

					Co	mponen	t Institu	ition	
Source	Functional Area	Title of Audit	Description and Audit Objectives	Total Hours					
		-							



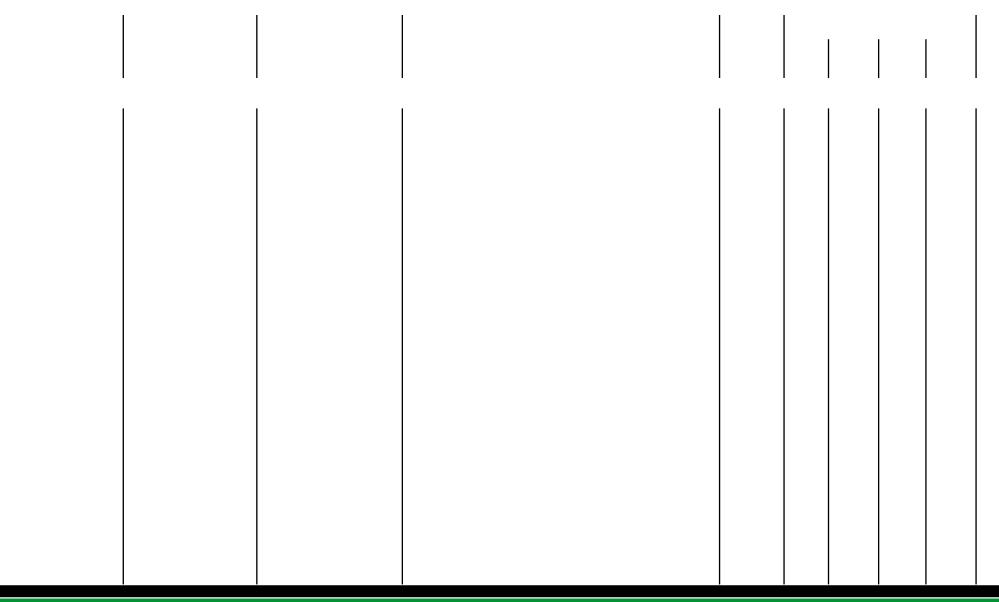
Source	Functional Area	Title of Audit	Description and Audit Objectives	Total Hours			





					Co	mponer	nt Institu	Ition	
Source	Functional Area	Title of Audit	Description and Audit Objectives	Total Hours	UNT System	UNT	UNTHS	UNT Dallas	Identified Risk
Y20 Audits Req	uiring FY20 Audit	Hou(continued)							
INTERNAL AUDIT	INFORMATION TECHNOLOGY	IT Shared Services Disaster Recovery	Deferred from FY19. Disaster Recovery is a critical element in providing continuity of operations meetin the Service Level Agreement needs of the UNT Wo user community in the event of disasters, malware attacks or system outages. To Determine whether recovery process for essential systems is being test and validated according to published service level agreements.	g rld 400	x				Information Technology; Compliance; Reputational; Financial; Operational
INTERNAL AUDIT	INFORMATION TECHNOLOGY								







					Co	mponer	nt Institu	ition	
Source	Functional Area	Title of Audit	Description and Audit Objectives	Total Hours	UNT System	UNT	UNTHS	UNT Dallas	Identified Risk
Y20 Audits Req	uiring FY20 Audit	Hou(continued)							
INTERNAL AUDIT	MANAGEMENT ADVISORY SERVIC	Control SelfAssessmer	To facilitate work groups focused on streamlining ar improving internal audit processes	d 500	x				Compliance; Reputational; Financial; Operational; Regulatory
INTERNAL AUDIT	MANAGEMENT ADVISORY SERVIC	SelfAudits- TBD ES	To develop tools to assist University departments as effectiveness of internal operations	400	x	х	х	х	Compliance; Reputational; Financial; Operational; Regulatory
INTERNAL AUDIT	INVESTIGATIONS	Investigations	To examine and verify allegations or complaints of fraud, waste, abuse or employee misconduct	300	x	х	х	х	Compliance; Reputational; Financial; Operational; Regulatory
INTERNAL AUDIT	UNALLOCATED HOUR S T		Represents audit hours designated for institutional u but individual IT audit projects and data mining have not been determined. IT audit projects will be identified over the course of FY20 to be responsive managements' high risk and high impact areas.	2 2 2 2	x	х	х	х	Information Technology Sec IT System Network Authoriz and Access; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	UNALLOCATED HOURSSPECIAL PROJECTS		Represents audit hours designated for institutional u but individual audit projects have not been determin Audit projects will be identified over the course of FY to be responsive to managements' high risk and hig impact areas (E.G., shared services, business proce reviews, fraud hotline investigations, etc.).	′20 n 1,494	x	Х	х	х	Financial; Operational; Ass Misappropriation; Economic and Efficient Use of Resourc Compliance with Policies; Safeguarding of Assets
INTERNAL AUDIT	UNALLOCATED HOUR&JNT		Represents audit hours designated for institutional u but individual audit projects have not been determin Audit projects will be identified over the course of FY to be responsive to managements' high risk and hig impact areas (E.G., shared services, business proce reviews, fraud hotline investigations, etc.).	(19 n 1,323		Х			Financial; Operational; Ass Misappropriation; Economic

UNT | SYSTEM[®]





UNT System Strategic Goals	Business Goals	Identified Business Risk	Audit Owner	FY20 AAP Project	
Achieve Efficient and Effective System	Operational Effectiveness	Compliance; Reputational; Financial; Operal; 824.8 (ts T JE39a1 2	1.8586 T J8 (R)6.2 (e)4g)8 (ul	5 (9.8 (a)1 (lor5 (n)3y7 (s)] JEMC /P &MC6D 50 B D	C 4.



Risk Evaluation Criteria

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Moderate number of Occurrences Moderate motivation Moderate controllability Moderate preparedness Impact: Minor effect on operations requiring minimal	Moderate number of occurrences Moderate motivation Moderate controllability Moderate preparedness Impact: Minor loss of assets, adverse impact on revenue less than	Likelihood: Moderate number of occurrences Moderate motivation Moderate controllability Impact: Minor event impacting the availability integrity or	occurrences Moderate motivation Moderate controllabili Moderate preparedne Impact: Minor regulatory pena and sanctions.	Advice to number of occurrences Moderate controllability ess Moderate preparedness Impact: alties Minimal public negative perception requiring little
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Moderate number of occurrences Moderate motivation Moderate controllability Moderate preparedness Impact: Minor effect on operations requiring minimal ense to recover. adjustments to d: Likelihood:	Moderate number of occurrences Moderate motivation Moderate controllability Moderate preparedness Impact: Minor loss of assets, adverse impact on revenue less than o plans. 5%. Likelihood:	Likelihood: Moderate number of occurrences Moderate motivation Moderate controllability Impact: Minor event impacting the availability integrity or confidentiality of data Likelihood:	occurrences Moderate motivation Moderate controllabili Moderate preparedne Impact: Minor regulatory pena and sanctions.	Moderate number of occurrences Moderate controllability ess Moderate preparedness Impact: alties Minimal public negative perception requiring little effort/exp ihood: number of occurrences Likelihoo motivation Low num

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