

**UT Health - San Antonio
FY 2022 Annual Audit Plan**

<i>FY 2022 Audit Plan</i>	<i>Budget</i>	<i>Preliminary Objective</i>
<i>Assurance /Risk Based Engagements</i>		
EPIC Application - General IT Controls Effectiveness	350	Assess the design and operating effectiveness of General IT Controls as they relate to EPIC.
Axium Security	344	Assess the design and operating effectiveness of General IT Controls as they relate to the Axium application.
Research Computing Environment - Security and Policy Compliance	350	Assess the processes and controls in place to manage non-IMS (or Clinical IT) supported devices network security provisioning and compliance with institutional standards.
Timekeeping Process - Completeness and Accuracy (TAC 202)	350	Determine whether the data within the Kronos System is being properly recorded and maintained and that controls within the time keeping system are effective and comply with the requirements of TAC 202.
Construction Management	650	Evaluate the policies and processes in place to effectively manage construction projects in excess of ten million dollars.
UTHP Charge Capture	650	Evaluate the effectiveness and controls of the charge capture process to determine that UTHP is billing for all services rendered.
Infection Control at the COHR and Remote Clinics	450	Determine if adequate controls and processes (training) over sterilization of equipment are in place and functioning as intended.
UHS Annual Operating Agreement Compliance Review	500	Evaluate the effectiveness of payment collection processes and controls to ensure that payments received from UHS are aligned with the agreed upon contractual rates.
Sub-certification Process and Monitoring of Key Controls	160	Validate the Institutional monitoring plan related to segregation of duties and account reconciliations and financial review and analysis.
Foreign Influence	350	Evaluate the system of internal controls in place to manage risks identified by the federal government related to foreign influence.
<i>Assurance Engagements Subtotal</i>	4154	
<i>Advisory and Consulting Engagements</i>		
Diversity, Equity and Inclusion Initiatives	250	Provide audit support in helping the Institution achieve its DEI objectives.
Meetings with Institutional Leadership	350	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.
Cloud Computing Security Risk and Compliance	350	Consulting Engagement - Evaluate the risks associated with the transfer of applications to AWS or other cloud based infrastructures.
Data Governance (DMM Framework) Maturity	350	Consulting Engagement - Benchmark performance across critical institution data capabilities and associated cybersecurity.
<i>Advisory and Consulting Engagements Subtotal</i>	1300	
<i>Required Engagements</i>		
FY 2021 Financial Statement Audit Assistance (Year-end)	20	Assist the external auditors in the coordination and/or performance of testing for the audit of the Annual Financial Report (FY21 year-end work).

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FY 2022 Financial Statement Audit Assistance (Interim)	10	Assist the external auditors in the coordination and/or performance of financial and IT control testing for the audit of the Annual Financial Report (FY22 interim work).
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.
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.
Audit Assistance to External Agencies (SAO, THECB, etc.)	80	Coordinate external agency audits.
Annual Internal Audit Report (SAO)	80	Prepare and issue the annual SAO Internal Audit Activity Report.
Employee Benefits Proportionality Audit	160	Audit of Benefits Proportionality by fund at UT Health San Antonio, as required by Rider 8, page III-44, of the General Appropriations Act (87th Legislature, Conference Committee Report). Scope is FY 2020 - FY 2021.
<i>Required Engagements Subtotal</i>	570	
<i>Investigation Reserve Subtotal</i>	310	
<i>Reserve for Institutional Requests/Risk Based Audits</i>	947	
<i>Follow-Up Subtotal</i>	200	
<i>Development - Operations Subtotal</i>	2342	
<i>Development - Initiatives and Education Subtotal</i>	1245	
<i>Total Budgeted Hours</i>	<i>11,068</i>	