

**University of Houston System
Internal Auditing Department**

**(Control)
as of 8/25/2009**

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	1	4	8/31/2009	Marli Bober, 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.	
AR2006-12	UH Research Time and Effort Reporting	1b	4	8/31/2009	Don Bix, VC/VP for Research	UH	Implement an automated time and effort reporting system.	
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.	
AR2006-26	Departmental Reviews	14f	24	8/31/2009	Brenda Cook Assoc Director, SFA Business Svcs	UH	Restore deficit fund balances to zero or positive amounts and implement procedures to prevent spending funds that are unavailable.	
AR2006-26	Departmental Reviews	15f	24	8/31/2009	Brenda Cook Assoc Director, SFA Business Svcs	UH	Restore project/grant cost center budgetary balances to zero or positive amounts.	
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.	

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Risk Level: High Medium Low								
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.	
AR2008-17	College of Engineering, Departmental Reviews	4c	25	9/30/2009	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.	
AR2008-19	Educational Technology and University Outreach	4a	5	7/1/2009	Marshall Schott Assistant Vice President Instructional Support and Outreach	UH	Evaluate and select an information system that would help to more efficiently and effectively manage operations. Provide training to personnel to help them more fully utilize the functionality of the information system.	
AR2009-02	UH College of Technology Departmental Reviews	4	6	9/30/2009	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.	
AR2009-02	UH College of Technology Departmental Reviews	5	6	9/30/2009	Eduardo Cortes Department Business Administrator TMAC	UH	Work with General Accounting to properly record accounts receivable in the university financial system, in accordance with university policies.	
AR2009-04	UHD JAMP 2007 - 2008	2a	2	8/31/2009	Carolyn Ivey Director, Sponsored Programs Office of Sponsored Programs	UHD	Work with the Department Business Administrator and the PI to ensure proper recording of Time and Effort on timesheets.	

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AR2009-08	Internal Quality Assurance Review UHS Internal Auditing Department	1a	6	8/31/2009	Don Guyton Director, Internal Auditing Department	UHS	Review and assess the roles, responsibilities, education, and experience of IAD management job descriptions and develop a written job description for the Information Technology Auditor to help ensure that each job description provide suitable criteria of roles, responsibilities, education and experience.	
AR2009-08	Internal Quality Assurance Review UHS Internal Auditing Department	1a	6	8/31/2009	Don Guyton Director, Internal Auditing Department	UHS	Review and assess the roles, responsibilities, education, and experience of IAD management job descriptions and develop a written job description for the Information Technology Auditor to help ensure that each job description provide suitable criteria of roles, responsibilities, education and experience.	
AR2009-08	Internal Quality Assurance Review UHS Internal Auditing Department	4a	6	7/31/2009	Don Guyton Director, Internal Auditing Department	UHS	Assess the cost and benefit of implementing the remaining functionalities in the TeamMate Audit Management System to help eliminate manual administrative tasks and more effectively manage the IAD's operations.	
AR2009-08	Internal Quality Assurance Review UHS Internal Auditing Department	5a	6	8/31/2009	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	2	48	7/31/2009	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.	

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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..	
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.	

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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.	
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.	

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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.	
AR2009-14	Review of Expenditures of Endowment Income, FY 2008	3	3	8/31/2009	Raymond Bartlett Treasurer	UHS	Review all endowment registries to ensure that the institutional advancement assessment fee flag is consistent with the endowments permitted to be charged the fee and the list of endowments not to be permitted the fee.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	2	20	8/31/2009	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	5	20	7/1/2009	Richard Alo Executive Director CCSDS	UHD	Restore deficit budgetary balances to zero or positive amounts and implement procedures to prevent spending funds that are not available.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	6	20	8/31/2009	Richard Alo Executive Director CCSDS	UHD	Develop departmental procedures to help ensure that employees who devote effort to sponsored projects record estimates of the percentage of effort on their time and effort report, in accordance with university policies.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	7	20	8/31/2009	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.	

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AR2009-17	Departmental Reviews UHD College of Sciences and Technology	8	20	7/1/2009	Marvelia Rocha Coordinator CCSDS	UHD	Develop departmental procedures to help ensure that checks are restrictively endorsed immediately upon receipt, in accordance with university policies.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	9	20	7/1/2009	Marvelia Rocha Coordinator CCSDS	UHD	Develop departmental procedures to help ensure that scholarship awards are reconciled to the university's student and financial systems, in accordance with university policies.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	10	20	8/31/2009	Dennis Rodriguez Department Chair Computer & Mathematical Sciences	UHD	Implement departmental procedures to help ensure that employees who devote effort to sponsored projects record estimates of the percentage of effort on their time and effort report, in accordance with university policies.	
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	15	20	8/31/2009	James Uzman Department Chair Natural Sciences Vicky Estrera Director Scholars Academy	UHD	Develop departmental procedures to help ensure that employees who devote effort to sponsored projects record estimates of the percentage of effort on their time and effort report, in accordance with university policies.	
AR2009-17	Departmental Reviews UHD College of Sciences and Technology	11a	20	8/14/2009	Jon Aoki Program Coordinator UHD Houston START Teacher AP Summer Institute Rene Garcia Program Manager Scholars Academy	UHD	Communicate University and Board policies regarding the approval of fees with the appropriate personnel to help ensure that a reasonable fee is set in an amount sufficient to recover the costs of providing the course.	

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AR2009-17	Departmental Reviews UHD College of Sciences and Technology	12a	20	8/14/2009	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	1	21	9/30/2009	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	3	21	9/30/2009	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.	
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	14	21	8/31/2009	Ruth Sustala Assistant Director Finance and Operations	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	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.	

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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	17	21	8/31/2009	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.	
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	1-/1/09	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	1	7	8/31/2009	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.	

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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.	
AR2009-22	UHS Facilities Development Project	1	24	8/31/2009	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	2	24	8/31/2009	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	UHS Facilities Development Project	3	24	8/31/2009	Dave Irvin AVC/AVP Plant Operations	UHS	Submit the projects noted in the report to the Board of Regents and THECB for approval / re-approval.	
AR2009-22 (PRT)	UHS Facilities Development Project	4	24	8/31/2009	Mary Washington Scheduling Coordinator	UHCL	Remove the additional zeros from database room numbers to align with the THECB standard.	
AR2009-22 (PRT)	UHS Facilities Development Project	5	24	8/31/2009	Mary Washington, Scheduling Coordinator/Daniel Wilson, Director of Planning, Design, and Contract Administration	UHCL	Work with Academic Affairs to correct any mis-categorized CIP codes for instructional spaces. Review all remodel plans at the time work starts to make the required inventory changes.	

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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.	
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.	

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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.	
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.	

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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	1	8	9/16/2009	Ray Hammond Associate Dean for Practice Programs Dean's Office	UH	Develop and implement departmental procedures to help ensure that continuing education program fee amounts are approved, in accordance with university policies.	
AR2009-23	Departmental Reviews UH College of Pharmacy	2	8	9/31/09	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	4	8	7/31/2009	Shirley Mitchell Department Business Administrator CSA	UH	Develop departmental procedures to help ensure the timely completion of all cost center verifications, in accordance with university policies.	
AR2009-23	Departmental Reviews UH College of Pharmacy	5	8	9/31/09	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.	

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Risk Level: High Medium Low								
AR2009-23	Departmental Reviews UH College of Pharmacy	6	8	7/20/09	Ericka Adams Department Business Administrator PPS	UH	Develop departmental procedures to help ensure the timely completion of all cost center verifications, in accordance with university policies.	
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.	
AR2009-25	UH, NCAA Rules- Compliance	1	1	8/24/09	Kevin Fite Associate Athletics Director for Compliance and Eligibility	UH	Develop procedures to track student-athlete employment outside the university.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	1	15	7/1/2009	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	2	15	7/1/2009	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	3	15	7/1/2009	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	12	15	10/1/2009	Mei Chang Sr. Project Mgr., FP&C Cliff Rapier Director, Finance & Operations, FP&C	UH	Ensure that payment for anticipated premium refund for \$232,743 is received.	

**University of Houston System
Internal Auditing Department**

**(Control)
as of 8/25/2009**

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								
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	15	15	7/1/2009	Chris Hobza Executive Director, Contract Administration	UH	Modify standardized construction contract to more clearly define the terms of the design fee.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	10a	15	8/31/2009	Mei Chang Sr. Project Mgr., FP&C Cliff Rapier Director, Finance & Operations, 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.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	11a	15	8/31/2009	Mei Chang Sr. Project Mgr., FP&C Cliff Rapier Director, Finance & Operations, 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.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	13a	15	8/31/2009	Mei Chang Sr. Project Mgr., FP&C Cliff Rapier Director, Finance & Operations, 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.	
CCM-0901	Calhoun Lofts Residence Hall Interim Construction Audit	14a	15	8/31/2009	Mei Chang Sr. Project Mgr., FP&C Cliff Rapier Director, Finance & Operations, FP&C	UH	Prepare a memo of understanding to clarify the terms of the design fee.	