

**The University of Texas Rio Grande Valley
FY 2016 Annual Audit Plan**

FY 2016 Audit Plan Engagements	Original Budget	Percent of Total	Description
Financial Audits and Projects			
FY 2015 Financial Statement Audit - Final Procedures	300		Required assistance to Deloitte (1st Quarter FY 16) on the FY 2015 AFR audit of UT System
FY 2016 Financial Statement Audit Interim	125		Required assistance to Deloitte (4th Quarter FY 16) on the FY 2016 AFR audit of UT System
THECB Peer Review Facilities Audit	100		Assess, verify, and improve data reported to THECB on the use of campus facilities and project funding
NCAA Agreed Upon Procedures	300		Assist the UT System Audit Office with the required FY 2015 NCAA Agreed Upon Procedures for UTPA
Review of Asset Management	300		Ensure UTB and UTPA assets were appropriately and accurately transferred to the UTRGV financial system.
SAO Financial Portion of Statewide Audit	50		Assist the State Auditor's Office with the FY 2015 A-133 Audit for UTPA
UTS 142.1 Certification	75		Perform audit work regarding account reconciliation, segregation of duties and other areas as required by UTS 142.1
Financial Subtotal	1250	10.7%	
Operational Audits and Projects			
Medical School Consulting	800		Provide consulting services to the new medical school as they achieve accreditation and establish business processes
Business Process Consulting	600		Perform analysis of UTRGV's new business processes to ensure that they have appropriate internal controls and include best practices
UTShare PeopleSoft Consulting	700		Assist with the implementation of PeopleSoft for UTRGV
Student Academic History Consulting	200		Perform a review of student academic history data to ensure data was transferred accurately to UTRGV.
Executive Travel and Entertainment	250		Audit of the UTRGV Executive Management travel & entertainment expenses
President's Travel and Entertainment	50		Assist UT System Audit Office in conducting the audit of President's travel and entertainment expenses for UTB and UTPA
Contract Administration	350		Perform an audit of contracting processes based on the requirements of Senate Bill 20
Operational Subtotal	2950	25.3%	
Compliance Audits and Projects			
NCAA Compliance Audit	150		Review UTPA Athletics department for compliance with NCAA regulations over recruiting
Endowments and Scholarship Awards	200		Perform an audit of endowments and scholarships to ensure awards follow donor/funding source intent for UTRGV
Title IX	200		Ensure UTRGV has appropriate policies, processes and internal controls to comply with Title IX regulations
Joint Admission Medical Program (JAMP)	100		Required FY 2015 financial audit of JAMP for UTPA
Benefits Proportionality by Fund	300		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 for UTB and UTPA
Research Compliance	400		Perform an audit of UTRGV research activities to ensure compliance with federal regulations
Compliance Subtotal	1350	11.6%	
Information Technology Audits and Projects			
Texas Administrative Code (TAC) 202	600		Perform an audit of information security to ensure compliance with TAC 202
Payment Card Industry Data Security Standards (PCI)	200		Perform an audit to ensure compliance with standards regarding payment card data security
BlackBoard	200		Perform an audit to ensure UTRGV BlackBoard has appropriate access controls
Continuous Audits of Pro-cards	200		Perform control and risk assessments on UTRGV procurement card data to identify potentially fraudulent transactions
Information Technology Subtotal	1200	10.3%	
Follow Up			
Follow Up	100		Perform follow up on open UTRGV recommendations
Follow Up Subtotal	100	0.9%	

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Development - Operations			
UT System/SAO External Reporting	250		Reporting requests from System, State Auditor's Office, etc.
Annual Audit Plan and Risk Assessment	150		Prepare audit plan for FY 2017 and make necessary changes to FY 2016 audit plan
Internal Audit and other Committees	400		Conduct and prepare for Internal Audit Committee meetings and attend campus committees and other meetings with management
Council Meetings	150		Attendance and presentations at UT System Internal Audit Council meetings
TeamMate and audit software	100		Maintain and upgrade the Teammate audit program libraries and templates and implement the other modules
Management of Audit Activity	400		Staff meetings to discuss updates/status of multiple audit projects
Internal Controls Training	200		Provide internal control training to UTRGV staff
Development - Operations Subtotal	1650	14.1%	
Development - Initiatives and Education			
UT System Audit Office Initiatives	100		Staff's participation in System Audit Office Initiatives
Professional Organizations	200		Staff's activities associated with professional audit related associations
Continuing Professional Education	619		Training for professional staff
Assistance to other departments	200		Assistance to other departments
Internal Audit Office Organization and Strategy	200		Establish of UTRGV Internal Audit Office structure, update internal audit manual and procedures, and develop internal audit strategic plan
Development - Initiatives and Education Subtotal	1319	11.3%	
Reserve			
Financial Reserve	500		Reserve to conduct audits, consulting, internal control reviews, investigations, and/or other assurance activities as requested from UTRGV management, UT System or other external sources
Operational Reserve	800		
Special Requests and Investigations	550		
Reserve Subtotal	1850	15.9%	
Total Budgeted Hours	11669	100.0%	