		300				3
FY17	CAM	UCSB	PN	IT: UCPath Project Progress Review		275	G.b.04.01		S	4
FY17	CAM	UCSB	PN	Conference Services - Internal Control Review		300	M.b.01			4
FY17	CAM	UCSB	PN	IT: Enterprise and Campus-wide IT Project Costs - FY 2016-17 Review		275	G		S	4
FY17	CAM	UCSB	PN	Controlled Substances		275	I.b.01			4
						(b) Subtotal - Planned New Audits	4900			
FY17	CAM	UCSB	PS	(c) Planned Supplemental Audits (lumpsum)		500				
FY17	CAM	UCSB	PNF	(d) Audit Follow Up (lump sum)		400				
						Total Planned Audit Program (a+b+c+d) ⁽¹⁾	6000			
<u>Planned Advisory Services:</u>										
FY17	CAM	UCSB	SC	Work Order Systems and Processes		250	K			1
FY17	CAM	UCSB	SC	Environmental Health & Safety (EH&S) - Placeholder for As-Needed Services		225	I			2
FY17	CAM	UCSB	SC	Campus Compliance Self-Assessment		275	A			2
FY17	CAM	UCSB	SC	Internal Control Self-Assessment		275	A			3
FY17	CAM	UCSB	SC	IT: Connect or Electronic Timekeeping - As-Needed Project		275	G.b.04		S	4
FY17	CAM	UCSB	SC	Data Analytics Program - Development and Collaboration		250	A			4
FY17	CAM	UCSB	SC	Outreach, Training, and Presentations		200	A			4
						(e) Subtotal - Planned Advisory Services	1750			
<u>Unplanned Advisory Services (by Category) ⁽²⁾</u>										
FY17	CAM	UCSB	SC	Unplanned SC		120				
FY17	CAM	UCSB	SE	Unplanned SE		300				
FY17	CAM	UCSB	SI	Unplanned SI		70				
FY17	CAM	UCSB	SP	Unplanned SP		70				
FY17	CAM	UCSB	SU	Unplanned SU		70				
FY17	CAM	UCSB	SR	Unplanned SR		150				
						(f) Subtotal - Unplanned Advisory Services	780			
						Total Advisory Services (e+f) ⁽¹⁾	2530			
FY17	CAM	UCSB	IN	Planned Investigation Hours (lump sum)		2100				
						Total Audits, Advisory Services, and Investigations	10630			

⁽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