



MINUTES OF THE JANUARY 12, 2011  
INSTITUTIONAL COMPLIANCE COMMITTEE MEETING

**Members Present**

Robert Schneller  
Raymond Bartlett  
Valerie Coleman-Ferguson  
Brenda Cook  
Mary Dickerson  
Kristen Gibson  
Javier Hidalgo  
Kevin Klotz  
Amy Leggio  
Carla Ponzio  
Emmett Sullivan  
Rick Valdez  
Brad Wigtil

**Members Absent**

Javier Hidalgo  
Mike Glisson

**Others Present**

Lisa Castro for Melissa Rockwell  
Don Guyton  
Darryl Creeks for Floyd Robinson  
Cydney Rax  
Syed Moinuddin

The meeting convened at 9:03 a.m. in Room 183E of the General Services Building, with the UH Institutional Compliance Officer, Robert Schneller, conducting the meeting.

- **Review of Minutes**

The Committee reviewed and approved minutes from the October 13, 2010 meeting.

- **Introduction of New Members**

The Committee was introduced to Carla Ponzio who will represent Human Resources, Chris Burton of Purchasing, and Kevin Klotz and Syed Monuddin of Athletics.

**New Website and Password**

Bob Schneller informed the committee about the new URL for the Environmental Health and Safety website. <http://www.uh.edu/ehs>.

The Risk Management website includes information on the Institutional Compliance Program and may be found at <http://www.uh.edu/risk-management>

- **BOR Report – Don Guyton**

Guyton discussed the draft BOR report. He indicated that 15 reports of suspected compliance problems were received during the prior quarter, the most received thus far.

Guyton also mentioned that the Institutional Compliance officers will meet on January 12, 2011, and update each other regarding compliance activities at the respective campuses this part quarter. Schneller added that not as many departments submitted reports, but for those that did, we received good content. This year's first quarter activities report is due the first week of April.

- **MySafeCampus – Bob Schneller**

Schneller said that 2010 was the most active year so far regarding reporting activities and it appears that the word is spreading that people now have a vehicle in which to communicate incidents of a sensitive nature. In addition, Guyton reported that anonymity is provided to 'whistle blowers' via the implementation of an anonymous hotline. Valerie Coleman-Ferguson added that Legal conducts its own internal investigations to ensure that anonymous claims are legitimate and actually derive from a staff member.

- **Matrix Updates**

Schneller discussed the matrix updates which are due March 31, 2011.

- **Round Table Discussion**

- Carla Ponzio of Human Resources (HR) stated that HR's I-9 audit was submitted in February 2010; however, they still haven't received audit results. She stated that 64% of UH staff has completed mandatory training. HR generalists are informing departmental business administrators of those who aren't compliant. Ponzio alerted the group that as a result of an IRS regulation released on December 17, 2010, FICA taxes were reduced to 4.2%. The next checks for both bi-weekly and monthly exempt employees include a two percent refund for the over contribution. Additionally, during 2011, withholding taxes will be reduced. HR plans to send a reminder to staff that adjusted withholding allowances require a new W-4 to be completed.
- Brenda Cook said that Scholarships and Financial Aid received the results of an external audit and is wrapping up an internal audit regarding its scholarship operations. Her department is also preparing for a PeopleSoft upgrade 9.0 of the Student System.
- Emmett Sullivan mentioned that Environmental Health and Safety (EHS) hired an asbestos and safety coordinator in December and indicated this move is a great start to improve compliance. In addition, EHS will kick off a general safety audit program that will benefit Plant Operations and other shop workers on campus. Finally, he mentioned that the university may be faced with more stringent regulations regarding clean air.
- Amy Leggio of University Advancement (UA) said for the past six months her department's focus has been to close the UH Law Center's separate database. Their plan is to bring Law onto their central database which is Payment Card Industry compliant. UA will also set up an online giving system for the UH foundation. Their next project involves the improvement of information sharing electronically.
- Mary Dickerson of University Information Technology (UIT) remarked that last October saw a successful Security Awareness month. They are currently working

with security officers in the various colleges on the policies and procedures for good computer practices. UIT is also reviewing how data is being shredded and how sensitive information is being handled, as well as how data is secured on various devices. UIT also purchased Identity Finder software, a program that reduces the risk of data leakage and identity theft by locating and securing personal information across an organization. UIT is working with all colleges and departments to ensure that the software is being utilized. Lastly, they are developing a compliance landscape on IT security requirements; a task that is a system-wide initiative.

- Kristen Gibson of Contract Administration (CA) stated that MAPP and SAM revisions were approved and are in the process of being rolled out. They are also reviewing the Board of Regents policy on contract-related matters. Furthermore, CA is working with the Purchasing Department and will schedule training with departments to review compliance in regards to contracts.
- Kevin Klotz of Athletics mentioned that his department will be selecting athletics compliance software to assist them in the evaluation process. They will change and automate how they collect and monitor data. Athletics will also conduct a comprehensive review of student athletes' financial aid and determine if it's compliant with NCAA rules.
- Lisa Castro announced that Facilities Management will roll out its Project Delivery Process on March 31<sup>st</sup>; a process that explains to the campus how to get an approved project completed.
- Chris Burton said that Purchasing is reviewing MAPP policies and procedures regarding the procurement process. He said that purchasing opportunities of at least \$25,000 are posted on the Texas Electronic Business Daily so people can be aware of what we're buying and have an opportunity to propose. Burton said they are also reviewing documents they use for solicitation, as well as the terms and conditions of purchase orders issued to vendors.
- Rick Valdez of Research stated that they successfully filed the report with the Office of Research Integrity. He reported that there have been no incidents or alleged misconduct.
- Brad Wigtil of Department of Public Safety (DPS) said the department will hire a new emergency management director which will allow them to better serve the campus community. Also, recent audits require DPS to maintain and submit a juvenile jail log. In addition, the Texas Code of Criminal Procedures requires them to conduct a racial profile for traffic stops only (no more pedestrian stops).
- Don Guyton announced that Internal Audit is still executing the audit plan and external audit reports. The reports will be issued to the Board of Regents by the end of February.

### **Next Meeting**

The next committee meeting is scheduled for Wednesday, April 13, 2011, at 9:00 a.m. in room 183E of the General Services Building.

With no further business, the meeting was adjourned at 10:07 a.m.