



MINUTES OF THE JULY 13, 2011
INSTITUTIONAL COMPLIANCE COMMITTEE MEETING

Members Present

Robert Schneller
Raymond Bartlett
Valerie Coleman-Ferguson
Mary Dickerson
Kristen Gibson
Javier Hidalgo
Carla Ponzio
Emmett Sullivan
Mark Vitek
Chris Burton
Brenda Cook

Members Absent

Kevin Klotz
Marshall Schott
Brad Wigtil

Others Present

Don Guyton
Darryl Creeks for Floyd Robinson
Syed Moinuddin for Kevin Klotz
Ted Hair
Anne Sherman for Rick Valdez
Cydney Rax

The meeting convened at 9:02 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 April 13, 2011 meeting.

- **BOR Report – Don Guyton**

Guyton reviewed the Institutional Compliance Status Report. There will be a high level plan for each campus's compliance plan. Bob Schneller said quarterly contributions should be submitted by the due date so they may be included in the report.

- **MySafe Campus**

Schneller reviewed and explained the MySafe Campus updates.

- **Matrix Updates**

Schneller reviewed the matrix and said that Residential Life and Housing's information was received after preparation of the agenda. Financial Aid and Athletics need to submit their updates. *Following the meeting the metric report was received from Financial Aid.*

- **Round Table Discussion**

- Carla Ponzio of Human Resources (HR) stated that HR longevity pay would not be eliminated. She also indicated that health care insurance coverage costs for member + children, member + spouse or member + family increased by six percent. Also, 187 employees didn't respond to the ERS dependent audit; 11 of those are no longer employed by the university. HR will contact the remainder of the employees to warn them that non-response will result in their dependents' loss of health coverage. In other news, based on the number of RIF's (reduction in workforce), HR instituted a new business process for all job postings through OJS. Positions now must be justified with executive level approval. In addition, a post-payment audit will begin on July 25 which entails the state comptroller auditing payroll transactions, deductions and expenditures on state funds.
- Mike Glisson of Finance remarked that the FEMA audit on 11 Tropical Storm Allison projects is starting. Auditors will be at UH through early August.
- Raymond Bartlett of the Treasury Department reported that the IRS toured UH bond projects in late May. The auditors requested research agreements on SERC, which were submitted. Also it was discovered that legacy credit card data was still in the systems for UH, UHCL and UHV. Those campuses have been asked to remove the credit card information from their systems.
- Emmett Sullivan of Environmental Health and Safety (EHS) mentioned that air emission stack testing at the Campus Recreation Center will be conducted on the boilers next week. Also, he reported that the Central Plant experienced failure due to a Freon leak on July 4 and 5; the issue is in the process of being resolved. He also remarked that the Central Plant will receive a new air permit regarding new boilers. The Campus Recreation Center's grease trap was identified as a potential violation; it is now corrected. A new multi-year grease trap contract is in the RFP stage. EHS has been receiving mold complaints from the Energy Research Park (ERP).
- Anne Sherman said that Research is planning year-end activities. Research implemented a submission process of electronic protocols regarding human subjects. Additionally, some conflict of interest issues surfaced; they are working with General Counsel to resolve them. Also, effective August 1st, Dr. Rathindra Bose will assume the role as the new Vice President of Research and Intellectual Property.
- Mary Dickerson of University Information Technology (UIT) announced that University Services is working on technical solutions to resolve Payment Card Industry issues and make them exempt from some data management requirements. Furthermore, UIT conducted a comprehensive review of SAM's and MAPP's to insure they meet compliance requirements. Revisions to SAMs and MAPPs have been submitted to the campus review process. Also, all colleges

and divisions have appointed people to three (3) roles to comply with TAC 202/MAPP 10.03.06 requirements: 1- Information Resource Manager (IRM),

2-Technology Manager(TM), 3-Information Security Officer (ISO). UIT secured a system-wide license for additional Identify Finder software modules which will augment the existing software capabilities and allow for the scanning of websites and databases for sensitive data. Identity Finder software is being deployed to scan for sensitive data on all computers owned by the university. UIT is working with all campus departments to have all institutional machines scanned by the end of the calendar year. Additionally, UIT is working with Purchasing to ensure all campus software procurements meet applicable IT compliance requirements (PCI, HIPAA, TAC). Dickerson also mentioned there's great interest by the campus in electronic signatures. UIT is leading a campus-wide project team to acquire electronic signature technology. Finally, as a result of information obtained from implementation of Red Flag Rules, UIT is working with business owners to enhance their processes regarding contact information changes made by staff/students/faculty in PeopleSoft.

- Kristen Gibson stated that Contract Administration is working with Procurement to ensure process statutes are consistently followed. They want to make sure that UH competitive bids are handled appropriately. Also they are working on the Super Power project and are making sure any potential ERP tenants are compliant with EHS safety policies.
- Brenda Cook of Financial Aid indicated that Scholarships and Financial Aid completed a scholarship internal audit review. They are preparing for a Business Services internal audit.
- Syed Moinuddin of Athletics stated that his department deployed monitoring and recruiting software on July 1st. The registrar assigned two new staff members and Athletics will have an eligibility rules education meeting.
- Javier Hidalgo remarked that Facilities Management (FM) is studying a Project Management model regarding operational maintenance and standardization whose plan will be applied campus wide. Additionally, the maintenance areas of several auxiliaries now operate under Facilities Management including Athletics, Campus Recreation, University Center, & Residential Life and Housing. Also, FM is investigating how to implement global contracts that would utilize an economy of scale regarding some of its centralized services. Finally, a review of inventory space is in process which will determine what equipment can be better utilized or considered obsolete.
- Mark Vitek of Residential Life and Housing (RLH) remarked that RLH is engaging in recruitment regarding their application process. All students must have gotten a bacterial meningitis immunization at least 10 days in advance of checking into residence halls otherwise the student cannot matriculate until the

paperwork is produced. Moving forward, in 2012-13, they want to implement an automated email to students about what they need prior coming to campus.

- Chris Burton of Purchasing remarked that an audit was conducted on July 15; the purpose of the audit is to determine if last year's compliance issues were resolved. Additionally, Purchasing is working with Facilities Planning & Construction regarding audit activities involving construction procurements. Procedures for large construction projects are in process.
- Valerie Coleman Ferguson of the General Counsel's office said the education code was amended regarding confidentiality and that information regarding MySafe Campus is protected.

Next Meeting

The next committee meeting is scheduled for Wednesday, October 19, 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.