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**Fiscal Year 2022 Audit Plan (DRAFT)**
**Performance Audits**

Auditable Units	Objectives	Budget Hours
Vocational Rehabilitation	<b>Controls Review of VR Providers</b> – to determine what controls are in place to ensure the safety of Vocational Rehabilitation customers.	800
Information Technology	<b>Access Control Review of ReHabWorks</b> – to determine if controls in VR Systems ensure appropriate roles, access rights and privileges.	800
Finance	<b>Vendor Setup Audit</b> – to determine the efficiency and effectiveness of the vendor set-up process.	750
Employer Initiatives	<b>JET Program Compliance Review</b> – to determine if controls in the JET program ensure compliance with State laws.	800
General Counsel	<b>Contract Review Efficiency Audit</b> – to determine the efficiency of contracting reviews by General Counsel staff.	800
Vocational Rehabilitation	<b>Compliance Review of Blind Services</b> – to determine if controls are in place in the Blind Services program to ensure compliance with Federal and State requirements.	1000
Child Care	<b>Child Care Compliance</b> – to ensure controls are in place in the Child Care program to ensure compliance with Federal and State requirements.	800
Workforce Development	<b>Migrant Seasonal Farm Worker (MSFW) Compliance Review</b> – to ensure controls are in place in the MSFW program to ensure compliance with Federal and State requirements.	750
Fraud Deterrence and Compliance Monitoring	<b>Audit of Labor Law</b> – to ensure controls are in place in the Labor Law program to ensure compliance with Federal and State requirements.	800
Agency-wide	<b>Review of Monitoring Results</b> – to determine if the results of monitoring activities are properly addressed by Agency management.	1,000
Agency-wide	<b>Quarterly Follow-Up Reviews</b> – to determine the adequacy and effectiveness of corrective actions implemented by management to address previously reported audit findings and recommendations.	3,000
Agency-wide	<b>Commission Requests</b> - additional projects requested by the Commission.	1,000

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### Carry Forward Projects

Auditable Units	Objectives	Budget Hours
Finance	<b>Collection Activities</b> - to determine if UI Tax collection activities by the Collection and Civil Actions department are efficient and effective.	190
Agency-wide	<b>Review of Agency Monitoring Processes</b> - to determine if required monitoring is occurring and if controls are in place to ensure accurate reporting.	400
Agency-wide	<b>Succession Planning</b> – to determine if controls are in place to minimize loss of knowledge and skills if turnover occurs in key roles across the Agency.	205
Vocational Rehabilitation	<b>VR Quality Reviews</b> – to determine if Quality Assurance and Quality Improvement are conducting effective case reviews.	695
Unemployment Insurance/ Fraud Deterrence and Compliance Monitoring	<b>Fraud Controls</b> – to determine if controls are effective to maximize fraud prevention, detection, and response related to Unemployment Insurance claims.	500
Information Technology	<b>Cybersecurity</b> – to determine if security and privacy controls are effective to protect organizational operations, assets, and customers.	800
Information Technology	<b>IT Customer Support</b> – to determine whether controls exist to ensure the IT Service Desk provides customer support to agency employees.	550
Workforce Development	<b>Career Schools</b> - to determine if current processes ensure compliance with State Laws and Rules.	470

In addition to planned audit services, OIA has ongoing responsibilities, which include:

- Annual Internal Audit Report issuance
- Annual Risk Assessment and Audit Plan development
- Commission and Management briefings on reports
- TeamMate, SharePoint, and Intranet maintenance
- Annual Quality Self-Assessment
- Quarterly Open Findings Assessments
- Professional development
- Data analysis