

# Spring 2017 Student Orientation



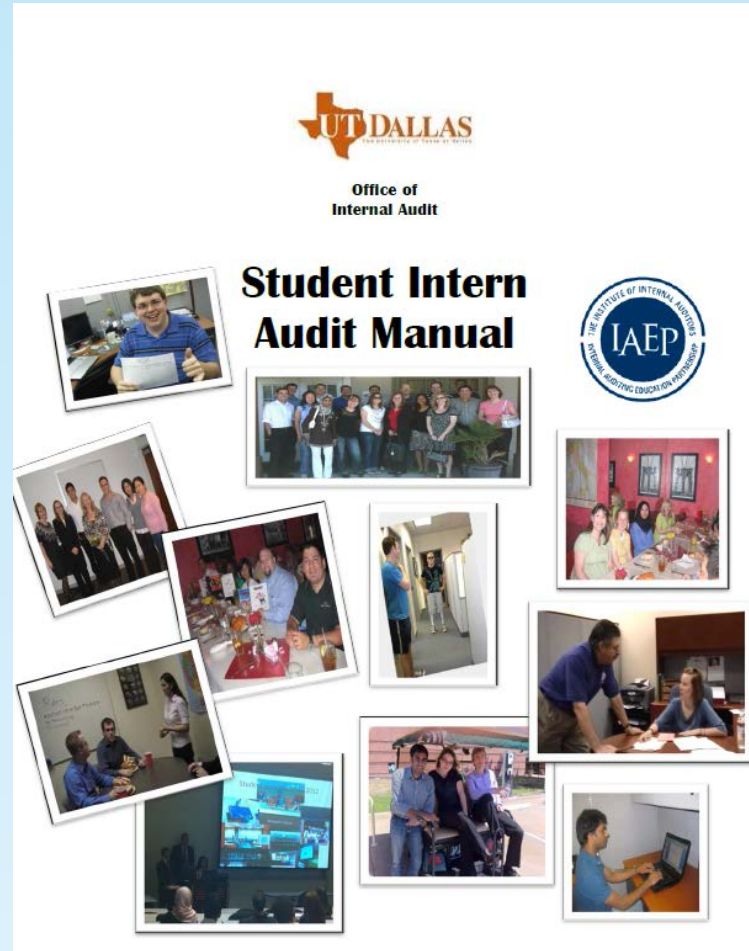
- Turn in:
  - Nondisclosure Statements
  - Student Expectations
  - Independence Statements
- Discuss Projects
  - Contact information
  - Team meetings
- Orientation Manual
- Plan for the Semester
- Class Presentations
- Introduction to TeamMate
  - TEC: Timekeeping
  - EWP: Working papers
- Data Analytics
- Office Tips from the Staff
- Training assignments – IT Security & FERPA
- Office “tour”



# Spring 2017 Projects

Audit	Staffing	Audit Objectives per Audit Plan
Decentralized Computing	Ali Subhani, Project Leader Colby Taylor, IT Staff Auditor Interns: <ul style="list-style-type: none"> <li>• Jenny Kang</li> <li>• Garima Rao</li> </ul>	Audit of campus data centers to provide assurance over physical security, access controls, and various IT-related policies and procedures. Will involve identification and risk assessment of data centers.
Disaster Recovery	Ali Subhani, Project Leader Colby Taylor, IT Staff Auditor Interns: <ul style="list-style-type: none"> <li>• Sapna Paul</li> </ul>	Audit of the disaster recovery process.
School of Natural Sciences & Mathematics	Brandon Bergman, Project Leader Ray Khan, Staff Auditor Interns: <ul style="list-style-type: none"> <li>• Caleb Braughton</li> <li>• Brandi Smithey</li> </ul>	Governance review, including evaluation of financial and accounting processes, internal controls systems, and the effectiveness and efficiency of related operations and controls.
Lab Safety	Toni Stephens, Project Leader Brandon Bergman, Senior Auditor Intern: <ul style="list-style-type: none"> <li>• Michael Stettler</li> </ul>	Provide assurance that the Lab Safety program is effective to ensure compliance with applicable regulations and operational efficiency and effectiveness.

# Orientation Manual



# Semester Project Plan *Example*

Date	Milestones
2/17/17	Complete first team meeting
3/3/17	Complete <b>planning</b>
3/9 or 3/10/17	Present risk assessment and proposed audit program to CAE
Week of 3/13/17	Spring Break
3/20-4/21/17	Fieldwork
4/17/17	Class presentation due to Internal Audit Office <b>for review</b>
4/19/17	Student Presentations in Class
4/28/17	Complete Fieldwork
5/5/17	Complete Report Draft

*\*At the end of each week, assign one student to email CAE with a status update of the project\**

# Class Presentations

- Must be reviewed by Project Leader **and CAE** before turning them into class.
- We have examples for your review if you request.



# TeamMate

The screenshot displays the TeamMate Audit Management System interface. At the top, the window title is "TeamMate Audit Management System". The main header features the TeamMate logo and the text "TeamMate R11.2". A "TeamMate Connect" link is visible in the top right corner. The interface is organized into a circular menu with several segments, each representing a different module:

- TeamRisk**: Risk Assessment
- TeamCentral**: Project and Issue Tracking
- TeamEWP**: Electronic Working Papers
- TeamAdmin**: Administration
- TeamStore**: Content Management
- TeamEC**: Time and Expense Capture

A "Login" dialog box is overlaid on the interface, prompting the user to enter their login name and password for authorization. The dialog box contains the following fields and controls:

- Instruction: "Enter your Login Name and Password for authorization."
- Login Name field: Contains the text "netid".
- Password field: Contains the text "1lloveInternalAudit!".
- A "Modify..." link is located below the password field.
- Buttons: "OK" and "Cancel".







An orange arrow points from the "TeamEWP" segment of the circular menu to the "Settings" button at the bottom right of the main interface.

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# TeamMate Timekeeping

Period 2/5/2017 - 2/11/2017      Due Date 2/12/2017      Std. Duration 40      Time Charged 1.00      Resource Toni Stephens      New Sheet

Save   Submit   Unsubmit   Add Project   Add NWE   Add Admin

Time Entry	Phase	Totals	Sun 5	Mon 6	Tue 7	Wed 8	Thu 9	Fri 10	Sat 11
<input type="checkbox"/> Student 17-Spring   Spring 17 Student Interns	▼  -----<Phase>----- ▼	1.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00
<input type="checkbox"/> -----<Select Project>-----	▼  -----<Phase>----- ▼	0.00							
<input type="checkbox"/> -----<Select Project>-----	▼  -----<Phase>----- ▼	0.00							
<input type="checkbox"/> -----<Select Project>-----	▼  -----<Phase>----- ▼	0.00							
<input type="checkbox"/> -----<Select Project>-----	▼  -----<Phase>----- ▼	0.00							
<input type="checkbox"/> -----<Select Project>-----	▼  -----<Phase>----- ▼	0.00							
<input type="checkbox"/> -----<Select Nonworking>-----	▼ -----<Category>----- ▼	0.00							
<input type="checkbox"/> -----<Select Nonworking>-----	▼ -----<Category>----- ▼	0.00							
<input type="checkbox"/> -----<Select Nonworking>-----	▼ -----<Category>----- ▼	0.00							
<input type="checkbox"/> -----<Select Admin>-----	▼ -----<Category>----- ▼	0.00							
<input type="checkbox"/> -----<Select Admin>-----	▼ -----<Category>----- ▼	0.00							

*Note: A blue circle highlights the 'Phase' dropdown menu for the first row, with the text 'Don't use' written next to it. A purple arrow points from the 'Phase' dropdown to the 'Student 17-Spring | Spring 17 Student Interns' text. An orange arrow points from the '1.00' value in the 'Totals' column to the 'Fri 10' cell in the calendar grid.*

- [Acathena.utdallas.edu/Tec/Login](http://Acathena.utdallas.edu/Tec/Login)
- Student17-Spring – student hours in **FY 2017** Audit Plan
- Timesheets due by Monday each week



# TeamMate Demo

The screenshot displays the TeamMate software interface. The top menu bar includes Home, Planning, Review, View, Go To, Admin, and TeamMate. The toolbar contains various icons for file management, editing, and navigation. The main workspace is divided into several sections:

- Left Panel:** A tree view showing the project structure under 'A.1.PRG(9) Planning'. The selected item is '1. Assignment by CAE'.
- Top Section:** Metadata for the selected item, including 'TS 2/3/2017' and a checked checkbox.
- Title:** '1. Assignment by CAE'.
- Assign:** A dropdown menu.
- Response:** A dropdown menu.
- Main Content Area:** A rich text editor with a toolbar. The text reads: 'to document the original audit assignment information.'
- Bottom Section:** A 'Results' section containing a bulleted list of audit details.

**Audit Details:**

- **Audit Objective per the Audit Plan:** Provide assurance that the Lab Safety program is effective to ensure compliance with applicable regulations
- **Audit Scope:** FY 17 - Current Operations
- **Assigned Hours per the Audit Plan:** 400
- **Type Audit per Audit Plan:** Risk-based
- **Initial Audit Due Date Given by CAE:** May 5, 2017
- **Staffing:**
  - Project Leader: [Toni Stephens](#), CPA, CIA, CRMA, CAE
  - Staff: [Brandon Bergman](#), CFE; [Michael Stettler](#), Student Intern

# TeamMate

- Working paper sign-offs
  - Gray and yellow triangles, green circles, blue squares, red flags
  - How to close workpapers without editing.
- Hyperlinking
- Uploading Working Papers
  - Titles should be descriptive
- Maintain work within TeamMate, not offline

# Data Analytics

## PeopleSoft

- Financial Management System
- Human Resources System
- Student System (Campus Solutions/Orion)



## IDEA

used for data gathering, sampling, analysis



# Office Tips from the Staff

1. If you're sick – stay home
2. Follow the office protocols - dress code, office hours
3. Understand meeting etiquette
4. Spell check everything
5. Meet deadlines
6. Have project leader review communications to client
7. Think critically. Always ask “why?”
8. Document as you go.
9. Take thorough notes in meetings. We forget far more than we think.
10. Type in complete sentences; use bullets and spacing for clarity.
11. Create concise and well documented conclusion. Can a reviewer reach the same conclusions as you?
12. Is an “exception” really an exception? Discuss with your project leader.
13. Employee names AND titles should be used in working papers.
14. Let your project leader know when you're coming to the office, or if you'll be late.
15. Ask Questions! We are here to help you learn!
16. Enjoy your internship, and keep in touch with us after it's over!



# Compliance Training

- FERPA
- IT Security



<https://elearning.utdallas.edu/>

# Communication Styles

<b>Action</b> Toni Ali Ray	<b>Process</b> Brandon Colby Brandi (tie) Garima
<b>Idea</b>	<b>People</b> Caleb Brandi (tie) Jenny Michael Sapna

# Office Introductions & Tour

