

LBNL

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
Prior Year Audits Not Completed (DNFs):										
FY12	Lab	LBNL	DNF	<insert projects> (unknown at this time)		100.0				
						(a) Subtotal - Planned Carry Forward				
Planned New Audits (PNs):										
FY12	Lab	LBNL	PN	FY11 Cost Allowability	1	650	C.c.04			4
FY12	Lab	LBNL	PN	Data Security of Outsourced Applications	1	400	C.d.01	A		3
FY12	Lab	LBNL	PN	P-Cards	1	350	J.b.03			2
FY12	Lab	LBNL	PN	Property Accounting	1	350	H.g			3
FY12	Lab	LBNL	PN	Subcontract Proposal Audit	1	350	H.f.01			2
FY12	Lab	LBNL	PN	Accounts Payable	1	350	H.c.01			3
FY12	Lab	LBNL	PN	Annual Report on Executive Compensation and T&E	3	300	J.b.06			2
FY12	Lab	LBNL	PN	Construction Placeholder - Systemwide pending Regents Approval	1	350				3
						(b) Subtotal - Planned New Audits				
						3100.0				
FY12			PS	(c) Planned Supplemental Audits (lumpsum)		550.0				
FY12			PNF	(d) Audit Follow Up (lump sum)		400.0				
						Total Planned Audit Program (a+b+c+d) ⁽¹⁾				
						4150.0				
Planned Advisory Services:										
FY12	Lab	LBNL	SC	Business Process Review - Division TBD		650	H.d			4
FY12	Lab	LBNL	SC	Export Controls (changed from Audit to Advisory)		400	C.d.06			2
						(e) Subtotal - Planned Advisory Services				
						1050				
Unplanned Advisory Services (by Category) ⁽²⁾										
FY12			SC	Unplanned SC		1175				
FY12			SE	Unplanned SE		355				
FY12			SI	Unplanned SI		222				
FY12			SP	Unplanned SP		0				
FY12			SU	Unplanned SU		200				
FY12			SR	Unplanned SR		360				
						(f) Subtotal - Unplanned Advisory Services				
						2312				
						Total Advisory Services (e+f) ⁽¹⁾				
						3362				
FY12			IN	Planned Investigation Hours (lump sum)		1200				
						Total Audits, Advisory Services, and Investigations				
						8712				

⁽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)

^(*) 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