

LBNL

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk* 1, 2, 3	Planned Hours	Primary Index Code	Core (X=Yes ⁽³⁾)
Planned Carry Forward (PCs):								
FY06	Lab	LBNL	PC	Select Policies Related to Ethics	1	300.0	J	
(a) Subtotal - Planned Carry Forward						300.0		
Planned New Audits (PNs):								
FY06	Lab	LBNL	PN	Travel	1	350.0	H.c.04	X
FY06	Lab	LBNL	PN	Cost Allowability FY2005	1	400.0	C.c.04	X
FY06	Lab	LBNL	PN	Payroll	2	300.0	H.e.01	X
FY06	Lab	LBNL	PN	Indirect Cost Rate/Overhead	1	350.0	E.f.03	X
FY06	Lab	LBNL	PN	Accounts Payable	1	350.0	H.c.01	X
FY06	Lab	LBNL	PN	Ethics (II)	1	300.0	J.b.02.01	
FY06	Lab	LBNL	PN	Physical Security of IT Resources	1	350.0	G.b.06	X
FY06	Lab	LBNL	PN	Bank Account Administration and Reconciliation	1	350.0	H.b.01	X
FY06	Lab	LBNL	PN	Hazardous Waste	1	350.0	I.b.02	
FY06	Lab	LBNL	PN	EFT (Electronic Funds Transfer)	1	300.0	H.c.05	X
FY06	Lab	LBNL	PN	Minor Construction Projects	2	350.0	K.a.02	
FY06	Lab	LBNL	PN	Maintenance	2	320.0	K.b.02	
FY06	Lab	LBNL	PN	Review of Pcard program	3	200.0	H.f.03	
(b) Subtotal - Planned New Audits						4270.0		
FY06	Lab	LBNL	PS	(c) Planned Supplemental Audits (lumpsum)		600.0		
FY06	Lab	LBNL	PNF	(d) Audit Follow Up (lump sum)		400.0	H	
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						5570.0		
Planned Advisory Services:								
FY06	Lab	LBNL	SC	FY06 Self-Assessment Independent Evaluation (Appendix F under form	3	600	C.c.01	
FY06	Lab	LBNL	SC	Pre-Implementation System Reviews (reviews TBD with varying levels of	1	620	G.b.01	X
FY06	Lab	LBNL	SC	New UC/DOE Contract Provisions Review	3	200	C.c	
FY06	Lab	LBNL	SC	Review of OMB Circular A-123	2	300	C.c	
(e) Subtotal - SC						1720		
Unplanned Advisory Services (by Category) ⁽²⁾								
FY06	Lab	LBNL	SE	External Audit Coordination		320		
FY06	Lab	LBNL	SI	Internal Control & Accountability, SI		280		
FY06	Lab	LBNL	SR	Systems Dev., Reengineering Teams, etc., SR		405		
(f) Subtotal - Unplanned Advisory Services						1005		
Total Advisory Services (e+f) ⁽¹⁾						2725		
FY06	Lab	LBNL	IN	Planned Investigation Hours (lump sum)		1936		

Total Audits, Advisory Services, and Investigations

10231.0

⁽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⁾ indicates core program will be used

* 1 = Top 10 scores, 2 = next top 10 scores, 3 = all others