

The University of Texas at San Antonio
FY 2016 Annual Audit Plan

FY 2016 Audit Plan Engagements	Original Budget	Percent of Total	Description
Risk Based Audits			
Sponsored Projects Compliance Audit	325		Review research and development activities for compliance with federal regulations
Identity Management Audit	500		Review the account and access control (identity/access management - i.e. LDAP) policies and practices
Threat Management Audit	500		Review the Intrusion Detection Systems(IDS), Intrusion Prevention Systems (IPS) and/or firewalls used to monitor the network security activities
Development/Fundraising Audit	400		Review the fundraising/development policies, procedures, and activities to ensure compliance with donor requirements and address the university needs
Risk Based Audits Subtotal	1725	17.9%	

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Risk Based Consulting			
PeopleSoft Consulting	800		Consult with Financial Affairs and Human Resources, and UTSA Share Project Management Office to assist with the post implementation of PeopleSoft
Graduation Rate Improvement Plan Consulting	200		Ensure the Graduation Rate Improvement Plan initiatives are functioning as intended
Financial Aid Analytics and Continuous Monitoring Consulting	300		Develop continuous monitoring techniques using the IDEA analytical software tool for the Student Financial Aid Office
IT Security/Emerging Risks Consulting	100		Consult with Information Security Officer to identify emerging IT security risks and issues.
Risk Based Consulting Subtotal	1400	14.5%	

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Externally Required Audits			
NCAA Compliance Audit	400		Review Athletics department for compliance with NCAA regulations (Financial Aid)
FY 2015 NCAA Annual Financial Audit	300		Perform required NCAA Agreed Upon Procedures for FY 2015 on behalf of the UT System Audit Office
FY 2016 NCAA Annual Financial Audit (Interim Work)	20		Perform interim testing for FY 2016 NCAA Agreed Upon Procedures
NCAA Football Attendance Audit	60		Review for compliance with NCAA football bowl subdivision attendance requirements
Employee Benefits Proportionality Audit	200		Legislative mandate to review the university's salary expenditures and associated employee benefits funded through the State of Texas general revenue appropriation to ensure compliance with the General Appropriations Act.
Contract Practices Audit	400		Legislative mandate to review contract practices. Scope of the project will be developed in collaboration with the State Auditor's Office and the UT System Audit Office.
State Auditor's - FY15 and FY16 Statewide Single Audit	40		Assist State Auditors with the FY 2014 & FY 2015 Statewide Single Audit (Student Financial Aid)
Externally Required Audits Subtotal	1420	14.7%	

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UT System Required Projects			
FY 2015 Financial Statement Audit	300		Review of the financial statements in support of the Deloitte's UT System Consolidated Financial Statement work for Fiscal Year (FY) 2015
FY 2015 Executive Management Travel and Entertainment Audit	300		Review Executive Management travel and entertainment expenses for FY 2015
FY 2016 Financial Statement Audit (Interim Work)	100		Perform interim testing for FY 2016 financial statement audit
FY 2015 UTS 142.1 Assurance Work Consulting	40		Review for compliance with UTS 142.1 requirements related to segregation of duties, account reconciliations, and certifications by account owners.
Assistance on Presidential Travel and Entertainment Audit	25		Assist UT System Audit Office with review of Presidential travel and entertainment expenses for FY 2014/15
UT System Required Projects	765	7.9%	

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Reserve			
Special Projects/Requests	1300		Reserve to conduct audits, consulting, internal control reviews, investigations, and/or other assurance activities as requested from UT System, management or other external sources
Reserve Subtotal	1300	13.5%	
FY15 Carryforward Projects			
Operational Projects Carryforward	100		Carry Forward operational projects from FY15 Audit Plan
Compliance Projects Carryforward	100		Carry Forward compliance projects from FY15 Audit Plan
FY15 Carryforward Projects Subtotal	200	2.1%	
Follow Up			
1st Quarter	50		Quarterly follow-up on outstanding significant & important audit recommendations
2nd Quarter	50		Quarterly follow-up on outstanding significant & important audit recommendations
3rd Quarter	50		Quarterly follow-up on outstanding significant & important audit recommendations
4th Quarter	50		Quarterly follow-up on outstanding significant & important audit recommendations
Follow Up Subtotal	200	2.1%	

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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	100		Maintain and upgrade the Teammate audit program libraries and templates and implement the other modules
Audit Planning	200		Prepare audit plan for FY 2017 and make necessary changes to FY 2016 audit plan
UT System Reporting	100		Reporting requests from System, State Auditor's Office, etc.
Development - Operations Subtotal	1300	13.5%	
Development - Initiatives and Education			
System Audit Initiatives	400		Staff's participation in System Audit Office Initiatives
Professional Associations	350		Staff's activities associated with professional audit related associations
Continuing Professional Education	600		Training for professional staff
Development - Initiatives and Education Subtotal	1350	14.0%	
Total Budgeted Hours	9660	100.0%	