



MINUTES OF THE OCTOBER 13, 2010  
INSTITUTIONAL COMPLIANCE COMMITTEE MEETING

**Members Present**

Robert Schneller  
Valerie Coleman-Ferguson  
Mary Dickerson  
Kristen Gibson  
Rosemary Grimmet  
Mike Glisson  
Javier Hidalgo  
Amy Leggio  
Monica Morgan  
Emmett Sullivan  
Brad Wigtil

**Members Absent**

Raymond Bartlett  
Kevin Klotz  
David Bell  
Brenda Cook

**Others Present**

Lisa Castro for Melissa Rockwell  
Don Guyton  
Darryl Creeks for Floyd Robinson  
Cydney Rax  
Eno Udoh  
Rick Valdez

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 July 14th meeting. Several corrections were made.

- **BOR Report - Guyton**

Don Guyton said 195 compliance audits were conducted in the first quarter of the year. Bob Schneller noted that more departments are reporting activities and it's important to inform the Board of Regents about our compliance activities.

- **MySafeCampus - Schneller**

Schneller distributed a spreadsheet of incidents which have occurred in 2010. More activities have been reported this year in comparison to previous years. Many investigations were closed out. Guyton said Mike Glisson will give a presentation on internal controls at the November Board of Regents meeting that includes an overview of the MySafeCampus system.

- **Matrix Updates**

Schneller discussed the matrix updates. He stated that four updates were submitted during the prior quarter. Monica Morgan (Human Resources) and Mary Dickerson (Information Technology) indicated that their matrix updates are nearly complete. The committee's consensus was for their reports to be submitted this year as opposed to holding onto the updates and releasing them in January.

The following units have not submitted matrix updates for calendar year 2010:

- Athletics
- Facilities
- Human Resources
- Information Technology

- **Round Table Discussion**

- Schneller stated the State Office of Risk Management conducted an audit on Environmental Health & Safety and Risk Management. Results concluded that the safety program is heavily weighted toward laboratory safety. Auditors recommended expanding safety in other areas (i.e., shop safety). Schneller also mentioned how Environmental Health and Safety (EHS) merged with the Department of Public Safety. As a result, EHS has become more involved with safety-related incident response. In addition, Schneller mentioned that the Radiation Safety Committee will forward its annual report to UH's Executive Management which discusses radiation safety activities conducted during FY10.
- Brenda Cook said that Scholarships and Financial Aid is finishing up an internal audit regarding its scholarship operations. An external audit will review usage of how federal funds are being spent. In October, auditors will conduct a review of funding. Cook informed the committee that her department is also preparing for a PeopleSoft upgrade of the Student System.
- Mike Glisson said that UH departments are in the process of completing their annual Department Fraud Risk Survey. This survey asks 97 questions about various internal controls that should have been in place in the prior fiscal year and requires an explanation if a control was not fully implemented. Processing units (Accounts Payable, Payroll, Purchasing, etc.) are also completing an annual Institutional Fraud Risk Survey that asks questions about controls that are specific to their operation. Both surveys are due to Mike Glisson on November 1. Mike will review the surveys and contact any departments he believes need assistance in implementing internal controls.
- Emmett Sullivan mentioned that an extensive water quality test was administered at the Energy Research Park (ERP) in April 2010 by an off-campus laboratory at the request of Mike Glisson due to employee concerns about switching from bottled water to filtered water units that use the building's water supply. The test results indicated that the filtered water is safe to drink. Emmett forwarded the test results to ERP's Information Technology personnel who are also using filtered water units.

- Amy Leggio (University Advancement) alerted the group that there are ADA regulations related to websites. Karen Clarke is the contact person regarding departmental website compliance.
- Mary Dickerson remarked that University Information Technology (UIT) is working in conjunction with UHS component information security officers on an IT compliance landscape. UIT intends for the compliance to be consistent system-wide in terms of how it's implemented and how often it must be validated. Dickerson also described a Data Security Initiative which identifies and protects more sensitive data. A component of the initiative, UIT is working with other A&F departments to establish a campus-wide paper shredding program. All UIT SAM's and MAPP's are under review and will be updated to reflect recent changes. Dickerson also said UIT is working to create templates and provide guidance on resource management plans, best practice for websites, and compliance regulations.
- Brad Wigtil stated that DPS (Department of Public Safety) completed the federal requirement regarding the Clery Act which discloses campus crime statistics. Information is available on the DPS website:  
<http://www.uh.edu/police/UHDPS-Annual-Report-2009.pdf>.
- Monica Morgan reported that I-9 audit results haven't been received. Human Resources (HR) is conducting its own internal audits. Also, the training area will soon announce that for FY2011 university employees will not be required to view a Mandatory Training video, take a quiz, and make passing grades. Instead, employees will read a summary of the applicable training material (i.e. fraud awareness, sexual harassment) and sign an acknowledgement. She noted that new hires must still participate in traditional mandatory training.
- Kristen Gibson of Contract Administration stated that the contract MAPP's and SAM's were revised and awaiting final approval. The Contract Administration website was also updated.
- Valerie Coleman-Ferguson reported there were no FERPA violations this year. The Office of the General Counsel is working with HR on I-9 inspections.
- Lisa Castro, who attended the meeting as a representative of Facilities Management, stated that the Job Order Contract system was implemented. Specific information is available via the Plant Operations website:  
[www.uh.edu/plantops/forms/project-delivery/joc\\_guidelines\\_procedure.pdf](http://www.uh.edu/plantops/forms/project-delivery/joc_guidelines_procedure.pdf)
- Javier Hidalgo reported that Residential Life & Housing (RLH) has collaborated with UIT regarding the implementation of online payments and electronic signatures. RLH will continue to work with DPS on a higher education compliance issue regarding missing persons.
- Darryl Creeks informed the committee that the University Health Center discontinued its X-ray Program. He stated an outsourcing program was established with Houston Medical Imaging. The company now arranges for students to be picked up from campus and transported to their facilities for examinations.
- Guyton announced that Internal Audit attended a compliance meeting and they're preparing to meet with Regent Nandita Berry. He also said that one compliance issue concerns faculty members that travel overseas with university laptops.

Faculty are now required to complete a form which certifies information regarding the transfer of technology.

- Rosemary Grimmet remarked that the A-133 audit is complete and went well.

**Next Meeting**

The next committee meeting is scheduled for Wednesday, January 12, 2011, at 9:00 a.m. in room 183E of the General Services Building.

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