

APPENDIX J

UNC System Office Internal Audit Plan
Fiscal Year 2020-2021

| Description | Status as of 10/30/20 |
|---|--------------------------|
| | |
| Prior Year Carry Over | |
| Annual Risk Assessment/2021 Audit Plan Development | Completed (July 2020) |
| Advisory Services Related to Covid-19 Federal Funding | In Progress |
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| Assurance Engagements | |
| UNC-TV: Purchase Card Review | In Progress |
| UNC System Office: North Carolina Gift Planning, LLC | Not Started |
| To Be Determined | Not Started |
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| Monitoring and Reporting on Status of Management Corrective Actions | |
| Assess Status of Prior IT Audit Recommendations | In Progress |
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| Investigations | |
| Unplanned/Variou as occurs: Investigations of internal/external hotline reports and similar types of investigations. | Not Started |
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| Special Projects/Consultations | |
| Consult: Finance Detective Controls Project | Not Started |
| Annual Risk Assessment/FY2022 Audit Plan Development | Not Started |
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| Technical Assistance/Other Audit Services | |
| Advisory Services to Finance: Finance DataMart; COVID-19 Relief Funding; Policy and Procedures Updates | In Progress |
| Advisory Services to Information Technology: Remote Management Services; Business Continuity/Disaster Recovery Plan; IT Risk Register; Policy and Procedures Updates | Not Started |
| Advisory Services to Human Resources: Updates to Onboarding Procedures and Learning Management Implementation; FFCA Leave Review; I-9 Documentation; Policy and Procedures Updates | In Progress |
| Advisory Services to Academic Affairs: Digital Learning Enhancements; Policy and Procedures Updates | Not Started |
| Advisory Services to Strategy and Policy: NCPFP/TP3; Policy and Procedures Updates | Not Started |
| Advisory Services to System Office Departments: Continuation of Operations Plan Updates | Not Started |
| Advisory Services to UNC-TV: R&R Planning; Purchasing Processes; Business Continuity; Policy and Procedures Updates | Not Started |
| Board Meetings, Unit Oversight, Staff Hiring, MOUs, and Marketing | In Progress |
| Other Services/Committees: Other routine advisory services to UNC-TV and the System Office; assist external auditors; charter updates; annual certifications; CAO/OIA committee meetings; QAIP work; and other projects to be determined. | In Progress |
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| Professional Development | In Progress |
| Internal Audit Services to NCSSM and NCSEA | In Progress |