

**East Carolina University**  
**Office of Internal Audit**  
**Annual Engagement Plan**  
**By Type**  
**FY 2022**

Project Description		Budgeted Hours	% of Total	Division
<b>Integrated/Internal Controls/Operational/Performance Audits:</b>				
Financial Aid Analytics	PPD (v2)	0	0.0%	
Parking and Transportation (Business processes)	WIP	300	1.8%	AF
Automated Journal Voucher Process	WIP	240	1.4%	AF
Campus Living	OP	300	1.8%	SA
ECU Lab School	OP	300	1.8%	AA
Clinical Trials	OP	300	1.8%	HS
Payroll	OP	300	1.8%	AF
University Scholarships	OP	300	1.8%	AA,HS,UA
Athletics Ticket Office	OP	300	1.8%	AT
ChromeRiver Processes	OP	300	1.8%	AF
Academic Outreach Operations	OP	300	1.8%	AA
ProCard Transactions 2020-21	ADD (v2)	160	1.0%	ALL
		<b>3100</b>	<b>18.6%</b>	
<b>Compliance Audits:</b>				
Conflict of Interest Management	OP	240	1.4%	REDE,AA,HS
Pandemic Relief Funds (details TBD)	OP	300	1.8%	ALL
Americorps Participation Records (College of Ed)	OP	160	1.0%	AA
		<b>700</b>	<b>4.2%</b>	
<b>Information Technology Audits:</b>				
Mobile Computing Practices of Remote Workers	OP	300	1.8%	ALL
UNC Policy 1400 Assessment	OP	240	1.4%	AF
Campus Ops Networked Systems	OP	260	1.6%	AF
axiUm Controls	WIP	40	0.2%	HS
		<b>840</b>	<b>5.0%</b>	
<b>Investigative Reviews:</b>				
Hotline Allegations Triage	OP	100	0.6%	ALL
Investigative Reviews - Already In Progress	WIP	200	1.2%	
Investigative Reviews - Not Yet Received/Started	OP	1400	8.4%	
		<b>1700</b>	<b>10.2%</b>	
<b>Follow-Up Reviews:</b>				
Action Plan Tracking and Follow-Up	OP	600	3.6%	ALL
OSA IT Recommendations (1st follow-up)	WIP	40	0.2%	AF
OSA IT Recommendations (2nd follow-up)	OP	140	0.8%	AF
Campus Living Hiring Practices (L21015)	OP	80	0.5%	SA
Greenphire Participant Payment Controls (A21024)	OP	100	0.6%	ALL
ADA/504 Compliance (A20004)	OP	80	0.5%	AF
SoDM Clinic and Rev Cycle Recommendations	PPD (v3)	0	0.0%	HS
		<b>1040</b>	<b>6.2%</b>	
<b>Consultations/Management Advisory Services</b>				
Routine and Unplanned Consultations	OP	660	4.0%	ALL
Routine Data Analytics Support for Clients	OP	400	2.4%	ALL

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ADD=Added since July 1  
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University Committees, Workgroups, Education, and Client Relations	OP	400	2.4%	ALL
ERM Program Support	OP	100	0.6%	AF
Student Athlete Course Clustering	OP	60	0.4%	AA
Gap Analysis - US DOJ Compliance Program Guidance	OP	80	0.5%	CH
ProCard Analytics for ChromeRiver	WIP	300	1.8%	AF
REDE CPE Consultation	ADD	20	0.1%	REDE
Friends of UNCW	ADD	20	0.1%	EXT
		<b>2040</b>	<b>12.2%</b>	
<b>Other/Special Projects:</b>				
Coordinate and Assist with External Audits, SBI Reports, Routine Mtgs	OP	1200	7.2%	ALL
Audit Software Admin and Maintenance	OP	300	1.8%	NA
Student Intern Program	OP	120	0.7%	NA
Risk Assessment/Audit Planning 2021-2022	WIP	20	0.1%	ALL
Increase EnCase Capabilities	WIP	100	0.6%	NA
Risk Assessment/Audit Planning 2022-2023	OP	100	0.6%	ALL
Data Analytics Capabilities Enhancement	OP	300	1.8%	NA
University Code of Conduct	OP	40	0.2%	CH
Veteran Student Data Analytics	OP	160	1.0%	AA
		<b>2340</b>	<b>14.0%</b>	
<b>Total Direct/Chargeable Hours</b>		<b>11760</b>	<b>71%</b>	
Administration		1800	10.8%	NA
Leave/Holiday		2300	13.8%	NA
Professional Development		800	4.8%	NA
<b>Total Indirect Hours:</b>		<b>4900</b>	<b>29%</b>	
<b>Grand Total Hours</b>		<b>16660</b>	<b>100%</b>	

**Original Plan Approved by Chancellor Rogers on June 4, 2021**

**Original Plan Approved by ECU Board of Trustees on July 23, 2021**

**Version 2 approved by Chancellor Rogers and the BOT Audit Committee on November 11, 2021**

**Version 3 approved by Chancellor Rogers and the BOT Audit Committee on February 10, 2022**

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