

**The University of Texas Health San Antonio**  
**FY 2019 Audit Plan**

<b>Project No.</b>	<b>Budget</b>	<b>General Objective/Description</b>	
<b>Risk Based Audits</b>			
19-01	Epic Infrastructure Data Security	450	Determine whether adequate and effective processes and controls are in place to secure Epic database infrastructure and to prevent unauthorized and/or inappropriate access.
19-02	Institutional Data Governance	440	Determine whether the processes and controls for data governance are adequate and effective to manage the protection and usage of sensitive, confidential and/or critical institutional data.
19-03	ProCard Program	300	Assess the adequacy and effectiveness of processes and controls for managing the ProCard program.
19-04	Practice Plan - Collections	450	Review and evaluate the effectiveness of the payment collection processes and related controls, within UT Health Physicians clinical operations.
19-41	Drug Diversion	450	Determine whether the processes and controls for drug diversion protocols are adequate and effective.
19-06	Follow-up Audit of Revenue Cycle - School of Dentistry	535	As a follow-up to the FY18 audit, reperform an evaluation of the processes and controls over UT Dentistry's Revenue Cycle.
19-07	Clinical Trials Billing	400	Assess the adequacy and effectiveness of processes and controls over clinical trials billing, excluding those conducted by the Mays Cancer Center. An audit of the Cancer Center's Clinical Trials Billing is being completed as part of the FY 18 Audit Plan.
19-08	Mays Cancer Center Infusion Charge Capture and Billing	550	Assess the adequacy and effectiveness of the Mays Cancer Center's drug infusion charge capture and billing processes and controls.
18-02	Carry Forward - Mays Cancer Center Clinical Trials Billing	125	Completion of audit started during Q4 FY 2018.
18-03	Carry Forward - Facilities Management	125	Completion of audit started during Q4 FY 2018.
18-06	Carry Forward - Axiom	250	Completion of audit started during Q4 FY 2018.
18-07	Carry Forward - Accounts Payable	100	Completion of audit started during Q4 FY 2018.
18-01	Carry Forward - Practice Plan Cash Management	220	Completion of audit started during Q4 FY 2018.
19-42	Sharing Epic with External Partners	240	Assess the adequacy and effectiveness of the processes and controls associated with extending Epic access to external partners and providers.
<b>Risk Based Audits Subtotal</b>		<b>4,635</b>	
<b>Consulting Projects</b>			
19-12	School of Health Professions - City Contract EMT	250	Review the processes and controls for managing the contract with the City of San Antonio for emergency management training and professional services. Where appropriate, provide guidance and feedback to Management to enhance these processes and controls.
19-15	Credential Management	120	Gain an understanding of how privileged access and credentials are managed within IT operations, and where appropriate, provide guidance to help ensure that associated processes and controls are in place to effectively protect against unauthorized and inappropriate system access. Examples of credentials include service passwords and private keys used for authentication for system automation and administration.

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19-16	Epic Risk Assessment and Audit Roadmap	240	Internal Audit will co-source with a Epic Subject Matter Expert (SME), to complete a risk assessment of our Institution's deployment of Epic. This assessment will be used to develop a risk-based roadmap for completing future audits and consulting engagements.
19-17	Institutional Committee/Council Participation	240	Participation in institutional committees and/or councils
19-18	Meeting with Institutional Leadership	225	Regularly scheduled, and as needed, meetings with the top 50+ leaders across the Institution to ensure that IA is aware of current and upcoming key initiatives and projects across the Institution. These meetings serve as a key element in: continually assessing the risk landscape, ensuring that Audit resources are focused on areas most critical to the Institution and that we have a consistent view of the strategic objectives of UT Health SA. These meetings also help to identify opportunities for IA to provide consulting services.
<b>Consulting Subtotal</b>		<b>1,075</b>	
<b>Required Audits</b>			
19-19	FY 2018 Financial Statement Audit Assistance (Year-end)	20	Assist the external auditors in the performance of testing for the audit of the Annual Financial Report (FY18 year-end work).
19-20	FY 2019 Financial Statement Audit Assistance (Interim)	10	Assist the external auditors in the performance of financial and IT control testing for the audit of the Annual Financial Report (FY19 interim work).
19-21	Residency Program Award/Family & Community Medicine	200	Review expenditures for the Residency program and report on the compliance with grant regulations to the Texas Higher Education Coordinating Board.
19-22	FY 2016 Nursing Shortage Award	200	Determine whether revenues and expenditures related to Texas Higher Education Coordinating Board (THECB) funds for FY 2016 were accurately stated on the associated program reports and were in accordance with THECB requirements.
19-23	Executive Travel and Entertainment Expenses	160	Evaluate and test compliance with UT Health San Antonio and UTS policies for travel and entertainment expenses incurred by senior leaders (Required by UT System biennially -conducted off-cycle based on risk).
19-24	SAO Annual Reporting Requirement on Procurement Policies	20	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. (Due 11/1/18)
19-25	Audit Assistance to External Agencies (SAO, THECB, etc.)	80	Coordinate external agency audits.
19-26	Annual Internal Audit Report	80	Prepare and issue the SAO Internal Audit Activity Report.
<b>Required Audits Subtotal</b>		<b>770</b>	
<b>Investigations</b>			
	Investigation Reserve	400	Reserve for Investigations
<b>Investigations Subtotal</b>		<b>400</b>	
<b>Follow-Up</b>			
19-27	Q1 FY 2018 Follow-up	80	Follow up of prior management action plans
	Q2 FY 2018 Follow-up	80	Follow up of prior management action plans
	Q3 FY 2018 Follow-up	80	Follow up of prior management action plans
	Q4 FY 2018 Follow-up	80	Follow up of prior management action plans

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	<b>Follow-Up Subtotal</b>	<b>320</b>	
<b>Development - Operations</b>			
19-28	Annual Audit Plan Development, Including Risk Assessment	250	Perform the annual risk assessment and develop the annual audit plan.
19-29	Internal Audit Committee Preparation/Participation	200	Prepare materials and organize the institutional audit committee meetings.
19-30	Internal Quality Assurance and Improvement Program activities or other quality processes	100	Implement quality assurance and improvement programs. This is an Institute of Internal Auditors requirement per the professional Practices Framework.
19-31	UT System, SAO, etc. reporting/requests/audit requests	50	Reserve time for UTS and SAO requests.
19-32	TeamMate, IDEA, website development/maintenance	80	Resources dedicated to the management of TeamMate, the Internal Audit Department website and IDEA.
19-33	Staff Meetings	300	Time required for the Internal Audit Department Staff Meetings.
<b>Development - Operations Subtotal</b>		<b>980</b>	
<b>Development - Initiatives and Education</b>			
19-34	System Audit Office initiatives participation (Committees, Workgroups, research)	250	Collaborate with System Audit Office on initiatives.
19-35	Institutional Strategic Initiatives	120	Participate in Institutional initiatives focused on adding value and enhancing quality.
19-36	Professional organization/association participation	40	Time reserved for participation in professional organization.
19-37	Professional writing, publications, external presentation	160	Time reserved for professional writing, publications, external presenting.
19-38	Individual Continuing Professional Education (CPE) Training	480	Provide continuing professional education to staff for development of internal audit skills and competencies.
<b>Development - Initiatives and Education Subtotal</b>		<b>1,050</b>	
<b>Total Budgeted Hours</b>		<b>9,230</b>	