## *UNIVERSIDAD TECNOLÓGICA DEL USUMACINTA*

*FORMATO DE ELABORACIÓN DE DOCUMENTOS*



*(Manuales, Catálogos, Lineamientos, Reglamentos, Plan)*

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| **Nombre del Documento: Programa Anual de Auditoría Interna.** | | **Código:** D-DRC-01 |
| **Responsable: Calidad Institucional.** | **Fecha de Efectividad: 26/Septiembre/2019.** | |
| **Requerimiento: 9.2, 9.2.1, 9.2.2** | **No. Versión:** 14 | **Página 1 de 3** |

# Programa Anual de

**Auditorías Internas.**

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|  | **Elaboró:** | **Revisó:** | **Autorizó:** |
| **Puesto** | Auditor Líder. | Depto. de Evaluación y Calidad  Institucional | Rectora. |
| **Firma** |  |  |  |
| **Nombre** | M.D.E.Salustino Abreu Jiménez. | L.C.P. Lenin Atocha Jiménez Grajales. | Dra. Elva Isabel Gutiérrez Cabrera . |

V00/0810 R-DRC-02

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| **Responsable: Calidad Institucional.** | **Fecha de Efectividad: 26/Septiembre/2019..** | |
| **Requerimiento: 9.2, 9.2.1, 9.2.2** | **No. Versión:** 14 | **Página 2 de 3** |

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| ***Área*** | ***Alcance*** | ***Criterios*** | ***M etodología*** | ***Frecuencia 2019*** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Enero | | | | Feb. | | | | Marzo | | | | Mayo | | | | junio | | | | | julio | | | | Agos to | | | | Sept. | | | | Oct. | | | | Nov. | | | | Dic | | | |
| 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 |  | 3 |  |  | 2 |  | 4 | 1 | 2 | | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |  | 2 | 3 | 4 |  | 2 | 3 | 4 |  | 2 | 3 | 4 |  | 2 | 3 | 4 |
| ***Proceso Educa ti vo*** | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **PROGRAM ADO** | **RE ALIZADO** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Se rvicios Es colare s** | Admisión | 4.2, 4.3, 4.4.1, 4.4.2, 6.1.1, 6.1.2, 7.3, 8.1, 8.2.1,  8.2.3.1, 8.5.2, 8.5.3 | En., RD.,LV.,CI. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Inscripción | 4.2, 4.3, 4.4.1, 4.4.2, 6.1.1, 6.1.2, 7.3, 8.1, 8.2.1,  8.2.3.1, 8.5.2, 8.5.3 | En., RD.,LV.,CI. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Reinscripción | 4.2, 4.3, 4.4.1, 4.4.2, 6.1.2, 6.1.2, 7.3, 8.1, 8.2.1,  8.2.3.1, 8.5.2, 8.5.3 | RD.,En.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Titulación | 4.2, 4.3, 4.4.1, 4.4.2, 6.1.1., 6.1.2, 7.3, 8.1, 8.2.1,  8.2.3.1, 8.5.2, 8.5.3 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Biblioteca | 4.2, 4.3, 4.4.1, 4.4.2, 6.1.1, 6.1.2, 7.3, 8.1, 8.2.3.1,  8.5.2, 8.5.3 | En, RD, LV, Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Consultorio Psicopedagógico | 4.3, 4.4.1, 4.4.2, 5.1.2, 6.1.2, 7.3, 8.1, 8.2.1, 8.2.3.1,  8.5.2, 8.5.3 | En, RD, LV, Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Acade m ia** | Programación de clases | 4.1, 4.3, 4.4.1, 4.4.2, 5.1.1, 5.1.2, 6.1.1, 6.1.2, 6.2.1,  6.2.2, 7.1.5.2, 7.3, 8.1, 8.2.2, 8.6 | RD.,En.,LV. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Clases | 4.1, 4.3, 4.4.1, 4.4.2, 5.1.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1,  6.1.2, 6.2.1, 6.2.2, 7.1.5.2, 8.1, 8.2.2, 8.6 | Ob.,RD.,En.,LV. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Vinculación** | Estancias y Estadias | 4.2, 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 6.2.1, 6.2.2,  7.3, 8.1, 8.6 | RD.,En.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Seguimiento de Egresados | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 6.2.1,  6.2.2, 8.1, 8.5.5 | RD.,En.,LV. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***Proceso Educa ci ón conti nua y Servi ci os Tecnol ógi cos*** | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Vinculación** | Educación Continua | 4.1, 4.3, 4.4.1, 4.4.2, 5.1.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1,  6.1.2, 6.2.1, 6.2.2, 7.3, 8.1 | En., RD.,LV.,CI. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Servicios Tecnologicos | 4.1, 43, 4.4.1, 4.4.2, 5.1.1, 5.1.2, 5.2.1, 5.2.2, 8.1 | En., RD.,LV.,CI. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Adm inis tración y Finanzas** | Contabilidad | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 6.2.1,  6.2.2, 7.1.1, 7.3, 8.1, 8.2.1, 8.4 | RD.,En.,LV. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Programación y Presupuesto | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.1, 5.2.2, 6.1.1, 6.1.2,  7.3, 8.1, 8.2.1, 8.2.3.1, 8.4.1 | RD.,En.,LV. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Re curs os Mate riale s** | Compras | 4.2, 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 7.1.5.1,  7.3,8.1, 8.2.3.1 | En., RD.,LV.,CI. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Selección de proveedores | 4.2, 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2,  7.1.1, 7.3, 7.5.1, 8.1, 8.4, 8.5.1 | En., RD.,LV.,CI. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Se rvicios Ge ne rale s** | Inf raestructura | 4.2, 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 7.1.3, 7.3,  7.5.1, 8.1 | En., RD.,LV.,CI. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Soporte Técnico | 4.2, 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2,  7.3, 7.5.1, 8.1 | En., RD.,LV.,CI. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Re curs os Hum anos** | Competencia, toma de conciencia y f ormación | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 5.3, 7.1.2, 7.1.6,  7.2, 7.3, 7.5.1, 8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Capacitación | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 5.3, 6.1.1, 6.1.2,  7.1.6, 7.3, 7.5.1, 8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Contratación | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 5.3, 7.3, 7.5.1, 8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Promoción | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 5.3, 6.1.1, 6.1.2,  7.3, 7.5.1, 8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Ambiente de Trabajo/comunicaciòn interna | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 5.3, 6.1.1, 6.1.2,  7.1.4, 7.3, 7.5.1, 8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Permanencia | 4.3, 4.4.1, 4.4.2, 5.1.2, 5.2.1, 5.2.2, 5.3, 7.3, 7.5.1, 8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

***Métodos de Auditoria***

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| --- | --- | --- | --- | --- | --- |
| Ob. | Observación | CI. | Cruce de información | RD. | Revisión Documental |
| En. | Entrevistas | LV. | Listas de Verificación | Tz. | Trazabilidad |

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| **Requerimiento: 9.2, 9.2.1, 9.2.2** | **No. Versión:** 14 | **Página 3 de 3** |

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| ***Área*** | ***Alcance*** | ***Criterios*** | ***Metodología*** | ***Frecuencia 2019*** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Enero | | | | Feb. | | | | Marzo | | | | Mayo | | | | Junio | | | | | Julio | | | | Agosto | | | | Sept. | | | | Oct. | | | | Nov. | | | | Dic. | | | |
| 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 |  | 3 |  |  | 2 |  | 4 | 1 | 2 | | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |  | 2 | 3 | 4 |  | 2 | 3 | 4 |  | 2 | 3 | 4 |  | 2 | 3 | 4 |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **PROGRAM ADO** | **RE ALIZADO** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Extensión Universitaria** | Difusión y Promoción | 4.1, 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 7.3, 7.4,  7.5.1, 8.1, 8.2.1 | RD.,En.,LV. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Enfermería | 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 7.3, 7.5.1,  8.1, 8.2.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Actividades de Paraescolares | 4.1, 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 7.3,  7.5.1, 8.1, 8.2.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Planeación y Evaluación** | Filosofía Institucional | 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 7.3, 7.5.1,  8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Objetivos de Calidad | 4.1, 4.3, 4.4.1, 5.1.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2,  6.2.1, 6.2.2, 7.3, 7.5.1, 8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Medición, Analisis | 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 6.2.1, 6.2.2,  7.3, 7.5.1, 8.1, 8.2.1, 9.1.2 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Alta Dirección** | Responsabilidad de la alta dirección | 4.2, 4.3, 4.4.1, 5..1.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2,  7.3, 7.5.1, 8.1, 10.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Política de Calidad | 4.2, 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 7.3, 7.5.1, 8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Comunicación interna | 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 7.3, 7.5.1,  8.1 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Revisión por la dirección | 4.2, 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.1, 6.1.1, 6.1.2, 7.3,  7.5.1, 8.1, 9.3, 10.3 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **RSGC** | Requisitos generales y mejora continua | 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 6.2.1, 6.2.2,  6.3, 7.3, 7.4, 7.5.1, 7.5.2, 7.5.3, 8.1, 8.5.6, 8.7.1,  8.7.2, 9.1, 9.1.1, 9.1.3, 9.2, 9.3, 10.2 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Abogado General** | Requisitos legales | 4.2, 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2,6.1.1, 6.1.2, 7.3,  7.5.1, 8.1, 8.2.2 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Normativa Institucional | 4.2, 4.3, 4.4.1, 5.1.2, 5.2.1, 5.2.2, 6.1.1, 6.1.2, 7.3,  7.5.1, 8.1, 8.2.2.8.6 | En., RD.,LV.,Tz. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

***Métodos de Auditoria***

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| --- | --- | --- | --- | --- | --- |
| Ob. | Observación | CI. | Cruce de información | RD. | Revisión Documental |
| En. | Entrevistas | LV. | Listas de Verificación | Tz. | Trazabilidad |