



MINUTES OF THE OCTOBER 6, 2011
INSTITUTIONAL COMPLIANCE COMMITTEE MEETING

Members Present

Robert Schneller
Steve Bangerter
Raymond Bartlett
Chris Burton
Valerie Coleman-Ferguson
Brenda Cook
Mary Dickerson
Kristen Gibson
Ted Hair
Carla Ponzio
Anne Sherman
Emmett Sullivan
Mark Vitek
Brad Wigtil
Mike Glisson

Members Absent

Kevin Klotz
Floyd Robinson

Others Present

Don Guyton
Syed Moinuddin for Kevin Klotz
Cydney Rax

The meeting convened at 9:00 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 13, 2011 meeting.

- **BOR Report – Don Guyton**

Guyton reviewed the Institutional Compliance Status Report. The first audit will be presented to the Board of Regents in November 2012. The presentation will also be made to the Texas Department of Emergency Management in March 2013.

- **MySafe Campus**

Schneller reviewed and explained the MySafe Campus updates. Three new reports were received.

- **Matrix Updates**

All departments have submitted their matrix updates except for Athletics. Schneller said 2011 is the best year so far for participation in annual matrix updates.

- **Round Table Discussion**

- Carla Ponzio of Human Resources (HR) stated that HR is gathering documentation for a state comptroller post-payment audit. System-wide mandatory training was rolled out including updates of the training videos. Schneller mentioned that Risk Management has a new training module for the new Workers Compensation provider network. HR is working to increase mandatory training participation and is offering prize incentives.
- Mike Glisson of Finance announced that October is the month that departments complete fraud risk surveys regarding internal controls. Surveys are due November 1st.
- Raymond Bartlett of the Treasury Department reported that the IRS audit was closed with no findings. Treasury is working with Facilities regarding documentation of private/public cooperative ventures like some of the building usage at ERP.
- Emmett Sullivan of Environmental Health and Safety (EHS) said that this is a very active time for safety compliance. EHS is still attempting to resolve a Texas Commission on Environmental Quality (TCEQ) issue regarding a Freon release at the Central Plant. On the positive side, the TCEQ approved our air emission application for the new boilers being installed at the Central Plant.
- Anne Sherman said that Research has one year to implement a new training regarding conflict of interest. Research is still interviewing for the compliance director vacancy. The department completed an annual requirement listing potential conflict of interests.
- Steve Bangerter reported that University Advancement is preparing for an internal audit. He also mentioned that they resolved a concerning regarding endowments.
- Mary Dickerson of University Information Technology (UIT) announced that October is Cyber Security Awareness month. They will work to increase awareness and good security practices. A new MAPP on data classification techniques is in process. UIT is working with all security officers in colleges and divisions regarding data protection. UIT endeavors to get all machines scanned by the end of the calendar year via Identity Finder. They're also seeking to acquire a module that scans documents. Also, according to TAC 202, students must acknowledge IT policies.
- Kristen Gibson stated that Contract Administration (CA) must revise several policies to make sure they're consistent with Board of Regent policies. She also mentioned that Administration and Finance requested training on procurement; training will begin in January. CA is hoping this will stimulate other department's interest.

- Syed Moinuddin of Athletics stated that his department is making sure coaches are following NCAA rules. They are working with Financial Aid regarding scholarships that are issued from their office.
- Brenda Cook of Financial Aid continued the discussion regarding the transfer of some activities from Athletics to Financial Aid.
- Ted Hair of Facilities Management (FM) remarked that the facilities space management project is complete. Centralization of the campus-wide maintenance functions is complete. The re-organizational of Facilities Management (FM) is still in process and should be finalized by mid-November. They are filling several supervisory positions and have eliminated redundancies. FM is investigating additional cost savings and efficiencies. Also, a recent contractor allegation of impropriety was unsubstantiated.
- Brad Wigtil of the Department of Public Safety said a legal update involving officers will be done by January. Fire alarm training will be held in November. Tactical training at ERP will be conducted in January. Joe Mendez is working on compliance issues regarding emergency management.
- Mark Vitek mentioned that Residential Life and Housing continues to work with students in the implementation of the new regulations regarding meningitis vaccines. They've communicated to the student residents via email, talks, post cards, orientations, etc.
- Chris Burton of Purchasing said Mike Glisson led a group to develop system wide purchasing guidelines that will go to the Board of Regents in November. Purchasing also signed off on a conflict of interest statement which is a requirement. They're in the midst of a scanning project. In addition, they want to simplify public information record requests and are working in collaboration with the General Counsel's office. They are in the process of updating both the Purchasing and HUB websites. New HUB goals are in development. Lastly, Purchasing is working to make sure ERP Super Power is meeting all procurement standards regarding dangerous goods.
- Valerie Coleman Ferguson of the General Counsel's office said her department is finalizing a report on the recent legislative session. Copies will be sent to appropriate departments when complete.

Next Meeting

The next committee meeting is scheduled for Wednesday, January 11, 2012, at 9:00 a.m. in room 183E of the General Services Building.

With no further business, the meeting was adjourned at 10:15 a.m.