The University of Texas at San Antonio
FY 2017 Annual Audit Plan

Engagements	Original Budget	Percent of Total	General Objective/Description
Risk Based Audits			
Graduation Rate Improvement Plan/Academic Advising	400		Review academic advising processes and the implementation of academic advising support tools to determine realization of business value, data integrity, and data confidentiality
Scholarship Management	400		Review scholarship management for compliance with terms and conditions
Sponsored Projects Compliance (Uniform Guidance)	400		Review research and development activities for compliance with federal uniform guidance
Campus Security	400		Review the procedures to ensure a safe environment at UTSA
NCAA Compliance	300		Review Athletics department for compliance with NCAA regulations
Network	500		Review the activities, methods, procedures, and tools that pertain to the operation, administration, maintenance, and provisioning and securing of networked systems/components
Banner - Student Records System	400		Review the operational efficiency and the effectiveness of the application controls of the Student Records Information System (BANNER)
Cloud Hosted Systems Review	500		Utilize technical and investigative audit discovery techniques to identify and review cloud hosting solutions/systems being utilized by the institution
Risk Based Audits Subtotal	**3300**	**34.1%**	

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Risk Based Consulting Projects			
PeopleSoft	200		Consult with Financial Affairs and Human Resources, and UTSA Share Project Management Office to assist with PeopleSoft stabilization efforts
Undergraduate Admissions	200		Consult with AVP for Student Affairs - Enrollment Services to assist with Undergraduate Admissions process review
Decentralized IT Departmental Reviews	400		Perform risk based reviews of decentralized information technology and information security governance and controls at departments across campus
Data Analytics	200		Continue support of UT System Audit Office development of the Financial Aid Data Analytics Tool and develop internal data analysis in the areas of Travel and Entertainment, Procard and Research
IT Security and IT Emerging Risks	40		Monitor and identify emerging technology and information security risks to the institution based on current environment
Consulting Projects Subtotal	**1040**	**10.7%**	

Engagements	Original Budget	Percent of Total	General Objective/Description
Required Audits (Externally and Internally)			
TAC 202 Information Security Self-Assessment Validation	300		Provide independent validation of the Texas Administrative Code 202/Department of Information Resources control self-assessment performed by the institutional Information Security Department under direction of UT System Wide Information Security Department. (Biennial Requirement)
FY16 NCAA Agreed Upon Procedures	350		Perform required NCAA Agreed Upon Procedures for FY 2016 on behalf of the UT System Audit Office (Due 1/15/17)
NCAA Football Attendance	100		Review for compliance with NCAA football bowl subdivision attendance requirements (Due 2/15/17)
FY16 Financial Statement	350		Review of the financial statements in support of the Deloitte's UT System Consolidated Financial Statement work for FY 2016
FY17 Financial Statement (Interim)	100		Perform interim testing for FY 2017 financial statement audit
UTS 142.1 Compliance	100		Review for compliance with UT System Policy 142.1 requirements related to segregation of duties, account reconciliations, and certifications by account owners
Executive Management Travel and Entertainment	300		Review Executive Management travel and entertainment expenses for FY 2016
Presidential Travel and Entertainment Audit Assistance	20		Assist UT System Audit Office with review of Presidential travel and entertainment expenses
State Auditor's Office (SAO) -FY16 Statewide Single Audit (Student Financial Aid)	50		Assist State Auditors with the FY 2016 & FY 2017 Statewide Single Audit (Student Financial Aid) - (Due February 2017)
SAO Annual Reporting Requirement on Procurement Policies	20		Texas Senate Bill 20 requirement that the chief audit executive annually certify to the state auditor that the institution has procurement policies in place that comply with the Texas Education Code requirements for higher education institutions (Due 11/1/16)
Cancer Prevention and Research Institute of Texas (CPRIT) Agreed Upon Procedures	20		Assist with the completion of the agreed upon procedures on UTSA CPRIT research grants (Due May 2017)
Required Audits Subtotal	**1710**	**17.7%**	

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Reserve/Special Requests/Investigations			
Reserve/Special Requests/ Investigations	500		Reserve to conduct audits, consulting, internal control reviews, investigations, and/or other assurance activities as requested from UT System, management or other external sources
Investigations Subtotal	**500**	**5.2%**	
Carryforward Projects			
Risk Based Projects Carry Forward	200		Carry Forward risk based projects from FY 2016 Audit Plan
Required Audits Carry Forward	200		Carry Forward externally required projects from FY 2016 Audit Plan
Carryforward Projects Subtotal	**400**	**4.1%**	
Follow Up			
1st Quarter	50		Quarterly follow-up on outstanding audit recommendations
2nd Quarter	50		Quarterly follow-up on outstanding audit recommendations
3rd Quarter	50		Quarterly follow-up on outstanding audit recommendations
4th Quarter	50		Quarterly follow-up on outstanding audit recommendations
Follow Up Subtotal	**200**	**2.1%**	

Engagements	Original Budget	Percent of Total	General Objective/Description
Development - Operations			
Internal Audit Committee Meetings	300		Conduct and prepare for Internal Audit Committee meetings
Campus Committee Meetings	300		Attend campus committees and other meetings with management
Project Status Staff Meetings	300		Staff meetings to discuss updates/status of multiple audit projects
Teammate Maintenance and Upgrade Implementation	50		Maintain and upgrade the Teammate audit program libraries and templates and implement the other modules
Audit Planning	300		Prepare audit plan for FY 2018 and make necessary changes to FY 2017 audit plan
UT System Reporting	50		Reporting requests from System, State Auditor's Office, etc.
External Quality Assessment Review	200		Perform a self-assessment and assist in the performance of the External Quality Assessment of the Office of Auditing and Consulting Services (Triennial Requirement)
Development - Operations	**1500**	**15.5%**	
Development - Initiatives and Education			
System Audit Initiatives	350		Staff participation in System Audit Office Initiatives
Professional Associations	75		Staff activities associated with professional audit related associations
Continuing Professional Education	600		Training for professional staff
Development - Initiatives and	**1025**	**10.6%**	
Total Budgeted Hours	**9675**	**100.0%**	