

Internal Audit Plan for Fiscal Year 2018

Audit Title	Area / Initial Objective(s)	Projected Hours
2017 Carryover Audits		
IT Governance Audit	Review processes in place to ensure IT supports the strategies and objectives of TDA to determine compliance with applicable rules and regulations, governance effectiveness, and IT performance and development frameworks.	280
Audit of the Controls over HR & Payroll A/	Review HR & Payroll process controls to determine compliance with applicable rules and regulations, and the effectiveness of system access, manual and automated controls over expenditures/payments, policies and procedures, and grant/contractual agreements.	700
Audit of Employee Lifecycle Management A/	Review Employee Lifecycle Management processes to benchmark best practices to agency practices. Identify non-compliance to strategic operational policies and procedures including areas such as workforce planning, compensation and benefits, employee development and risk management.	720
2018 Audits		
Metrology Lab B/C/	Review of Metrology Lab processes and controls for compliance with applicable rules and regulations.	1,200
Credit Cards B/	Review credit card process and controls to determine compliance with applicable rules and regulations, the effectiveness of process and administration, manual and automated controls, and related TDA policies and procedures, and contractual agreements.	700
Follow-up on Prior Audits		
Assess the implementation status of corrective actions taken in response to prior internal and external audit findings and recommendations.		200
Risk Assessment, Audit Plan and Annual Report		
Prepare Risk Assessment, Internal Audit Plan and Internal Audit Annual Report.		640
Fraud Hotline Admin, Consulting Services and Special Projects		
Perform activities as requested by management throughout the year, as permitted by internal audit resources and the Texas Internal Audit Act. These activities may address governance, risk management, or control issues.		400
External Audit Coordinator		
Act as a liaison for external audit activities, providing a single point of contact for all audits of TDA by oversight entities. Internal Audit assists management in coordinating TDA and external auditor interactions to ensure both parties receive accurate and timely information and feedback.		160
Total		5,000

A/ Addresses benefits proportionality

B/ Addresses Contract Management and other requirements of Senate Bill 20 (84th Legislature)

C/ Addresses Capital budget controls, expenditure transfers, or any other limitation or restriction in the General Appropriations Act.

* All Projections based on full staffing.