

Texas state Library and Archives Commission  
Proposed FY 2020 Internal Audit Plan  
August 2019

Audit Area	Risk Rating	Summary Procedures	Audit Focus	Estimated Hours	
				Low	High
<b>2020 Planned New Internal Audits</b>					
Contract Administration	High	Internal Audit will include an evaluation of risks and internal controls in place related to Texas State Library and Archives Commission's Contract Administration practices. Activities to be evaluated will include Contract Development, Contract Compliance, Contract Management, Renewal and Professional Services.	Internal Audit	200	230
Public Information Requests	Moderate	Internal Audit will include an evaluation of risks and internal controls in place related to Texas State Library and Archives Commission's Public Information Requests practices. Activities to be evaluated will include Receipt and Tracking, Fullfillment, Invoicing, Reporting, Permissive Exceptions Process, and OAG Research Requests.	Internal Audit	120	130
<b>2020 Planned Internal Audit Follow-up</b>					
Grant Management	Moderate	Internal Audit will perform follow-up procedures on 2019 Internal Audit findings to ensure corrective action has been taken.	Follow-up	50	60
Other Prior Year Findings	High	Internal Audit will perform follow-up procedures on prior year Internal Audit findings to ensure corrective action has been taken.	Follow-up	80	100
<b>2020 Planned Annual Requirements</b>					
Project Management	NA	Track overall internal audit procedures, coordinate audit activities, and reporting to management.	Project Management	40	45
Update Risk Assessment	NA	Perform required annual update of risk assessment	Policy Compliance	20	25
Annual and Quarterly Board Reports	NA	Prepare and submit required Annual Internal Audit Report and quarterly reports to the Audit Committee of internal audit activities.	Policy Compliance	10	15
<b>Total 2020 Internal Audit Estimated Hours</b>				<b>520</b>	<b>605</b>

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Audit Area	Risk Rating	Summary Procedures	Audit Focus	Estimated Hours	
				Low	High
<b>2021 Planned New Internal Audits</b>					
Archival Holdings and Research Materials	High	Internal Audit will include an evaluation of risks and internal controls in place related to Texas State Library and Archives Commission's Archival Holdings and Research Materials practices. Activities to be evaluated will include Accessioning, Processsing and Findings Aids, Fulfilling Research Requests, Deaccessioning, Public Access, and Replevin.	Internal Audit	220	250
Preservation	Moderate	Internal Audit will include an evaluation of risks and internal controls in place related to Texas State Library and Archives Commission's Preservation practices. Activities to be evaluated will include Monitoring Collection Condition, Conservation, and Security.	Internal Audit	100	150
Grant Management Contract Administration Public Information Requests	Moderate	Internal Audit will perform follow-up procedures on 2019 and 2020 Internal Audit findings to ensure corrective action has been taken.	Follow-up	110	120
<b>2021 Planned Annual Requirements</b>					
Project Management	NA	Track overall internal audit procedures, coordinate audit activities, and reporting to management.	Project Management	40	45
Update Risk Assessment	NA	Perform required annual update of risk assessment	Policy Compliance	20	25
Annual and Quarterly Board Reports	NA	Prepare and submit required Annual Internal Audit Report and quarterly reports to the Audit Committee of internal audit activities.	Policy Compliance	10	15
<b>Total 2021 Internal Audit Estimated Hours</b>				<b>500</b>	<b>605</b>

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2019

Audit Area	Risk Rating	Summary Procedures	Audit Focus	Estimated Hours	
				Low	High
<b>2022 Planned New Internal Audits</b>					
Procurement	High	Internal Audit will include an evaluation of risks and internal controls in place related to Texas State Library and Archives Commission's Procurement practices. Activities to be evaluated will include Purchase Orders, Bidding Processes and Awards, Contract Negotiation and Approval, Procurement Reporting, and Vendor Management.	Internal Audit	200	230
Information Technology Services	High	Internal Audit will include an evaluation of risks and internal controls in place related to Texas State Library and Archives Commission's Preservation practices. Activities to be evaluated will include Network Operations, Help Desk, Change Management, Software Maintenance, Software Licensing and Usage, Vendor Management and Project Management.	Internal Audit	160	200
<b>2022 Planned Internal Audit Follow-up</b>					
Archival Holdings and Research Materials Preservation	Moderate	Internal Audit will perform follow-up procedures on 2019, 2020 and 2021 Internal Audit findings to ensure corrective action has been taken.	Follow-up	70	90
<b>2022 Planned Annual Requirements</b>					
Project Management	NA	Track overall internal audit procedures, coordinate audit activities, and reporting to management.	Project Management	40	45
Update Risk Assessment	NA	Perform required annual update of risk assessment	Policy Compliance	20	25
Annual and Quarterly Board Reports	NA	Prepare and submit required Annual Internal Audit Report and quarterly reports to the Audit Committee of internal audit activities.	Policy Compliance	10	15
<b>Total 2022 Internal Audit Estimated Hours</b>				<b>500</b>	<b>605</b>