

Approved 2020 Internal Audit Plan (9/1/19 – 8/31/20)

	Project Type	Description	Total Hours
1	Construction Contracts and Project Management – CIP Audit (Phase I)	Audit vendor's compliance with contracts and Alamo Colleges' management of the CIP and component projects. This includes auditing project management, payments, change orders, supporting documentation, and contract administration.	700
2	Construction Contracts and Project Management – DSO Contract and Construction Close Out	Audit the remaining portion of contracts and construction activity since the last audit in FY 2018 that was performed at the mid-construction stage.	400
3	Enrollment Services Audit	To determine whether the admissions and registration process is effective and efficient, and meets the students' and institution's needs.	400
4	Banner Security Audit	Review of roles, responsibilities, and segregation of duties.	500
5	Procurement Card (Pcard) review	To assess effectiveness of controls that ensure Pcard charges are allowable and in compliance with policy.	400
6	Title IX and Title IV Compliance Audit	To assess the effectiveness of the processes governing and ensuring Title IX and Title IV compliance.	400
7	Time and Attendance Reporting Audit (Employees)	Determine if the time reporting system is operating effectively and internal controls have been implemented. May include FMLA, Emergency Leave Bank Program, and retirees who have returned as part-time or full-time employees.	300



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8	Budget and Budget Processes Audit	Evaluate the process for planning and completing the budget to ensure the budget process is operating as planned and in compliance with policies and procedures.	400
9	Scholarships and Endowments Audit (Foundation)	Determine whether funds were expended in accordance with the terms of the agreement.	300
10	I-Best & Adult Basic Education Process Review	Reviewing management practices and financial controls. May include delivery of training activities.	400
11	Investigations / Special Requests	EthicsPoint and other investigations and special requests.	700
12	Internal Quality Assessment Review	Annual self-assessment required by the Institute of Internal Auditors' International Standards for the Professional Practice of Internal Auditing	324
13	Continuous Monitoring Program (Phase II)	Establish Phase II of a formal data analytics and continuous monitoring program using ACL Analytics Exchange.	200
14	Possible Special Request Matter (currently confidential)	Pending formal request.	200
	Total		5,624



Approved Alternate/Potential FY 2021 Projects

Project Type	Description
Student Advisor Services	Assess advising processes to ensure that resources are being effectively and efficiently utilized and the activities comply with policies.
Grant Expenses at Award End	To test financial expenditures at the end of a grant award for allowability, reasonableness, and compliance with applicable regulations and provisions.
IT Interface Control Audit	Evaluate the design of controls to ensure accurate, complete, and secure transmission and processing of data between systems.
Compliance with The Jeanne Clery Act	Assess controls and accuracy of reported information (crime and statistical reporting).
Privacy Audit	Assess Alamo College's privacy protection processes against legislative/regulatory requirements and review compliance with internal privacy-related policies.
Benefits Management	To determine whether benefits paid are being reported in compliance with state regulations. Does not duplicate the audit work performed by the outside financial auditor.
Facility Management – Preventative Maintenance Program	Determine whether preventative maintenance resources are utilized effectively and efficiently, and ascertain whether the program maintains assets in a sustainable fashion.
Continuing Education (CE) Audit	Assess effectiveness of processes and controls. Potential audit for FY 2021.
Alamo Colleges Online	Assess that training activities align with Alamo Colleges priorities, are adequately controlled, and are delivered efficiently and effectively. Potential audit for FY 2021.

