UNIVERSITY OF HOUSTON SYSTEM

INTERNAL AUDIT REPORT

UNIVERSITY OF HOUSTON SYSTEM

FOLLOW-UP STATUS REPORT

Actions Scheduled from October 1, 2018 to December 31, 2018

REPORT NO. AR2019-08

UNIVERSITY OF HOUSTON SYSTEM
Internal Auditing Department
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MEMORANDUM

TO: Mr. Peter K. Taaffe
Chair, Audit and Compliance Committee

Dr. Renu Khator
Chancellor/President, UHS/UH

FROM: Don F. Guyton
Chief Audit Executive

DATE: February 7, 2019

SUBJ: Internal Audit Report – Follow-up Status Report

I have attached for your review the final draft of the above referenced internal audit report. This report has been distributed to/discussed with key personnel of the University of Houston System. This report is summarized as follows:

Executive Summary:

The Standards for the Professional Practice of Internal Auditing require internal auditors to perform follow-up procedures to ascertain that appropriate action is taken on reported audit findings. We performed such procedures for all items included in management action plans which were scheduled to be implemented October 1, 2018, to December 31, 2018, in all audit reports with open recommendations. This status report addresses 64 management actions in 18 individual reports. In ascertaining whether appropriate action was taken, we interviewed personnel, reviewed documentation and performed other audit procedures as necessary. We determined that 57 of these management actions have been completed and 7 partially implemented.

This audit report is scheduled to be included in the agenda materials for the February 28, 2019, meeting of the Audit and Compliance Committee of the Board of Regents. Please let me know if you have any questions.

Attachment

UNIVERSITY OF HOUSTON SYSTEM
FOLLOW-UP STATUS REPORT
(Actions Scheduled from October 1, 2018, to December 31, 2018)

Board of Regents Audit and Compliance Committee Meeting
February 28, 2018

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University of Houston System
Internal Auditing Department

Follow-up Status Report
(Actions scheduled from October 1, 2018, to December 31, 2018)

The Standards for the Professional Practice of Internal Auditing require internal auditors to perform follow-up procedures to ascertain that appropriate action is taken on reported audit findings. We performed such procedures for all items included in management action plans which were scheduled to be implemented October 1, 2018, to December 31, 2018, in all audit reports with open recommendations. This status report addresses 64 management actions in 18 individual reports. In ascertaining whether appropriate action was taken, we interviewed personnel, reviewed documentation and performed other audit procedures as necessary. We determined that 57 of these management actions have been completed and 7 partially implemented.

The main portion of this report is a follow-up status matrix which lists the report number, report title, action number, total actions in each report, estimated completion date, name/title/entity responsible for action, action to be taken and status. The status of the action items included in the matrix has been categorized as either ***Action Complete or Partially Implemented.*** In cases where the action item has been partially implemented, an updated management's response with an estimated completion deadline is included in the status column, where appropriate.

The "Listing of Audit Reports Containing Management Action Plans" indicates all reports where management has addressed all actions in the action plan during the current fiscal year and all reports which are addressed in this status report. All of the management action plans for internal audit reports contain a footnote indicating that documentation of implementation of actions will be furnished to the Internal Auditing Department on the same date as the estimated completion date of the action being implemented.

Don F. Guyton
Chief Audit Executive
February 7, 2019

Attachment

UNIVERSITY OF HOUSTON SYSTEM
AUDIT REPORTS CONTAINING MANAGEMENT ACTION PLANS
FOLLOW-UP STATUS
FY 2019

Report Number	Report Date	REPORT TITLE	**All Actions Complete** Final Disposition Rept. No.	Some Actions Addressed in this Report
INTERNAL AUDIT REPORTS WITH OPEN RECOMMENDATIONS:				
AR2014-25	08/19/14	UHD Endowments		
AR2014-28	08/19/14	UH Information Security Standards	**AR 2019-08**	**X**
AR2015-11	02/19/15	UHCL Student Accounting and Receivables	**AR 2019-01**	
AR2015-20	05/21/15	UHD Student Accounting and Receivables	**AR 2019-08**	**X**
AR2015-28	08/20/15	UH Facilities Planning and Construction	**AR 2019-01**	
AR2016-04	11/19/15	UHV Enrollment Management and Student Affairs, Dept. Rev.		
AR2016-24	05/19/16	UHCL Information Security Standards	**AR 2019-08**	**X**
AR2016-25	05/19/16	UHV Information Security Standards	**AR 2019-08**	**X**
AR2017-21	02/23/17	UH Center for Adv. Computing and Data Systems, Follow-up		
AR2017-33	08/24/17	UHV School of Education, Health Professions, and Human Development, Departmental Review	**AR 2019-01**	
AR2018-03	11/16/17	UHV Student Housing	**AR 2019-01**	
AR2018-07	11/16/17	UHS General Accounting		**X**
AR2018-08	11/16/17	UH Student Housing	**AR 2019-01**	
AR2018-14	03/08/18	UHS Internal Assessment of Internal Auditing		
AR2018-18	05/24/18	UH College of Technology, Departmental Reviews	**AR 2019-01**	
AR2018-19	05/24/18	UHD College of Public Service, Departmental Review		
AR2018-22	08/23/18	UH Athletics, NCAA Rules-Compliance	**AR 2019-08**	**X**
AR2018-23	08/23/18	UHD College of Humanities and Social Sciences, Dept. Rev.	**AR 2019-08**	**X**
AR2018-24	08/23/18	UH Cullen College of Engineering, Departmental Reviews	**AR 2019-08**	**X**
AR2018-25	08/23/18	UHS Contract Administration - Food Services		**X**
AR2018-26	08/23/18	UHS Contract Administration - Bookstore Services		**X**
AR2018-27	08/23/18	UHS State Benefits Proportionality, FY 2015-2017		
AR2018-28	08/23/18	UHS Payroll		**X**
AR2019-04	11/15/18	UH College of Natural Sciences & Mathematics, Departmental Reviews		**X**
AR2019-05	11/15/18	UH, Division of Research, Departmental Reviews		**X**
AR2019-06	11/15/18	UHS Board of Regents' Travel & Entertainment, FY 2018		
IT 2017-01	05/18/17	Review of the Electronic Access System		**X**
IT 2018-01	03/08/18	Review of the Advancement Donor Management System		**X**
IT 2018-02	03/08/18	UHS Cybersecurity Review		**X**
SP2017-07	8/24/2017	University Advancement / Real Estate Services, Pol. & Proc.	**AR 2019-08**	**X**
EXTERNAL AUDIT REPORTS WITH OPEN RECOMMENDATIONS:				
EM 2016	02/18/16	Emergency Management/Safety and Security Audit	**AR 2019-08**	**X**
Int. Audit Peer Review	06/01/18	Internal Audit Dept. Peer Review		

University of Houston System
Internal Auditing Department

Follow-up Status Report
as of December 31, 2018

Internal Audit Report Number	Report Title	Action No.	Total Actions	Est. Compl. Date	Responsibility For Action: Name / Title	Responsibility For Action: Entity	Action To Be Taken	Status
					Risk Level: High Medium Low			
AR2014-28	Information Security Standards	3h	3	12/31/2018	Kirstin Rochford, Director Research Policies, Compliance and Committees	UH	Implement guidelines associated with management of data generated during a research project and develop a university-wide policy.	***Action Complete***
AR2015-20	Student Accounting and Receivables	1	10	12/31/2018	Ed Hugetz Interim Senior Vice President for Academic and Student Affairs and Provost	UHD	Work with UH System to implement PeopleSoft Campus Solutions as its student information system.	***Action Complete***
AR2016-24	UHCL Information Security Standards	2b	2	12/31/2018	Mary Dickerson Assistant VC/VP, IT Security, CISO	UHCL	Work with the UHS Information Security Officer to help ensure that UHCL has an effective information security program that is in compliance with TAC 202.	***Action Complete***
AR2016-25	Information Security Standards	4f	4	12/31/2018	Eric Mims Manager of Information Technology IT Security Administrative Technology Services	UHV	Update information technology security policies and procedures.	***Action Complete***
AR2018-07	UHS General Accounting	5	7	10/1/2018	Karin Livingston Controller Finance	UH	Create or modify a system policy to require additional approval of journal entries based on dollar thresholds or other criteria.	***Action Complete***
AR2018-22	UH Athletics, NCAA Rules-Compliance	3	3	10/31/2018	Lauren DuBois Senior Associate Athletics Director for Academics, Compliance, and Financial Aid Athletics Department	UH	Develop policies and procedures regarding annual reporting of outside income by coaches and staff.	***Action Complete***
AR2018-23	College of Humanities and Social Sciences Departmental Reviews	1	5	10/9/2018	Shandra Robertson College Business Administrator College of Humanities and Social Sciences	UHD	Prepare and approve cost center verifications in a timely manner. (Dean's Office)	***Action Complete***

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					Risk Level: High Medium Low			
AR2018-23	College of Humanities and Social Sciences Departmental Reviews	2	5	1/31/2019	Shandra Robertson College Business Administrator College of Humanities and Social Sciences	UHD	Submit requests to the appropriate office to deactivate inactive cost centers. (Dean's Office)	***Action Complete***
AR2018-23	College of Humanities and Social Sciences Departmental Reviews	3	5	10/9/2018	Shandra Robertson College Business Administrator College of Humanities and Social Sciences	UHD	Prepare and approve cost center verifications in a timely manner. (Arts and Communication, Humanities, and O'Kane Gallery)	***Action Complete***
AR2018-23	College of Humanities and Social Sciences Departmental Reviews	4	5	10/9/2018	Shandra Robertson College Business Administrator College of Humanities and Social Sciences	UHD	Submit request to the appropriate office to deactivate inactive cost center. (Arts and Communication, Humanities, and O'Kane Gallery)	***Action Complete***
AR2018-23	College of Humanities and Social Sciences Departmental Reviews	5	5	10/9/2018	Eileen Serban Department Business Administrator Social Sciences	UHD	Submit request to the appropriate office to deactivate expired grant cost center.	***Action Complete***
AR2018-24	Cullen College of Engineering Departmental Reviews	15a	19	12/31/2018	Stacie Spikes Department Business Administrator Electrical Engineering	UH	Restore deficit budgetary balances to a zero or a positive amount.	***Action Complete***
AR2018-25	UHS Contract Administration - Food Services	2	4	12/31/2018	Emily Messa Associate VC/VP Administration	UHS	Develop procedures to help ensure terms and conditions for system-wide contracts are met.	***Partially Implemented*** **– Updated Management's Response**: We have developed procedures and are in the process of implementing these procedures for the System-wide food services contract. Estimated Completion Date: July 1, 2019.
AR2018-25	UHS Contract Administration - Food Services	3	4	12/31/2018	Emily Messa Associate VC/VP Administration	UHS	Develop written standardized policies and procedures, including a contract monitoring checklist and documentation standards, for System universities to help ensure quality of services and compliance with terms and conditions of contracts.	***Partially Implemented*** **– Updated Management's Response**: We have developed procedures and are in the process of implementing these procedures for the System-wide food services contract. Estimated Completion Date: July 1, 2019.

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AR2018-25	UHS Contract Administration - Food Services	4	4	12/31/2018	Emily Messa Associate VC/VP Administration	UHS	Work with System universities to implement procedures to help ensure the accuracy of commission payments, including verifying the validity of sales amounts.	***Partially Implemented*** **– Updated Management's Response**: We have developed procedures and are in the process of implementing these procedures for the System-wide food services contract. Estimated Completion Date: July 1, 2019.
AR2018-26	UHS Contract Administration - Bookstore Services	1	2	12/31/2018	Emily Messa Associate VC/VP Administration	UHS	Develop written standardized policies and procedures, including a contract monitoring checklist and documentation standards, for System universities to help ensure quality of services and compliance with terms and conditions of contracts.	***Partially Implemented*** **– Updated Management's Response**: We have developed procedures and are in the process of implementing these procedures for the System-wide bookstore services contract. Estimated Completion Date: July 1, 2019.
AR2018-26	UHS Contract Administration - Bookstore Services	2	2	12/31/2018	Emily Messa Associate VC/VP Administration	UHS	Work with System universities to implement procedures to help ensure the accuracy of commission payments, including verifying the validity of sales amounts.	***Partially Implemented*** **– Updated Management's Response**: We have developed procedures and are in the process of implementing these procedures for the System-wide bookstore services contract. Estimated Completion Date: July 1, 2019.
AR2018-28	UHS Payroll	1	5	12/31/2018	Sandra Armstrong, Interim Associate VC/VP Human Resources	UHS	Identify the causes for transactions processed as part of the finalization procedures and update processes; report non-compliance to management, including escalation procedures; and/or modify system functionality, as appropriate.	***Partially Implemented*** **- Updated Management's Response:** The department created procedures for the finalization procedures, but they were implemented on January 8, 2019, therefore, there is no documentation of the process. Estimated Completion Date: June 30, 2019.
AR2019-04	College of Natural Sciences and Mathematics, Departmental Reviews	3	12	12/1/2018	Emily Merrell College Business Administrator Dean's Office	UH	Submit a request to the Division of Research to terminate the inactive Institute of Molecular Design.	***Action Complete***
AR2019-04	College of Natural Sciences and Mathematics, Departmental Reviews	6	12	12/31/2018	Elsie Myers Department Business Administrator Chemistry	UH	Submit requests to the appropriate office to deactivate inactive cost centers.	***Action Complete***
AR2019-04	College of Natural Sciences and Mathematics, Departmental Reviews	11	12	12/31/2018	Jennifer Chin-Davis Associate Director Physics	UH	Submit a request to the appropriate office to deactivate the inactive cost center.	***Action Complete***

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AR2019-04	College of Natural Sciences and Mathematics, Departmental Reviews	12	12	12/1/2018	Jennifer Chin-Davis Associate Director Physics	UH	Submit a request to the Division of Research to terminate the inactive Institute of Nanoenergy.	***Action Complete***
AR2019-05	Division of Research Departmental Reviews	1	9	12/31/18	Cris Milligan Assistant Vice President Research Administration Division of Research	UH	Prepare the Division Business Continuity Plan and submit to Emergency Management.	***Action Complete***
AR2019-05	Division of Research Departmental Reviews	2	9	12/31/18	Mohammad G. Saklayen Executive Director, Data, Assessment and IT Division of Research	UH	Update the Division IT Resource Management Plan.	***Action Complete***
AR2019-05	Division of Research Departmental Reviews	5	9	12/15/18	Michele Hoffman Associate Director, Research Center Administrator Division of Research	UH	Restore deficit budgetary balances to a zero or a positive amount.	***Action Complete***
AR2019-05	Division of Research Departmental Reviews	7	9	12/31/18	Elyse Davis Division Administrator Division of Research	UH	Develop written scholarship guidelines for departmental scholarships. (TcSUH)	***Action Complete***
AR2019-05	Division of Research Departmental Reviews	8	9	12/31/18	Elyse Davis Division Administrator Division of Research	UH	Restore deficit budgetary balances to a zero or a positive amount. (TcSUH)	***Action Complete***
AR2019-05	Division of Research Departmental Reviews	9	9	12/31/18	Elyse Davis Division Administrator Division of Research	UH	Submit requests to the appropriate office to deactivate expired grant cost centers. (TcSUH)	***Partially Implemented*** **- Updated Management's Response:** The Center submitted forms to deactivate eight of the nine expired grant cost centers. One expired cost center cannot be closed because of a soft commitment issue. The Center is working with IT to resolve the issue. Estimated Completion Date: June 30, 2019.
EM 2016	Emergency Management/Safety and Security Audit	15d	35	3/31/2019	Carol Manousos Director of Emergency Management	UHD	Develop an agency-level continuity training program.	***Action Complete***

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SP2017-07	UH Katy Real Estate Purchase	1b	2	1/31/2019	Jim McShan Senior VC/VP Administration and Finance Eloise Brice VC/VP University Advancement	UH	Develop a reconciliation process between the University Advancement Information System and the Financial System and reconcile the two systems.	*Action Complete*
IT 2017-01	Review of the Electronic Access System	1a	18	12/31/18	Ron Harris Manager of Electronic Access Control Public Safety and Security	UH	Define university-wide roles and responsibilities for electronic access and develop procedures for requesting, approving, and granting user access, review of user access, access zones, card holder access, requirement for notification of personnel changes, password requirements, and removal of access.	***Action Complete***
IT 2017-01	Review of the Electronic Access System	5a	18	12/31/18	Ron Harris Manager of Electronic Access Control Public Safety and Security	UH	Implement the plan for public access hours.	***Action Complete***
IT 2017-01	Review of the Electronic Access System	6a	18	12/31/18	Ron Harris Manager of Electronic Access Control Public Safety and Security	UH	Develop a user access request form that includes buildings and/or zones and approvals.	***Action Complete***
IT 2017-01	Review of the Electronic Access System	7a	18	12/31/18	Ron Harris Manager of Electronic Access Control Public Safety and Security	UH	Implement an annual review of administrator and user access.	***Action Complete***

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IT 2018-01	Review of the Advance Donor Management System	2c	12	12/31/18	Mark Walcott Executive Director Advancement Information Systems, Reporting, and Analytics University Advancement	UH	Work with UIT to develop procedures to complete annual reviews of both Advance and the Oracle database, including documentation standards.	***Action Complete***
IT 2018-01	Review of the Advance Donor Management System	5b	12	12/31/18	Mark Walcott Executive Director Advancement Information Systems, Reporting, and Analytics University Advancement	UH	Implement a process to monitor and review all developer changes to the production environment to help ensure there are no unauthorized changes being made.	***Action Complete***
IT 2018-01	Review of the Advance Donor Management System	9a	12	12/31/18	Mark Walcott Executive Director Advancement Information Systems, Reporting, and Analytics University Advancement	UH	Review and update departmental IT system, data protection and confidentiality/privacy policies and develop additional policies, as appropriate.	***Action Complete***
IT 2018-01	Review of the Advance Donor Management System	12a	12	11/30/18	Steve Mueller Executive Director of Advancement Business Operations University Advancement	UH	Develop a disaster recovery plan to restore the operation of Advance, including testing the plan to help ensure employees understand their responsibilities and the plan works as intended.	***Action Complete***

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IT 2018-02	UHS Cybersecurity Audit	1a	29	12/31/18	Dennis Fouty Associate VP/VC, Information Technology and Chief Information Officer Mary Dickerson Assistant VP/VC, IT Security and Chief Information Security Officer	UHS	Perform an analysis of the UHS cybersecurity programs and prepare an action plan that leverages the expertise and resources allocated to the consolidated program.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	2a	29	12/31/18	Mary Dickerson Assistant VP/VC, IT Security and Chief Information Security Officer	UHS	Work with the System universities to develop processes for data owners to map and inventory data and implement appropriate controls, as specified in SAM 07.A.08 Data Classification and Protection.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	3a	29	11/30/18	Jana Chvatal Manager, IT Security Risk Management & Compliance	UHS	Work with the UH Human Resources department to determine if there are modifications that should be made to the mandatory training procedures, including stricter consequences for failure to comply with the training requirements related to Security Awareness Training.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	4a	29	12/31/18	Jana Chvatal Manager, IT Security Risk Management & Compliance	UHS	Work with System university Human Resources departments to communicate to business administrators the requirement for timely processing of ePARs for terminating employees.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	5	29	12/31/18	Mary Dickerson Assistant VP/VC, IT Security and Chief Information Security Officer	UHS	Implement standardized processes and tools across all UHS universities to capture and consolidate information security event logs to assist in the monitoring of suspicious activity for indications of potential cyber-attacks or breaches.	***Action Complete***

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IT 2018-02	UHS Cybersecurity Audit	6a	29	12/31/18	Mary Dickerson Assistant VP/VC, IT Security and Chief Information Security Officer	UHS	Develop UHS incident response plans that include a variety of IT related scenarios and periodic testing by all UHS universities.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	7	29	10/1/18	Jana Chvatal Manager, IT Security Risk Management & Compliance	UH	Update the UH Information Security Policy to include the specifications for Privilege Access Reviews.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	8	29	10/1/18	Jana Chvatal Manager, IT Security Risk Management & Compliance	UH	Review, update, and obtain approval for MAPP 10.05.01, UH Information Security Program policy.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	9a	29	12/31/18	Debbie Samuels Manager, Enterprise Application Security & Investigations	UH	Develop a process to ensure that departments take appropriate action on workstations that are noncompliant with university anti-virus policies.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	10a	29	12/31/18	Mary Dickerson Assistant VP/VC, IT Security and Chief Information Security Officer	UH	Work with Enterprise Systems and UH business owners to develop procedures for constructing and maintaining inventories of sensitive data.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	11a	29	12/31/18	Mary Dickerson Assistant VP/VC, IT Security and Chief Information Security Officer	UH	Enhance the reporting process for inventories of sensitive data maintained by data owners to ensure data is being properly identified and protected according to SAM 07.A.08 Data Classification and Protection.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	12a	29	12/31/18	Jana Chvatal Manager, IT Security Risk Management & Compliance	UH	Update the UHS Continuity of Operations Plan to include procedures specific for responding to information security related threats, including the appropriate team members.	***Action Complete***

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Risk Level: High Medium Low								
IT 2018-02	UHS Cybersecurity Audit	15a	29	12/31/18	Jennifer Huenemeier Director, Enterprise IT Security and Information Security Officer	UHD	Work with the User Support Services to ensure all desktop computers are updated with the latest version of antivirus software, including up-to-date DAT files.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	16a	29	12/31/18	Jennifer Huenemeier Director, Enterprise IT Security and Information Security Officer	UHD	Update the UHD Incident Response Plan to include communication protocols for incidents that are consistent with the framework and processes established across all universities.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	17a	29	12/31/18	Jennifer Huenemeier Director, Enterprise IT Security and Information Security Officer	UHD	Update the UHD Incident Response Plan to include incident response team members and roles that are consistent with the framework and processes established across all universities.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	18a	29	12/31/18	Jennifer Huenemeier Director, Enterprise IT Security and Information Security Officer	UHD	Update the UHD Incident Reponses Plan to include incident impact assessments and work with UHS Information Security to define incident classification categories, escalation procedures, and timelines that are consistent with the framework and processes established across all universities.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	19a	29	12/31/18	Jennifer Huenemeier Director, Enterprise IT Security and Information Security Officer	UHD	Develop a comprehensive incident tracking system, including documentation standards, consistent with the overall UHS Incident Response Plan.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	20	29	12/31/18	Jennifer Huenemeier Director, Enterprise IT Security and Information Security Officer	UHD	Update the UHD Incident Reponses Plan to include the annual testing of a variety of IT scenarios that are consistent with the framework and processes established across all universities.	***Action Complete***

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					Risk Level: High Medium Low			
IT 2018-02	UHS Cybersecurity Audit	21a	29	12/31/18	Anthony Scaturro Director, Enterprise IT Security and Information Security Officer	UHCL	Develop formal procedures to annually review privileged, non-domain, application level accounts.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	22a	29	12/31/18	Anthony Scaturro Director, Enterprise IT Security and Information Security Officer	UHCL	Develop procedures to identify, classify, and inventory sensitive and confidential information and implement the appropriate controls over the data.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	23a	29	12/31/18	Anthony Scaturro Director, Enterprise IT Security and Information Security Officer	UHCL	Update the Incident Response Plan to include annual testing that covers a variety of IT scenarios that are consistent with the framework and processes established across all universities.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	24a	29	12/31/18	Eric Mims Director, Enterprise IT Security and Information Security Officer	UHV	Strengthen password controls for privileged accounts, including changing the password expiration period to 180 days and requiring additional controls such as multi-factor authentication, as appropriate.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	25a	29	12/31/18	Sherrie Kroll Senior Systems Administrator	UHV	Develop procedures to review privileged accounts annually, including comparing the user's access to their current job to determine whether the user still requires access and are currently employed.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	26a	29	11/30/18	Eric Mims Director, Enterprise IT Security and Information Security Officer	UHV	Work with UHV Human Resources to require new hires to take information security training as part of new employee orientation before they are allowed access to UHV's information resources.	***Action Complete***

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					Risk Level: High Medium Low			
IT 2018-02	UHS Cybersecurity Audit	27a	29	12/31/18	Eric Mims Director, Enterprise IT Security and Information Security Officer	UHV	Update the Draft Incident Response Plan to include annual testing of the response processes for a variety of IT scenarios that is consistent with the framework and processes established across all universities and obtain approval from senior management.	***Action Complete***
IT 2018-02	UHS Cybersecurity Audit	28a	29	12/31/18	Eric Mims Director, Enterprise IT Security and Information Security Officer	UHV	Review Cerdant's SOC report to determine that Cerdant's information security and controls are operating effectively to help ensure their monitoring service is handled securely.	***Action Complete***