

**INTEGRATED MANAGEMENT AND OPERATING CONTRACTOR PLANNING FORM
FISCAL YEAR 2016**

COGNIZANT OIG REGIONAL OFFICE: Eastern Regional Audit Office; Oak Ridge, TN

NAME AND ADDRESS OF CONTRACTOR: Jefferson Science Associates, LLC

Thomas Jefferson National Accelerator Facility

12000 Jefferson Ave., Newport News, VA 23606

CONTRACT NUMBER: DE-AC05-06OR23177

<u>Audit Title</u>	<u>Location</u>	<u>Start^A</u>	<u>Complete^A</u>	<u>Staff Days^B</u>	<u>Total Days</u>
Audits:					
1. Allowable Cost - Transaction Testing: FY 2015	TJNAF	01/2016	03/2016	60	
2. Management of Funding Received From Non-DOE Entities	TJNAF	07/2016	09/2016	45	
3. Information Technology Governance ^C	TJNAF	10/2015	09/2016	10	
4. Management of General Plant Projects (GPP) ^C	TJNAF	10/2015	09/2016	10	
Subtotal Audit Days					125
Other:					
Financial Management Assurance ^C	TJNAF	04/2016	07/2016	55	
Follow-Up of Open Actions	TJNAF	10/2015	09/2016	10	
Management/Special Requests	TJNAF	10/2015	09/2016	5	
Subtotal Other					70
Administrative:					
Management & Administration		10/2015	09/2016	40	
Administrative Support		10/2015	09/2016	32	
Leave and Holidays		10/2015	09/2016	43	
Formal Training		10/2015	09/2016	15	
Subtotal Administrative					130
TOTAL					<u>325</u>

- A: Estimates. Actual start and completion dates may vary as a function of audit priorities and management operations schedules.
- B: The total JSA Internal Audit staff days planned for FY 2016 should equal 260 days times the number of full-time equivalent positions on staff.
- C: These audits/reviews will also be co-sourced with corporate reach back and outsourced services estimated at .75 FTEs.

**JEFFERSON LAB FY 2016 AUDIT PLAN
AUDIT SCOPE OUTLINE**

- 1. Allowable Costs - Transaction Testing: FY 2015 (Annual Requirement).** Assess, on a test basis, costs claimed and cost control systems consistent with applicable contract covenants, as well as, Jefferson Lab and JSA Policy.
- 2. Management of Funding Received From Non-DOE Entities.** Evaluate the effectiveness of managing funds from non-DOE Entities, with emphasis on review of corrective actions regarding funds received from the state of Virginia identified in Internal Audit No. 11-01 (December 2011).
- 3. Management of General Plant Projects (GPP).** Review the effectiveness of the overall GPP program and how it is managed.
- 4. Information Security Governance (ISG)¹.** This audit will primarily focus on the implementation of ISG practices, which include clearly defined policies, roles and responsibilities, risk appetite alignment, effective communication, tone at the top, and clear accountability.

NOTE: Internal Audit Plans and Scope are subject to change in order to efficiently respond to special Management requests and emerging business risk/opportunities.

¹ In accordance with the Institute of Internal Auditors International Professional Practices Framework (Standard 2110.A2), the internal audit activity must assess whether the information technology governance of the organization supports the organization's strategies and objectives.