

**University of Houston System  
Internal Auditing Department**

**(Control)  
as of 11/27/2007**

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action		Action To Be Taken	Status
					Name / Title	Entity		
<b>Risk Level: High Medium Low</b>								
AR1999-08	UH, Physical Plant Department, 3rd FU	1	4	8/31/2008	Jim McShan, AVC/AVP for Finance	UH/UHS	Implement a campus-wide timekeeping system after the PeopleSoft system is implemented.	
AR2003-16	IT Division	3g	6	12/31/2007	Dennis Fouty CIO	UHS/UH	Develop a MAPP that delineates the responsibilities of divisions, colleges, and departments for the management and internal control of departmental information technology resources.	
AR2003-28	Human Resources - All Components	3g	8	10/31/2007	Emily Messa Director, VPAF Business Services	UH	Recommend modifications to university policies to define the roles and responsibilities of HR and divisions/colleges/departments for new hires.	
AR2004-22	UH Human Resources - Reclassifications	5g	5	12/31/2007	Joan Sigler Exec. Dir. for Human Resources	UH	Require the internal committee formed to review the university's compensation policies and procedures to propose a promotion policy and revisions to the Affirmative Action Plan.	
AR2005-11	Departmental Reviews	1f	1	1/31/2008	Robert Honeyman Associate Director, TLC <sup>2</sup>	UH	Restore deficit grant cost center balances in TLC <sup>2</sup> to zero or positive amounts.	
AR2005-16	UH, Honors College - Dean's Review	2e	2	10/15/2007	Emily Messa Director, VPAF Business Services	UH	Modify MAPP 02.03.03 to define mandatory employee training and develop a process to ensure all employees receive state and other mandatory training.	
AR2005-25	Departmental Reviews	1b	2	1/1/2008	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.	
AR2005-25	Departmental Reviews	2b	2	1/1/2008	Denise Sioss-Vargos Program Manager Institute for Urban 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	1a	4	2/1/2008	Don Birx, VC/VP for Research	UH	Work with the SVC/SVP for Academic Affairs and Provost and the VC/VP for Administration and Finance to determine the feasibility of implementing an automated time and effort reporting system.	

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AR2006-12	UH Research Time and Effort Reporting	4d	4	10/15/2007	Emily Messa, Director, Business Services	UH	Update the policies and procedures on effort reporting to more clearly define the roles and responsibilities of the employee and supervisor.	
AR2006-18	UH Graduate and Professional Studies	3a	3	10/1/2007	Marco Mariotto, Dean, Graduate and Professional Studies	UH	Work with colleges/departments to develop written procedures.	
AR2006-20	Departmental Reviews	1b	4	10/15/2007	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	10b	24	1/15/2008	Allen Turner Financial Manager Scholarships and Financial Aid	UH	Notify the Division of Research or Budget Office of expired project/grant cost centers that remain in the financial system.	
AR2006-26	Departmental Reviews	11b	24	3/1/2008	Treanell Scott Assistant Director of Scholarships/State Programs Scholarships and Financial Aid	UH	Modify departmental procedures to help ensure the timely submission of time and effort reports to the Payroll Department, in accordance with university policies.	
AR2006-26	Departmental Reviews	13b	24	11/30/2008	Allen Turner Financial Manager Scholarships and Financial Aid	UH	Develop departmental procedures to help ensure that all contracts are fully executed prior to the start date of the agreement, in accordance with university policies.	
AR2006-26	Departmental Reviews	14b	24	8/31/2008	Allen Turner Financial Manager Scholarships and Financial Aid	UH	Restore deficit fund balances to zero or positive amounts and implement procedures to prevent spending funds that are unavailable.	
AR2006-26	Departmental Reviews	15b	24	8/31/2008	Allen Turner Financial Manager Scholarships and Financial Aid	UH	Restore project/grant cost center budgetary balances to zero or positive amounts.	

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AR2006-27	Information Security Standards	4a	6	11/5/2007	Margaret Lampton Director, Security and Project Administration	UHCL	Develop and implement plans to help ensure that the campus Business Continuity Plan is updated for: changes to campus procedures, risk levels, and disaster recovery plans; update procedures; testing procedures; and a Business Impact Analysis to assess the potential impacts of a loss of business function that includes maximum tolerable downtime for time-critical support services and resources.	
AR2007-08	PeopleSoft Program Change Control	1d	1	10/31/2007	Keith Martin Change Management Oversight (Director, Enterprise Systems, Finance/HR)	UHS	Update change management procedures, including procedures to help ensure that: procedures are regularly reviewed and updated; and procedures include guidelines for testing documentation.	
AR2007-24	Review of Expenditures of Endowment Income, FY 2006	2	3	10/31/2007	Pat Sayles College Business Administrator College of Liberal Arts and Social Sciences	UH	Transfer the Scholarship Coordinator salary expenditures incurred on the Hirsch Endowment Income Beneficiary Cost Center during FY 2004 - FY 2006 to another source of funding.	
AR2007-26	Enrollment Services	1	8	12/31/2007	Elaine Charlson Executive Associate VC/VP for Academic and Faculty Affairs	UH	Develop standards for all aspects of the delivery of customer service, protocols for the development and review of a single set of communication materials for Enrollment Services, and the measurement of student satisfaction.	
AR2007-26	Enrollment Services	2	8	10/1/2008	Elaine Charlson Executive Associate VC/VP for Academic and Faculty Affairs	UH	Work with departments and colleges to develop a procedure whereby all applications and admission decisions will be reported to Admissions by the start of recruiting activities.	
AR2007-26	Enrollment Services	3	8	10/1/2008	Elaine Charlson Executive Associate VC/VP for Academic and Faculty Affairs	UH	Develop a common imaging system for Enrollment Services.	
AR2007-26	Enrollment Services	4	8	12/31/2007	Craig Ness Executive Director for Academic Budgets and Administration	UH	Develop a procedure for the comparison of revenues recorded in the financial system to the number of applications processed and waivers for reasonableness.	

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AR2007-26	Enrollment Services	5	8	12/31/2007	Libby Barlow Executive Director, Institutional Research	UH	Develop a procedure to verify the receipt of documentation from Colleges using the direct data entry method to readmit students.	
AR2007-26	Enrollment Services	6	8	10/1/2007	Ralph Perri Director, Office of Scholarships and Financial Aid	UH	Develop a complete list of required reports at all levels and their due dates.	
AR2007-26	Enrollment Services	7	8	10/1/2008	Elaine Charlson Executive Associate VC/VP for Academic and Faculty Affairs	UH	Review and/or develop policies to document or clarify the various responsibilities of Enrollment Services.	
AR2007-26	Enrollment Services	8	8	12/31/2007	Emily Messa Executive Director, Business Services	UH	Review our policies related to training and update them to address training requirements and standards.	
AR2008-04	Wortham House Inventory Observation	1	1	12/1/2007	Dona G. Hamilton VC/VP for Legal Affairs and General Counsel	UHS/UH	Modify boilerplate language in future Chancellor employment contracts to address the physical inventory of property in the Wortham House.	
AR2008-08	UH Residential Life & Housing, Operational Review	1	29	3/1/2008	Andy Blank Executive Director, Residential Life & Housing	UH	Confer with peers and develop a financial model to assist with the setting of room rates sufficient to fund current operations and deferred maintenance.	
AR2008-08	UH Residential Life & Housing, Operational Review	2	29	5/31/2008	Javier Hidalgo Associate Director of Residential Life & Housing - Operations	UH	Confer with Facilities Planning and Construction to prioritize and schedule needed repairs to facilities.	
AR2008-08	UH Residential Life & Housing, Operational Review	3	29	9/1/2008	Javier Hidalgo Associate Director of Residential Life & Housing - Operations	UH	Repair Moody Towers exterior walls.	
AR2008-08	UH Residential Life & Housing, Operational Review	4	29	1/31/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Request additional funds needed to operate the offices of Student Affairs during the annual budget process.	
AR2008-08	UH Residential Life & Housing, Operational Review	5	29	1/31/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Review allocation model for FY 2009 to ensure that all departments fund their proportionate share of the Office of the Vice President of Student Affairs' overhead.	

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AR2008-08	UH Residential Life & Housing, Operational Review	6	29	1/31/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Develop a written policy for submission to the Bayou Oaks Management Committee that would advise the organizations within Bayou Oaks that a predetermined level of occupancy would be required for the organization to be able to display its identifying letters and if the required occupancy level is not attained, that non-affiliated students may be assigned to those townhouses.	
AR2008-08	UH Residential Life & Housing, Operational Review	7	29	1/31/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Require UEP to modify its procedures to require the coordination of awards for financial assistance through the Office of Scholarships and Financial Aid.	
AR2008-08	UH Residential Life & Housing, Operational Review	8	29	1/1/2008	Sandy Coltharp Associate Director of Residential Life & Housing -Services	UH	Modify procedures to require the proper accounting of the room and board financial assistance in order that information is properly reported to the student and the IRS.	
AR2008-08	UH Residential Life & Housing, Operational Review	9	29	1/31/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Find another funding source for the board financial assistance provided to participants in UEP.	
AR2008-08	UH Residential Life & Housing, Operational Review	10	29	6/30/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Refund to the Department of Education all amounts overawarded to the recipients of the UEP room and board financial assistance.	
AR2008-08	UH Residential Life & Housing, Operational Review	11	29	3/1/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Modify RLH's procedures to require maintenance and service requests from non-RLH facilities be referred to Plant Operations or that RLH be compensated for the services.	
AR2008-08	UH Residential Life & Housing, Operational Review	12	29	3/1/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Confer with Academic Affairs, Finance and Administration and Research to properly fund and account for RLH services and space provided to E&G and Research activities.	
AR2008-08	UH Residential Life & Housing, Operational Review	13	29	8/31/2008	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.	

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AR2008-08	UH Residential Life & Housing, Operational Review	14	29	8/31/2008	Nancy Tuley Administrator, Vice President of Student Affairs Business Office  Diane Murphy Associate Vice President for Student Affairs Administration	UH	Determine the appropriate access to the PeopleSoft Student Academic and Administration System for employees based on their job responsibilities and provide the appropriate oversight to monitor any adjustments made to student accounts.	
AR2008-08	UH Residential Life & Housing, Operational Review	15	29	8/31/2008	Nancy Tuley Administrator, Vice President of Student Affairs Business Office  Diane Murphy Associate Vice President for Student Affairs Administration	UH	Develop procedures to perform reconciliations of adjustments made to departmental records.	
AR2008-08	UH Residential Life & Housing, Operational Review	16	29	1/15/2008	Mike Glisson Executive Director, Finance	UH	Establish procedures and standards to address the Student Finance System's requirements for documentation, reconciliation, approvals and review.	
AR2008-08	UH Residential Life & Housing, Operational Review	17	29	6/30/2008	Andy Blank Executive Director, Residential Life & Housing  Diane Murphy Associate Vice President for Student Affairs Administration	UH	Develop contract compliance checklists to help with the oversight of the privately managed facilities and assign responsibilities to specific employees to monitor compliance with the items on the checklists.	
AR2008-08	UH Residential Life & Housing, Operational Review	18	29	3/1/2008	Sandy Coltharp Associate Director of Residential Life & Housing -Services	UH	Confer with the Tax Director regarding the proper treatment of any discount of services to help ensure the inclusion in employee income.	
AR2008-08	UH Residential Life & Housing, Operational Review	19	29	8/31/2008	Javier Hidalgo Associate Director of Residential Life & Housing - Operations	UH	Assess the feasibility of implementing the functionalities in the RMS and TMA systems to help more effectively manage operations and eliminate manual tasks.	

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AR2008-08	UH Residential Life & Housing, Operational Review	20	29	8/31/2008	Nancy Tuley Administrator, Vice President of Student Affairs Business Office	UH	Develop procedures to perform a reconciliation of departmental records for space usage to the corresponding billings and collections for each type of revenue.	
AR2008-08	UH Residential Life & Housing, Operational Review	21	29	8/31/2008	Nancy Tuley Administrator, Vice President of Student Affairs Business Office	UH	Develop procedures to properly segregate the billing, accounting and collecting duties or implement additional monitoring of these duties to help strengthen internal controls.	
AR2008-08	UH Residential Life & Housing, Operational Review	22	29	9/1/2008	Diane Murphy Associate Vice President for Student Affairs Administration	UH	Consider adding an accountant position in the Central Business Office 2 to strengthen the oversight of the financial recordkeeping and reconciliation processes.	
AR2008-08	UH Residential Life & Housing, Operational Review	23	29	2/1/2008	Sandy Coltharp Associate Director of Residential Life & Housing -Services  Diane Murphy Associate Vice President for Student Affairs	UH	Meet with the privately managed facilities to develop standardized student housing applications and agreements to help ensure that all students pay reasonable fees and deposits, that unneeded personal information is not requested and that sensitive personal information is protected.	
AR2008-08	UH Residential Life & Housing, Operational Review	24	29	2/1/2008	Sandy Coltharp Associate Director of Residential Life & Housing -Services  Diane Murphy Associate Vice President for Student Affairs	UH	Require that all student housing applications and agreements be reviewed by the Office of General Counsel.	
AR2008-08	UH Residential Life & Housing, Operational Review	25	29	6/1/2008	Andy Blank Executive Director, Residential Life & Housing	UH	Develop specific performance goals and measures to be included in RLH's strategic plan. Update the strategic plan annually and include an assessment of the achievement of the performance measures.	

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AR2008-08	UH Residential Life & Housing, Operational Review	26	29	6/1/2008	Sandy Coltharp Associate Director of Residential Life & Housing -Services	UH	Make available on-line the customer satisfaction survey to obtain students opinions/feedback.	
AR2008-08	UH Residential Life & Housing, Operational Review	27	29	8/31/2008	Andy Blank Executive Director, Residential Life & Housing  Nancy Tuley Administrator, Vice President of Student Affairs Business Office	UH	Update RLH policies and procedures manual to help ensure employees clearly understand their operational roles and responsibilities.	
AR2008-08	UH Residential Life & Housing, Operational Review	28	29	2/29/2008	Andy Blank Executive Director, Residential Life & Housing  Nancy Tuley Administrator, Vice President of Student Affairs Business Office	UH	Develop training standards and maintain adequate training records to help employees effectively perform their job duties.	
AR2008-08	UH Residential Life & Housing, Operational Review	29	29	12/1/2007	Elwyn Lee Vice President for Student Affairs  Diane Murphy Associate Vice President for Student Affairs Administration	UH	Consider modifying the Executive Director's job description to include the requirement to reside in the Residence Halls as a condition of his employment and/or provide the Executive Director a stipend for residing there.	
SAO Report #05-010	The Protection of Confidential Information and Critical Systems	20d	25	10/15/2007	Jim McShan VC / VP Administration and Finance, UHS / UH	UH	Review and modify, as necessary, the existing comprehensive emergency plan/business continuity plan to ensure that it adequately addresses the requirements in Texas Administrative Code, Section 202, Business Continuity Plan Elements.	

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SAO Report #06-012	Financial System Controls at the University of Houston	1c	12	10/31/2007	Eric Block Director, Enterprise Systems Architecture, Information Technology	UH	Perform a risk assessment of the specific vulnerability that was communicated separately to improve the security of the Financial System.	
SAO Report #06-054	The University of Houston System's Management Practices for Endowment Funds	7a	8	1/15/2008	Eli Cipriano, Assoc. VC, Univerisity Advancement	UHS	Implement policies and procedures to routinely monitor endowment income beneficiary accounts for uses other than scholarships.	