

Texas Department of Licensing and Regulation
Proposed Internal Audit Plan
Fiscal Year 2026

Audit Area	Risk Rating	Summary Procedures	Audit Focus
2026 Planned New Internal Audits			
Open Records and Data Privacy	High	This internal audit will focus on TDLR's procedures for processing public information requests and ensuring that data privacy considerations are appropriately managed when disseminating information outside of the agency. The review will assess compliance with public information act requirements for the timely processing and response to requests as well as ensuring privacy of information for the agency and license holders.	Internal Audit
Inter-Divisional Position Alignment	High	This internal audit will focus on the distribution of TDLR's job responsibilities and activities carried out across the Licensing, Customer Service, Education and Examination, Field Inspections, Compliance, and Enforcement Divisions of the agency. The primary focus of our procedures will be to identify overlapping and/or duplicate efforts in job roles and responsibilities that may lead to inefficiencies, redundancies, or unnecessary resource utilization. The audit will focus on recurring tasks, shared functions, and cross-departmental processes.	Internal Audit
TBVME Administrative Procedure Act Compliance	NA	This internal audit will focus on compliance with the Texas Administrative Procedure Act, Texas Government Code, 2006 and 2007, and other relevant statutes for the development and modification of agency administrative rules.	Internal Audit
2026 Planned Internal Audit Follow-up			
IT General Controls	High	Internal Audit will perform follow-up procedures on Internal Audit findings to ensure corrective action has been taken.	Follow-up
Disaster Recovery and Business Continuity	High	Internal Audit will perform follow-up procedures on Internal Audit findings to ensure corrective action has been taken.	Follow-up
TBVME Observation	NA	Internal Audit will perform follow-up procedures on the remaining open observation for TBVME.	Follow-up
2025 Planned Annual Requirements			
Project Management	NA	Track overall internal audit procedures, coordinate audit activities, and reporting to management.	Project Management
Update Risk Assessment	NA	Perform required annual update of risk assessment	Policy Compliance
Annual and Quarterly Board Reports	NA	Prepare and submit required Annual Internal Audit Report and quarterly reports to the Audit Committee of internal audit activities.	Policy Compliance