

FY	LOB	LOC	Prj Code	Name/Title of Audit	Planned Hours	Primary Index Code	Est. Qtr Completion
<u>Prior Year Audits Not Completed (DNFs):</u>							
FY18		DNF		<insert projects>	0		
				(a) Subtotal - Planned Carry Forward	0		
<u>Planned New Audits (PNs):</u>							
FY18	LBNL	PN		FY17 Cost Incurred	800		
FY18	LBNL	PN		FY17 Home Office Costs	350		
FY18	LBNL	PN		Continuous Controls Monitoring	500		
FY18	LBNL	PN		OMB A-123 IT General Controls	250		
FY18	LBNL	PN		COI/COPA - AskUs Implementation Plan	300		
FY18	LBNL	PN		Construction Projects	400		
FY18	LBNL	PN		Subcontracts Time & Materials - Payments, Contract Performance	600		
FY18	LBNL	PN		Fraud Risk Assessment	450		
FY18	LBNL	PN		Pcard - Data Analytics and Internal Controls Structure	300		
FY18	LBNL	PN		Employee Concerns, Whistleblower Protection Program	350		
FY18	LBNL	PN		Onsite Security - Allied Universal Contract Performance, Contract Cost	450		
FY18	LBNL	PN		Director's Administrative Fund	250		
				(b) Subtotal - Planned New Audits	5000		
FY18		PS		(c) Planned Supplemental Audits (lumpsum)	350		
FY18		PNF		(d) Audit Follow Up (lump sum)	250		
				Total Planned Audit Program (a+b+c+d) ⁽¹⁾	5600		
<u>Planned Advisory Services:</u>							
FY18	LBNL	SC		CY17 AREC	250		
				(e) Subtotal - Planned Advisory Services	250		
<u>Unplanned Advisory Services (by Category) ⁽²⁾</u>							
FY18	LBNL	SC		Unplanned SC	850		
FY18	LBNL	SE		Unplanned SE	400		
FY18	LBNL	SI		Unplanned SI	125		
FY18	LBNL	SP		Unplanned SP	80		
FY18	LBNL	SU		Unplanned SU	70		
FY18	LBNL	SR		Unplanned SR	75		
				(f) Subtotal - Unplanned Advisory Services	1600		
				Total Advisory Services (e+f) ⁽¹⁾	1850		
FY18		IN		Planned Investigation Hours (lump sum)	1000		
				Total Audits, Advisory Services, and Investigations	8450		

⁽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