



October 16, 2020

To: Distribution

Re: **IT: UCPATH – Post-Implementation Support Limited Review  
Audit Report No. 08-20-0008**

We have completed the audit of UCPATH Post-Implementation Support as part of the 2019-20 annual audit services plan. The audit was conducted in conformance with the *International Standards for the Professional Practice of Internal Auditing*. Enclosed is the report detailing the results of our work.

We sincerely appreciate the cooperation and assistance provided by UCPATH Steering Committee, Office of the CIO, Business and Financial Services, Human Resources, and Academic Personnel during the review. If you have any questions, please contact me.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Ashley Andersen".

Ashley Andersen  
Director  
Audit and Advisory Services

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# UC SANTA BARBARA

UCSB Audit and Advisory Services

Internal Audit Report

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**IT: UCPATH Post-Implementation Support  
Limited Review**

October 16, 2020

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**Performed by:**

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**Approved by:**

Ashley Andersen, Audit Director

Report No. 08-20-0008

## **EXECUTIVE SUMMARY**

### **OBJECTIVE**

The primary purpose of this limited review was to evaluate the post-implementation support of UCPath to determine whether a sample of business processes are properly operating and to ensure reported issues have been adequately addressed.

The audit included interviewing key players of UCPath on campus, analyzing controls over selected business processes, tracking and resolving issues, training, and access control management to ensure business processes are coordinated and properly operating.

### **CONCLUSION**

Based on the results of the work performed within the scope of the audit, we found opportunities to improve efficiencies in tracking operational issues in UCPath and defining accountability to ensure issues are addressed in a timely manner.

## **OBSERVATIONS, RECOMMENDATIONS, AND RESPONSES**

### **1. GOVERNANCE, ROLES AND RESPONSIBILITIES**

#### **OBSERVATIONS**

We found that the current governance structure is adequate. Roles and responsibilities have been clearly defined and segregated. The structure outlines reporting lines, roles, and responsibilities to ensure proper project accountability and decision making processes. The campus is involved through the Strategic Advisory Committee, Core Project Team, and Extended Project Teams to ensure proper stakeholder management. Additionally, there are regular meetings and communication between the Executive Sponsors, Steering Committee, Project Management Office (PMO), management workgroups, and other committees to determine project needs.

However, we found a highly decentralized communication model owned by several campus departments. For example, all UCPATH listservs and google groups are manually updated on an ad hoc basis, and departments own sections of the UCPATH website that are not always consistently updated. The PMO is currently consolidating the different communication lines and working with the various groups to ensure roles and responsibilities for each contact list and content management are clearly defined.

The Steering Committee is making every effort to reducing the PMO's involvement and foresees future changes in roles after COVID 19 hiring restrictions ease.

### **2. BUSINESS PROCESSES PERFORMANCE**

#### **OBSERVATION**

After the implementation of UCPATH, the UCPATH Center (UCPC) assumed many of the campus central offices' responsibilities. However, the campus identified a need to continue providing local support to the campus community.

Central offices<sup>1</sup> have been in a difficult position to meet campus needs due to the lack of adequate data access, reporting tools, and other critical functionalities that were not necessarily implemented or included in the initial strategy of the project. Campus central offices and departments do not have clear visibility of how UCPATH internally operates and cannot anticipate potential issues before they occur. For example, central offices cannot confirm whether University employees are properly charged with the correct benefits fees or deductions and they only become aware of errors when employees notify them that something is incorrect on their paychecks. We found the following examples:

- Business and Financial Services (BFS) receives from UCPC the Net Pay Comparison<sup>2</sup> report right after Pay Calculation (Pay Calc)<sup>3</sup>, but this report only shows total amounts and not the details. BFS is only able to consider big discrepancies due to time limitations because they could not adopt an automatic approach to identify errors and data issues.

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<sup>1</sup> Central offices – Includes BFS, Human Resources (HR), Academic Personnel Office (AP), and other departments providing centralized services for the rest of the campus.

<sup>2</sup> Net Pay Comparison – Use to monitor large disparities in employee's pay from period to period.

<sup>3</sup> Pay Calc – Describes the key payroll calculations processes resulting in the creation of paychecks.

BFS cannot identify overpayments or make changes before they occur. In the past, in PPS<sup>4</sup>, the department was able to see Pay Calc in the beginning, add job-ending dates to stop overpayments before it happened, and manage pay cycle disruptions.

- For Benefits Cost Transfers<sup>5</sup>, departments can only see salary amount, but they cannot find the associated benefits to be adjusted in case of discrepancies. BFS and HR cannot access details of employees' deductions or benefits charges to confirm accuracy.
- For employees on unpaid leave, the campus has no overview of their benefit bills and transactions and is not able to verify if the employees are charged correctly. In the past, the campus utilized consolidated billings to reconcile employees' bills. They have no way of reconciling employees' bills now. We found two employees who went on paid leave and their disability insurance premiums were not reinstated after they resumed work. These employees were unknowingly not covered by the policy. The department was unaware of this error until the employees' subsequent leave applications.

UCPath Steering Committee has requested the development of new reports to mitigate some of the limitations reported above. However, the implementation of these reports continues unresolved as of August 28, 2020. Details of the tracking are discussed under the Issue Log Management section of this report.

### 3. ISSUE LOG MANAGEMENT

#### OBSERVATION

UCPath issues<sup>6</sup> are overall captured and uniquely identified, priority and impact levels are assigned, and responsible party or issue owners are identified. However, there is a need to determine whether the responsible party or issue owners<sup>7</sup> should be accountable for implementing or at least officially requesting the implementation of a solution on time.

The PMO centralizes and maintains the Issue Log<sup>6</sup>. This document serves as the campus authoritative document that inventory the thematic issues for enhanced monitoring and tracking. Undeveloped functionalities are also tracked as an issue in the Issue Log. It documents the summaries of issues from different sources on campus such as Jira<sup>8</sup>, call logs, internal incidents, discussions with campus departments, and problems escalated to UCPC through tickets (a case<sup>9</sup>) or UCPath Operations liaison<sup>10</sup>, etc. 96 issues have been documented in the Issue Log since September 2018. Out of these, 84 were open (unresolved) as of July 15, 2020. UCSB departments have been assigned 44, University of California Office of the President (UCOP) is assigned 6, and UCPC owns 33 of the issues.

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<sup>4</sup> PPS - Payroll and Personnel System: A system used before UCPath.

<sup>5</sup> Benefit Cost Transfer – Used to move benefit expense that needs to be separated from the salary expense.

<sup>6</sup> Issue Log contains the systematic incidents, defects, or problems identified by the PMO and consolidated using a smartSheet tracker.

<sup>7</sup> Incident Owners assigned include UCSB AP, BFS, ETS, HR, UCPC, Steering Committee, Training lead, Parking, UCPath Sponsors.

<sup>8</sup> Jira is a software project that receives life cycle changes system change issues, defects, and new enhancements.

<sup>9</sup> A case – problems that relate to a specific employee ID, data, or system. A ticket is issued for such problems.

<sup>10</sup> UCPath Operations Liaison – A staff of UCPC who coordinate and disseminate information to and from UCSB and UCPC.

Some information documented on the Issue Log<sup>6</sup> includes dates when issues were created, status, priority and impact levels, and owners who may have roles to play in resolving the issue, source of the issues, and a unique issue number. During the review, we analyzed the data integrity of the Issue Log to ensure issues are properly documented and managed. We found that:

- UCPath systematic incidents, defects, and issues are overall well captured and uniquely identified, priority and impact levels are assigned, incident owners and sources are identified. However, we found the following data integrity deficiencies:
  - One issue had no incident owner assigned to it
  - Severity level was not assigned to two issues
  - Priority level for two issues was missing
  - Nine issues had no reporting source
  - One issue was missing Jira ticket number
  - Three issues were missing their dates of creation

Prior to the release of the audit report, we were informed by the PMO that some of these deficiencies have been resolved.

- Incident owners (Issue owners) are not accountable for finding and implementing a solution in a timely manner. Issue owners have more of a facilitator role in a collaborative environment. This makes it extraordinary difficult to enforce accountability or meet campus community expectations.

### UCSB

43% of the issues assigned to UCSB have been classified as major or critical and they have been open for more than three months. Table 1 shows the number of open issues sorted by severity and age owned by the campus as of July 15, 2020.

<b>Table 1 Open Issues Owned by UCSB</b>					
<b>Days Brackets</b>	<b>Severity</b>			<b>Total Issues</b>	<b>%</b>
	<b>Critical</b>	<b>Major</b>	<b>Minor</b>		
0 - 90		5	4	*11	25%
91-180	1	12	11	24	55%
181-365		5	1	6	13%
>365		1	2	3	7%
<b>Grand Total</b>	<b>1</b>	<b>23</b>	<b>17</b>	<b>44</b>	<b>100%</b>

Source: PMO (ETS) and auditor analysis.

\* Severity level for two issues in the 0 – 90 days brackets were blank (not assigned).

As mentioned above, there are no agreed timeline or expectations for issues owned by UCSB campus departments to be resolved. The resolution of some of the issues could be pending due to allocation of resources or prioritization.

*UCPC*

The status of the issues, including process, communication, and customer service problems, tracked in the Issue Log and assigned to UCPC for resolution are discussed with the UCPath Operations regularly. Additionally, the status of Jira issues is discussed at the Change Review Board meetings. However, the resolution of these issues is not included in the service level agreement with UCPC. The current service level with UCPC is limited to individual cases associated with UCPath tickets and not to solve the root cause of systematic incidents and problems. UCPC ticketing system does not accept problems that are not linked to a specific employee ID such as the process, communication, and customer service problems. The required channel to get these types of problems resolved is to channel them through the UCPath Operations liaison. This situation makes it extraordinary difficult to establish timelines to solve such issues assigned to UCPC. For example, 46% of open issues assigned to UCPC have remained unresolved for more than six months. Specifically, as of July 15, 2020,

- There were 13 process, communication, and customer service problems in the Issue Log escalated through the UCPath Operations liaison. It is not clear the responsibilities the liaison has in resolving these issues; UCPC does not report on how they handle these problems and there is no SLA covering such problems. These have been outstanding in the Issue Log in the range of 89 to 545 days.
- There were 13 of the issues escalated through Jira (software projects, system changes, defects, and new enhancements) that have been discussed at the Change Review Board<sup>11</sup> meetings with representatives from UCPath. There is no SLA for these issues. These have been outstanding in the range of 75 to 516 days.
- There were 14 case tickets that were linked to seven major issues in the Issue Log. These tickets were resolved and closed by UCPC. However, the issues are still opened in the Issue Log because the problems persist across the campus. UCPC closes individual tickets without addressing the root cause problem. These issues are outstanding between 89 to 321 days.

Table two shows the number of days issues owned by UCPC have remained unresolved as of July 15, 2020.

<b>Table 2    Open Issues Owned by UCPC</b>					
<b>Days Brackets</b>	<b>Severity</b>			<b>Total Issues</b>	<b>%</b>
	<b>Critical</b>	<b>Major</b>	<b>Minor</b>		
0 - 90		4	3	7	21%
91-180		5	6	11	33%
181-365		8	3	11	33%
>365		3	1	4	13%
<b>Grand Total</b>	<b>-</b>	<b>20</b>	<b>13</b>	<b>33</b>	<b>100%</b>

Source: PMO (ETS) and auditor analysis.

<sup>11</sup> A composition of campus and UCPath representatives that reviews software or system change requests or problems.

## **RECOMMENDATION**

To ensure effective tracking and implementation of issues managed in the Issue Log, the Steering Committee should evaluate whether:

- UCPC Service level agreements could be expanded to include issues reported to the UCPath Operations Liaison. This need could be presented to the UCOP Steering Committee for discussion.
- Accountability of campus departments with responsibilities in the resolution of issues should be formally documented in service level objectives.

## **MANAGEMENT RESPONSE**

The Steering Committee will evaluate whether:

- UCPC Service level agreements (SLAs) could be expanded to include issues reported through the UCPath Operations Liaison. This need could be presented to the UCOP Steering Committee for discussion.
- Accountability of campus departments with responsibilities in the resolution of issues should be formally documented in service level objectives.

*Audit and Advisory will follow up on the status of these issues by March 31, 2021.*

## **RECOMMENDATION**

To ensure effective tracking and implementation of issues managed in the Issue Log, the PMO should:

- Update the current issue resolution process. The PMO should request all issue owners provide a formal explanation of the cause of unresolved issues classified as critical or major and age 90 days old or older. Additionally, issue owners should provide an action plan and timeline to address these issues. Action plans and timelines should be presented to the Steering Committee for evaluation and approval. If an action plan requires additional resources the Steering Committee should formally present these needs to the UCPath Sponsors for evaluation and approval.
- Review the integrity of the data in the Issue Log and update the information to improve tracking and monitoring.

## **MANAGEMENT RESPONSE**

We recommend the PMO to:

- Update the current issue resolution process. The PMO should request all issue owners provide a formal explanation of the cause of unresolved issues classified as critical or major and age 90 days old or older. Additionally, issue owners should provide an action plan and timeline to address these issues. Action plans and timelines should be presented to the Steering Committee for evaluation and approval. If an action plan

requires additional resources the Steering Committee should formally present these needs to the UCPath Sponsors for evaluation and approval.

- Review the integrity of the data in the Issue Log and update the information to improve tracking and monitoring.

*Audit and Advisory will follow up on the status of these issues by March 31, 2021.*

#### 4. UCPC HELP DESK SUPPORT

##### OBSERVATION

As mentioned in the prior section, UCPC closes individual tickets after providing an ad-hoc solution to the requestor, but without addressing the root cause problem. This strategy allows that systematic issues could be repetitively reported and solved without providing a definitive solution. Finally, the campus does not have a clear understanding of how most of the UCPC SLA metrics are calculated to properly monitor them.

UCPC has processes in place to escalate a case<sup>9</sup>. The UCPC case dashboard contains all UCSB cases that were submitted to UCPC through five sources/channels on campus - the 3 ServiceNow avenues (BFS, HR<sup>1</sup> & Enterprise Technology Services), Academic Personnel email (AP<sup>1</sup> uses email as the tool to track service requests), and staff who directly contact UCPC. UCPC uses service targets (stated in SLA) to convey how long it will take to resolve cases and/or transactions; the achievement of the service targets is presented in a monthly metrics report to the campus.

Table 3 shows analyses of tickets opened and the number of days outstanding as of July 27, 2020. 514 cases<sup>9</sup> escalated to UCPC were unresolved as of July 27, 2020. 50% of open tickets were outstanding for more than three months.

<b>Table 3      Age of Outstanding UCPC Tickets</b>		
<b>Days Outstanding</b>	<b>Number of Tickets</b>	<b>Percentages</b>
<b>0 - 90</b>	258	50%
<b>91-180</b>	185	36%
<b>181-365</b>	52	10%
<b>&gt;365</b>	19	4%
<b>Grand Total</b>	<b>514</b>	<b>100%</b>

Source: PMO (ETS) and Auditor analysis.

During the review, we analyzed UCPC SLA and UCPath Monthly Metrics Summary<sup>12</sup> reports to determine whether the metrics summary report provides adequate information to the campus and whether UCPC is accountable for resolving these cases in a timely manner. We found that it is difficult for the campus to enforce UCPC service targets due to a lack of adequate information. Additionally, the campus has limited authority to prioritize items for

<sup>12</sup> UCPath Monthly Metrics summary – a report UCPC issues to present the campus set of metrics based on service targets (SLA).

attention by UCPC. We specifically noted the following:

- The service targets in the UCPC SLA are based on categories of cases and the expected duration days for each category. However,
  - There are no specific duration days for “Event<sup>13</sup> or System Configuration Changes” category. The expected days are stated as “30 days or greater depending on the situation”. The lack of precise target days for this category makes it difficult for the campus to enforce/track the resolution of such cases.
  - There is no information to determine how cases/tickets are classified in each category defined in the SLA. Additionally, the list of open cases reported by UCPC to the campus does not provide the classification.
  - The SLA does not mention how the campus can monitor the implementation of the service targets.
- The Monthly Metrics Summary reports provide limited information to keep the campus informed of how metrics are calculated and how to link with UCPC SLAs. The campus does not reconcile or verify the accuracy of the Monthly Metrics. For example:
  - The Monthly Metrics Summary report communicates how UCPC achieved 80% of the service target defined in the SLAs but does not communicate details of how to proceed with the remaining 20% not resolved cases within the expected days and how they are being handled.
  - In the June 2020 report, it presented a pie chart that shows 994 closed and 483 opened defects. It does not provide other details such as, whether the defects are functional, system, or technical, the source of the data, and how the open defects are impacting the campus.
  - There is no/limited correlation between the Monthly Metrics Summary reports and the metrics in the SLA.
  - The source of the data for the Monthly Metrics Summary reports is not mentioned to aid reconciliation and it is not clear whether UCPC uses the same data the campus has access to or whether they pull the data differently with some other information unknown to the campus.
- We were informed that the campus has limited authority to prioritize items for attention by UCPC causing many to remain unresolved. However, efforts are underway by UCPC to develop a better inclusion of campus partners in the prioritization process.

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<sup>13</sup> Event-driven - Items that require mass employment/record updates or corrections. May have a dependency for system processing or regulatory compliance.

## **RECOMMENDATION**

We recommend the PMO with the support of the Steering Committee to:

- Evaluate campus metric needs for tracking UCPC SLA's and if needed, request an update of current UCPC metrics such as the Monthly Metrics Summary report. Determine the most effective process to escalate this request to UCPC.
- Work with UCPC to establish a mechanism to enforce the SLA metrics.
- Evaluate tools to reconcile UCPC metrics.

## **MANAGEMENT RESPONSE**

We recommend the PMO with the support of the Steering Committee to:

- Evaluate campus metric needs for tracking UCPC SLA's and if needed, request an update of current UCPC metrics such as the Monthly Metrics Summary report. Determine the most effective process to escalate this request to UCPC.
- Work with UCPC to establish a mechanism to enforce the SLA metrics.
- Evaluate tools to reconcile UCPC metrics.

*Audit and Advisory will follow up on the status of these issues by March 1, 2021.*

## **5. ACCESS CONTROL MANAGEMENT**

### **OBSERVATION**

Our inquiry and testing noted adequate controls in the access control process. However, we found that DSAs<sup>14</sup> could approve their departmental role access creating a lack of separation of duties in the request process. Additionally, it could be convenient for the department to identify and document critical roles and perform a periodic review of roles to ensure users have the right access. Specifically,

- Except for roles for elevated users<sup>15</sup>, which are provisioned by the campus, all other roles are dynamically assigned by UCPC.
- All departmental accounts were submitted and approved by the required DSA. However, 74 departmental roles access requests were self-approved. The DSAs submitted and approved the access for themselves creating a lack of separation of duties. The members of the Steering Committee, as required, subsequently approved all universal accounts with no exception.
- The level of access assigned is aligned with users' job responsibilities and all elevated users are active employees of UCSB.

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<sup>14</sup> DSA – Departmental Security Administrators.

<sup>15</sup> Elevated Users – Departmental and Universal accounts have access to do more than a standard user.

## **RECOMMENDATION**

We recommend Enterprise Technology Services implement alternative measures to ensure that Departmental Security Administrator's do not approve their own departmental role access.

## **MANAGEMENT RESPONSE**

Enterprise Technology Services will implement measures to ensure that Departmental Security Administrator's do not approve their own departmental role access.

*Audit and Advisory will follow up on the status of these issues by December 31, 2020.*

## **6. OTHER AREAS**

### **OBSERVATION**

#### *Resources*

The Steering Committee has identified a need for an additional hand to bridge the gap and to incorporate a more broad campus representation. The COVID-19 hiring restrictions and possible budget cuts have affected the optimization of business processes.

We were informed of the following:

- The Steering Committee is evaluating hiring a UCPATH position or an organizational consultant to manage all non-IT aspects of UCPATH under the direction of the Steering Committee such as taking on some roles to reduce the Program Management Office's (PMO) involvement; helping to coordinate with campus departments for potential enhancements of the system, and spearheading UCPATH training initiatives.

The committee communicated this initiative to the Project Sponsors for approval and funding. However, due to the impact of COVID-19 and restrictions on staff hiring, this role has not been filled.

- The PMO informed us that central office staff support positions engaged since 2018 need to be funded.
- Central offices and the campus as a whole, operate with very thin staffing. While the existing staff can manage the day-to-day workload, there is little time for optimization or planning. Smaller departments, in the past, relied on their internal processes controls that triggered them to do input. The implementation moved all controls to UCPC and that has given some smaller departments challenges as they do not have a hand on the whole process. These smaller departments would need additional support.

#### *Funding*

During the review, we were informed that the funding strategy for the project was based on the Common Good Feed until June 2020. The Office of CIO is currently working to transitioning central offices staff onto a new funding plan.

### *Training*

The current training initiative is consistent in terms of delivery. However, trainings are only providing the basics of how to use the system, training documentation could not be kept up-to-date, and system training needs to be owned by a specific area.

During the review, we identified the current training and communication strategy and determined whether campus departments are onboard on this strategy by interviewing key stakeholders. We were informed of the following:

- There are quarterly trainings that are provided to new hires who are looking to increase their knowledge of UCPATH. This strategy is very consistent in terms of delivery. However, trainings are only providing the basics of how to use the system, due to time limitations - Central HR, Academic Personnel, and Payroll can only teach the classes once a quarter.
- The new UCPATH User Desk Manual<sup>16</sup> could be difficult to keep up-to-date because UCPATH continues to change, and it is unknown how these changes will be incorporated.

UCSB engaged the services of a Training Strategist to help develop a stable long-term UCPATH training strategy to deliver ongoing training and performance support for system users. We selected 10 samples of the recommendations and confirmed whether they have been implemented and found that none of the recommendations have been implemented.

The Steering Committee plans to assign training and these new training recommendations to the UCPATH Organizational Manager position when hired. The current COVID-19 pandemic has delayed new campus hiring and, therefore, the implementation of these recommendations.

### **RECOMMENDATION**

To ensure greater efficiency and optimization of business processes, we recommend the Project Sponsors to evaluate the hiring proposal for additional resources, including an organizational manager position.

### **MANAGEMENT RESPONSE**

The Project Sponsors will evaluate, at an appropriate time when COVID-19 recesses and hiring restrictions ease, the hiring proposal for additional resources, including an organizational manager position.

*Audit and Advisory will follow up on the status of these issues by March 31, 2021.*

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<sup>16</sup> See the background section for details.

## GENERAL INFORMATION

### BACKGROUND<sup>17</sup>

UCPath is a UC Office of the President project. The goal of the project is to deploy a single payroll system and a single human resources system across all ten campuses and five medical centers that meet the core needs of each location while capturing the efficiencies, improved data, and cost-savings associated with unified systems.

UCPath supports an active payroll of all UC employees. Some of the benefits of UCPATH provide to the campus community are:

- Consistent, quality data to enable us to make better decisions.
- Efficient, accurate payroll leading to less time spent identifying and correcting pay and benefits errors and greater confidence among faculty and staff in the accuracy of pay and benefits.
- Employees to feel confident that their pay and benefits will be correct and they will receive quality service.
- Reduced time and effort to bring new staff up to speed on the systems and processes.
- Increasing the quality of our business systems and operations, to be better able to support our faculty in delivering unparalleled excellence in academics and research.
- To change how we do our work; it is not just a system change. It is a transformation of how we do our work.
- An opportunity to develop new, efficient business processes. Rather than making small, piecemeal adjustments, we can take a comprehensive approach.
- Electronic timekeeping, bi-weekly pay, and UCPATH are all part of a comprehensive effort to elevate the quality of our business operations.

The UCPC is the central hub and a shared service center located at Riverside which is staffed from 8:00 am to 5:00 pm to service all UC employees. The UCPC Center manages the UCPATH portal where job-related information is stored and available 24/7.

### ***UCSB UCPATH***

In September 2018, the campus launched UCPATH to replace its former PPS. The new system centralizes business systems and administrative operations of payroll, academic personnel, timekeeping, and human resources across the UC system. UCPATH introduced a new way of conducting business, changing practices that had been part of the UC Santa Barbara culture for more than 35 years.

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<sup>17</sup> UCSB UCPATH website.

The transition to UCPATH has presented many challenges, and colleagues across the campus dedicated to helping to improve performance with the UCPATH system through a program of training and continuous knowledge sharing. To assist in this effort, Administrative Services released a new resource: the UCPATH Users Desk Manual. The intent is to bring together in one location some of the resources that are available to support processes related to personnel management, including UCPATH and electronic timekeeping. The Desk Manual is designed to provide useful tools. Although it references some specific policy documents, it is not itself a policy document or a statement of official policy. Integral to the success of the UCSB UCPATH is the participation of key stakeholder groups – the Sponsors, and Steering Committee, and other groups.

The campus has 45 communication channels to disseminate information about UCPATH to the right people. This includes the number of websites, email lists, meetings, and google groups.

### ***Training Approach<sup>18</sup>***

UCSB's UCPATH training team has designed a plan to address needs across the spectrum using blended learning. Blended learning allows learners to take self-paced, online courses at their convenience, as well as participate in more focused training and support, such as instructor-led, classroom training, and open labs. Special attention will be given to ensuring learners are comfortable accessing and using the UCPATH Help site to get additional support during and after training.

The UCSB UCPATH training team is focusing its attention on the business-critical tasks performed in UCPATH and building a curriculum around those system steps and their associated policies. Details on the specific courses and a classroom training schedule are forthcoming, but most individuals will be able to start taking online courses sometime in June.

Role-based training will be provided for all UCSB individuals who perform specific tasks at UCPATH, including initiators, approvers, and inquiry-only users. A series of recommended and optional UCPATH courses, referred to as a learning path, will provide each UCSB learner with the necessary skills and training to ensure system proficiency.

### ***ServiceNow***

ServiceNow is a customer service management system. In conjunction with UCPATH go-live, the UCSB ServiceNow customer service management system included services offered by HR and BFS. The ServiceNow product is not new. It is in use by the campus IT community. It is an online portal that allows users to report IT-related service disruptions and service requests (i.e., desktop support, software installation, network services, etc.) using a ticket system that tracks the requests. Academic personnel office does not use this service – they use email to track their service requests.

When services are requested, a “ticket” is created which is automatically routed to the appropriate work unit within HR or within BFS. The ticket is tracked and the status of the ticket is available to both the requester and the work unit fulfilling the request. A service catalog represents all of the services available and groups those services into common categories for customers. ServiceNow supports workflow and communication channels outside of personal email and phone messages. Some advantages include:

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<sup>18</sup> UCSB UCPATH website.

- Tickets are time stamped, tracked, and assigned to the appropriate individual for resolution.
- Tickets are visible to unit managers, improving their ability to monitor pending customer requests.
- Correspondence between HR/BFS and customers will be captured with the ticket.
- Tickets can be reviewed for emerging issues, high demand services, and service consistency.

### ***Access Control Process***

Two service offerings are provided to campus where someone can request access, requests for central services, and requests for departments. The distinction between the two service offerings is that one is geared towards central offices while the other is geared towards the departments.

Departmental access to UCPATH must be submitted by an approved DSA. DSA requests, with the understanding that the user with those access rights has already gone through some training. The team has a procedure to verify that those individuals have taken the training before they grant them access to the system.

Universal access requests come from DSAs and workflow requires approval from all members of the Steering committee. The team awards access while relying on the central offices' department verification of completion of the required training. The department's team performs some level of assessment to ensure that the department is requesting the right level of access. The department uses ServiceNow as the servicing platform.

When someone terminates completely, the system clears out their security automatically with the end of the UCNID, but if it is a change of department or a change of role, departments will need to submit a ticket.

### **SCOPE**

The scope of the audit included interviewing key players of UCPATH on campus, analyzing controls over selected business processes, training, and access control management to ensure business processes are coordinated and properly operating. Specifically, we:

- Evaluated the current governance structure to determine if it is adequate for the status of the project. Determined if changes are needed by interviewing members of the Steering Committee.
- Documented the existing controls within selected business processes with a high level of tickets such as Payroll, Benefit, Leave Absences, and Workforce Administration to ensure that adequate controls exist.
- Determined whether requests for tools and reports to help departments (Payroll and Benefits) gain visibility have been requested from the appropriate office or department and obtained the current status of each request.
- Identified and analyzed the tracking of systematic problems, defects, and issues facing the campus / escalated to UCPC and determine how long they have been outstanding

and the responsibilities owners have on these issues by reviewing SLAs.

- Interviewed appropriate personnel on funding plans for the project.
- Identified current training and communication initiatives to provide guidance on UCPath and determined whether the current training strategy is consistent and coordinated among all campus departments with responsibilities in training activities.
- Evaluated any lessons learned to improve training, communication and guidance have been implemented by evaluating recommendations made by consultants or Training Strategist.
- Documented access control process and how responsibilities are shared between campuses, departments, and UCPC and evaluated whether adequate controls have been implemented.
- Determined the level of authorized user access (security transactions) is aligned with job responsibilities/roles.
- Determined whether changes and access requests are properly documented, justified, and approved.
- Determined that all user accounts are active employees.

## **CRITERIA**

Our audit was based upon standards as set forth in the UC and UCSB policies, and other guidance relevant to the scope of the audit. This audit was conducted in conformance with the *International Standards for the Professional Practice of Internal Auditing*.

## **AUDIT TEAM**

Ashley Andersen, Audit Director  
Antonio Mañas-Melendez, Associate Director  
Gifty Mensah, Senior Auditor