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FOR  
SPECIAL CALLED TELEPHONE  
MEETING OF THE BOARD**

October 8, 2008  
Austin, Texas

		<b>Page</b>
A. AUDIT, COMPLIANCE, AND MANAGEMENT REVIEW COMMITTEE	12:30 p.m. <i>Chairman Foster</i>	
1. Convene		
2. U. T. System Board of Regents: Approval of the U. T. Systemwide Internal Audit Plan for Fiscal Year 2009	<b>Action</b> <i>Mr. Chaffin</i>	<b>1</b>
3. Adjourn	12:55 p.m.	
B. CONVENE THE BOARD IN OPEN SESSION TO RECESS TO EXECUTIVE SESSION PURSUANT TO TEXAS GOVERNMENT CODE, CHAPTER 551	1:00 p.m. <i>Chairman Caven</i>	
1. U. T. Medical Branch – Galveston: Negotiated Contracts for Prospective Gifts or Donations - Section 551.073		
2. Consultation with Attorney Regarding Legal Matters or Pending and/or Contemplated Litigation or Settlement Offers - Section 551.071		
-U. T. Medical Branch – Galveston: Legal issues related to recovery from Hurricane Ike		
3. Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of Officers or Employees – Section 551.074		
-U. T. System: Discussion and appropriate action regarding individual personnel matters relating to appointment, employment, evaluation, compensation, assignment, and duties of presidents and former presidents (academic and health institutions), including former President John D. Stobo, U. T. System Administration officers (Executive Vice Chancellors and Vice Chancellors), other officers reporting directly to the Board (Chancellor ad interim, General Counsel to the Board, and Chief Audit Executive), and U. T. System and institutional employees		

C. RECONVENE IN OPEN SESSION TO CONSIDER ACTION ON EXECUTIVE SESSION ITEMS, IF ANY, AND AGENDA ITEM BELOW 1:55 p.m.

**U. T. Austin: Approval of formation of a civil association in Mexico for the future establishment of a University-sponsored center for innovation and technology in the City of Monterrey, State of Nuevo León, Mexico**

**Action** **30**  
*Mr. Burgdorf*  
*Vice President Sanchez*

D. ADJOURN 2:15 p.m.

**U. T. System Board of Regents: Approval of the U. T. Systemwide Internal Audit Plan for Fiscal Year 2009**

**RECOMMENDATION**

Mr. Charles Chaffin, Chief Audit Executive, recommends that the Audit, Compliance, and Management Review Committee approve the proposed U. T. Systemwide Fiscal Year 2009 Internal Audit Plan (Plan) for further approval by the full U. T. System Board of Regents in November 2008. Development of the Plan is based on risk assessments performed at each institution. Implementation of the Plan will be coordinated with the institutional auditors.

The full Plan is attached on Pages 2 - 29, including the executive summary on Pages 3 and 4.

**BACKGROUND INFORMATION**

Institutional audit plans, compiled by the internal audit departments after input and guidance from the System Audit Office, Offices of Academic or Health Affairs, and the institution's management and Institutional Audit Committee, were submitted to all Institutional Audit Committees and institutional presidents for review and comments. Additionally, the institutional audit plans were presented and discussed at the System Administration Internal Audit Committee meeting held on September 3, 2008. Also, the Chief Audit Executive provided feedback by conducting audit hearings with each institution.

After the review process, each Institutional Audit Committee formally approved its institution's audit plan.

**THE UNIVERSITY OF TEXAS SYSTEM  
SYSTEM-WIDE INTERNAL AUDIT PROGRAM**



**FISCAL YEAR 2009  
ANNUAL AUDIT PLAN**

Mr. Charles G. Chaffin, Chief Audit Executive  
The University of Texas System  
201 West 7<sup>th</sup> Street, CLB 3.100  
Austin, TX 78701

**The University of Texas System  
System-wide Internal Audit Program  
Fiscal Year 2009 Annual Audit Plan  
Executive Summary**

**Summary**

The University of Texas (UT) System-wide fiscal year (FY) 2009 Internal Audit Plan (FY 2009 Audit Plan) is a blueprint of the internal audit activities that will be performed by the internal audit function throughout the System in FY 2009.

The process of preparing the audit plans is risk based and ensures that areas/activities specific to each institution with the greatest risk are identified to be audited. Individual annual audit plans are prepared at UT System Administration and each institution in July and August. The System Audit Office, Offices of Academic or Health Affairs, and the institution's management and Audit Committee provide input and guidance on the audit plans. Additionally, the Chief Audit Executive provides direction to the internal audit directors both prior to the preparation of the audit plans and through formal feedback through "audit hearings" with each institution.

The institutional annual audit plans were reviewed for the possibility of assurance work done by external entities during the audit year, such as the State Auditor's Office (SAO), external audit firms, federal auditors, etc. Where appropriate, other assurance work was relied upon to reduce the internal audit resources needed (e.g. campus security/emergency preparedness and student fee audits conducted by the SAO).

After the review process, each institutional Audit Committee formally approves its institution's annual audit plan. Then, at a special called meeting in October, the Audit, Compliance, and Management Review Committee will discuss and consider approval of the FY 2009 Audit Plan for presentation to the Board of Regents in November.

The efforts of the internal audit function continue to focus on adding value. Examples of value-added auditing includes: System-wide financial audit, patient revenue and patient charge capture audits, construction audits, audits of gift administration, contracting and export controls, and consulting projects and special investigations at the request of management.

The FY 2009 Audit Plan addresses the risks of The University of Texas System by allocating the use of internal audit resources as follows:

<b>Audit Areas</b>	<b>Audit Hours</b>	<b>% of Audit Hours</b>
Financial	26,580	20%
Operational	39,904	29%
Compliance	20,685	15%
Information Technology	19,790	15%
Follow-up	5,386	4%
Projects	23,745	17%
<b>TOTAL</b>	<b>136,090</b>	<b>100%</b>

Prepared by: U. T. System Internal Audit Program  
Consolidated by: U. T. System Audit Office  
Date: September 2008

**The University of Texas System  
System-wide Internal Audit Program  
Fiscal Year 2009 Annual Audit Plan  
Executive Summary**

**FY 2009 Audit Plan Hours by Institution:**

	Financial	Operational	Compliance	Information Technology	Follow-up	Projects	Total
<b>U. T. System Administration</b>	6,880	4,745	2,550	1,500	800	1,730	18,205
<b>Large Institutions:</b>							
U. T. Austin	1,900	3,750	3,750	2,650	500	3,990	16,540
U. T. Southwestern	3,150	5,250	2,510	1,600	500	2,500	15,510
U. T. Medical Branch at Galveston	1,580	2,650	1,500	3,420	500	2,155	11,805
U. T. HSC - Houston	1,660	2,169	465	1,450	300	1,160	7,204
U. T. HSC - San Antonio	1,340	2,400	1,010	1,110	480	960	7,300
U. T. MDA Cancer Center	2,200	8,100	1,800	2,420	500	2,748	17,768
Subtotal	11,830	24,319	11,035	12,650	2,780	13,513	76,127
<b>Mid-size Institutions:</b>							
U. T. Arlington	1,080	1,360	1,760	540	320	1,070	6,130
U. T. Brownsville	680	1,120	650	400	200	980	4,030
U. T. Dallas	730	1,000	1,230	700	110	750	4,520
U. T. El Paso	1,730	3,080	400	1,280	450	1,816	8,756
U. T. Pan American	830	950	1,300	900	150	980	5,110
U. T. San Antonio	1,100	1,100	1,090	1,560	300	1,114	6,264
Subtotal	6,150	8,610	6,430	5,380	1,530	6,710	34,810
<b>Small Institutions:</b>							
U. T. Permian Basin	370	570	-	-	60	250	1,250
U. T. Tyler	750	260	420	260	56	922	2,668
U. T. HC at Tyler	600	1,400	250	-	160	620	3,030
Subtotal	1,720	2,230	670	260	276	1,792	6,948
<b>TOTAL</b>	<b>26,580</b>	<b>39,904</b>	<b>20,685</b>	<b>19,790</b>	<b>5,386</b>	<b>23,745</b>	<b>136,090</b>
<b>Percentage of Total</b>	<b>20%</b>	<b>29%</b>	<b>15%</b>	<b>15%</b>	<b>4%</b>	<b>17%</b>	<b>100%</b>

**The University of Texas System Administration**  
(Part 1 of 2 - System Administration)  
**Total Institution FY 2009 Budgeted Expenditures = \$160 (in millions)**  
**Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 16.2**  
**Fiscal Year 2009 Audit Plan - System Administration**

Audit Areas	Priority Budgeted Hours	% of Total
<b>Financial</b>		
FY 2008 System Admin & Consolidation Financial Audit	1000	9%
FY 2009 System Admin & Consolidation Financial Audit	200	2%
Chancellor's Travel, Entertainment & Housing Expense Audit	150	1%
JAMP Audit	200	
Alzheimer's Council Fiscal Agreement Audit	150	
Continuous Monitoring of Financial Information	75	1%
UTIMCO Financial Statement Audit Assistance	300	
UTIMCO CEO Travel and Other Expenses Audit	150	1%
UTIMCO Meetings and Oversight Activities	250	
<u>Carryforward Audits</u>		
UTIMCO CEO Travel and Other Expenses Audit	30	
<b>Subtotal</b>	<b>2,505</b>	<b>23%</b>
<b>Operational</b>		
Campus Security & Emergency Preparedness Audit	200	
Oil and Gas Producers Audits	1000	
OFPC - Construction Project Audits	1000	
Preferred Vendors Audit	150	
Office of General Counsel Operations Review	300	
Office of the Director of the Police Operations Review	300	
Office of Employee Benefits Operations Review	300	
Shared Services Initiative Review	300	
General Audit Assistance to System Administration Departments	75	
<u>Change in Management Audits</u>		
Chancellor's Office Change in Management Audit	150	
Office of Strategic Management and Institutional Studies & Policy Analysis	150	
Office of Administration	150	
<u>Carryforward Audits</u>		
Office of Federal Relations Departmental Audit	20	
Oil and Gas Company Audit - J Cleo Thompson Company	75	
<b>Subtotal</b>	<b>4170</b>	<b>39%</b>
<b>Compliance</b>		
Cash Handling Audit		
Office of Employee Benefits Dependent Audit	200	
System-wide Endowment Compliance Audit	300	
UTIMCO Due Diligence Audit	300	
Student project TBD	500	
<u>Carryforward Audits</u>		
IPSI Audit	100	
OFPC Compliance Monitoring	300	
<b>Subtotal</b>	<b>1700</b>	<b>16%</b>

**The University of Texas System Administration**  
 (Part 1 of 2 - System Administration)  
**Total Institution FY 2009 Budgeted Expenditures = \$160 (in millions)**  
**Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 16.2**  
**Fiscal Year 2009 Audit Plan - System Administration**

Audit Areas	Priority Budgeted Hours	% of Total
<b>Information Technology</b>		
TAC 202 Compliance Audit	200	
Texas Medical & Dental Schools Application Service (TMDSAS) IT System	200	
Records Management Audit	300	
Remote Office Security Audit	300	
Application Controls Audit	400	
<b>Subtotal</b>	<b>1400</b>	<b>13%</b>
<b>Follow-up</b>		
System Administration Follow Up	500	
<b>Subtotal</b>	<b>500</b>	<b>5%</b>
<b>Projects</b>		
Internal Audit Committee	300	
State Reporting	20	
FY 2010 Audit Plan and Risk Assessments	100	
Special Requests	100	
<b>Subtotal</b>	<b>520</b>	<b>5%</b>
<b>TOTAL</b>	<b>10,795</b>	<b>100%</b>

**The University of Texas System Administration**  
(Part 2 of 2 - Oversight)  
**Total Institution FY 2009 Budgeted Expenditures = \$160 (in millions)**  
**Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 16.2**  
**Fiscal Year 2009 Audit Plan - Oversight**

Audit Areas	Priority Budgeted Hours	% of Total
<b>Financial</b>		
Guidance/Assistance Provided to Institutions Related to System-wide Financial Audit - FY 2008	1750	
Guidance/Assistance Provided to Institutions Related to System-wide Financial Audit - FY 2009	800	
Assistance to UT Permian Basin Related to the Financial Audit - FY 2008	600	
NCAA Agreed Upon Procedures at UT Arlington, UT El Paso, UT San Antonio, UT Pan American	1200	
Exchange Program	25	
<b>Subtotal</b>	<b>4375</b>	<b>59%</b>
<b>Operational</b>		
Guidance/Assistance Provided to Institutions Related to Cash Handling Audits	75	
Audit Assistance to UT Permian Basin	100	
To Be Determined - Special Requests	150	
Exchange Program	25	
<u>Change in Management Audits</u>		
UT Southwestern Change in President Audit	150	
<u>Carryforward Audits</u>		
Guidance/Assistance Provided to Health Institutions Related to Student Health Center Audits	75	
<b>Subtotal</b>	<b>575</b>	<b>8%</b>
<b>Compliance</b>		
UTHSC-San Antonio Practice Plan Audit	300	
UTHSC-Tyler Practice Plan Audit	300	
Guidance/Assistance Provided to Institutions Related to Practice Plan Audits	75	
System-wide Compliance Transition	150	
Exchange Program	25	
<b>Subtotal</b>	<b>850</b>	<b>11%</b>
<b>Information Technology</b>		
Guidance/Assistance Provided to Institutions Related to Information Technology Audits	75	
Exchange Program	25	
<b>Subtotal</b>	<b>100</b>	<b>1%</b>
<b>Follow-up</b>		
System-wide Significant Findings/Recommendations Tracking	300	
<b>Subtotal</b>	<b>300</b>	<b>4%</b>
<b>Projects</b>		
Institution Liaison Activities	500	
FY 2010 System-wide Audit Plan	25	
FY 2010 Institutional Annual Audit Plan Hearings	35	
Audit, Compliance, and Management Review Committee (ACMR)	300	
Internal Audit Council	200	
System Audit Office Peer Review Recommendation Implementation	50	
Teambuilding Activities	75	
<u>Carryforward</u>		
2009 System-wide Audit Plan	25	
<b>Subtotal</b>	<b>1210</b>	<b>16%</b>
<b>Total Hours</b>	<b>7410</b>	<b>100%</b>

The University of Texas at Austin  
 Total Institution FY 2009 Budgeted Expenditures = \$1,984 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 16

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY 2008 Financial Statement Review	1,000	
FY 2009 Financial Statement Review	500	
Presidential Travel and Entertainment Expenses	250	
Joint Admission Medical Program (JAMP)	150	
<b>Financial Audits Subtotal</b>	<b>1900</b>	<b>11%</b>
<b><u>Operational Audits</u></b>		
Campus-wide Gift Administration	400	
Governance - Ethics and Conflict of Interest, Campus-wide Survey	150	
Texas Student Media	300	
<i>Changes in Management</i>	2200	
<b><u>Carryforward Audits</u></b>		
Physical Plant (Facilities Services)	300	
International Office, Overall Review	200	
Change in Management, FY '08	200	
<b>Operational Audits Subtotal</b>	<b>3750</b>	<b>23%</b>
<b><u>Compliance Audits</u></b>		
NCAA Football Attendance	50	
Federal Portion, Statewide Single Audit (Assist SAO)	100	
Cash Handling Audit	300	
Student Fees Audit	400	
Anti-Fraud Program Review	300	
NCAA - Bylaw 16 Awards and Benefits	500	
Animal and Human Subject Research	500	
Lab Safety, Including Handling Dangerous Materials	500	
<b><u>Carryforward Audits</u></b>		
Administrative Support for Research (Appendix C)	700	
Export Controls	300	
Technology Workforce Development (TWD) Grants	100	
<b>Compliance Audits Subtotal</b>	<b>3750</b>	<b>23%</b>

The University of Texas at Austin  
 Total Institution FY 2009 Budgeted Expenditures = \$1,984 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 16

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Information Technology Audits</u></b>		
National Automated Clearing House Association (NACHA) - Rules for Electronic Check Payments	150	
University of Texas System Rule 165	750	
Information Management - Development Office, Campus	400	
Encryption Audit	400	
SENF (Security of SSN)	400	
IT Systems Change Management Audit	350	
<b><u>Carryforward Audits</u></b>		
International Office, UTS 165	200	
<b>Information Technology Audits Subtotal</b>	<b>2650</b>	<b>16%</b>
<b><u>Follow-up Audits</u></b>		
	<b>500</b>	<b>3%</b>
<b><u>Projects</u></b>		
<b><u>Audit Projects (Management Requests)</u></b>		
Student Organization Bank	200	
Southwest Center for Accelerated Schools	300	
Texas Union	350	
Reserve for Requests During the Year	1500	
<b><u>Investigations Reserve</u></b>		
In Progress: Texas Relays, FIATECH	100	
	200	
<b><u>Carryforward Audits (Management Requests)</u></b>		
Purchasing Contracts, Campus-wide	50	
<b><u>Consulting Projects (Management Requests)</u></b>		
Human Resources - Personnel Management System	40	
Reserve for Consulting	300	
<b><u>Other Projects</u></b>		
Quality Assurance Review	200	
Internal Audit Committee	350	
Internal Audit Technical Support	400	
<b>Projects Subtotal</b>	<b>3990</b>	<b>24%</b>
<b>Total Audit Plan Hours</b>	<b>16540</b>	<b>100%</b>

**The University of Texas Southwestern Medical Center at Dallas**  
**Total Institution FY 2009 Budgeted Expenditures = \$1,486 (in millions)**  
**Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 14**

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY08 Financial Statement Audit	1800	
FY09 Financial Statement Audit	500	
Presidential Travel and Entertainment Expenses	150	
Joint Admission Medical Program (Biennial Requirement)	100	
National Pediatric Infectious Disease Foundation AFR	100	
Payroll	400	
Carryforward Audits	100	
<b>Financial Audits Subtotal</b>	<b>3150</b>	<b>20%</b>
<b><u>Operational Audits</u></b>		
UTS 155: Policies and Procedures Regarding MSRDP/DSRDP/PRS Business	450	
UTS 155: Policies and Procedures Regarding MSRDP (FSP - Allied Health)	150	
Campus Security / Emergency Preparedness (Clery Act)	250	
Physical Plant (Fuel Usage, Contract and Bidding Processes)	400	
MSRDP Billing Operations	500	
MSRDP Charge Entry	500	
Internal Medicine	400	
Core Lab Facilities / Recharge Centers	500	
Expenditure Review - High Risk Areas	400	
University Hospitals - Charge Entry	350	
University Hospitals - Outpatient Imaging Services	500	
Neuroscience	150	
Radiation Oncology	150	
Psychiatry	150	
Carryforward Audits	400	
<b>Operational Audits Subtotal</b>	<b>5250</b>	<b>34%</b>
<b><u>Compliance Audits</u></b>		
Family Practice Residency Program Grants (THECB Requirement)	100	
Graduate Medical Education Grant (THECB Requirement)	200	
ATP/ARP Grants (if applicable)	100	
Internal Audit Annual Report	60	
UTS 166: Cash Handling and Cash Management Policy	500	
Conflict of Interest	300	
Epidemiology - Gulf War Syndrome Study	300	
Medical Equipment - University Hospitals	250	
Research Compliance Billing	400	
Export Controls / Intellectual Property	300	
<b>Compliance Audits Subtotal</b>	<b>2510</b>	<b>16%</b>

The University of Texas Southwestern Medical Center at Dallas  
 Total Institution FY 2009 Budgeted Expenditures = \$1,486 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 14

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><i>Information Technology Audits</i></b>		
TAC 202 Compliance Audit (Biennial Requirement)	200	
Telecommunications	300	
Information Security	400	
EPIC Resolute Implementation Review	300	
PeopleSoft Implementation Review	400	
<b>Information Technology Audits Subtotal</b>	<b>1600</b>	<b>10%</b>
<b><i>Follow-up Audits</i></b>		
	<b>500</b>	<b>3%</b>
<b><i>Projects</i></b>		
UT System Requests	100	
Special Requests - Audits	100	
Fraud Prevention and Analysis	250	
LBB Performance Measures	100	
Compliance Monitoring	200	
Special Requests - Consulting	500	
Requests for Information/Assistance	200	
Quality Assurance Review	200	
Training provided by Internal Audit	150	
Internal Audit Committee	200	
Internal Audit Projects	200	
Reserve for other Special Requests/Investigations	300	
<b>Projects Subtotal</b>	<b>2500</b>	<b>16%</b>
<b>Total Audit Plan Hours</b>	<b>15510</b>	<b>100%</b>

The University of Texas Medical Branch at Galveston  
 Total Institution FY 2009 Budgeted Expenditures = \$1,612 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 12

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><i>Financial Audits</i></b>		
FY08 Financial Statement Audit	800	
FY09 Financial Statement Audit (Interim)	300	
Presidential Travel & Entertainment Expenses	300	
Presidential Travel & Entertainment Expenses Quarterly Compliance Review	100	
Joint Admission Medical Program	80	
<b>Financial Audits Subtotal</b>	<b>1580</b>	<b>13%</b>
<b><i>Operational Audits</i></b>		
Campus Security/Emergency Preparedness Audit, Including Clery Act	300	
UTS155 - MSRDP/DSRDP/PRS/AHRDP Business Operations	350	
Revenue Cycle	400	
Healthcare Workforce Management	400	
DAMP Casebook Referral/Governance Process Review	400	
<i>Change in Management Audits</i>	400	
<b><i>Carryforward Audits</i></b>		
Governance	200	
Revenue Cycle	160	
Purchasing	40	
<b>Operational Audits Subtotal</b>	<b>2650</b>	<b>22%</b>
<b><i>Compliance Audits</i></b>		
Practice Plan Governance Audit	300	
Cash Handling Audit	400	
Student Fees Audit	200	
Laboratory Biosafety	400	
<b><i>Texas Higher Education Coordinating Board Audits :</i></b>		
Family Practice Residency Program	80	
Primary Care/Internal Medicine Residency Program	80	
ATP/ARP Grants	40	
<b>Compliance Audits Subtotal</b>	<b>1500</b>	<b>13%</b>

The University of Texas Medical Branch at Galveston  
 Total Institution FY 2009 Budgeted Expenditures = \$1,612 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 12

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><i>Information Technology Audits</i></b>		
Correctional Managed Care	500	
General Controls (Feeder Systems)	450	
IS Strategic Planning	350	
Firewall	500	
EPIC	800	
Peer to Peer	450	
<b><i>Carryforward Audits</i></b>		
Remote Vendor	40	
Medical Devices (IN 12-1)	250	
Decentralized Operations	80	
<b>Information Technology Audits Subtotal</b>	<b>3420</b>	<b>29%</b>
<b><i>Follow-up Audits</i></b>		
	<b>500</b>	<b>4%</b>
<b><i>Projects</i></b>		
<b><i>Audit Projects</i></b>		
U. T. System Requests	300	
Special Requests - Audits	350	
<b><i>Consulting Projects</i></b>		
Patient Care Activities	250	
<b><i>Other Projects</i></b>		
Annual Risk Assessment/Work Plan Development	200	
Peer Review Follow-up	100	
Annual Required Reports	250	
Liaison with External Auditors	300	
TeamMate Upgrade/Enhancements	80	
Internal Audit Committee	150	
Institutional Committee Attendance	175	
<b>Projects Subtotal</b>	<b>2155</b>	<b>18%</b>
<b>Total Audit Plan Hours</b>	<b>11805</b>	<b>100%</b>

The University of Texas Health Science Center at Houston  
 Total Institution FY 2009 Budgeted Expenditures = \$781 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 8

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
Financial Statements FY 2008 Assurance Work	1500	
Presidential Travel and Entertainment	115	
Joint Admission Medical Program Financial Review	45	
<b>Financial Audits Subtotal</b>	<b>1660</b>	<b>23%</b>
<b><u>Operational Audits</u></b>		
Campus Security/Emergency Preparedness	200	
Medical School Practice Plan (MSRDP)	200	
Dental Branch Practice Plan (DSRDP)	160	
Technology Transfer	200	
AMS Contract with Harris County Clinical Services	600	
Change in Management Audits	809	
<b>Operational Audits Subtotal</b>	<b>2169</b>	<b>30%</b>
<b><u>Compliance Audits</u></b>		
Federal Portion of Statewide Single Audit (A-133)	60	
Texas Higher Education Coordinating Board Residency Programs - Four Programs	175	
ARP/ATP Grant	80	
Research - Conflict of Interest	150	
<b>Compliance Audits Subtotal</b>	<b>465</b>	<b>6%</b>
<b><u>Information Technology Audits</u></b>		
Texas Administrative Code 202 Security Standards	400	
Oracle Database	500	
Wireless Networking	550	
<b>Information Technology Audits Subtotal</b>	<b>1450</b>	<b>20%</b>
<b><u>Follow-up Audits</u></b>		<b>300</b>
		<b>4%</b>
<b><u>Projects</u></b>		
Quality Assurance Review Follow-up	20	
Internal Audit Committee	120	
UT System Request	120	
FY 2010 Audit Plan	120	
Internal Audit Annual Report	30	
Consulting and Management Requests	450	
Investigations	300	
<b>Projects Subtotal</b>	<b>1160</b>	<b>16%</b>
<b>Total Audit Plan Hours</b>	<b>7204</b>	<b>100%</b>

The University of Texas Health Science Center at San Antonio  
 Total Institution FY 2009 Budgeted Expenditures = \$674 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 7

**Fiscal Year 2009 Audit Plan**

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
Annual Financial Statement Audit - FY 2008	900	
Annual Financial Statement Audit - FY 2009	150	
President Expenditures	90	
Additional Service Payments	200	
<b>Financial Audits Subtotal</b>	<b>1340</b>	<b>18%</b>
<b><u>Operational Audits</u></b>		
Campus Security/Emergency Preparedness	450	
Practice Plans Operations Review	350	
CTRC - Internal Controls Review	500	
Medical Revenue Cycle Reorganization	400	
Change in Management	300	
Cost Sharing	100	
Dept of Medicine - Internal Control Review	100	
Scholarships	200	
<b>Operational Audits Subtotal</b>	<b>2400</b>	<b>33%</b>
<b><u>Compliance Audits</u></b>		
Practice Plan Governance	400	
Cash Handling	300	
Family Practice Residency Program Grants	70	
Joint Admissions Medical Program (JAMP)	40	
Student Health Center	200	
<b>Compliance Audits Subtotal</b>	<b>1010</b>	<b>14%</b>
<b><u>Information Technology Audits</u></b>		
Annual Financial Statement Audit - FY 2008 (IT Procedures)	300	
EPIC Physician Billing Application Control Review	450	
PeopleSoft Financials Upgrade	120	
EPIC Implementation	120	
Consulting-IT	100	
TAC 202 Program Compliance	20	
<b>Information Technology Audits Subtotal</b>	<b>1110</b>	<b>15%</b>
<b><u>Follow-up Audits</u></b>		
	<b>480</b>	<b>7%</b>
<b><u>Projects</u></b>		
UT System Requests	100	
Internal Audit Annual Report	40	
Special Requests - Audits	200	
Consulting-General	80	
Annual Audit Plan	150	
Training provided by Internal Audit	40	
Internal Audit Committee	100	
Investigations	100	
Reserve for other Special Requests	150	
<b>Projects Subtotal</b>	<b>960</b>	<b>13%</b>
<b>Total Audit Plan Hours</b>	<b>7300</b>	<b>100%</b>

The University of Texas M. D. Anderson Cancer Center  
 Total Institution FY 2009 Budgeted Expenditures = \$2,804 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 14

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
Presidential Travel and Entertainment Expenses	300	
Texas Higher Education Coordinating Board - Facilities Audit	200	
Institutional "Spirit of Sarbanes-Oxley" Testing	800	
<b><u>Carryforward Audits</u></b>		
Unrestricted Gifts	600	
"Spirit of Sarbanes Oxley" Testing - Procurement	300	
<b>Financial Audits Subtotal</b>	<b>2200</b>	<b>12%</b>
<b><u>Operational Audits</u></b>		
Campus Security/Emergency Preparedness	300	
ARAMARK Contract Management & Compliance	600	
Construction Projects (TBD)	200	
<b><u>Patient Care</u></b>		
Medical Record Audit Process - Post Implementation	500	
HIMS Coding (Co-sourced)	450	
MedAptus Post Implementation (Including System Controls)	450	
<b><u>Research</u></b>		
Effort Reporting Post Implementation (Including System Controls)	450	
Clinical Trials Charge Capture - Post Implementation	800	
Conflict of Interest - Institutional Conflicts	500	
Institutional Review Board - Tissue Mgmt	300	
<b><u>Financial</u></b>		
Central Pharmacy	650	
Professional Courtesy and Other Administrative Discounts	100	
<b><u>Human Resources</u></b>		
Human Resources (TBD)	500	
<b><u>Risk Management</u></b>		
Physical Access to Facilities	500	
Conducting Criminal Background Checks	400	
<b><u>Division/Department Reviews</u></b>		
Division of Pathology & Laboratory Medicine	500	
<b><u>Management Requested</u></b>		
Reserve for Management Requested Audits	300	
<b><u>Carryforward Audits</u></b>		
Nurse Competencies	600	
<b>Operational Audits Subtotal</b>	<b>8100</b>	<b>46%</b>
<b><u>Compliance Audits</u></b>		
Physicians' Referral Service Practice Plan -Governance & UTS 155	400	
Disposition of Student Fees	200	
UTS 166 - Cash Handling	400	
VISA Administration - I-9 Compliance	300	
Extramural Leave	500	
<b>Compliance Audits Subtotal</b>	<b>1800</b>	<b>10%</b>

The University of Texas M. D. Anderson Cancer Center  
 Total Institution FY 2009 Budgeted Expenditures = \$2,804 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 14

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Information Technology Audits</u></b>		
TAC 202 Compliance Audit	250	
Siemens CARE System	300	
Internet Services	180	
MY MDAnderson application	200	
MedAptus Post Implementation (System Controls)	200	
Effort Reporting Post Implementation (System Controls)	200	
Information Security Dept (TBD)	200	
<b><u>Other Projects</u></b>		
Reserve for Just-in-Time Auditing/Advisory Services - TBA	250	
Follow-up	100	
Knowledge Sharing and/or Training Documentation Projects	120	
IT Liaison Activities	120	
IT Risk Assessment FY 08	100	
Financial and Operational Audit assistance	200	
<b>Information Technology Audits Subtotal</b>	<b>2420</b>	<b>14%</b>
<b><u>Follow-up Audits</u></b>		
<b>Follow-up Audits Subtotal</b>	<b>500</b>	<b>3%</b>
<b><u>Projects</u></b>		
<b><u>Audit Projects</u></b>		
Reserve for Investigations	400	
Other Special UT Requests	250	
<b><u>Consulting Projects</u></b>		
Fraud Initiative	400	
<b><u>Other Projects</u></b>		
Internal Quality Assurance Activities	150	
Institutional Risk Assessment and Work Plan Development	450	
Liaison with External Auditors	75	
Internal Audit Committee	160	
Management Involvement on Co-Source Projects	200	
Institutional Committee Participation	400	
Training Documentation Projects	263	
<b>Projects Subtotal</b>	<b>2748</b>	<b>15%</b>
<b>Total Audit Plan Hours</b>	<b>17768</b>	<b>100%</b>

**The University of Texas at Arlington**  
**Total Institution FY 2009 Budgeted Expenditures = \$386 (in millions)**  
**Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 6**

**Fiscal Year 2009 Audit Plan**

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY 2008 Financial Statement Audit	500	
FY 2009 Financial Statement Audit	200	
Presidential Housing, Travel and Entertainment Expenses Audit	120	
Joint Admission Medical Program (Biennial Requirement)	80	
NCAA Financial Audit	180	
<b>Financial Audits Subtotal</b>	<b>1080</b>	<b>18%</b>
<b><u>Operational Audits</u></b>		
Campus Security/Emergency Preparedness Audit, Including Clery Act	300	
Controls Over Cash Collection Areas and Security of Credit Card Information	600	
Follow Up on FY 08 Health Services Audit	160	
Registration Process	300	
<b>Operational Audits Subtotal</b>	<b>1360</b>	<b>22%</b>
<b><u>Compliance Audits</u></b>		
UTS 166 - Cash Management and Cash Handling Policy	200	
Student Fees Audit	350	
Advanced Technology Program / Advanced Research Program (ATP / ARP)	140	
NCAA Compliance Audit -- Eligibility	160	
EHS: Review of High Risk areas - Chemical Safety	250	
Construction and Renovation Projects Review Against THECB Requirements	200	
Carryforward: Governance	120	
Carryforward: UTS 165 - Digital Sensitive Data	140	
Carryforward: Compliance with Payment Card Industry (PCI) Data Security	200	
<b>Compliance Audits Subtotal</b>	<b>1760</b>	<b>29%</b>
<b><u>Information Technology Audits</u></b>		
Profile System Development	300	
Carryforward: ACL Exception Reporting with Focus on Payroll & Payables	100	
Carryforward: UTS165 - IT Systems Change Management Audit	140	
<b>Information Technology Audits Subtotal</b>	<b>540</b>	<b>9%</b>
<b>Follow-up Audits</b>	<b>320</b>	<b>5%</b>
<b><u>Projects</u></b>		
U. T. System Requests	300	
FY 2010 Audit Plan Preparation	160	
Annual Internal Audit Report	60	
Special Requests - Consulting	130	
Quality Assurance Review	160	
Internal Audit Committee	100	
Investigations	160	
<b>Projects Subtotal</b>	<b>1070</b>	<b>17%</b>
<b>Total Audit Plan Hours</b>	<b>6130</b>	<b>100%</b>

The University of Texas at Brownsville  
 Total Institution FY 2009 Budgeted Expenditures = \$139 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 4

**Fiscal Year 2009 Audit Plan**

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY 2008 Financial Statement Audit	500	
President's Travel and Entertainment Expenses	100	
Joint Admission Medical Program	80	
<b>Financial Audits Subtotal</b>	<b>680</b>	<b>17%</b>
<b><u>Operational Audits</u></b>		
Campus Security/Emergency Preparedness Audit, Including Clery Act	200	
Dual Enrollment	300	
Outreach Programs	250	
Distance Education	100	
Human Resources	150	
Physical Plant	20	
ITECC Lease Management Audit	100	
<b>Operational Audits Subtotal</b>	<b>1120</b>	<b>28%</b>
<b><u>Compliance Audits</u></b>		
Federal Portion of the Statewide Single Audit (Assistance to the SAO)	10	
Cash Management and Cash Handling Audit	200	
Endowment Management Administration and Fee Analysis Proposal	40	
TSC- Carl Perkins	100	
Effort Reporting	200	
Student Fees	100	
<b>Compliance Audits Subtotal</b>	<b>650</b>	<b>16%</b>
<b><u>Information Technology Audits</u></b>		
TAC 202 Compliance Audit	150	
Access Controls over Blackboard	150	
IT General Controls Audit	100	
<b>Information Technology Audits Subtotal</b>	<b>400</b>	<b>10%</b>
<b><u>Follow-up Audits</u></b>		
	<b>200</b>	<b>5%</b>
<b><u>Projects</u></b>		
UT System Requests	100	
FY 2010 Audit Plan Preparation	60	
Annual Internal Audit Report	20	
Construction Management (TSC)	100	
Special Requests - Audits	100	
Training Provided by Internal Audit	150	
Consulting Requests	100	
Assist Compliance w/ERM	50	
Quality Assurance Review	200	
Internal Audit Committee/Internal Audit Council	100	
<b>Projects Subtotal</b>	<b>980</b>	<b>24%</b>
<b>Total Audit Plan Hours</b>	<b>4030</b>	<b>100%</b>

The University of Texas at Dallas  
 Total Institution FY 2009 Budgeted Expenditures = \$309 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 4.75

## Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><i>Financial Audits</i></b>		
FY 2008 Financial Statement Audit	500	
FY 2009 Interim Financial Statement Audit Work	100	
Presidential Travel and Entertainment Expenses Audit	80	
Joint Admission Medical Program	50	
<b>Financial Audits Subtotal</b>	<b>730</b>	<b>16%</b>
<b><i>Operational Audits</i></b>		
Construction	200	
Athletics	160	
Reserve for Change in Management Audits	200	
Change in Management Audit: School of Natural Sciences and Mathematics	160	
Change in Management Audit: School of Engineering and Computer Science	60	
<b><i>Carryforward from FY 2008</i></b>		
School of Management Executive Education	180	
VP Enrollment & Center for Brain Health	40	
<b>Operational Audits Subtotal</b>	<b>1000</b>	<b>22%</b>
<b><i>Compliance Audits</i></b>		
ATP/ARP Grants	120	
Lena Callier Trust, Required Annually by the Trust Agreement	120	
Federal Portion of the Statewide Single Audit (Assistance to SAO)	40	
Texas Schools Project (Education Research)	90	
UTS163 (Time and Effort Reporting & Cost Sharing)	200	
Contracting	100	
PCI Compliance - Payment Card (Credit Card) Industry Standards	120	
SEVIS	80	
Cash Handling (UTS 166)	180	
Student Fees	180	
<b>Compliance Audits Subtotal</b>	<b>1230</b>	<b>27%</b>
<b><i>Information Technology Audits</i></b>		
TAC 202 (IT Security)	200	
UTS165 (Information Resources Security and Use Policy - includes Servers, Patching, Incident Response Procedures, Security Operations, UTD-ID)	40	
Unix	220	
UTD Marketplace System (Combine with Credit Card Industry Standards Audit)	160	
<b><i>Carryforward from FY 2008</i></b>		
Computer Account Requests and Authentication	80	
<b>Information Technology Audits Subtotal</b>	<b>700</b>	<b>15%</b>

The University of Texas at Dallas  
 Total Institution FY 2009 Budgeted Expenditures = \$309 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 4.75

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><i>Follow-up Audits</i></b>		
Quarterly Follow-up of Significant Audit Recommendations	10	
Annual Follow-up Audit	100	
<b>Follow-up Audit Subtotal</b>	<b>110</b>	<b>2%</b>
<b><i>Projects</i></b>		
Annual Internal Audit Report	40	
Audit & Compliance Committee	60	
FY 2010 Audit Plan	90	
PeopleSoft Steering Committee	120	
Quality Assurance Reviews for Other Audit Departments		
Reserved for Special Projects & Investigations	100	
U. T. System Requests	40	
Policies and Procedures Updates	100	
Hotline Investigations	100	
Consulting (All Areas)	100	
<b>Projects Subtotal</b>	<b>750</b>	<b>17%</b>
<b>Total Audit Plan Hours</b>	<b>4520</b>	<b>100%</b>

**Note:** During FY 2007 and FY 2008 an average of 950 hours per year of audit work was performed by students in the UTD School of Management's Internal Auditing Education Partnership (IAEP) program, under the supervision of UTD Internal Audit. During the past two years, approximately 50 students worked on audits, which comprised 25% of their grade in the course. The Audit Plan does not incorporate the student hours as their work is considered a learning experience. The time spent supervising the students is reflected in the above Audit Plan.

The University of Texas at El Paso  
 Total Institution FY 2009 Budgeted Expenditures = \$295 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 9.6

## Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY 2008 Financial Statement Audit	400	
Presidential Housing, T & E Expenses Audit	100	
KTEP FM Radio Station	50	
NCAA Financial Audit and Attendance Audit	300	
Federal Portion of the Statewide Single Audit (Assistance to SAO)	100	
Accounts Payable	400	
Post Award Management and Financial Reporting of Contracts	300	
<b><u>Carryforward Audits</u></b>		
Conflict of Interest and Financial Disclosure	50	
Joint Admission Medical Program	30	
<b>Financial Audits Subtotal</b>	<b>1,730</b>	<b>20%</b>
<b><u>Operational Audits</u></b>		
Campus Security/Emergency Preparedness Audit (Cleary Act)	150	
Research and Development Fund	400	
Grants & Contracts Management - Cost Sharing	350	
Human Subject Research	300	
Effort Reporting	400	
Animal Research	350	
Export Licensing and Control	250	
Technology Transfer	200	
Office of International Programs	250	
<b><u>Change in Management Audits</u></b>		
College of Health Science Dean's Office	200	
College of Engineering Dean's Office	200	
<b><u>Carryforward Audits</u></b>		
College of Education - Dean's Office	30	
<b>Operational Audits Subtotal</b>	<b>3,080</b>	<b>35%</b>

The University of Texas at El Paso  
 Total Institution FY 2009 Budgeted Expenditures = \$295 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 9.6

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Compliance Audits</u></b>		
Cash Handling	250	
<b><u>Carryforward Audits</u></b>		
Tuition and Fees Management	50	
Student Records	50	
Laboratory Safety	50	
<b>Compliance Audits Subtotal</b>	<b>400</b>	<b>5%</b>
<b><u>Information Technology Audits</u></b>		
Payment Card Industry Compliance	300	
Digital Research Data	250	
Environmental Controls	200	
<b><u>Carryforward Audits</u></b>		
TAC 202 Compliance Audit	350	
Physical Security	150	
IT Systems Change Management Audit	30	
<b>Information Technology Audits Subtotal</b>	<b>1,280</b>	<b>15%</b>
<b><u>Follow-up Audits</u></b>	<b>450</b>	<b>5%</b>
<b><u>Projects</u></b>		
<b><u>Audit Projects</u></b>	400	
<b><u>Consulting Projects</u></b>	300	
<b><u>Other Projects</u></b>		
Year-end Inventory and Periodic Cash Counts	100	
Institutional Compliance Committee	30	
Annual Internal Audit Report	40	
Training provided by Internal Audit	150	
Internal Audit Committee	80	
Investigations	400	
Reserve for other Special Requests	316	
<b>Projects Subtotal</b>	<b>1,816</b>	<b>21%</b>
<b>Total Audit Plan Hours</b>	<b>8,756</b>	<b>100%</b>

The University of Texas - Pan American  
 Total Institution FY 2009 Budgeted Expenditures = \$235 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 5

## Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY 2008 Financial Audit	400	
President's Travel and Entertainment Expenses	30	
Joint Admission Medical Program	50	
NCAA Agreed Upon Procedures	200	
Other Revenue	150	
<b>Financial Audits Subtotal</b>	<b>830</b>	<b>16%</b>
<b><u>Operational Audits</u></b>		
Governance Audit	150	
Procurement Cards	250	
Contractual Obligations	300	
Enrollment and Student Services Initiative	250	
<b>Operational Audits Subtotal</b>	<b>950</b>	<b>19%</b>
<b><u>Compliance Audits</u></b>		
Cash Management and Cash Handling Audit	200	
Student Service Fees	250	
Protection of Research Data	150	
Effort Reporting	150	
NCAA Compliance Review	100	
Facilities Safety	125	
Laboratory Safety	125	
Compliance with Payment Card Industry Data Security Standards	200	
<b>Compliance Audits Subtotal</b>	<b>1300</b>	<b>25%</b>
<b><u>Information Technology Audits</u></b>		
TAC 202	200	
IT Systems Change Management	200	
Banner System Post Implementation	350	
Decentralized IT (Embedded Techs)	150	
<b>Information Technology Subtotal</b>	<b>900</b>	<b>18%</b>
<b><u>Follow-up Audits</u></b>		
	<b>150</b>	<b>3%</b>
<b><u>Projects</u></b>		
UT System Requests	60	
Student Health Center - Financial	150	
Monthly Review of President's Expenses	150	
Reserved for Special Requests	100	

**The University of Texas - Pan American**  
**Total Institution FY 2009 Budgeted Expenditures = \$235 (in millions)**  
**Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 5**

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<i>Committee Meetings</i>		
President's Council	25	
Information Technology Planning Council	25	
Internal Audit Committee	75	
Institutional Compliance Committee	15	
Athletic Council & Executive Committee	15	
Quarterly Meeting (Audit/Compliance/IT)	15	
Quality Assurance Review Follow up	25	
UT System Audit Council	30	
Annual Audit Plan	150	
External Auditors	20	
Investigations	50	
Continuous improvement to Internal Audits	75	
<b>Projects Subtotal</b>	<b>980</b>	<b>19%</b>
<b>Total Audit Plan Hours</b>	<b>5110</b>	<b>100%</b>

The University of Texas at San Antonio  
 Total Institution FY 2009 Budgeted Expenditures = \$389 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 5.875

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY 2008 Financial Statement Audit	450	
FY 2008 Presidential Travel and Entertainment	200	
FY 2008 NCAA Annual Financial Audit	350	
FY 2009 Financial Statement Audit (Interim Work)	100	
<b>Financial Audits Subtotal</b>	<b>1100</b>	<b>18%</b>
<b><u>Operational Audits</u></b>		
Construction Projects	500	
Research/Service Centers and Institutes	600	
<b>Operational Audits Subtotal</b>	<b>1100</b>	<b>18%</b>
<b><u>Compliance Audits</u></b>		
State Auditor's - FY08 Statewide (Financial Aid/Research & Development)	50	
Joint Admission Medical Program	60	
ATP/ARP - Advanced Technology & Research Programs (Texas Higher Education Coordinating Board)	60	
NCAA Compliance	400	
Animal Research	400	
Carryforward Select Agents	80	
Carryforward UTS 163 - Cost Transfers	40	
<b>Compliance Audits Subtotal</b>	<b>1090</b>	<b>17%</b>
<b><u>Information Technology Audits</u></b>		
Information Security Program (TAC 202)	400	
IT Asset Management	600	
IT Organizational Funding / Financial	500	
Carryforward Computer Controls (BANNER Security)	60	
<b>Information Technology Audits Subtotal</b>	<b>1560</b>	<b>25%</b>
<b>Follow-up Audits</b>	<b>300</b>	<b>5%</b>
<b><u>Projects</u></b>		
Special Requests - UT System and Management	300	
Investigations	200	
Committee Council and Staff Meetings	400	
Methodware Implementation	30	
Teammate Maintenance	30	
Audit Planning	80	
Internal Audit Quality Assurance Review (QAR) / Peer Review	74	
<b>Projects Subtotal</b>	<b>1114</b>	<b>18%</b>
<b>Total Audit Plan Hours</b>	<b>6264</b>	<b>100%</b>

The University of Texas of the Permian Basin  
 Total Institution FY 2009 Budgeted Expenditures = \$46 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 1

**Fiscal Year 2009 Audit Plan**

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY 2008 Financial Statement Audit	250	
Presidential Travel and Entertainment Expense Audit	80	
Joint Admission Medical Program	40	
<b>Financial Audits Subtotal</b>	<b>370</b>	<b>30%</b>
<b><u>Operational Audits</u></b>		
Governance	80	
Conflict of Interest	60	
Change in Management/Departmental	430	
<b>Operational Audits Subtotal</b>	<b>570</b>	<b>46%</b>
<b><u>Compliance Audits</u></b>		
<b>Compliance Audits Subtotal</b>	<b>0</b>	<b>0%</b>
<b><u>Information Technology Audits (see NOTE)</u></b>		
<b>Information Technology Audits Subtotal</b>	<b>0</b>	<b>0%</b>
<b><u>Follow-up Audits</u></b>		
<b>Follow-up Audits Subtotal</b>	<b>60</b>	<b>5%</b>
<b><u>Projects</u></b>		
Quality Assurance Reviews	250	
<b>Projects Subtotal</b>	<b>250</b>	<b>20%</b>
<b>Total Audit Plan Hours</b>	<b>1250</b>	<b>100%</b>

**NOTE :** The System Audit Office plans to provide staffing assistance for performance of IT audit work at UTPB due to limited audit staff at the institution.

The University of Texas at Tyler  
 Total Institution FY 2009 Budgeted Expenditures = \$81 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 2.5

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><u>Financial Audits</u></b>		
FY 2008 Annual Financial Report	350	
FY 2009 Annual financial Report - Interim	120	
Presidential Travel and Entertainment	100	
Joint Admission Medical Program	60	
Grant Audits as Required by External Agencies	120	
<b>Financial Audits Subtotal</b>	<b>750</b>	<b>28%</b>
<b><u>Operational Audits</u></b>		
Standards of Conduct/Conflict of Interests	80	
SACS Re-accreditation Critical Areas	100	
Change in Management - Director of Academic Advising	80	
Change in Management - Unknown		
<b>Operational Audits Subtotal</b>	<b>260</b>	<b>10%</b>
<b><u>Compliance Audits</u></b>		
Cash Handling - UTS 166	80	
Student Fees	180	
Business Continuity Plan	40	
Special Audit to be Determined by Compliance Working Group	80	
Federal Awards - Campus-wide	40	
<b>Compliance Audits Subtotal</b>	<b>420</b>	<b>16%</b>
<b><u>Information Technology Audits</u></b>		
TAC 202	80	
Local Area Networks	100	
IT Systems Change Management	80	
<b>Information Technology Audits Subtotal</b>	<b>260</b>	<b>10%</b>
<b><u>Follow-up Audits</u></b>		
	<b>56</b>	<b>2%</b>
<b><u>Projects</u></b>		
POPS Steering Committee	40	
SACS Quality Enhancement Plan Steering Committee	80	
Special Project to be Determined by the Internal Audit Committee	300	
Compliance Working Group	24	
Internal Audit Committee	60	
Reserve for Request from President	80	
Risk Assessment Consultations	30	
Quality Assurance Review	140	
Training Provided by Internal Audit	24	
Annual Audit Report 2008 - SAO	40	
2009-2010 Audit Work Plan	40	
Investigations/Ethics Line	24	
Website Development	40	
Reserve for Special Requests		
<b>Projects Subtotal</b>	<b>922</b>	<b>35%</b>
<b>Total Audit Plan Hours</b>	<b>2668</b>	<b>100%</b>

The University of Texas Health Science Center at Tyler  
 Total Institution FY 2009 Budgeted Expenditures = \$118 (in millions)  
 Total Number of FY 2009 Budgeted Audit Positions (gross of vacancies) = 2.8

### Fiscal Year 2009 Audit Plan

Audit/Project	Budgeted Priority Hours	% of Total
<b><i>Financial Audits</i></b>		
FY 2008 Financial Statement Audit	450	
Presidential Travel and Entertainment Expenses Audit	150	
<b>Financial Audits Subtotal</b>	<b>600</b>	<b>20%</b>
<b><i>Operational Audits</i></b>		
MSRDP Patient Revenue Cycle Processes Audit	350	
Contracting Cycle Processes Audit	350	
Healthcare Personnel Audit	300	
Change in Management Audit	100	
Research Program Audit (Carryforward from FY 2008)	300	
<b>Operational Audits Subtotal</b>	<b>1400</b>	<b>46%</b>
<b><i>Compliance Audits</i></b>		
Family Practice Residency/Graduate Medical Education Program Grants Audit FYE 8/31/2008	150	
Practice Plan Governance Audit	100	
<b>Compliance Audits Subtotal</b>	<b>250</b>	<b>8%</b>
<b><i>Information Technology Audits (see NOTE)</i></b>		
<b>Information Technology Audits Subtotal</b>	<b>0</b>	<b>0%</b>
<b><i>Follow-up Audits</i></b>		
Follow up on Prior Audit Findings	160	
<b>Follow-Up Audits Subtotal</b>	<b>160</b>	<b>5%</b>
<b><i>Projects</i></b>		
Internal Audit Committee	100	
Training Provided by Internal Audit	40	
Investigations	40	
Reserve for Other Special Requests	300	
Annual Audit Plan and Report	140	
<b>Projects Subtotal</b>	<b>620</b>	<b>20%</b>
<b>Total Audit Plan Hours</b>	<b>3030</b>	<b>100%</b>

**Note:** The System Audit Office plans to provide staffing assistance for performance of IT audit work at UTHSC-T due to limited audit staff at the institution.

**U. T. Austin: Approval of formation of a civil association in Mexico for the future establishment of a University-sponsored center for innovation and technology in the City of Monterrey, State of Nuevo León, Mexico**

**RECOMMENDATION**

The Chancellor ad interim concurs in the recommendation of the Executive Vice Chancellor for Academic Affairs, the Vice Chancellor and General Counsel, and President Powers that the U. T. System Board of Regents approve the formation of a civil association in Mexico to pursue the opportunities afforded The University of Texas at Austin in the State of Nuevo León, Mexico, pursuant to the Letter of Commitment executed by President Powers and José Natividad González Parás, Governor of the State of Nuevo León, on September 19, 2006.

**BACKGROUND INFORMATION**

On September 19, 2006, U. T. Austin President William Powers and Governor José Natividad González Parás executed a Letter of Commitment (the Letter) setting forth certain understandings between U. T. Austin and the State of Nuevo León with regard to the basis, strategies, content, and implementation of a long-term collaboration between U. T. Austin and the State of Nuevo León. A primary objective of the Letter and the collaboration with the State of Nuevo León is to facilitate the establishment of a permanent presence for U. T. Austin in the State of Nuevo León through creation of a global innovation center for business in Monterrey.

Pursuant to the Letter, the State of Nuevo León reserved approximately 50,000 square feet of land in a science and technology park in Monterrey for use by U. T. Austin. U. T. Austin, primarily through its IC<sup>2</sup> Institute, already has a variety of general activities in Mexico, and specific activities in the State of Nuevo León. For example, the Institute administers the Technology Business Accelerator Program, a business accelerator with 16 Mexican companies, conducts a business development program for INVITE (international commercialization program sponsored by the State of Nuevo León), provides advice on the Monterrey "City of Knowledge" Project, and offers executive education in technology commercialization to managers of public and private institutions.

U. T. Austin believes construction of a facility on the land in the Monterrey science park would enhance its presence and program offerings in Mexico and align with State goals regarding educational and research collaboration with Mexico. The Texas Legislature has signaled its support for Texas-Mexico educational initiatives through the establishment of the Texas-Mexico Educational Development Program (Program) administered by the Texas Higher Education Coordinating Board as authorized by Chapter 147.002, *Texas Education Code*, and some funds may be available for this project through the Program.

The proposed facility would serve as a "portal" between U. T. Austin and northeastern Mexico and an entry point to Latin America. Many different U. T. Austin constituencies are interested in using such a portal. These prospective users include U. T. Austin students who want to pursue studies, internships, or research in Mexico; individuals from Mexico who are interested in attending U. T. Austin; U. T. Austin alumni in northeastern Mexico; faculty members from U. T. Austin and Mexican educational institutions interested in exchange programs or research collaborations; and business executives desiring cross-border opportunities.

Consejo Nacional de Ciencia y Tecnología (CONACYT), the Mexican equivalent of the United States National Science Foundation, is offering \$500,000 to fund, in part, construction of a U. T. Austin facility in Monterrey. To obtain this funding, U. T. Austin must first create a "civil association" or nonprofit entity in Mexico. If facility construction approval is granted by the Board of Regents and if funding is obtained from CONACYT, the IC<sup>2</sup> Institute will provide the remaining additional requisite funding to construct the Monterrey facility. Total construction costs are estimated at \$1,000,000. No State or other U. T. Austin funding will be required to construct or operate the Monterrey facility.