

LBNL

| FY | LOB | LOC | Prj Code | Name/Title of Audit | High Risk ⁽¹⁾ 1, 2, 3 | Planned Hours | Primary Index Code | IT Core (x) Indicator ⁽³⁾ | Est. Qtr Completion |
|---|-----|------|----------|---|-------------------------------------|------------------|-----------------------|---|------------------------|
| Prior Year Audits Not Completed (DNFs): | | | | | | | | | |
| FY13 | Lab | LBNL | DNF | <insert projects> | | | | | |
| (a) Subtotal - Planned Carry Forward | | | | | | 0.0 | | | |
| Planned New Audits (PNs): | | | | | | | | | |
| FY13 | Lab | LBNL | PN | FY12 Cost Allowability (Annual) | 3 | 650.0 | | | 3 |
| FY13 | Lab | LBNL | PN | Small Construction Projects (Deferred from FY11, UC Systemwide) | 1 | 400.0 | | | 4 |
| FY13 | Lab | LBNL | PN | IT Governance (UC Systemwide) | 3 | 250.0 | | | 2 |
| FY13 | Lab | LBNL | PN | Maintenance | 1 | 400.0 | | | 4 |
| FY13 | Lab | LBNL | PN | Billings and Receivables | 1 | 450.0 | | | 2 |
| FY13 | Lab | LBNL | PN | eBuy Pricing | 2 | 450.0 | | | 2 |
| FY13 | Lab | LBNL | PN | Annual Employee Performance Evaluation Process | 1 | 400.0 | | | 3 |
| (b) Subtotal - Planned New Audits | | | | | | 3000.0 | | | |
| FY13 | Lab | LBNL | PS | (c) Planned Supplemental Audits (lumpsum) | | 400.0 | | | |
| FY13 | Lab | LBNL | PNF | (d) Audit Follow Up (lump sum) | | 400.0 | | | |
| Total Planned Audit Program (a+b+c+d) ⁽¹⁾ | | | | | | 3800.0 | | | |
| Planned Advisory Services: | | | | | | | | | |
| FY13 | Lab | LBNL | SC | Joint Ventures/Partnerships/Affiliations/MOUs | 1 | 400 | | | 1 |
| FY13 | Lab | LBNL | SC | CY12 Executive Compensation and T&E | 3 | 200 | | | 2 |
| FY13 | Lab | LBNL | SC | Science Project Management | 1 | 400 | | | 2 |
| FY13 | Lab | LBNL | SC | Entity Controls | | 350 | | | 4 |
| (e) Subtotal - Planned Advisory Services | | | | | | 1350 | | | |
| Unplanned Advisory Services (by Category) ⁽²⁾ | | | | | | | | | |
| FY13 | Lab | LBNL | SC | Unplanned SC | | 400 | | | |
| FY13 | Lab | LBNL | SE | Unplanned SE | | 300 | | | |
| FY13 | Lab | LBNL | SI | Compensated Outside Professional Activities - Support (UCOP) | 3 | 25 | | | |
| FY13 | Lab | LBNL | SI | Unplanned SI | | 50 | | | |
| FY13 | Lab | LBNL | SP | Unplanned SP | | 50 | | | |
| FY13 | Lab | LBNL | SU | Unplanned SU | | 50 | | | |
| FY13 | Lab | LBNL | SR | Unplanned SR | | 0 | | | |
| (f) Subtotal - Unplanned Advisory Services | | | | | | 875 | | | |
| Total Advisory Services (e+f) ⁽¹⁾ | | | | | | 2225 | | | |
| FY13 | | | IN | Planned Investigation Hours (lump sum) | | 1200 | | | |
| Total Audits, Advisory Services, and Investigations | | | | | | 7225.0 | | | |

⁽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)

^(*) 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