UCSB Audit Services Plan

FY	LOC	Prj Code	Name/Title of Project	High Risk [*] 1, 2, 3	Planned Hours	Primary Index Code	Est. Qtr Completion
			Prior Year Audits Not Completed (DNFs):				
FY15	UCSB	DNF	Integration and Control of Auxiliaries - Phase 1	3	150	M.a	09/30/14
FY15	UCSB	DNF	IT: Third Party IT Services	1	100	G	09/30/14
FY15	UCSB	DNF	IT: Financial System Implementation Project: FSIP Roles and Profiles	1	200	G.b.04.06	09/30/14
			(a) Subtotal		450		
			Planned New Audits (PNs):				
FY15	UCSB	PN	IT: Information Security - Desktop Practices	1	350	G.b.07	09/30/14
FY15	UCSB	PN	IT: Enterprise and Campus-wide IT Project Costs	1	350	G	09/30/14
FY15	UCSB	PN	Intercollegiate Athletics - Camps and Clinics	1	250	M.a.01	09/30/14
FY15	UCSB	PN	Integration and Control of Auxiliaries - Phase 2	3	300	M.a.	09/30/14
FY15	UCSB	PN	Intercollegiate Athletics and Department of Recreation: Procurement and Contracting	1	300	M.a.01	12/31/14
FY15	UCSB	PN	IT: Financial System Implementation Project (FSIP): Limited Scope Progress Review	1	200	G.b.04.06	12/31/14
FY15	UCSB	PN	IT: Financial System Implementation Project (FSIP): Phase I Post Implementation Internal Control Review	1	250	H	12/31/14
FY15	UCSB	PN	University Center (UCen) Internal Control Review	3	250	M.a.02	12/31/14
FY15	UCSB	PN	Graduate Financial Aid and Graduate Student Fee Remission	3	350	O.a.02	12/31/14
FY15	UCSB	PN	Executive Compensation: Chancellor's Expenses G-45	3	100	J.b.06	03/31/15
FY15	UCSB	PN	IT: Information Security	1	200	G.b.07	03/31/15
FY15	UCSB	PN	Athletics (Systemwide)	1	50	M.a.01	03/31/15
FY15	UCSB	PN	Compensation (Systemwide)	3	150	J.b.01	03/31/15
FY15	UCSB	PN	University Inventories - Audit Follow-up Review	1	225	H	03/31/15
FY15	UCSB	PN	Payroll: Special Appointments, Contract Employees, and Volunteers	3	250	J	06/30/15
FY15	UCSB	PN	IT: Student Information Systems (SIS) Modernization: Limited Scope Progress Review	2	150	G.b.04.05	06/30/15
FY15	UCSB	PN	Sponsored Projects - Cost Sharing	1	250	E.d.03	06/30/15
FY15	UCSB	PN	Delegated Procurement	3	250	H.f	06/30/15
			(b) Subtotal - Planned New Audits		4225		
FY15	UCSB	PS	**(c) Planned Supplemental Audits (lumpsum)**		500		06/30/15
FY15	UCSB	PNF	**(d) Audit Follow Up (lump sum)**		400		06/30/15
			Total Planned Audit Program (a+b+c+d) [1]		5575		
			Planned Advisory Services:				
FY15	UCSB	SC	IT: Kronos Electronic Timekeeping - Post Implementation Best Practices	1	300	H.e.04.	09/30/14
FY15	UCSB	SC	Succession Planning - Advisory Report on Department Practices	3	200	J.b.	12/31/14
FY15	UCSB	SC	IT: Enterprise Systems Implementation - As-Needed Project No. 1	3	150	G.b.04	06/30/15
FY15	UCSB	SC	IT: Enterprise Systems Implementation - As-Needed Project No. 2	3	150	G.b.04	06/30/15
FY15	UCSB	SC	IT: Financial Aid System Implementation - As-Needed Project	3	200	G.b.04	06/30/15
FY15	UCSB	SC	IT: UC Path Implementation Support	3	200	G.b.04.01	06/30/15
FY15	UCSB	SC	Data Analytics Program - Development and Collaboration	3	200	A	06/30/15
FY15	UCSB	SC	Outreach, Training, and Presentations	3	200	A	06/30/15
			(e) Subtotal - Planned Advisory Services		1600		
			Unplanned Advisory Services (by Category) [2]				
FY15	UCSB	SC	**Unplanned SC**		120		06/30/15
FY15	UCSB	SE	**Unplanned SE**		300		06/30/15
FY15	UCSB	SI	**Unplanned SI**		120		06/30/15
FY15	UCSB	SP	**Unplanned SP**		120		06/30/15
FY15	UCSB	SU	**Unplanned SU**		120		06/30/15
FY15	UCSB	SR	**Unplanned SR**		150		06/30/15
			(f) Subtotal - Unplanned Advisory Services		930		
			Total Advisory Services (e+f) [1]		2530		
FY14		IN	**Planned Investigation Hours (lump sum)**		1900		
			Total Audits, Advisory Services, and Investigations		10005		