

**The University of Texas at San Antonio FY 2020 Annual Audit Plan**

<b>FY 2020 Audit Plan</b>	<b>Original Budget</b>	<b>Percent of Total</b>	<b>General Objective/Description</b>
<b>Assurance Engagements</b>			
Restricted Research Expenditures/National Research University Fund (NRUF) Review	300		Review and compare research expenditure classification to NRUF criteria to minimize risk of misstatement.
Research Financial Reporting (Sponsored Projects Compliance)	350		Review timeliness, accuracy, and completeness of Uniform Guidance and grant specific financial reporting requirements.
Research Core Recharge Centers	400		Determine if research core recharge centers that charge a fee for services are monitored for compliance with institutional policies.
Wireless Network	500		Assess the design and test the effectiveness of controls protecting the UTSA public and private wireless networks, and data traversing those networks. (Co-source with Vice President for Information Management & Technology to hire outside firm to perform work)
Physical Access Control Processes and DSX System	400		Assess the design and test the effectiveness of process and system controls for ensuring adequate physical security of campus facilities.
NCAA Compliance	350		Determine if there are consistent controls and monitoring in place to ensure continuous compliance with NCAA regulations.
Continuous Auditing	300		Monitor the functionality of key internal controls for high risks identified during previous internal audit engagements to ensure they are working as intended.
Security Incident Management UT System Assessment Support	100		Participate in UT System Information Security Incident Management External Assessment.
Carry Forward	300		Carry Forward risk based projects from FY 2019 Audit Plan.
<b>Assurance Engagements Subtotal</b>	<b>3000</b>	<b>29.1%</b>	
<b>Advisory and Consulting Engagements</b>			
SACS Accreditation	100		Assist the University with the completion of the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) Reaffirmation of Accreditation Compliance Report and other related materials for university accreditation.
UTSA Strategic Planning	200		Consult with University leaders on the university initiatives including the Strategic Enrollment and Student Success task forces.
Information Technology / Information Security	300		Consult with the Vice President for Information Management & Technology and Chief Information Security Officer (CISO) to assist/enhance the information technology and information security programs (governance & service delivery).
Banner/PeopleSoft Optimization	250		Consult with Vice President for Information Management & Technology to assist in stabilization/optimization of core institutional systems and IT service methodologies.
Business Process Improvement	400		Consult with the Interim Senior Vice Provost for Institutional Intelligence and Senior Vice President for Business Affairs by mapping improvements to various business processes.
Campus Committees and Meetings	350		Attend campus committees and other meetings with management.
<b>Advisory and Consulting Engagements Subtotal</b>	<b>1600</b>	<b>15.5%</b>	

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<b>Required Engagements</b>			
FY19 NCAA Agreed Upon Procedures	200		Perform required NCAA Agreed Upon Procedures for FY 2019 on behalf of the UT System Audit Office. (Due 1/15/20)
NCAA Football Attendance	100		Review for compliance with NCAA football bowl subdivision attendance requirements. (Due 2/15/20)
FY19 Financial Statement	175		Review of UTSA financial statements in support of Deloitte's UT System Consolidated Financial Statement work for FY 2019.
FY20 Financial Statement (Interim)	125		Perform interim testing for FY 2020 financial statement audit.
Executive Travel and Entertainment	300		Review Executive Management travel and entertainment expenses for FY 2019.
Employee Benefits Proportionality	200		Legislative mandate to review the FY 18 and FY19 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.
Facilities Audit (Texas Higher Education Coordinating Board)	175		Assist the THECB Peer Review Team in assessing and verifying compliance with the accurate reporting of campus facilities and project funding as outlined in Texas Education Codes §61.0572, §61.0582, and §61.0583.
Educational Research Center Access Point Audit (Texas Higher Education Coordinating Board)	100		Review THECB Educational Research Center Access Point with the Texas Demographic Center for compliance with contractual requirements.
Presidential Travel and Entertainment Expenditures Review (UT System) Support	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 Follow-up)	15		Assist State Auditors with the FY 2019 Statewide Single Audit Follow-up (Student Financial Aid). (Due February 2020)
State Auditor's Office (SAO) Annual Reporting Requirements on Procurement Policies	200		Review for compliance with the Texas Education Code §51.9337 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. UTSA procurement policies on bidding requirements will be reviewed. (Due 11/1/20)
<b>Required Engagements Subtotal</b>	<b>1610</b>	<b>15.6%</b>	

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<b>Investigations</b>			
Investigations	150		Reserve to conduct investigations as requested from UT System, management or other external sources.
<b>Investigations Subtotal</b>	<b>150</b>	<b>1.5%</b>	
<b>Reserve</b>			
Reserve	500		Reserve to conduct audits, consulting, internal control reviews, and/or other assurance activities as requested from UT System, management or other external sources
<b>Reserve Subtotal</b>	<b>500</b>	<b>4.9%</b>	
<b>Follow-Up</b>			
1st Quarter	100		Quarterly follow-up on outstanding audit recommendations.
2nd Quarter	100		Quarterly follow-up on outstanding audit recommendations.
3rd Quarter	100		Quarterly follow-up on outstanding audit recommendations.
4th Quarter	100		Quarterly follow-up on outstanding audit recommendations.
<b>Follow-Up Subtotal</b>	<b>400</b>	<b>3.9%</b>	
<b>Development - Operations</b>			
Internal Audit Committee Meetings	275		Conduct and prepare for Internal Audit Committee meetings.
Project Status Staff Meetings	375		Staff meetings to discuss updates/status of multiple audit projects
Teammate Implementation and Maintenance	100		Maintain and upgrade the Teammate audit program libraries and templates and implement the other modules.
Audit Planning	200		Prepare audit plan for FY 2021 and make necessary changes to FY 2020 audit plan.
UT System Reporting	40		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)
<b>Development - Operations Subtotal</b>	<b>1190</b>	<b>11.6%</b>	
<b>Development - Initiatives and Education</b>			
System Audit Initiatives	125		Staff participation in System Audit Office Initiatives.
Professional Associations	125		Staff activities associated with professional audit related associations.
Continuing Professional Education	600		Training for professional staff.
Data Analytics	1000		Develop various data analytics models in tools/ techniques (Power BI, SPLUNK, COGNOS, Python,etc..) and share results with management.
<b>Development - Initiatives and Education Subtotal</b>	<b>1850</b>	<b>18.0%</b>	
<b>Total Budgeted Hours</b>	<b>10,300</b>	<b>100.0%</b>	