

## Fiscal Year 2019 Annual Internal Audit Plan

### ***Scheduled Projects***

#	Project Description	Status
1	Audit Ready / Risk Assessment	FY 2020 Plan – Anticipated Completion August 2019
2	HCD – HUD Expenditures / Environmental Review	Complete
3	Employee Associations	Complete
4	USOR	Complete
5	Travel	Complete
6	Utah Independent Living Center	Complete
7	Tilley Time Child Care	In progress
8	OCC Provider Payments	Original Project Complete; Project expanded to include additional providers due to frequency of errors in first project. Expanded project anticipated to be completed September 2019.
9	Crossmatch <ul style="list-style-type: none"> <li>• ESD – eREP</li> <li>• WDD – UWORKS</li> <li>• UI – CATS/CUBS</li> <li>• Department Employee / Vendor Match</li> <li>• AWARE</li> <li>• Seal WORKS – LIHEAP</li> </ul>	These are data comparisons designed to identify things such as potential improper employee payments and improper employee access to information. All are at various stages of completion.
10	Telework Compliance and Performance	Complete
11	DWS’s Role with Independent Boards	In progress
12	Asian Association of Utah	Complete
13	ASD Separation of Duties	Scheduled
14	Evaluation of Conflict of Interest Policies and Practices	In progress
15	UI Held Account Balance and Reconciliation	Preliminary evaluation found that DWS Finance is aware of and adequately addressing this issue. Further audit work is not considered necessary.

### ***Unscheduled Projects***

#	Project Description
1	Device and Software Inventory
2	USOR Pre-ETS Program
3	UI Cash Receipting Controls
4	WDD – Education and Training
5	RSO Policies

***Projects Not Part of Original Plan, but Subsequently Added***

<b>#</b>	<b>Project Description</b>	<b>Status</b>
1	Subrecipient Entity Monitoring	Ongoing
2	Contract Monitoring/Performance Outcomes	Ongoing
3	The Road Home	Complete
4	Payments Under \$1,000 (Follow up on State Finance Post Audit)	Complete
5	HCD Sponsorship Payments	Complete