

FY	LOB	LOC	Prj Code	Name/Title of Audit	High Risk ⁽¹⁾	Estimated	Primary	IT	Est. Qtr	
					1, 2, 3	Planned				Index Code
<u>Prior Year Audits Not Completed (DNFs):</u>										
FY17			DNF	<insert projects>						
(a) Subtotal - Planned Carry Forward										
<u>Planned New Audits (PNs):</u>										
FY17			PN	FY16 Cost Allowability (annual)	3	650.0				4
FY17			PN	FY16 Home Office Costs (DOE required)	3	450.0				4
FY17			PN	Conference & Meals (DOE required)	3	300.0				3
FY17			PN	Gifts (DOE required)	3	300.0				3
FY17			PN	Systemwide Placeholder (per M.Hicks 3/3/16)	3	350.0				3
FY17			PN	Technology Transfer Phase II	3	400.0				3
FY17			PN	OMB A-123 IT Controls	3	300.0				3
FY17			PN	Time/Effort Reporting	1	400.0				2
FY17			PN	Construction Projects	1	400.0				3
FY17			PN	Electronic Request for Issuance of Check (eF)	1	400.0				2
FY17			PN	Benefits Eligibility	1	350.0				2
FY17			PN	Safety Culture	1	350.0				2
(b) Subtotal - Planned New Audits						4650.0				
FY17			PS	(c) Planned Supplemental Audits (lumpsum)		600.0				
FY17			PNF	(d) Audit Follow Up (lump sum)		340.0				
Total Planned Audit Program (a+b+c+d) ⁽¹⁾						5590.0				
<u>Planned Advisory Services:</u>										
FY17				CY16 Executive Compensation		300.0				3
FY17				FY16 Employee Performance Management (HR request)		300.0				2
(e) Subtotal - Planned Advisory Services						600.0				
<u>Unplanned Advisory Services (by Category) ⁽²⁾</u>										
FY17			SC	Unplanned SC		150				
FY17			SE	Unplanned SE		50				
FY17			SI	Unplanned SI		50				
FY17			SP	Unplanned SP		50				
FY17			SU	Unplanned SU		50				
FY17			SR	Unplanned SR		50				
(f) Subtotal - Unplanned Advisory Services						400				
Total Advisory Services (e+f) ⁽¹⁾						1000.0				
FY17			IN	Planned Investigation Hours (lump sum)		1000.0				
Total Audits, Advisory Services, and Investigations						7590.0				

⁽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