



MINUTES OF THE JULY 14, 2010
INSTITUTIONAL COMPLIANCE COMMITTEE MEETING

Members Present

Robert Schneller
Raymond Bartlett
David Bell
Brenda Cook
Mary Dickerson
Rosemary Grimmet
Mike Glisson
Javier Hidalgo
Monica Morgan
Emmett Sullivan
Brad Wigtil

Members Absent

Valerie Coleman-Ferguson
Amy Leggio

Others Present

Rhoda Daniels for Melissa Rockwell
Cydney Rax
Don Guyton
Darryl Creeks for Floyd Robinson

The meeting convened at 9:05 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 14th meeting. There were no corrections.

- BOR Report - Don

Don Guyton said in the first quarter of the year 2010, 14 MySafeCampus reports were received. In the second quarter, 13 reports were received. It's been a record year so far for reports. As of late, more UH departments participated and contributed to the report to the BOR regarding compliance activities.

- MySafeCampus - Bob

Bob passed out a spreadsheet of incidents so far this year. The spreadsheet will be updated to reflect current status.

- Matrix Updates

Bob discussed the matrix updates. He said several updates are late and haven't been updated this year. He asked committee representatives to evaluate each activity with external compliance obligations (i.e., laws, rules, or regulations by external agencies or

organizations). Evaluate the risk without controls, then list control measures. Then re-evaluate the risk considering the control measures in place and implement additional controls if appropriate. Each compliance activity should be listed specific enough so that they're meaningful. The following units have not submitted matrix updates for calendar year 2010:

Late:

Academic Affairs
Athletics
Contracts Administration
Facilities
Healthcare
Human Resources
Information Technology
Law
Research

- Round Table Discussion

- Bob said the outlook regarding asbestos compliance is improved. Facilities Management decided to add a staff position which will focus on asbestos compliance. Bob also announced that effective August 1, 2010, the Department of Environmental Health and Risk Management will change who it reports to: Risk Management will report to Tom Ehardt. Environmental Health will report to Malcolm Davis in the Department of Public Safety.
- 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. She said her department is also preparing for a PeopleSoft upgrade.
- Mike Glisson said a post payment audit of how state funds resulted in relatively few findings. A stimulus fund audit discovered no issues. The preliminary report will be complete in mid-July; the final report will be completed by Aug. 31.
- Emmett Sullivan said they're preparing for a State Office of Risk Management audit which will review general safety. They are working on the next five-year plan to reduce hazardous waste generation. A progress report was submitted. There is a lot of pressure from Texas Commission on Environmental Quality to clean up air and NOx (nitrous oxide) emissions. He also said Central Plant Expansion work includes replacement of several boilers.
- Rosemary Grimmet said a state audit is expected in August. Time and effort reporting for researchers will be a focus of the audit.
- Brad Wigtil had nothing new to report regarding DPS.
- Monica Morgan said Human Resources changed a number of business processes based on their own in-house audits in areas such as hiring and compensation. They are preparing employees about a new initiative of ERS which entails conducting a 100% Dependent Audit. Employees will be required to provide evidence about the person they are claiming for health benefits in order to ensure

they are eligible. If unable to prove that the person is eligible the employee may be subjected to fraud charges. HR has implemented an electronic personnel record system and will move from paper files to electronic files. A finalist will soon be selected to do the conversion. Monica said original records will still be maintained for three (3) years; this is in addition to the current 75 year record retention schedule. They will make sure images are thorough and readable. Monica also stated they will soon hire Chris Hobza's replacement, Executive Director of Contracts Administration. They are also filling a new position, AVC/AVP of Affirmative Action; this person will have a system-wide responsibility.

- Mary Dickerson said the Higher Education Opportunity Act – Copyright Infringement is in full compliance. Minor modifications were made and info was posted on the website. They are working with Don Guyton's team on TAC 202 Compliance. Thirteen (13) reports were received system-wide on Red Flag Rules.
- Raymond Bartlett said they are finishing up an external audit on endowment by KPMG. No major findings are expected.
- Javier Hidalgo said they are working with Don Guyton on internal audit follow-up. They are working on HB 1489 which requires new students living on campus to provide proof of getting the meningitis vaccination.
- Darryl Creeks said the Health Center has been working with Internal Audit the past couple of months on a report that isn't yet complete.
- David Bell had no update to report regarding Academic Affairs.
- Rhoda Daniels reported that the Job Order Contract Program is being revised with a 9/1/10 kick-off date. A consulting team was hired to review the Project Delivery Guide; they are reworking the policies and procedures for how to construct buildings. Rollout date is 12/31/10. They are also updating internal university policy and procedures in support of the Texas Department of Licensing and Regulation.
- Bob Schneller reported that the State Office of Risk Management's audit will commence on 7/20/10. Preparation was taken that involve shop self-inspections and a comprehensive training program with assistance from EHRM. Bob stated that in the future EHRM plans to redirect efforts to shop safety. The goal is to find a way to do this without hurting the Laboratory Safety Program.
- Don Guyton reported that Internal Auditing is preparing for next year's annual audit plan; the plan is expected to be approved by the BOR in August.

Next Meeting

The next committee meeting is scheduled for Wednesday, October 13, 2010, at 9:00 a.m. in room 183E of the General Services Building.

With no further business, the meeting was adjourned at 10:00 a.m.