

**The University of Texas at San Antonio
FY 2018 Annual Audit Plan**

FY 2018 Audit Plan	Original Budget	Percent of Total	General Objective/Description
Risk Based Audits			
PeopleSoft	400		Assess the PeopleSoft control environment to ensure payroll transactions are correct and properly authorized.
Tuition and Fees	400		Determine if tuition and fees are properly assessed, allocated, charged, and expended, and comply with applicable federal, state, and institutional laws and regulations.
Lab Safety	400		Review the lab inspection process, the lab safety training program, and the lab safety advisory committee to ensure labs are functioning safely.
Effort Reporting	400		Review the new effort/salary certification process to verify that direct labor charges to, or cost shared on, sponsored projects are accurate, timely, and reflect the level of work performed.
NCAA Compliance	350		Review Athletics department for compliance with NCAA regulations.
Active Directory(AD)	500		Evaluate the Active Directory implementation and management to assess the security design, and operating effectiveness of security controls.
Web Content and Security	500		Assess the effectiveness of content, design, configuration and security of the web environment for the university.
Degree Works	500		Assess the effectiveness of Degree Works content, design, configuration and security with regards to meeting student success objectives.
Risk Based Projects Carry Forward			Carry Forward risk based projects from FY 2017 Audit Plan
Sponsored Projects Compliance	100		
Scholarship Management	200		
BANNER	200		
Cloud	100		
Risk Based Audits Subtotal	4050	43.3%	

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Required Audits (External and/or Internal)			
FY17 NCAA Agreed Upon Procedures	350		Perform required NCAA Agreed Upon Procedures for FY 2016 on behalf of the UT System Audit Office (Due 1/15/18)
NCAA Football Attendance	80		Review for compliance with NCAA football bowl subdivision attendance requirements (Due 2/15/18)
FY17 Financial Statement	250		Review of the financial statements in support of the Deloitte's UT System Consolidated Financial Statement work for FY 2017
FY18 Financial Statement (Interim)	50		Perform interim testing for FY 2018 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
Presidential Travel and Entertainment Assistance	20		Assist UT System Audit Office with review of Presidential travel and entertainment expenses.
State Auditor's Office (SAO) Statewide Single Audit (Student Financial Aid)	50		Assist State Auditors with the FY 2017 & FY 2018 Statewide Single Audit (Student Financial Aid) - (Due February 2018)
SAO Annual Reporting Requirement on Procurement Policies	40		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 11/1/17)
Cancer Prevention and Research Institute of Texas (CPRIT) Agreed Upon Procedures	10		Assist with the completion of the agreed upon procedures on UTSA CPRIT research grants (Due May 2018)
Joint Admission Medical Program (JAMP)	80		Provide assurance that UTSA complies with the JAMP Council Agreement requirements and the JAMP Expenditures Guidelines. (Due 10/31/17)
Executive Travel and Entertainment	300		Review Executive Management travel and entertainment expenses for FY 2017
Employee Benefits Proportionality	200		
Required Audits Subtotal	1530	16.4%	
Risk Based Consulting Projects			
Access Control Systems Consulting	120		Consult with Access Services regarding the implementation of the technical solution for management and usage of the access control and camera systems associated with issues noted in the FY17 campus security audit.
Student Financial Aid Consulting	150		Consult with Senior AVP for Student Affairs - Enrollment Services to review the policies and procedures for the student enrollment reporting issues identified by the State Auditor's Office.
Sponsored Projects Uniform Guidance Consulting	200		Consult with the Office of Sponsored Projects Administration and VPR to assist with reviewing research and development activities to ensure compliance with federal uniform guidance.
TAC 202 - Security Controls Testing Procedures Development Consulting	200		Consult with Information Security Office to develop/enhance self-assessment testing procedures for key controls in the TAC202 Controls Standards Catalog.
IT Strategic Planning Consulting	100		Participate on the IT Strategic Planning committee commissioned to outline UTSA IT strategic goals and governance.
Fraud Prevention and Detection Training	150		Develop training class and materials to inform university community about fraud deterrence and detection.
Campus Committee Meetings	350		Attend campus committees and other meetings with management
Risk Based Consulting Subtotal	1270	13.6%	

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Investigations			
Investigations	100		Reserve to conduct investigations as requested from UT System, management or other external sources.
Investigations Subtotal	100	1.1%	
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%	
Risk Based Reserve			
Reserve	130		Reserve to conduct audits, consulting, internal control reviews, and/or other assurance activities as requested from UT System, management or other external sources
General Reserve Subtotal	130	1.4%	
Development - Operations			
Internal Audit Committee Meetings	300		Conduct and prepare for Internal Audit Committee meetings
Project Status Staff Meetings	350		Staff meetings to discuss updates/status of multiple audit projects
Teammate Implementation and Maintenance	150		Maintain and upgrade the Teammate audit program libraries and templates and implement the other modules
Audit Planning	200		Prepare audit plan for FY 2019 and make necessary changes to FY 2018 audit plan
UT System Reporting	40		Reporting requests from System, State Auditor's Office, etc.
Microsoft Power Business Intelligence (BI) Evaluation	50		Evaluate the utilization of this tool for audit data analytics so techniques and results can be shared with management.
Development - Operations Subtotal	1090	11.7%	
Development - Initiatives and Education			
System Audit Initiatives	300		Staff participation in System Audit Office Initiatives
Professional Associations	80		Staff activities associated with professional audit related associations
Continuing Professional Education	600		Training for professional staff
Development - Initiatives and Education Subtotal	980	10.5%	
Total Budgeted Hours	9350	100%	