



Management Reviews TEXAS A&M
AGRILIFE

- Fiscal
- Human Resources/Records Management
- Inventory/Fleet
- IT
- Export Controls & International Travel
- Environmental Health and Safety

Management Review

administrative services risk and compliance

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AGRILIFE


FISCAL HIGHLIGHTS



Management Review


administrative services risk and compliance

Fiscal Focus




- **PAYMENT CARDS**
 - Recent activity and documentation
 - Most recent post-payment audits by Disbursements Group
 - Compliance with federal grant requirements per A-21 when applicable

Management Review




Fiscal Focus




- **ACCOUNTS RECEIVABLE**
 - Aging of accounts
 - Invoicing and collection procedures
 - Compliance with agency procedures
 - Rates/pricing – federal compliance

Management Review




Fiscal Focus



- **PROCUREMENT**
 - Compliance with agency purchasing rules
 - Purchasing limits

Management Review




Fiscal Focus

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AGRI LIFE

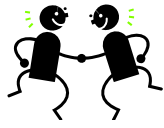
- INTERNAL CONTROLS
 - Primarily Cash Receiving and Receivables
 - Separation of Duties
 - Independent Review

Management Review




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HUMAN RESOURCES AND
RECORDS MANAGEMENT



Management Review




Common Findings - HR

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- No goals on performance appraisals
- Position Descriptions not reviewed within 30 days of hire
- Duplication of payroll file documents in personnel files

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- Application for employment not in personnel file
- Recruiting files not separated into hired and not hired
- Employee Notices out of date
- Training overdue

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Administrative Services

Common Findings - RM

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- Personnel files not set up IAW guidelines
- Documents in wrong folders in Laserfiche
- Documents retained as Word/Excel/etc
- Documents exceeded retention period

Management Review

Administrative Services

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INVENTORY & FLEET




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Administrative Services

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Information Technology



IT and Compliance
Administrative Services

Management Review

Common Findings - IT

- Inventory not aligned with assets in operation
- Accounts for AgNet domain not consistently managed
- Operating System updates not applied consistently
- Third party products (such as java or flash), not updated
- Confidential Information being stored on workstations or unsecured devices

Management Review



IT and Compliance
Administrative Services

Asset Inventory not current

- FAMIS asset list used to identify computer systems in use in the Department or Center
- Inventories frequently contain equipment not currently in use.
- Total pieces of IT equipment on inventory should align with Risk Assessment and Antivirus totals

Management Review



IT and Compliance
Administrative Services

Account Management



- Staff onboarding and off-boarding are managed by the AgriLife People Management application
 - <https://agrilifepeople.tamu.edu/>

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Administrative Services

Specialized Equipment



- Some specialized IT resources are incapable of having all security protection measures in place.
- Safeguards still must be implemented to the maximum extent possible
- Specialized equipment must still be included in the risk assessment process

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Administrative Services

Systems managed by NON IT faculty/staff



- Many server systems are deployed by staff in non-traditional IT roles.
- Systems deployed by faculty and staff must still have all the security safeguards in place that are possible
- Systems must be included in a separate risk assessment process.

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Administrative Services

Confidential Information



- Confidential Information should not be stored on AgriLife workstations.
- Proper storage of confidential data should be in either the FAMIS, Gradebook, or LaserFiche systems

Management Review

Administrative Services
IT & Information Systems

Operating System updates



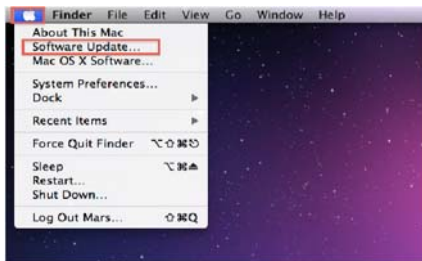
- Windows icon -> control panel -> Windows Update



Management Review

Administrative Services
IT & Information Systems


OS-X System updates




Management Review

Administrative Services
IT & Information Systems

Windows Update History





Management Review

Export Controls and International Travel





Management Review

Export Controls



- International Travel
- Technology Control Plans
- Training Requirements
- Visiting Scholars
- Sponsored Research
- International Visitors
- International Conferences
- Financials
- Employment
- International Shipments




<http://agriifeas.tamu.edu/risk-compliance/export-controls/>

Management Review

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Environmental Health and Safety



Management Review

Areas of Review

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- Laboratory Safety
- Fire and Life Safety
- Occupational Safety
- Environmental Management

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Contact Information

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- **Brad Urbanczyk** | Interim Assistant Director
Environmental Health and Safety
Texas A&M University | Texas AgriLife Research | Texas AgriLife Extension
4472 TAMU | College Station, TX 77843-4472

Ph: 979.862.4038 | fax. 979.845.1348 | burbanczyk@tamu.edu
- **Jodi D. Amos** | Occupational Safety and Health Inspector III
Environmental Health and Safety | Texas A&M University
4472 TAMU | College Station, TX 77843-4472

jamos@tamu.edu

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