

**The University of Texas at Arlington
FY 2024 Annual Audit Plan**

Code	Engagement Name	Budgeted Hours	General Objective/Description
Assurance Engagements			
UTA24-01	Operation Fast Start For New To Position Campus Leaders - FY 2024	1,800	UTA has a number of new key leaders across the organization. Leadership transition presents unique challenges and risks. We plan to continue the "transitional" audits from FY 2023 to help our new UTA leaders identify control and process effectiveness opportunities, as well as system security and unit specific concerns.
UTA24-02	Enrollment Management	500	Perform a review of Enrollment Management. This review will include a review of the long term financial aid and admissions strategic initiatives. Additionally, a controls assessment will be performed in Enrollment Management to help ensure the department is functioning in an efficient and effective manner and in accordance with UTA's policies and strategy.
UTA24-03	Scholarships	500	Perform a review of scholarship and waiver strategy, governance and administration to help ensure they adequately support strategic enrollment initiatives, result in the efficiency and effective distribution of funds to UTA students, as well as comply with applicable policies and procedures.
UTA24-04	Campus Living Villages FY 2024	250	To help ensure compliance with contract management for FY 2024.
UTA24-05	Title IX and Title VII	500	Review the Title IX and Title VII processes to help ensure UTA's procedures are consistently followed, processes are performed in an efficient and effective manner, as well in accordance with legislative rules.
UTA24-06	Network Access Control (NAC) Set-Up	400	UTA is installing a new NAC. This audit will review the set-up of the new system to help ensure UTA's networks are functioning as intended and properly secured. Meets TAC 202.76 requirement.
UTA24-07	IT Access Controls	400	UTA is moving from individual to a role-based access control system. Ensure new methodology is functioning as intended. Help ensure adequate controls are in place to ensure appropriate access. Meets TAC 202.76 requirement.
UTA24-08	FY 2023 UTS 142 Assurance Audit	120	Past audits disclosed the need to improve the year-end certification and monitoring processes associated with UTA's annual financial statements. The audit will include a review of segregation of duties, account reconciliations, management approvals and timely reporting for SAHARA financial reporting.
UTA23-CF	FY2023 Carry forward audits	80	Complete FY 2023 audits in process.
Advisory Engagements			
UTA24-CP-01	Enterprise Risk Management Consulting	220	After completion of the UTA Strategic Plan, re-align ERM efforts to support appropriate strategic initiatives. Working closely with Strategic Planning and other key departments, document risks and follow-up on action plans where appropriate.
UTA24-CP-02	Safety - Students, Faculty and Staff	450	Help ensure UTA's safety programs, initiatives, plans and training are adequate to protect students, faculty and staff.

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UTA24-CP-03	Mental Health - Students, Faculty and Staff	450	Perform a strategic review to determine whether campus-wide mental health resources, training and awareness are adequate to promote student success, as well as student and employee wellness and safety.
UTA24-CP-04	Data Analytics Project (P-Card, Timekeeping, Travel, Duplicate Payments, Departmental Expenses)	100	Perform data analysis and follow-up research on higher risk transactions in these areas.
UTA24-CP-05	Senate Bill 17 - New Rules Related To DEI	100	Conduct a performance review to assist with transition to SB 17 requirements.
UTA24-CP-06	Reserve for Advisory	450	Hours reserved for specific advisory and consulting projects requested by management or Audit Committee. Includes audit tracking of different agencies audit efforts across campus.
UTA24-CP-07	Participation on University Committees	300	Participate in institutional committees, President's Leadership Council, Employee Engagement Survey Committee, HOP committee, TCI Committees, Endowments Committee, CARE Committee, End Point Management Committee, Data Management Officer Council, Title IX cases volunteer efforts, and other ad hoc committees that arise during the year. Also includes regular check-in meetings with the second lines of defense organizations across campus.
UTA24-CP-08	Responding to Institutional Requests for Information and Advice	50	Hours reserved for responding to requests and inquiries from the campus community.
Required Engagements			
UTA24-09	FY 2023 NCAA Annual Financial Audit (support for UT System Audit Office)	50	Assist co-sourcing team engaged by UT System Audit Office in their audit of the Statement of Revenue and Expenses for Fiscal 2023. (Required by the NCAA.)
UTA24-10	FY 2023 Annual Financial Report (AFR) Audit	15	Under the direction of Deloitte, perform a risk-based audit of financial information for the fiscal 2023 AFR.
UTA24-11	FY 2024 Annual Financial Report (AFR) Interim Work	10	Perform interim fieldwork in preparation of the FY 2024 AFR Audit.
UTA24-12	Nursing Shortage Reduction Program Awards Audit	150	Provide assurance that the University is complying with the requirements as specified with the awards granted.
UTA24-13	State Auditor's Office (SAO) Statewide Single Audit (Student Financial Aid)	80	Assist UTA management and State Auditors with the FY 2023 Statewide Single Audit (Student Financial Aid).
UTA24-14	Texas Education Code 51.9337(h) - Annual Reporting Requirement on Procurement Policies	40	Texas Education Code 51.9337 requirement that the Chief Audit Executive (CAE) 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 is due November 1, 2023.
Investigations			
UTA24-OP-01	Reserve for Investigations	150	Perform reviews of any alleged, irregular conduct to determine whether civil or criminal violations of state or federal laws have occurred, or violation of system or institution policies have occurred. This includes SAO and UTA Hotline research.
Reserve			

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UTA24-OP-02	Reserve for Unanticipated Audits or Other Activities	150	Allowance for special requests and/or emerging risks. Provides flexibility for time reviews of high-risk/impact requests made by UTA leaders, Audit Committee, etc.
Follow-Up			
UTA24-OP-03	Quarter 1	45	Follow up of prior management action plans.
UTA24-OP-04	Quarter 2	45	Follow up of prior management action plans.
UTA24-OP-05	Quarter 3	45	Follow up of prior management action plans.
UTA24-OP-06	Quarter 4	45	Follow up of prior management action plans.
Development - Operations			
UTA24-OP-07	UT System, SAO, etc., Reporting/Requests	100	Responding to requests made by the UT System Audit Office, SAO, etc., including periodic reports, metrics, and responding to significant findings, time summaries, CAE bi-weekly calls, Internal Audit Council meetings, TM calls, etc.
UTA24-OP-08	Annual Internal Audit Report	30	Required report of Internal Audit Activity - Texas Internal Auditing Act. Report due November 1, 2023 to State Auditor's Office.
UTA24-OP-09	Audit Committee Preparation and Participation	200	Preparation, participation and attendance at Audit Committee meetings.
UTA24-OP-10	Quality Assurance Review -or other internal processes and activities	100	Participation in QAIP management and activities. Ongoing improvement of the department. Internal and external quality review. We will be engaged in a QAR review (likely external validation model) in Q1 2024.
UTA24-OP-11	FY 2025 Annual Work Plan Development & Risk Assessment Process	200	Preparation of the FY 2025 Audit Plan, including risk assessments.
UTA24-OP-12	TeamMate, IDEA, etc., development, maintenance and other technical support	100	Implementation, maintenance and user support of IDEA, TeamMate and other technical support issues.
UTA24-OP-13	Executive Management and Leadership of the IA Department	380	Includes hiring, development, budgeting, performance appraisals, administrative duties, leadership, managing outsourcing activities, promoting the internal audit department, executive meetings, and all other responsibilities of the CAE and/or Asst. Director that are not directly attributable to a specific audit project.
UTA24-OP-14	Project Status Staff Meetings	370	Staff meetings to discuss updates/status of multiple audit projects. This includes staff bi-weekly 1:1s with the CAE.
Development - Initiatives and Education			
UTA24-OP-15	UT System Audit Office Initiatives and Participation	100	Participation in UT System requested committees, workgroups, research activities, etc.
UTA24-OP-16	Institutional Strategic or Other Initiatives	50	Development of strategic initiatives in Internal Audit.
UTA24-OP-17	New audit management software implementation preparation	200	Preparation and implementation of new audit management software.

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UTA24-OP-18	Professional Organization and Association Participation	100	Preparation and participation as a volunteer in professional associations such as IIA, ACUA, TACUA, ISACA, etc. David runs the CAE Roundtable for the Dallas Chapter of the IIA and serves on their Board of Governors. Dana serves as a board member of TACUA.
UTA24-OP-19	Individual Continuing Professional Education (CPE) Training (including related travel)	325	Preparation and participation in professional associations such as IIA, ACUA, TACUA, ISACA, etc.
UTA24-OP-20	Non CPE related training	150	New hire training, as well as participation in training that enhances development but where CPE is not earned (i.e. University required Compliance training; UTShare training, etc.).