

<u>Engagement Title</u>	<u>Budgeted Hours</u>	<u>Engagement Risk Ranking</u>	<u>Primary Taxonomy</u>	<u>Engagement Objective</u>
Assurance Engagements				
Patch and Configuration Management Audit	500	Critical	Information Technology	To review current practices are in place for patch and configuration management, and to assess compliance with applicable Texas Administrative Code §202.76 security control standards. This audit will meet the biennial TAC 202.76 risk-based review of compliance with Texas information security standards.
Medical Devices Audit	500	Critical	Information Technology	To review current processes and controls in place, post implementation of the new Institutional policy, to ensure that the privacy and security of patient information is being upheld on medical devices. This audit will meet the biennial TAC 202.76 risk-based review of compliance with Texas information security standards.
Research Time and Effort Audit	550	High	Research	To evaluate the adequacy of processes and controls for accurate time and effort reporting for sponsored research.
Finance Post-Awards Review Audit	450	High	Research	To review controls related to oversight of expenditures for compliance with grant requirements.
FY24 Wrap-Up	150	N/A	N/A	Hours allocated for the completion of ongoing FY24 projects.
Assurance Engagements Subtotal	2150			
Advisory and Consulting				
TEC 51.3525 Compliance Review	300	High	Risk Management & Compliance	To provide the President and Executive Leadership reasonable assurance as to the Institution's continuing compliance with requirements of TEC 51.3525.
Ad Hoc Consulting and Advisory Services Requested by Management related to Emerging Risks	500	N/A	N/A	To provide ad hoc consulting and advisory services for specific requests on emerging risks.
Executive Meetings, Meetings with Management, Institutional Committees	500	N/A	N/A	To participate in an advisory role on Executive Management meetings, Institutional Committees, and in meetings held with Management on risk-based items.
UTHSCT & UT Health East Texas Clinical Operations Management Agreement (COMA) Review	200	Medium	Enterprise Activities	To perform an annual review of UTHET's performance under the COMA to evaluate its compliance with the agreed upon Management Parameters.

Data Analytics	250	N/A	N/A	To develop and deliver reports using data analytics software for Institutional clients as requested such as Procurement Cards, Journal Entry Approvals, and Duplicate Vendor/Payments.
University Advancement Endowment Balances Review	150	High	Development & External Relations	To review endowment expenditures and balances for compliance with UT System policies.
Fisch College of Pharmacy Policy Consulting Review	120	High	Risk Management & Compliance	To review the Fisch College of Pharmacy policies and procedures as the College continues to expand, and the associated communication, training, and guidance of these policies and procedures for faculty and staff.
Advisory Engagements Subtotal	2020			
Required Engagements				
State Institution of Higher Education Contracting Assessment	50	Medium	Finance	To assess whether the Institution is in compliance with the rules and policies outlined in Texas Education Code § 51.9337, which designates purchasing authority for institutions of higher education as being conditional unless compliance has been met.
Family Medicine Residency Program Grant Audit FYE 8/31/2024	150	Medium	Finance	To determine if FY 2024 Texas Higher Education Coordinating Board funds awarded to the UTHSCT Family Medicine Residency Program under the State Grant Agreement have been appropriately expended as required by program guidelines.
Financial Statement Audit Assistance	50	Medium	Finance	To assist the external audit firm, Deloitte, with the audit procedures for the UTT FY 2024 financial statement audit, as part of the consolidated audit of the UT System financial statements.
CPRIT Grant External Audit (assistance to management)	50	Medium	Finance	To assist management with the external audit of the Institution's CPRIT (Cancer Prevention Research Institute of Texas) grant audit.
FY25 THECB Facilities Audit	100	Medium	Facilities Management	To perform the required Texas Higher Education Coordinating Board (THECB) Facilities Audit.
Required Engagements Subtotal	400			
Investigations				
Investigations	200	N/A	N/A	To provide investigative assistance to the Institution as needed.
Investigations Subtotal	200			
Reserve				
Reserve for Ad-Hoc Engagements	500	N/A	N/A	Hours reserved for any audit projects as requested by management or other activities requested during the fiscal year.
Reserve	500			
Follow-up				
Implementation Status Tracking	300	N/A	N/A	Follow-up procedures to be conducted to verify the implementation status of past recommendations made.
Follow-up Subtotal	300			

Development - Operations				
Annual Risk Assessment and Audit Plan	500	N/A	N/A	To facilitate the annual risk assessment process and prepare the resulting audit plan.
Institutional Audit Committee	500	N/A	N/A	To prepare for Institutional Audit Committee meetings, attend meetings, prepare minutes and summaries, and engage with current and prospective External Members of the Committee.
Quality Initiatives and Updated Standards	300	N/A	N/A	To perform quality assurance and improvement activities, in accordance with IIA Standard 1311 - Internal Assessments, which will include a review of the external quality assessment results and opportunities received in 2023.
External Reporting/Requests	250	N/A	N/A	To prepare reports and fulfill information requests required by UT System, the State Auditor's Office, and other external agencies as needed.
Audit Management Software, IT Support, and Website Maintenance	225	N/A	N/A	To maintain Audit Management Software and other IT needs.
Staff Meetings	400	N/A	N/A	Regular update meetings for planning and review of upcoming/current audit projects.
CAE Update/Collaborative Meetings	200	N/A	N/A	Recurring meetings set with UT Health CAEs, with UT Academic CAEs, and with the Ardent CAE. Each of these meetings are set to discuss current audits, emerging risks, best business practices, initiatives, etc.
Development - Operations Subtotal	2375			
Development - Initiatives & Education				
System Audit Office Initiatives	300	N/A	N/A	To participate in UTS quality improvement workgroup initiatives and Audit Council meetings.
Professional Organization/Association Participation	400	N/A	N/A	To participate in work groups, committees, monthly luncheons, etc., for involved professional organizations.
Individual Continuing Professional Education (CPE)	400	N/A	N/A	To expand the skillset of the department through continuing education as well as meeting CPE requirements for certifications, including travel time.
Institutional Trainings	250	N/A	N/A	To receive Institutional training.
Audit Software Implementation	225	N/A	N/A	Audit Software implementation
Initiatives & Education Subtotal	1575			
Total Budgeted Hours	9520			