

Approved 2021 Internal Audit Plan (9/1/20 – 8/31/21)

	Project Type	Preliminary Audit Focus Description	Total Hours
1	COVID-19 related activity or CARES Act Compliance	Assess that the internal control structure is adequate, and that Alamo Colleges is in compliance with any special government regulations/laws that apply to the specific funding stream. May included emergency procurements.	400
2	Facility Management – Preventive Maintenance Program Audit	Determine whether controls ensure resources are utilized appropriately and effectively, and assess the adequacy of processes over facilities maintenance including scheduled preventive maintenance and unscheduled repairs.	400
3	Fiscal Services – Budgeting Audit	Assess the policies and procedures over budgeting and evaluate the overall process for determining the allocation of funds.	400
4	Time and Attendance Reporting Audit (Employees only)	Evaluate and determine if the internal control structure over employee timekeeping is appropriately designed and operating effectively.	300
5	IT Interface Control Audit	Evaluate the design of controls to ensure accurate, complete, and secure transmission and processing of data between systems.	450
6	Colleges - Program Review – Nursing Program Audit (SPC and/or SAC)	Determine if established operational controls and procedures are adequate and effective, being adhered to and compliant with Alamo Colleges’ policies and procedures, and applicable laws and regulations. May include staffing.	400
7	IT - Systems/Database Support – System Audit	Review the design of controls for a system to ensure they are effective, that data is being processed accurately, and the interface with the Banner System is appropriate. (May select Jaggaer system for audit)	400



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8	Construction Contracts and Project Management – CIP Audit (Phase II)	Audit CIP program oversight and communication to the Board. Will include an assessment of the enhanced project management of the CIP program via the owner’s representative and external project managers.	400
9	ADA Compliance Audit	Determine if the Colleges’ electronic and information technology is effectively designed and administered to ensure continuous compliance with federal and state accessibility regulations.	450
10	Title IX Compliance Process Review	To assess the effectiveness of the controls and processes to ensure implementation of new Title IX regulations.	250
11	Procurement Card (Pcard) Audit	To assess effectiveness of controls that ensure Pcard charges are allowable and in compliance with policy. May include a targeted area.	300
12	Investigations / Special Requests	EthicsPoint and other investigations and special requests.	622
13	Internal Quality Assessment Review	Annual self-assessment required by the Institute of Internal Auditors’ International Standards for the Professional Practice of Internal Auditing	300
14	Periodic Monitoring Program	Continue the formal data analytics and continuous monitoring program using ACL Analytics Exchange.	200
	Total		5,272



Approved Alternate and Future FY 2022 Projects

Project Type	Preliminary Audit Focus Description
I-Best & Adult Basic Education Process Review	Assess whether the internal control structure is appropriately designed and operating effectively to ensure effective use of resources.
Data Privacy Protection Audit	Assess Alamo Colleges' privacy protection processes and controls to ensure compliance with Alamo Colleges' policies and procedures, and applicable laws, rules, and regulations.
Alamo Promise Audit	Audit of eligibility of student, management of funds, and compliance with provisions of the Alamo Promise program. (Suggested for FY 2022)
Alamo Colleges Online Audit	Assess that training activities align with Alamo Colleges priorities, are adequately controlled and monitored, and comply with Alamo Colleges' policies and procedures, and Federal and State laws and regulations.
IT - Information Security, Access, and Compliance	Determine whether Alamo Colleges has implemented information system security standards and related controls in compliance with the Texas Administration Code (TAC) 202 requirements from the Texas Department of Information Resources.
Ethics Governance	Determine how Alamo Colleges promotes ethical conduct and review the design and operating effectiveness of the ethics and compliance programs that regulate the behavior of Alamo Colleges employees and students. (Suggested for FY 2022)

