



**University of California, Santa Barbara
Audit and Advisory Services
FY 2016-17 Audit Services Plan**

<u>Name/Title</u>	<u>Planned Hours</u>	<u>Est. Qtr. Completion</u>
<u>Prior Year Audits Not Completed</u>		
Hours for Prior Year Audits Not Completed	200	
<u>Planned New Audits</u>		
▪ IT: Information Security - Restricted Information	250	09/30/16
▪ Intercollegiate Athletics and Department of Recreation - Procurement and Contracting	300	09/30/16
▪ Koegel Autism Center (and Clinic)	300	09/30/16
▪ Kavli Institute for Theoretical Physics (KITP)	300	09/30/16
▪ National Center for Ecological Analysis and Synthesis (NCEAS)	300	12/31/16
▪ IT: Campus Financial System (CFS) - Phase I Post Implementation Internal Control Review (Business and Financial Services)	275	12/31/16
▪ IT: Administrative & Residential Information Technology (ARIT) – Operational Review	250	12/31/16
▪ Human Subjects	275	12/31/16
▪ Hosford Counseling & Psychological Services Clinic	300	03/31/17
▪ IT: Student Information Systems & Technology (SIS&T) - Operational Review	250	03/31/17
▪ IT: Information Security - Server Practices	250	03/31/17
▪ Housing – Internal Control Review	300	03/31/17
▪ Executive Compensation: Chancellor’s Expenses and Executive T&E (Systemwide)	100	03/31/17
▪ Executive Compensation: Annual Report on Executive Compensation (AREC) (Systemwide)	100	03/31/17
▪ Strategic Sourcing (Systemwide)	200	03/31/17
▪ Fair Wage/Fair Work (Systemwide)	25	03/31/17
▪ IT: UCPath Project Progress Review	275	06/30/17
▪ Conference Services - Internal Control Review	300	06/30/17
▪ IT: Enterprise and Campus-wide IT Project Costs - FY 2016-17 Review	275	06/30/17
▪ Controlled Substances	275	06/30/17
Planned New Audits	4900	
Planned Supplemental Audits	500	
Audit Follow Up	400	
Total Planned Audit Program	6000	
<u>Planned Advisory Services:</u>		
▪ Work Order Systems and Processes	250	09/30/16
▪ Environmental Health & Safety (EH&S) - Placeholder for As-Needed Services	225	12/31/16
▪ Campus Compliance Self-Assessment	275	12/31/16
▪ Internal Control Self-Assessment	275	03/31/17
▪ IT: Connect Email/Calendar or Electronic Timekeeping - As-Needed Project	275	06/30/17
▪ Data Analytics Program - Development and Collaboration	250	06/30/17
▪ Outreach, Training, and Presentations	200	06/30/17
Planned Advisory Services	1750	
Unplanned Advisory Services	780	
Total Advisory Services	2530	
Planned Investigation Hours	2100	
Total Audits, Advisory Services, and Investigations	10630	