

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR1999-08	UH, Physical Plant Department, 3rd FU	1a	4	8/31/2009	Carla Ponzio, Interim Executive Director of Payroll / HRMS	UH/UHS	Implement a campus-wide timekeeping system after the PeopleSoft system is implemented.	
AR2005-25	Departmental Reviews	1d	2	8/31/2011	Bill Nguyen College Business Administrator, Education	UH	Restore deficit balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted.	
AR2006-20	Departmental Reviews	1f	4	10/1/2009	Nancy Tuley Business Office Administrator Residential Life & Housing (CBO II)	UH	Restore deficit balances to zero or positive amounts and develop departmental procedures to help prevent spending funds that are unavailable.	
AR2008-08	UH Residential Life & Housing, Operational Review	13b	29	1/1/2010	Dave Irvin AVC/AVP for Plant Operations	UH	Modify the facilities policy so that each facility is either maintained by the Facilities Planning and Construction Department (FP&C) or FP&C has the authority and responsibility to establish, monitor and enforce maintenance standards for each UH facility.	
AR2008-17	College of Engineering, Departmental Reviews	11c	25	11/1/2009	Kal Marchi Manager, Research Financial Services Division of Research	UH	Restore deficit grant cost center budgetary balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted.	
AR2008-17	College of Engineering, Departmental Reviews	15c	25	12/31/2009	Pat Cooks Department Business Administrator Chemical & Biomolecular Engineering	UH	Restore deficit grant cost center budgetary balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted.	
AR2008-17	College of Engineering, Departmental Reviews	2b	25	12/31/2009	Rhonda Stafford Department Business Administrator, CEAC	UH	Restore deficit balance to zero or positive amount and implement procedures to help prevent spending funds that are not budgeted.	

**University of Houston System
Internal Auditing Department**

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AR2008-17	College of Engineering, Departmental Reviews	4d	25	12/15/2009	Betsy Roguer Department Business Administrator Civil and Environmental Engineering	UH	Restore deficit balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted.	
AR2009-02	UH College of Technology Departmental Reviews	4a	6	8/31/2010	Eduardo Cortes Department Business Administrator TMAC	UH	Restore deficit fund balances to zero or positive amounts and implement procedures to prevent spending funds that are not available.	
AR2009-08	Internal Quality Assurance Review UHS Internal Auditing Department	5b	6	1/31/2010	Don Guyton Director, Internal Auditing Department	UHS	Complete and update the IAD Policies and Procedures Manual to help ensure employees clearly understand and fulfill their operational roles and responsibilities.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	2a	48	10/31/2009	Fred McGhee Director, NSM Business Operations	UH	Review information contained in its FileMaker Pro system to identify redundancies and inefficiencies that exist with the University's administrative systems and to recommend enhancements to the University's administrative systems.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	16a	48	10/1/2009	Barbara Murray Department Business Administrator Computer Science Department	UH	Restore deficit grant cost center budgetary balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	17a	48	10/1/2009	Barbara Murray Department Business Administrator Computer Science Department	UH	Work with the Office of Contracts and Grants to close expired project cost centers and with the Budget Office to close cost centers with no activity.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	18a	48	10/1/2009	Barbara Murray Department Business Administrator Computer Science Department	UH	Modify departmental procedures to help ensure that: copies of checks are retained in a secure location for six months; and that cash receipts are deposited in a timely manner, in accordance with university policies..	

**University of Houston System
Internal Auditing Department**

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as of 11/18/2009**

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AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	21a	48	10/1/2009	Jennifer Chin-Davis Department Business Administrator Physics Department	UH	Restore deficit grant cost center budgetary balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	22a	48	10/1/2009	Jennifer Chin-Davis Department Business Administrator Physics Department	UH	Work with the Office of Contracts and Grants to close expired project cost centers and with the Budget Office to close expired HEAF cost centers.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	25a	48	10/1/2009	Jennifer Chin-Davis Department Business Administrator Physics Department	UH	Modify departmental procedures to help ensure the use of a Termination Checklist, in accordance with university policies.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	26a	48	10/1/2009	Jennifer Chin-Davis Department Business Administrator Physics Department	UH	Modify departmental procedures to help ensure that cash receipts are deposited in a timely manner, in accordance with university policies.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	28a	48	10/1/2009	Jennifer Chin-Davis Department Business Administrator Physics Department	UH	Modify departmental procedures to help ensure that all contracts are signed by the university official with delegated contractual signatory authority, in accordance with university policies.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	29a	48	10/1/2009	Jennifer Chin-Davis Department Business Administrator Physics Department	UH	Update the Weglein Various Donors cost center so its name and program code reflect its current purpose of awarding ConocoPhillips Scholarships.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	30a	48	10/1/2009	Jennifer Chin-Davis Department Business Administrator Physics Department	UH	Modify departmental procedures to help ensure all incidental and Lab fees are approved and annual fee reports are submitted to the Office Academic Budgets and Administration.	

**University of Houston System
Internal Auditing Department**

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as of 11/18/2009**

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AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	40a	48	10/1/2009	Chi Nguyen Department Business Administrator Biology and Biochemistry Department	UH	Modify departmental procedures to help ensure that accounts receivable collection efforts are documented; that collection efforts are made in a timely manner; and that records from uncollected accounts are carried forward at fiscal year end, in accordance with university policies.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	41a	48	10/1/2009	Chi Nguyen Department Business Administrator Biology and Biochemistry Department	UH	Restore negative fund balance to zero or positive amounts and implement procedures to prevent spending funds that are unavailable, or obtain an exception from the Chief Financial Officer for the planned negative fund balance.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	45a	48	10/1/2009	Chi Nguyen Department Business Administrator Biology and Biochemistry Department Ed Glumac Research Store Manager Biology and Biochemistry Department	UH	Confer with the Executive Director of Finance and the Accounts Payable department to prioritize and schedule dates to upload the required documentation for past billing cycles and with the Accounts Payable department to help ensure all Procurement Card expense receipts are uploaded into PeopleSoft, in accordance with university policy.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	46a	48	10/1/2009	Chi Nguyen Department Business Administrator Biology and Biochemistry Department	UH	Modify departmental procedures to help ensure Procurement Card expense reports are reviewed, approved, and uploaded by the 20th of the month, in accordance with university policies.	
AR2009-12	College of Natural Sciences & Mathematics Departmental Reviews	47a	48	10/1/2009	Chi Nguyen Department Business Administrator Biology and Biochemistry Department	UH	Modify departmental procedures to help ensure that all contracts are fully executed prior to the start date of the agreement, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

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as of 11/18/2009**

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AR2009-17	Departmental Reviews UHD College of Sciences and Technology	2a	20	1/31/2010	Carolyn Ivey Director Office of Sponsored Programs	UHD	Prepare a detailed report outlining each faculty member's sponsored project overpayment and work with the Office of the Vice Chancellor for Research and Intellectual Property to address the salary overpayments made from federal funds to faculty members with the sponsoring agencies to determine the appropriate actions to take regarding the allowability of these costs.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	4	20	2/1/2010	Richard Alo Executive Director CCSDS	UHD	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	7a	20	10/15/2009	Molly Woods Vice President, Academic Affairs and Provost	UHD	Change the funding source of the Executive Director's salary from the teaching budget or require the Executive Director to teach an appropriate number of classes to support the salary being paid from the teaching budget.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	13	20	2/1/2010	James Uzman Department Chair Natural Sciences	UHD	Implement departmental procedures to help ensure that appropriate employees complete required disclosure forms, in accordance with university policies.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	12b	20	12/31/2009	Jon Aoki Program Coordinator UHD Houston START Teacher AP Summer Institute Rene Garcia Program Manager Scholars Academy	UHD	Discuss the appropriateness of charging the registration fee with the Texas Education Agency and determine the appropriate actions to take regarding allowability of the fee, including return of the funds.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	1a	21	8/31/2010	Sally Rowland Director Printing and Postal Services	UH	Restore deficit fund balances to zero or positive amounts and implement procedures to prevent spending funds that are not available.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	3a	21	11/30/2009	Esmeralda Valdez Director Business Services	UH	Restore deficit fund balances to zero or positive amounts and implement procedures to prevent spending funds that are not available.	

**University of Houston System
Internal Auditing Department**

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AR2009-18	Departmental Reviews UH Division of Administration and Finance	5	21	2/1/2010	David Ellis Executive Director Financial Reporting	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	11	21	2/1/2010	Raymond Bartlett Treasurer Treasurers Office	UH	Implement departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	12	21	2/1/2010	Bob Browand Director Parking & Transportation	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	15	21	8/31/2010	Ruth Sustala Assistant Director Finance and Operations	UH	Restore deficit budgetary balances to zero or positive amounts and implement procedures to prevent spending funds that are not available.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	16	21	8/31/2010	Ruth Sustala Assistant Director Finance and Operations	UH	Notify the appropriate office of expired project/grant cost centers that remain in the financial system.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	17a	21	6/1/2010	Ruth Sustala Assistant Director Finance and Operations	UH	Obtain reimbursement from a terminated employee for pay received after her termination date, in accordance with university policies.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	18	21	2/1/2010	Pat Sanchez Director Facilities Maintenance	UH	Modify departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	19	21	2/1/2010	Pat Sanchez Director Facilities Maintenance	UH	Modify departmental procedures to help ensure that appropriate employees complete required disclosure forms, in accordance with university policies.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	20	21	2/1/2010	Sameer Kapileshwari, P.E. LEED AP Interim Director of Utility Services	UH	Modify departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

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AR2009-18	Departmental Reviews UH Division of Administration and Finance	21	21	2/1/2010	Alex Alexander Director Grounds Maintenance and Custodial Services	UH	Modify departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2009-18	Departmental Reviews UH Division of Administration and Finance	2a	21	10/1/2009	Deborah Marks Manager One Card Program	UH	Modify departmental procedures to help ensure the timely completion of all cost center verifications, in accordance with university policies.	
AR2009-20	Information Security Standards	1a	7	10/31/2009	Erin Mayer Executive Director Information Technology	UHD	Modify Information Technology's policy and procedure manual to require separation of duties that are susceptible to fraudulent or other unauthorized activity.	
AR2009-20	Information Security Standards	2	7	1/1/2010	Hossein Shahrokhi Associate VP Information Technology	UHD	Review and update University policies relating to information technology to help maintain an up-to-date information security program.	
AR2009-20	Information Security Standards	3	7	1/1/2010	Hossein Shahrokhi Associate VP Information Technology	UHD	Work with university leadership to update UHD's Business Continuity Plan to include all business functions of the University.	
AR2009-20	Information Security Standards	4	7	10/1/2009	Erin Mayer Executive Director Information Technology	UHD	Work with application owners of major enterprise applications to implement procedures to require an annual review of access to information resources to help ensure the authorized use of information resources.	
AR2009-20	Information Security Standards	5	7	10/1/2009	Erin Mayer Executive Director Information Technology	UHD	Develop password standards based on industry best practices and update policies and procedures accordingly.	
AR2009-20	Information Security Standards	6	7	1/1/2010	Hossein Shahrokhi Associate VP Information Technology	UHD	Modify policies and procedures to prohibit sending of individual's name and restricted personal information via email unless the data is encrypted.	
AR2009-20	Information Security Standards	7	7	1/1/2010	Hossein Shahrokhi Associate VP Information Technology	UHD	Update the Computer Use Policy to include requirements related to wireless access, in accordance with TAC 202.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

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AR2009-22	UHS Facilities Development Project	1a	24	8/31/2010	Dave Irvin AVC/AVP Plant Operations	UHS	Modify SAM 01.B.07 to address THECB rules for construction projects and to define the roles and responsibilities for FP&C personnel and other institutional personnel to help ensure compliance with THECB rules.	
AR2009-22	UHS Facilities Development Project	2a	24	8/31/2010	Dave Irvin AVC/AVP Plant Operations	UHS	Develop and implement department policies and procedures for all aspects of construction project management to help ensure adequate management oversight and compliance with THECB rules.	
AR2009-22 (PRT)	UHS Facilities Development Project	6	24	10/30/2009	Mary Washington, Scheduling Coordinator/Daniel Wilson, Director of Planning, Design, and Contract Administration	UHCL	Conduct a CADD review of the entire space inventory to verify or correct our inventory figures.	
AR2009-22 (PRT)	UHS Facilities Development Project	7	24	4/1/2010	Mary Washington, Scheduling Coordinator/Daniel Wilson, Director of Planning, Design, and Contract Administration	UHCL	Perform a space review process including random checks of space data. Verification of room usage will be collected from all Campus reporting entities in coordination with the annual property inventory.	
AR2009-22 (PRT)	UHS Facilities Development Project	8	24	10/31/2009	Michael Ruland Facilities Director	UHV	Make correction to show 273 as sub room of 271.	
AR2009-22 (PRT)	UHS Facilities Development Project	9	24	10/31/2009	Michael Ruland Facilities Director	UHV	Review and correct all codes in the Library Building to ensure accuracy and correct library issues in regards to room identification and labeling.	
AR2009-22 (PRT)	UHS Facilities Development Project	10	24	10/31/2009	Michael Ruland Facilities Director	UHV	Adjust procedures manual to provide more macro level procedures with increased attention to how inventory updates take place, better document the inventory control system used by the institution, specify number of days it will take to update changed data, and reflect when reconciliations are done and by which department.	
AR2009-22 (PRT)	UHS Facilities Development Project	11	24	3/31/2010	Chris McCall AVP Facilities Management	UHD	Perform walkthroughs to verify room use codes accurately reflect actual use and update changes as necessary.	

**University of Houston System
Internal Auditing Department**

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as of 11/18/2009**

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Risk Level: High Medium Low								
AR2009-22 (PRT)	UHS Facilities Development Project	12	24	3/31/2010	Chris McCall AVP Facilities Management	UHD	Perform walkthroughs to verify room type codes accurately reflect actual use and update changes as necessary.	
AR2009-22 (PRT)	UHS Facilities Development Project	13	24	3/31/2010	Chris McCall AVP Facilities Management	UHD	Review all room CIP codes and revise records as needed to better identify the disciplines utilizing room spaces.	
AR2009-22 (PRT)	UHS Facilities Development Project	14	24	3/31/2010	Chris McCall AVP Facilities Management	UHD	Develop and implement detailed proration policies to assist the campus in improving the classification of space in the facilities inventory.	
AR2009-22 (PRT)	UHS Facilities Development Project	15	24	3/31/2010	Chris McCall AVP Facilities Management	UHD	Perform campus-wide room walk-through, to ensure that reported room area (square footage) is accurate and verifiable.	
AR2009-22 (PRT)	UHS Facilities Development Project	16	24	3/31/2010	Chris McCall AVP Facilities Management	UHD	Work with representatives of the appropriate departments and colleges to stream-line processes and consolidate software packages where feasible.	
AR2009-22 (PRT)	UHS Facilities Development Project	17	24	10/31/2009	Cecil Ward Planning Analyst Plant Operations/ Dave Irvin AVC/AVP Plant Operations	UH	Perform institutional audit of room number signage and incorporate a completion schedule for room signage in the space inventory control system documentation.	
AR2009-22 (PRT)	UHS Facilities Development Project	18	24	10/31/2009	Cecil Ward Planning Analyst Plant Operations/ Dave Irvin AVC/AVP Plant Operations	UH	Perform walkthroughs to verify room use codes accurately reflect actual use and update changes as necessary.	
AR2009-22 (PRT)	UHS Facilities Development Project	19	24	10/31/2009	Cecil Ward Planning Analyst Plant Operations/ Dave Irvin AVC/AVP Plant Operations	UH	Perform walkthroughs to verify room type codes accurately reflect actual use and update changes as necessary.	
AR2009-22 (PRT)	UHS Facilities Development Project	20	24	10/31/2009	Cecil Ward Planning Analyst Plant Operations/ Dave Irvin AVC/AVP Plant Operations	UH	Implement steps to update the CIP code table and review CIP Code and University specific department codes annually.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

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AR2009-22 (PRT)	UHS Facilities Development Project	21	24	10/31/2009	Cecil Ward Planning Analyst Plant Operations/ Dave Irvin AVC/AVP Plant Operations	UH	Implement a process to ensure that reported room area (square footage) is accurate and verifiable by physically inspecting, measuring, and requiring timely floor plan record corrections and database updates.	
AR2009-22 (PRT)	UHS Facilities Development Project	22	24	10/31/2009	Dilip Anketell Director of Planning Plant Operations/ Dave Irvin AVC/AVP Plant Operations	UH	Implement additional support to assist in monitoring, providing senior level oversight, and updating the facilities data for the inventory control systems.	
AR2009-22 (PRT)	UHS Facilities Development Project	23	24	10/31/2009	Cecil Ward Planning Analyst Plant Operations/ Dave Irvin AVC/AVP Plant Operations	UH	Develop and implement an annual update process that includes a formal schedule for all the departments' facilities and walk-throughs.	
AR2009-22 (PRT)	UHS Facilities Development Project	24	24	10/31/2009	Cecil Ward Planning Analyst Plant Operations/ Dave Irvin AVC/AVP Plant Operations	UH	Develop and implement a process to timely collect and record space changes for renovation projects within 30 days of substantial completion.	
AR2009-23	Departmental Reviews UH College of Pharmacy	2a	8	10/31/2009	Shirley Mitchell Department Business Administrator CSA	UH	Restore deficit fund balances to zero or positive amounts and implement procedures to prevent spending funds that are not available.	
AR2009-23	Departmental Reviews UH College of Pharmacy	3	8	12/1/2009	Shirley Mitchell Department Business Administrator CSA	UH	Restore deficit budgetary balances to zero or positive amounts and implement procedures to prevent spending funds that are not available; and work with the appropriate office to close expired project/grant cost centers.	
AR2009-23	Departmental Reviews UH College of Pharmacy	5a	8	10/31/2009	Shirley Mitchell Department Business Administrator CSA	UH	Communicate with the Telecommunications Department in an attempt to obtain long distance statements; and develop departmental procedures to help ensure that all long distance charges are certified by the user, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

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AR2009-23	Departmental Reviews UH College of Pharmacy	7	8	12/31/09	Ericka Adams Department Business Administrator PPS	UH	Restore deficit budgetary balances to zero or positive amounts and implement procedures to prevent spending funds that are not available; and work with the appropriate office to close expired project/grant cost centers.	
AR2009-23	Departmental Reviews UH College of Pharmacy	8	8	10/30/09	Ericka Adams Department Business Administrator PPS	UH	Develop departmental procedures to help ensure liability account balances are cleared within 30 days, in accordance with university policies.	
AR-2010-02	Information Security Standards	1	8	9/1/2010	Margaret Lampton Director of Information Security and Administration	UHCL	Review and update University policies relating to information technology to help maintain an up-to-date information security program.	
AR-2010-02	Information Security Standards	2	8	12/1/2009	Margaret Lampton Director of Information Security and Administration	UHCL	Develop and implement procedures to annually review, update, test, and approve the written emergency procedures.	
AR-2010-02	Information Security Standards	3	8	11/1/2009	John Cordary Associate Vice President for Finance	UHCL	Work with University Management to update UHCL's Business Continuity Plan to include all business functions of the University, in accordance with TAC 202.	
AR-2010-02	Information Security Standards	4	8	11/1/2009	Margaret Lampton Director of Information Security and Administration	UHCL	Update minimum password length requirements based on industry best practices, and update Information Security Policies related to all changes in password requirements.	
AR-2010-02	Information Security Standards	5	8	9/1/2010	Margaret Lampton Director of Information Security and Administration	UHCL	Update Information Security Policies and Procedures to prohibit sending of individual's name and restricted personal information via email unless the data is encrypted.	
AR-2010-02	Information Security Standards	6	8	9/1/2010	Margaret Lampton Director of Information Security and Administration	UHCL	Update the Information Security Policies and Procedures to include requirements related to wireless access, in accordance with TAC 202.	

**University of Houston System
Internal Auditing Department**

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as of 11/18/2009**

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AR-2010-02	Information Security Standards	7	8	9/1/2010	Margaret Lampton Director of Information Security and Administration	UHCL	Update the Information Security Policies and Procedures to include the requirements related to the removal of data from data processing equipment prior to the sale or transfer of data processing equipment outside the University, in accordance with TAC 202.	
AR-2010-02	Information Security Standards	8	8	12/18/2009	Greg Scoggins, Asset Management Coordinator	UHCL	Update the Property Management Policies and Procedures to address the Government Code requirements related to the sale or transfer/donation of data processing equipment to other state agencies, in accordance with TAC 202.	
AR2010-03	Information Security Standards	1	11	1/31/2010	Mary Dickerson Interim Executive Director, IT Security	UH	Update SAM 07.B.01, System Development Life Cycle and SAM 07.B.02, Software Documentation to address security requirements in all phases of development and acquisition of information resources, in accordance with TAC 202.	
AR2010-03	Information Security Standards	2	11	12/31/2009	Mary Dickerson Interim Executive Director, IT Security	UH	Document the classification of data using the current guidelines that are based on sensitivity/criticality levels for the University's information systems.	
AR2010-03	Information Security Standards	3	11	7/1/2010	Mary Dickerson Interim Executive Director, IT Security	UH	Review and update the Information Security Manual, SAMs, and MAPPs, as appropriate, to help ensure that the policies are aligned with current information security practices and are in compliance with TAC 202.	
AR2010-03	Information Security Standards	4	11	12/31/2009	Mary Dickerson Interim Executive Director, IT Security	UH	Submit an annual report to the President on the status and effectiveness of information resources security controls in a timely manner, in accordance with TAC 202	

**University of Houston System
Internal Auditing Department**

**(Control)
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AR2010-03	Information Security Standards	5	11	12/31/2009	Jim Bradley Interim Executive Director, Technology Support Services	UH	Facilitate University-wide coordination and planning related to management of college/division IT resources by developing technical guidelines and reference materials, providing training to college/division based technical support staff, and coordinating meetings of college/division information resource managers to help ensure IT resources are adequately managed at the college/division level, including compliance with TAC 202.	
					Mary Dickerson Interim Executive Director, IT Security			
AR2010-03	Information Security Standards	6	11	5/31/2010	Mary Dickerson Interim Executive Director, IT Security	UH	Perform and document a comprehensive security risk analysis of information resources, develop a security risk management plan, and obtain approval of the plan from the President (or her designee).	
AR2010-03	Information Security Standards	7	11	12/31/2009	Malcolm Davis Assistant Vice President for Public Safety & Security	UH	Work with University management to update UH's Business Continuity Plan to include all business functions of the University, in accordance with TAC 202 (See SAO report #05-010 action item #20).	
AR2010-03	Information Security Standards	8	11	3/31/2010	Arun Jain, AVP Enterprise Systems	UH	Test the Disaster Recovery Plan annually prior to hurricane season.	
AR2010-03	Information Security Standards	9	11	12/31/2009	Arun Jain, AVP Enterprise Systems	UH	Update system settings for password complexity and enable auditing for changes to password policy settings in order to meet industry best practices.	
AR2010-03	Information Security Standards	10	11	4/1/2010	Karin Livingston Director, General Accounting	UH	Update the Property Management Policies and Procedures to address the Government Code requirements related to the sale or transfer/donation of data processing equipment to other state agencies, in accordance with TAC 202.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

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AR2010-03	Information Security Standards	11	11	4/1/2010	Karin Livingston Director, General Accounting	UH	Update Property Management procedures/forms to help ensure that data is removed from data processing equipment prior to disposal/transfer/sale and that all required information related to the data removal process is documented, in accordance with TAC 202.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	1	114	10/31/2009	Pat Sayles Director, Budget and Administration Dean's Office	UH	Review the college's business processes and the responsibilities of college personnel at the Dean's and department levels to ensure that appropriate oversight and monitoring is in place and functioning.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	2	114	10/31/2009	Pat Sayles Director, Budget and Administration Dean's Office	UH	Meet with all CLASS Department Chairs, Directors, and DBAs (business staff) to explain the importance of the new reporting structure and related provisions of MAPP 01.02.01, Business Administration.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	3	114	11/30/2009	Pat Sayles Director, Budget and Administration Dean's Office	UH	Restore deficit fund balances to zero or positive amounts and implement procedures to prevent spending funds that are not available, and work with the appropriate office to close expired project/grant cost centers.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	4	114	11/30/2009	Pat Sayles Director, Budget and Administration Dean's Office	UH	Work with the departments throughout the College to publicize all available scholarships on the College website; reduce excess equity balances in scholarship cost centers; and strengthen the scholarship procedures.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	5	114	11/30/2009	Pat Sayles Director, Budget and Administration Dean's Office	UH	Reconcile scholarship awards to the student administration and financial systems, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	6	114	8/31/2010	Pat Sayles Director, Budget and Administration Dean's Office	UH	Develop departmental procedures to help ensure that scholarship cost center year-end equity balances do not exceed total award commitments plus a reserve of 25% of the funds received in the previous fiscal year, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	7	114	11/6/2009	Pat Sayles Director, Budget and Administration Dean's Office	UH	Modify departmental procedures to help ensure that fee reports are submitted to the Office of Academic Budgets and Administration timely, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	8	114	2/1/2010	John Reed Director School of Art	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	9	114	12/31/2009	Steven Wallace Director Theater Department	UH	Modify departmental procedures to help ensure the timely completion of all required training and disclosures, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	10	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Modify departmental procedures to ensure the "Annual Certification of Compliance with the Procedure on Conflict of Interest for Academic Researchers" form is sent to Research Administration, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	11	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Develop and implement departmental procedures to help ensure that cost center verifications are performed monthly, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	12	114	12/31/2009	Steven Wallace Director Theater Department	UH	Restore deficit balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	13	114	12/31/2009	Steven Wallace Director Theater Department	UH	Restore project/grant cost center budgetary balances to zero or positive amounts and work with the appropriate office to close expired project/grant cost centers.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	14	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Develop departmental procedures to help ensure that all time and effort reports are signed, dated, and submitted to the Payroll Department in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	15	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Implement procedures to require someone other than the petty cash fund custodian to approve the voucher to replenish the fund, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	16	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Develop procedures for billing, accounting, collection, recording, and monitoring of the credit extended to help ensure that the agreed upon payment is received, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	17	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Develop departmental procedures to help ensure that individual Procurement Cards are used only by the authorized cardholder, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	18	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Modify departmental procedures to help ensure that expense reports are signed/approved by the 20th of the month, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	19	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Develop and implement departmental procedures to help ensure that travel reimbursements are properly authorized and approved, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	20	114	12/31/2009	Angela Parrish Department Business Administrator Theater Department	UH	Develop departmental procedures to help ensure that revenue generating contracts, such as costume rental agreements, are reviewed by the Office of Contract Administration, Office of Tax Compliance, and Administration and Finance, in accordance to university policy.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	21	114	12/31/2009	Steven Wallace Director Theater Department	UH	Develop procedures to help ensure property inventory tags are affixed to computer equipment, "Missing, Damaged, or Stolen Property" reports are completed for missing equipment, and Request for Authority to Remove Equipment from Campus forms are completed for all property located off-campus, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	22	114	12/31/2009	Steven Wallace Director Theater Department	UH	Develop and implement departmental procedures to help ensure that students meet eligibility requirements, in accordance with scholarship criteria.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	23	114	12/31/2009	Steven Wallace Director Theater Department	UH	Develop departmental procedures to help ensure that scholarship cost center year-end equity balances do not exceed total award commitments plus a reserve of 25% of the funds received in the previous fiscal year, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	24	114	12/20/2009	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Develop departmental procedures requiring the annual distribution and collection of the "Annual Certification of Compliance with the Procedure on Conflict of Interest for Academic Researchers" form, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	25	114	12/20/2009	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Develop departmental procedures to help ensure that cost center verifications are prepared and approved on a monthly basis, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	26	114	2/28/2010	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Restore deficit budgetary balances to zero or positive amounts, implement procedures to prevent spending funds that are not available, and work with the appropriate office to close expired project/grant cost centers.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	27	114	12/20/2009	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Modify departmental procedures to help ensure that all time and effort reports are signed and dated, and sent to Payroll in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	28	114	12/20/2009	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Develop departmental procedures to help ensure that all cash receipts are deposited in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	29	114	12/20/2009	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Develop departmental procedures to help ensure that all required approvals are obtained on Travel Request Forms prior to the travel date, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	30	114	12/20/2009	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Implement departmental procedures to help ensure that all long distance charges are certified by the user, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	31	114	12/20/2009	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Modify departmental procedures to help ensure contracts are fully executed by all parties prior to the commencement, and all revenue contracts are reviewed by Contract Administration, Office of Tax Compliance, and Administration and Finance, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	32	114	12/20/2009	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Modify departmental procedures to help ensure that fee expenditures are used for the intended purpose, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	33	114	2/28/2010	Geoffrey Pierce Department Business Administrator Communication Sciences & Disorders	UH	Modify departmental procedures to help ensure that expenses requiring the approval of the Office of Contracts and Grants are submitted to that office for approval, in accordance with the sponsored agreements.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	34	114	2/1/2010	Lorena Lopez Department Business Administrator History Department	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	35	114	10/31/2009	Lorena Lopez Department Business Administrator History Department	UH	Develop departmental procedures requiring the annual distribution and collection of the "Annual Certification of Compliance with the Procedure on Conflict of Interest for Academic Researchers" form, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	36	114	11/30/2009	David White Director Moores School of Music	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	37	114	11/30/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Develop departmental procedures requiring the annual distribution and collection of the "Annual Certification of Compliance with the Procedure on Conflict of Interest for Academic Researchers" form, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	38	114	12/31/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Develop and implement departmental procedures to help ensure that cost center verifications are performed monthly, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	39	114	8/31/2010	Barry Brown Department Business Administrator Moores School of Music	UH	Restore deficit balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	40	114	11/30/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Develop departmental procedures to help ensure that all time and effort reports are collected, properly completed, approved and dated, and are submitted to Payroll in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	41	114	11/30/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Modify departmental procedures to help ensure that time and effort reports for employees who are unavailable to sign their original time and effort report are re-submitted to Payroll, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	42	114	12/31/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Develop and implement departmental procedures to help ensure that departmental leave records are reconciled to leave accruals recorded in the payroll system on a monthly basis, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	43	114	11/30/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Develop and implement procedures to help ensure that deposits are made in a timely manner and are reconciled by two authorized employees, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	44	114	11/30/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Modify departmental procedures to help ensure that expense reports are signed/approved by the 20th of the month, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	45	114	12/31/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Determine the amount of personal expenses that were inadvertently reimbursed to the faculty member and require the faculty member to repay the university for the personal expenses inadvertently reimbursed to him.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	46	114	11/30/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Develop and implement departmental procedures to help ensure that travel and entertainment reimbursement vouchers contain appropriate business purposes, are properly prepared and authorized, and are submitted timely to Accounts Payable, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	47	114	10/31/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Modify departmental procedures to help ensure that all contracts including the contract cover sheet are signed by all parties prior to commencement of services, in accordance with university policy.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	48	114	10/31/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Develop and implement departmental procedures to help ensure-the completion of property removal requests for all property located off-campus, and missing items reports for all lost equipment, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	49	114	12/31/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Develop and implement departmental procedures to help ensure that scholarship award amounts are reconciled to the University Financial System, in accordance with university policies.	
AR2010-08	College of Liberal Arts & Social Sciences Departmental Reviews	50	114	12/31/2009	Barry Brown Department Business Administrator Moores School of Music	UH	Manage scholarship funds using a cash flow model in order to 1) account for funds received and expected to be received, 2) account for scholarships awarded, disbursed, and expected to be disbursed, and 3) identify additional funds which may be available.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	51	114	8/31/2010	Barry Brown Department Business Administrator Moores School of Music	UH	Develop departmental procedures to help ensure that scholarship cost center year-end equity balances do not exceed total award commitments plus a reserve of 25% of the funds received in the previous fiscal year, in accordance with university policies	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	52	114	2/1/2010	Lisa Haywood Department Business Administrator Philosophy Department	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	53	114	12/31/2009	Lisa Haywood Department Business Administrator Philosophy Department	UH	Develop departmental procedures to help ensure that monthly cost center verifications are approved by the cost center manager in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	54	114	11/15/2009	Devianee Vasanjee Department Business Administrator Modern Classical Languages Department	UH	Develop departmental procedures requiring the annual distribution and collection of the "Annual Certification of Compliance with the Procedure on Conflict of Interest for Academic Researchers" form, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	55	114	11/15/2009	Devianee Vasanjee Department Business Administrator Modern Classical Languages Department	UH	Develop departmental procedures to help ensure that all time and effort reports are signed and dated, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	56	114	11/15/2009	Devianee Vasanjee Department Business Administrator Modern Classical Languages Department	UH	Modify departmental procedures to help ensure that Termination Clearance forms are completed timely, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	57	114	11/15/2009	Devianee Vasanjee Department Business Administrator Modern Classical Languages Department	UH	Modify departmental procedures to help ensure that alcoholic expenses are coded to the appropriate account, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	58	114	11/15/2009	Devianee Vasandee Department Business Administrator Modern Classical Languages Department	UH	Develop departmental procedures to help ensure that scholarship cost center year-end equity balances do not exceed total award commitments plus a reserve of 25% of the funds received in the previous fiscal year, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	59	114	12/31/2009	Nicolas Kanellos Director Arte Publico Press	UH	Develop procedures to reduce the inventory to a reasonable and adequate level to meet sales demand and continuously monitor inventory levels to reduce the amount of inventory overstocks.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	60	114	11/30/2009	Nellie Gonzalez Department Business Administrator Arte Publico Press	UH	Develop departmental procedures requiring the annual distribution and collection of the "Annual Certification of Compliance with the Procedure on Conflict of Interest for Academic Researchers" form, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	61	114	11/30/2009	Nellie Gonzalez Department Business Administrator Arte Publico Press	UH	Modify departmental procedures to help ensure that all time and effort reports are properly completed, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	62	114	11/30/2009	Nellie Gonzalez Department Business Administrator Arte Publico Press	UH	Develop and implement procedures to help ensure that cash receipts are deposited in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	63	114	11/30/2009	Nellie Gonzalez Department Business Administrator Arte Publico Press	UH	Modify departmental procedures to help ensure that expense reports are timely signed, dated, and approved by the 20th of the month, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	64	114	10/31/2009	Nellie Gonzalez Department Business Administrator Arte Publico Press	UH	Develop departmental procedures to help ensure that contracts are signed and dated by an employee with delegated contractual signature authority prior to commencement, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	65	114	9/1/2010	James Conyers Director African American Studies	UH	Develop departmental procedures to help ensure that scholarship cost center year-end equity balances do not exceed total award commitments plus a reserve of 25% of the funds received in the previous fiscal year, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	66	114	11/30/2009	Karen Zicterman Museum Coordinator Blaffer Gallery	UH	Develop departmental procedures to help ensure the timely completion of all cost center verifications, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	67	114	9/1/2010	Lynn Smith Department Business Administrator Anthropology Department	UH	Restore deficit budgetary balances to zero or positive amounts and implement procedures to prevent spending funds that are not available, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	68	114	10/31/2009	Lynn Smith Department Business Administrator Economics	UH	Restore deficit budgetary balances to zero or positive amounts and implement procedures to prevent spending funds that are not available; and work with the appropriate office to close expired project/grant cost centers.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	69	114	12/31/2009	Susan Mangum Office Coordinator Military Science	UH	Develop departmental procedures to help ensure that the cost center manager reviews and approves cost center verifications on a monthly basis, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	70	114	12/31/2009	Jennifer McCullough Department Business Administrator Political Science Department	UH	Develop departmental procedures requiring the annual distribution and collection of the "Annual Certification of Compliance with the Procedure on Conflict of Interest for Academic Researchers" form, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	71	114	12/31/2009	Jennifer McCullough Department Business Administrator Political Science Department	UH	Develop departmental procedures to help ensure that cost center verifications are approved by the cost center manager, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	72	114	12/31/2009	Jennifer McCullough Department Business Administrator Political Science Department	UH	Modify departmental procedures to help ensure that Termination Clearance forms are completed timely, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	73	114	12/31/2009	Jennifer McCullough Department Business Administrator Political Science Department	UH	Work with the CBA to help ensure all contract cover sheets are signed, contracts are fully executed by all parties prior to the commencement, and all non-standard contracts are reviewed by General Counsel, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	74	114	12/31/2009	Jennifer McCullough Department Business Administrator Political Science Department	UH	Work with the Psychology Department to obtain credit for the expenditure that was incorrectly charged to the incidental fee cost center.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	75	114	8/31/2010	Jennifer McCullough Department Business Administrator Political Science Department	UH	Develop departmental procedures to help ensure that fees are expended timely in order that cost center balances do not become excessive, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	76	114	12/1/2009	David Francis Chair Psychology Department	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	77	114	12/1/2009	David Francis Chair Psychology Department	UH	Develop departmental procedures to help ensure that appropriate employees complete disclosure forms annually, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	78	114	3/1/2010	Isaac Davis Department Business Administrator Psychology Department	UH	Restore deficit budgetary balances to zero or positive amounts, implement procedures to prevent spending funds that are not available, and work with the appropriate office to close expired project/grant cost centers.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	79	114	12/1/2009	Isaac Davis Department Business Administrator Psychology Department	UH	Develop departmental procedures to help ensure that all bi-weekly time and effort reports are properly completed, dated and reviewed for accuracy, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	80	114	12/1/2009	Isaac Davis Department Business Administrator Psychology Department	UH	Develop departmental procedures to help ensure that the benefit to the university is documented for business meals and that the business purpose of a spouse attending the business meal is documented and approved by the Dean, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	81	114	12/1/2009	David Francis Chair Psychology Department	UH	Develop departmental procedures to help ensure that scholarship cost center year-end equity balances do not exceed total award commitments plus a reserve of 25% of the funds received in the previous fiscal year, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	82	114	11/30/2009	Kelly Le Department Business Administrator Center for Public Policy	UH	Develop departmental procedures to help ensure the timely completion of all cost center verifications, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	83	114	9/30/2010	Kelly Le Department Business Administrator Center for Public Policy	UH	Restore deficit fund balances to zero or positive amounts and implement procedures to prevent spending funds that are not available.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	84	114	11/30/2009	Kelly Le Department Business Administrator Center for Public Policy	UH	Restore deficit budgetary balances to zero or positive amounts and implement procedures to prevent spending funds that are not available.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	85	114	11/30/2009	Kelly Le Department Business Administrator Center for Public Policy	UH	Develop departmental procedures to help ensure that all employees sign and date time and effort reports, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	86	114	11/30/2009	Kelly Le Department Business Administrator Center for Public Policy	UH	Modify departmental procedures to help ensure that two authorized employees approve deposits to indicate their verification of funds, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	87	114	11/30/2009	Kelly Le Department Business Administrator Center for Public Policy	UH	Develop departmental procedures to help ensure that expense reports are properly approved by the 20th of the month, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	88	114	11/30/2009	Marla Burum Department Business Administrator Religious Studies Department	UH	Develop departmental procedures to help ensure that monthly cost center verifications are reviewed and approved by the cost center manager, in accordance with university policy.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	89	114	8/31/2010	Pat Sayles Director, Budget and Administration Dean's Office	UH	Restore deficit balances to zero or positive amounts and implement procedures to help prevent spending funds that are not budgeted. (Religious Studies)	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	90	114	11/30/2009	Marla Burum Department Business Administrator Religious Studies Department	UH	Modify departmental procedures to help ensure that all time and effort reports are signed and dated, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	91	114	11/30/2009	Marla Burum Department Business Administrator Religious Studies Department	UH	Modify departmental procedures to help ensure Procurement Card expense reports are reviewed and approved by a certifying signatory, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	92	114	2/1/2010	Lisa Meza-Duran Office Coordinator Air Force Studies Department	UH	Develop departmental procedures to help ensure the timely completion of all required training and disclosures, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	93	114	11/10/2009	Marla Burum Department Business Administrator Writing Center	UH	Modify departmental procedures to help ensure that time and effort reports are properly completed and approved, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	94	114	11/30/2009	Marla Burum Department Business Administrator Writing Center	UH	Develop departmental procedures to help ensure employee awards are appropriately processed and forwarded to Human Resources for approval, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	95	114	11/30/2009	Marla Burum Department Business Administrator Writing Center	UH	Work with the Dean's Office to help ensure that all PARs for non-tenure track faculty are submitted to the Office of the Provost 5 days prior to the employee's start date.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	96	114	11/30/2009	Marla Burum Department Business Administrator Writing Center	UH	Modify departmental procedures to help ensure that Termination Clearance forms are completed in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	97	114	11/30/2009	Marla Burum Department Business Administrator Writing Center	UH	Develop departmental procedures to help ensure that contracts are created for all revenue generating areas, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	98	114	11/30/2009	Elizabeth Gregory Director Women's Studies	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	99	114	11/30/2009	Lisa Haywood Department Business Administrator Women's Studies	UH	Develop departmental procedures to help ensure that cost center verifications are approved by the cost center manager in a timely manner, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	100	114	5/15/2010	Carol Risinger Office Coordinator Band Department	UH	Develop departmental procedures to reconcile Cougar Band Camp revenue to the University's financial system to help ensure all funds received are deposited, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	101	114	11/15/2009	Carol Risinger Office Coordinator Band Department	UH	Develop departmental procedures to help ensure that monthly cost center verifications are reviewed and approved by the cost center manager, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	102	114	11/15/2009	Carol Risinger Office Coordinator Band Department	UH	Work with the Dean's Office to help ensure all hiring PARs are completed in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	103	114	11/15/2009	Carol Risinger Office Coordinator Band Department	UH	Modify departmental procedures to help ensure that Termination Clearance forms are completed timely, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	104	114	11/15/2009	Carol Risinger Office Coordinator Band Department	UH	Modify departmental procedures to help ensure that cash receipts are deposited in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	105	114	11/30/2009	Carol Risinger Office Coordinator Band Department	UH	Develop departmental procedures to help ensure that Procurement Cards are used by the authorized cardholders, for allowable expenses, and expense reports are approved by the 20th of the month, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	106	114	11/15/2009	Carol Risinger Office Coordinator Band Department	UH	Reconcile scholarship awards to the student administration and financial systems, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
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Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	107	114	12/1/2009	Norma Quinones Department Business Administrator Hispanic Studies Department	UH	Develop departmental procedures to help ensure the timely completion of all required training and disclosures, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	108	114	12/1/2009	Norma Quinones Department Business Administrator Hispanic Studies Department	UH	Modify departmental procedures to help ensure that monthly cost center verifications are performed and approved by the cost center manager in a timely manner, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	109	114	12/1/2009	Norma Quinones Department Business Administrator Hispanic Studies Department	UH	Modify departmental procedures to help ensure that cash receipts are deposited in a timely manner, and all deposits are approved and reconciled by the appropriate individuals, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	110	114	12/1/2009	Norma Quinones Department Business Administrator Hispanic Studies Department	UH	Modify departmental procedures to help ensure that checks are made payable to the University of Houston, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	111	114	5/1/2010	Norma Quinones Department Business Administrator Hispanic Studies Department	UH	Modify the fee purpose for the Language Acquisition Center fee to include expenditures that support the maintenance and operations of the Center, such as business meals and conference fees.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	112	114	11/30/2009	Martin Melosi Director Center for Public History	UH	Develop departmental procedures to help ensure the timely completion of all required training, in accordance with university policies.	
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	113	114	11/30/2009	Kristin Deville Program Coordinator Center for Public History	UH	Develop departmental procedures to help ensure the timely completion of all cost center verifications, in accordance with university policies.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
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Risk Level: High Medium Low								
AR2010-07	College of Liberal Arts & Social Sciences Departmental Reviews	114	114	11/30/2009	Kristin Deville Program Coordinator Center for Public History	UH	Modify departmental procedures to help ensure that expense reports are signed/approved by the 20th of the month, in accordance with university policies.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	1a	15	12/31/2009	Cliff Rapier Director, Finance & Operations, FP&C	UH	Modify/develop departmental policies and procedures for construction management to address process for audits and related protocol.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	2a	15	12/31/2009	Chris Hobza Executive Director, Contract Administration	UH	Modify future standardized construction contracts to clarify the terms for a refund of the return of bond premiums to the contractor.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	3a	15	8/31/2010	Mary Myles Exec. Admin. Asst., Plant Administration Cliff Rapier Director, Finance & Operations, FP&C	UH	Review contracts for the time frame specified by General Counsel and request refunds of bond premium returns.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	4b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C Cliff Rapier Director, Finance & Operations, FP&C	UH	Ensure that general liability insurance credits for \$100,294 are received for the construction period ending 9/30/08.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	5b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C Cliff Rapier Director, Finance & Operations, FP&C	UH	Ensure that paid time off credits charged directly to Cost of Work for \$76,231 are received for the construction period ending 9/30/08.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	6b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C Cliff Rapier Director, Finance & Operations, FP&C	UH	Ensure that payment for overstatement of subcontractor change order markup for \$44,931 is received for the construction period ending 9/30/08.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

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Risk Level: High Medium Low								
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	7b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C	UH	Ensure that payment for incidental markups in KenMor change orders for \$14,794 is received for the construction period ending 9/30/08.	
					Cliff Rapier Director, Finance & Operations, FP&C			
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	8b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C	UH	Ensure that payment for excess equipment rental charges for \$3,998 are received for the construction period ending 9/30/08.	
					Cliff Rapier Director, Finance & Operations, FP&C			
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	9b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C	UH	Ensure that payment for duplicated overhead in Joslin change orders for \$3,979 is received for the construction period ending 9/30/08.	
					Cliff Rapier Director, Finance & Operations, FP&C			
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	10b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C	UH	Ensure that payment for rental charges in excess of cost for \$2,159 is received for construction period ending 9/30/08.	
					Cliff Rapier Director, Finance & Operations, FP&C			
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	11b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C	UH	Ensure that payment for bond cost on change orders for non-bonded subcontractor for \$1,336 is received for construction period ending 9/30/08.	
					Cliff Rapier Director, Finance & Operations, FP&C			
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	12	15	10/1/2009	Mei Chang Sr. Project Mgr., FP&C	UH	Ensure that payment for anticipated premium refund for \$232,743 is received.	
					Cliff Rapier Director, Finance & Operations, FP&C			

**University of Houston System
Internal Auditing Department**

**(Control)
as of 11/18/2009**

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Risk Level: High Medium Low								
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	13b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C	UH	Request the contractor to: a) obtain supporting detail from their subcontractors showing the estimated cost and markups included in these change orders and adjust the change order amounts as necessary; and b) require all future subcontractor change orders to include sufficient detail to allow a proper evaluation of compliance with the contract.	
					Cliff Rapier Director, Finance & Operations, FP&C			
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	14b	15	12/31/2009	Mei Chang Sr. Project Mgr., FP&C	UH	Prepare a memo of understanding to clarify the terms of the design fee.	
					Cliff Rapier Director, Finance & Operations, FP&C			