



Auditing and Advisory Services

P.O. Box 20036 | Houston, TX | 713-500-3160

23-108 Committee Composition

EXECUTIVE SUMMARY

Auditing & Advisory Services (A&AS) has completed an assurance engagement of Committee Composition. This engagement was performed at the request of the UTHealth Houston Audit Committee and was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing*.

Background

HOOP 161 *University Governance* specifies the University, its employees and its students must comply with the Rules and Regulations of the Board of Regents and UT System policies, as well as applicable state and federal law and regulations. Employees and students are required to be familiar with and to comply with University policy. Institutional standing committees and councils (collectively will be referred to as “committees”) are established to ensure compliance with these requirements.

The UTHealth Houston council system includes various committees across the institution that devotes itself to the overall governance of the university with applicable internal and external rules and/or policies. These committees meet to address matters pertaining to, but not limited to:

- Mission and vision of UTHealth Houston
- Faculty, staff, and students
- Education
- Research endeavors
- Clinical activities

Objectives/Scope

Our objective was to review committees for compliance with applicable guidance. Specifically, to determine if:

- All established committees are based on internal or external guidance.
- Member composition requirements, if specified, are met.
- Meeting frequency requirements, if specified, are met.

Scope Period

Committees as of December 1, 2022.

Results

A&AS compiled a total of 193 committees across the institution. The table on the next page summarizes the number of committees by school or administrative functions.

23-108 Committee Composition

School/Area	Number of Total Active Committees Identified	Number of Required Committees Identified
Administrative	63	44
Cizik School of Nursing (CSON)	18	12
Graduate School of Biomedical Sciences (GSBS)	18	18
McGovern Medical School (MMS)	22	19
D. Bradley McWilliams School of Biomedical Informatics (SBMI)	12	10
School of Dentistry (SOD)	24	23
School of Public Health (SPH)	21	5
UT Physicians (UTP)	15	5
Total	193	136

Committees' Role: A&AS reviewed available information for 193 committees to document the intent of the committee. Of the 193 committees, we noted the following:

- There are 136 active required committees based on internal or external guidance. Internal guidance refers to policies, procedures, or Bylaws established by UTHealth Houston or UT Physicians. External guidance refers to federal or state regulations, UT System rules or policies, or DRSRP or MSRDP Bylaws.
- There are 57 active committees not specifically required by internal or external guidance, of which, 13 are subcommittees to a required committee. The remaining 44 committees were either identified by the committee owners as best practice or serve a supporting role to the overall mission and vision of UTHealth Houston.

In addition, there are 7 required committees that have been disbanded or were rolled into another committee.

Membership Composition: A&AS reviewed guidance for the 136 required committees to determine the composition requirements, if specified. Composition requirements can be based on a position or title, the need for a specific skill or expertise, or a general request to include a representative from a particular department. Of the 136 committees, we were able to obtain member lists for 122 committees. Some committees serve on an ad hoc basis and as such only enroll members when needed. We reviewed the member lists and compared to applicable guidance to obtain reasonable assurance the composition requirements are met. In addition, we also summarized membership composition for each committee by the total number of members, gender, and ethnicity, using available resources.

Meeting Frequency: A&AS reviewed guidance for the 136 required committees to determine the meeting frequency requirements, if specified. We were able to obtain meeting schedules or other comparable evidence for 126 committees. In addition, a sample of 30 committees was selected for a more detailed review, of which, we received meeting minutes or other comparable evidence for 28 committees and obtained reasonable assurance these committees are actively meeting.

Conclusion

We obtained reasonable assurance required committees have been constituted in accordance with applicable guidance, are active, and have the required membership to fulfill the specified roles with minimal exceptions.

23-108 Committee Composition

We would like to thank the staff and management involved in various committees throughout the institution who assisted us during the engagement.



Daniel G. Sherman, MBA, CPA, CIA
Vice President & Chief Audit Officer

OBSERVATION RATINGS

Priority	An issue that, if not addressed timely, has a high probability to directly impact achievement of a strategic or important operational objective of UTHealth Houston or the UT System as a whole.
High	An issue considered to have a medium to high probability of adverse effects to a significant office or business process or to UTHealth Houston as a whole.
Medium	An issue considered to have a low to medium probability of adverse effects to an office or business process or to UTHealth Houston as a whole.
Low	An issue considered to have minimal probability of adverse effects to an office or business process or to UTHealth Houston as a whole.

NUMBER OF PRIORITY OBSERVATIONS REPORTED TO UT SYSTEM

None.

MAPPING TO A&AS FY 2023 RISK ASSESSMENT

Reference	Risk
FIN 119	Institutional committees are no longer meeting their purpose and/or do not have an appropriate diverse composition.

DATA ANALYTICS UTILIZED

Not applicable.

ENGAGEMENT TEAM

VP/CAO - Daniel G. Sherman, MBA, CPA, CIA
Supervisor - Kathy Tran, CIA, CISA, CFE, CGAP
Lead - Casandra Wiley, CIA

END OF FIELDWORK DATE

May 19, 2023

ISSUE DATE

May 31, 2023

REPORT DISTRIBUTION

Audit Committee	Cynthia Huehlefeld	Ana Touchstone
Ryan Bien	Dr. Nancy McNeil	Dr. Melissa Valerio-Shewmaker
Kevin Burnett	Dr. Kevin Morano	Karen Weinberg
Kevin Dillon	Joe Morrow	