

**Assessment of Unit Outcomes
Educational Support Units
Report Form A-2**

Human Resources 2006_____
(Administrative Unit)

(Assessment Period Covered)

Instructions: This form should be used to report on each of your **Unit Outcomes**. Although you may not assess every program outcome every year, you will have a report for each outcome based on the year that it *was* assessed.

- 1. Program Outcome** (What characteristic, skill, behavior, attitude, service, performance, product, system, process, output, etc., did your program intend to offer or enhance?)

Established and maintain documented procedures

- 2. Strategies Used to Meet Program Outcome** (What did you do?)

October 2006 written standard operating procedures for processes carried out in the day to day operations.

June 2006 written procedures and processes were developed to ensure that clearance forms are completed on all employees terminated and that all submitted forms are accurate and complete.

- 3a. First Measure or Means of Assessment for Outcome above and Criteria for Success** (How did you determine achievement? Explain the means or measure. e.g. Satisfaction Surveys, Mock Interviews, Activity Evaluations, Focus Group Product, After-the-Trip Impact Statements, Internal and/or External Audit, Project Participation Rates, Percentage Increases, Attendance, Completion Rates, Program Reviews, etc.).

Audit 2006

- 3b. Results/ Findings.** (How did you do?)

1. Training supervisors on the performance evaluation process.
2. Incorporating goal setting for staff development
3. Enhanced monitoring controls to ensure that evaluations are reviewed position description.
4. Report delinquent or incomplete evaluations to increasingly higher levels of management to encourage compliance.

3c. Use of Results to Improve Unit Services (How did you use the findings?)

- 1. Implementation of standard operating procedures for Human Resources
- 2. Development of an employee clearance procedure has proven to be beneficial in having a process in place.
- 3. The employee performance evaluation process has provided a source of additional training for supervisor.

4a. Second Measure or Means of Assessment for Outcome above and Criteria for Success, if available. (How did you determine achievement? Explain the means or measure. See section 3a for examples of measures.)

4b. Results/ Findings. (How did you do?)

4c. Use of Results (How did you use the findings?)

5. Documentation (What is the evidence? Where is the evidence located? e.g. Vice President's Office, Office of the Associate Provost, Director's Office, Assessment Coordinator's Office, etc.?)*

Vice President Human Resources

Prairie View A&M University Audits – Office of Human Resources

The Office of Human Resources (HR) is an administrative support service unit; the audit function serves as an external assessment of the administrative operations of that unit.

The Texas A&M University System Internal Auditors (SIAD) conducted a review of the Office of Human Resources (Project #20060502). Fieldwork was conducted during the third quarter, fiscal year 2006 for Human Resource transactions and activities for the previous fiscal year. The audit found a number of operational improvements that were needed in several areas with a focus on increasing internal controls. A copy of the audit report is attached.

With the responsibility of addressing and correcting the functional weaknesses noted in the audit, the University initiated a plan of action to respond to each audit recommendation. The University tracked the progress of each recommendation and reported the status of each to the Texas A&M University System. While a full copy of the audit report and tracking document is attached, here are a few of the auditor's recommendations to include the actions that the University took in order to address the auditor recommendations:

- Policies and Procedures - The auditors noted that the University needed to develop written procedures for processes carried out in the day-to-day operations of the unit. The auditors further recommended the development of goals and objectives, and performance measures for HR and ensure that they are reviewed and updated annually.
 - a) The above recommendation was taken under advisement and the Office of Human Resources addressed each of the recommendations. Written procedures were developed and implemented in conjunction with the implementation of the new employment and position management system (PeopleAdmin). As a result, HR employees are cross-trained to cover extended absences by other employees. Moreover, goals, objectives and performance measures were developed and implemented.
- Termination Process – The auditor's recommendation indicated that the University should ensure that clearance forms are completed on all employees terminated and that the submitted forms are accurate and complete. Further, the auditors recommended that a procedure be developed to ensure that the University assets are safeguarded in the event that a terminated employee fails to complete the clearance form process.
 - a) In addressing the above recommendation, the University developed a procedure for employees exiting/terminating. All appropriate offices are now notified to suspend computer services access privileges, and equipment and keys and other University owned property is collected by Human Resources at the time of of the exit interview.
- Annual Performance Evaluations – The auditors noted in their findings that the University needed to improve the annual performance evaluation practices by: Training supervisors on the performance evaluation process; incorporating goal setting for staff development; enhancing monitoring controls to ensure that evaluations are properly completed and; report delinquent or incomplete evaluations to higher levels of management.
 - a) In rectifying the above recommendation, the University implemented a training program to ensure that supervisors receive training on the performance evaluation process before the annual performance evaluation process. Monitoring controls are currently in place to

ensure that the position descriptions, goals and objectives are included on the performance evaluation. Also, procedures are in place to report delinquent or incomplete evaluations to higher levels of management. This process provides for efficiencies by ensuring the integrity of the performance evaluation process.

The SIAD performed a follow-up audit during the second quarter of fiscal year 2008 and noted that the University control system over hiring provides reasonable assurance that the process is effective and efficient and is performed in compliance with laws, policies, regulations and rules. The follow-up audit also noted that the University enhanced its processes with the implementation of the PeopleAdmin Employment and Position Management System (PV PAWS). The new system not only facilitates online compliance monitoring by HR, it provides hiring supervisors with guidance on the hiring process while improving operational efficiency.

University or Agency: PRAIRIE VIEW A&M UNIVERSITY

State Audit:

Internal Audit: PVAMU – Review of Human Resources – Project # - 20060502

Date of Request to Component: October 6, 2006

Response Due Date: October 30, 2006

Responsible Administrator: Mary Lee Hodge, Executive Vice President and Chief Financial Officer

Status Report on Audit Points					Comments on Implementation or Reason for Delay and New Target Date
Section	Audit Point	Target Date	Status	Date of Implementation	
OBSERVATIONS, RECOMMENDATIONS, AND RESPONSES					
1: Governance Processes					
	1) Develop written procedures for processes carried out in the day-to-day operations of the Office of Human Resources. Develop goals and objectives, and performance measures for HR and ensure they are reviewed and updated annually. Implement a feedback mechanism accessible to all University personnel.	9/1/06	I	10/26/06	
2: Termination Processes					
	1) Ensure that clearance forms are completed on all employees terminated and that the submitted forms are accurate and complete. Develop a procedure to ensure that University assets are safeguarded in the event that a terminated employee fails to complete the clearance form process.	8/1/06	I	06/30/06	
3: Performance Evaluations					
3a: Annual Performance Evaluations					
	1) Improve annual performance evaluation practices by: <ul style="list-style-type: none"> • Training supervisors on the performance evaluation process to ensure compliance with A&M System regulations and University administrative procedures. • Incorporating goal setting for staff development, which is more than a review of employee's PDQ, into the evaluation process and require this documentation to be submitted to HR with the evaluation form. • Enhancing monitoring controls to ensure that evaluations, reviewed position descriptions, and goals and objectives are completed timely on University forms and that higher or lower than average ratings contain supporting comments. • Reporting delinquent or incomplete evaluations to increasingly higher levels of management to encourage compliance. 	2/1/07			
3b: Support for Merit Increases					
	1) Train supervisors on the necessity of completing performance evaluations to support salary actions. Enhance monitoring controls to ensure that evaluations are completed and that higher or lower than average ratings contain supporting comments before pay actions are approved.	02/01/07			

3c. Probationary Evaluations				
To Improve the probationary evaluation process management should: <ul style="list-style-type: none"> • Communicate to hiring supervisors both the requirement and the purpose of conducting probationary evaluations. • Enhance monitoring controls to ensure that all applicable new hires are included in HR's tracking file and copy the next successive level of management on each reminder notice. • Ensure that signed position descriptions are routed to HR and included in each employee's personnel file. 	9/1/06	I	08/21/06	
4. Employee Training				
1) Implement a more effective training reminder notification system. One option that management may consider is copying the next successive level of management on each reminder notice. Train supervisors to ensure that new hires are directed to attend HR's orientation training within the first month of employment.	2/1/07			

Please report the status of the implementation of the highlighted audit point. (PI=Partially Implemented or I=Implemented) and date implemented. If PI, provide reason for delay and establish a new target date. If the audit point is NI (NI=Not Implemented), write NI in the status column, in the comments section write See Attached Explanation and attach an explanation of why the point was not implemented.

Please report any audit points that have been completed prior to target date.

PREPARED BY: Max Wardlaw

Date 10-26-06

RESPONSIBLE ADMINISTRATOR: Maureen Hodge

Date 10/26/06

APPROVED BY CEO: George C. Wright

Date _____

University or Agency: PRAIRIE VIEW A&M UNIVERSITY

State Audit:

Internal Audit: PVAMU – Review of Human Resources – Project # - 20060502

Date of Request to Component: February 23, 2007

Response Due Date: March 7, 2007

Responsible Administrator: Mary Lee Hodge, Executive Vice President and Chief Financial Officer

Status Report on Audit Points					
Section	Audit Point	Target Date	Status	Date of Implementation	Comments on Implementation or Reason for Delay and New Target Date
OBSERVATIONS, RECOMMENDATIONS, AND RESPONSES					
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2. Termination Processes					
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3. Performance Evaluations					
3a. Annual Performance Evaluations					
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3b. Support for Merit Increases					

Return this form to Charlie Hrcncir, System Internal Audit
Texas A&M University System
200 Technology Way
College Station, Texas 77845-3424
(979)458-7100 Phone
(979)458-7111 Fax
<mailto:chrncir@tamu.edu>

1) Train supervisors on the necessity of completing performance evaluations to support salary actions. Enhance monitoring controls to ensure that evaluations are completed and that higher or lower than average ratings contain supporting comments before pay actions are approved.	02/01/07	I	01/15/07	
3c. Probationary Evaluations				
To Improve the probationary evaluation process management should: <ul style="list-style-type: none"> Communicate to hiring supervisors both the requirement and the purpose of conducting probationary evaluations. Enhance monitoring controls to ensure that all applicable new hires are included in HR's tracking file and copy the next successive level of management on each reminder notice. Ensure that signed position descriptions are routed to HR and included in each employee's personnel file. 	9/1/06	I	08/21/06	
4. Employee Training				
1) Implement a more effective training reminder notification system. One option that management may consider is copying the next successive level of management on each reminder notice. Train supervisors to ensure that new hires are directed to attend HR's orientation training within the first month of employment.	2/1/07	I	03/01/07	

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Please report any audit points that have been completed prior to target date.

PREPARED BY: May Wardlaw

Date 03-06-07

RESPONSIBLE ADMINISTRATOR: Michelle Dodge

Date 3/7/07

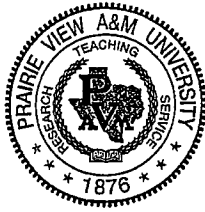
APPROVED BY CEO: George C. Wright

Date _____

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Prairie View A & M University
Review of Human Resources – Project # 20060502
Reasons for New Target Dates for Implementation
March 6, 2007

As Mary Lee Hodge and Max Wardrup discussed with Audit Director Dick Dinan in a meeting on February 28, 2007, we will need to extend the time for submitting, reviewing, and completing the annual employee evaluations. Human Resources has been able to implement an online employment tracking system and an online position description management system, developed and completed written departmental procedures, established and worked with our compensation and classification contractors in implementing a new classification and compensation system for non-faculty positions. The classification and compensation study commenced in June 2005 and was not completed until December 2006. Our goal is to coordinate the classification and compensation study and incorporate the recommended results with the updating of the online position description questionnaires as part of the annual employee evaluation process. We will complete the submission and review of the evaluations by June 30, 2007. During the interim, the Office of Human Resources assumed responsibility for the management of the Office of Student Employment.



PRAIRIE VIEW A&M UNIVERSITY

A Member of The Texas A&M University System

June 21, 2007

To: Dick Dinan
Internal Audit Director, TAMUS

From: Mary Lee Hodge
Vice President for Business Affairs

Re: Human Resources – Project # 20060502 Target Date for Evaluations

As we discussed with in a meeting on February 28, 2007, we needed to extend the time for submitting, reviewing, and completing the annual employee evaluations. Human Resources has been able to implement an online employment tracking system and an online position description management system, developed and completed written departmental procedures, established and worked with our compensation and classification contractors in implementing a new classification and compensation system for non-faculty positions. The classification and compensation study commenced in June 2005 and was not completed until December 2006. Our goal is to coordinate the classification and compensation study and incorporate the recommended results with the updating of the online position description questionnaires as part of the annual employee evaluation process. We will complete the submission and review of the evaluations by June 30, 2007. During the interim, the Office of Human Resources assumed responsibility for the management of the Office of Student Employment.

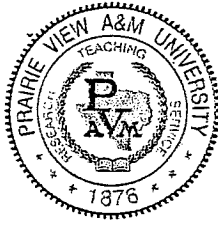
Human Resources reports being on schedule for the June 30, 2007 target date, but due to unanticipated compliance projects, our compliance personnel will not be able to test the process in Human Resources until August of 2007. Therefore, we are requesting to change this target date to September 1, 2007 as indicated on our attached action plan.

Action Plan – Review of Human Resources – Project # - 20060502 – 06-18-07

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	1) Ensure that clearance forms are completed on all employees terminated and that the submitted forms are accurate and complete. Develop a procedure to ensure that University assets are safeguarded in the event that a terminated employee fails to complete the clearance form process.	8/1/06	I	06/30/06	
3. Performance Evaluations					
3a. Annual Performance Evaluations					
	1) Improve annual performance evaluation practices by: <ul style="list-style-type: none"> • Training supervisors on the performance evaluation process to ensure compliance with A&M System regulations and University administrative procedures. • Incorporating goal setting for staff development, which is more than a review of employee's PDQ, into the evaluation process and require this documentation to be submitted to HR with the evaluation form. • Enhancing monitoring controls to ensure that evaluations, reviewed position descriptions, and goals and objectives are completed timely on University forms and that higher or lower than average ratings contain supporting comments. • Reporting delinquent or incomplete evaluations to increasingly higher levels of management to encourage compliance. 	2/1/07 06/30/07 09/01/07	N.I.		See attached explanation for extending the target date.
3b. Support for Merit Increases					
	1) Train supervisors on the necessity of completing performance evaluations to support salary actions. Enhance monitoring controls to ensure that evaluations are completed and that higher or lower than average ratings contain supporting comments before pay actions are approved.	02/01/07	I	01/15/07	
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<p>To Improve the probationary evaluation process management should:</p> <ul style="list-style-type: none"> • Communicate to hiring supervisors both the requirement and the purpose of conducting probationary evaluations. • Enhance monitoring controls to ensure that all applicable new hires are included in HR's tracking file and copy the next successive level of management on each reminder notice. • Ensure that signed position descriptions are routed to HR and included in each employee's personnel file. 	9/1/06	1	08/21/06	
4. Employee Training				
<p>1) Implement a more effective training reminder notification system. One option that management may consider is copying the next successive level of management on each reminder notice. Train supervisors to ensure that new hires are directed to attend HR's orientation training within the first month of employment.</p>	2/1/07	1	03/01/07	

Manlyke Hodges 6/21/07



PRAIRIE VIEW A&M UNIVERSITY

A Member of the Texas A&M University System

October 22, 2007

Mr. Dick Dinan
Texas A&M University System Internal Audit Department
200 Technology Way
College Station, TX 77845

Re: PVAMU Audit Trackings Reports

Dear Mr. Dinan:

Please find attached the completed Human Resources and NCAA audit tracking report forms. It appears that the Human Resources activities are on time, but the Athletics Department has a couple of additional steps to do to ensure full implementation of their activities. As such, we are showing a new deadline for them on this form.

We also owe you a tracking form for Financial Aid. We have a couple of items that we need to discuss with Dr. Clark prior to sending it in. At this time, we are unable to speak with him as he is ill and had to visit the hospital over the weekend. Please rest assured that we will forward it on to you as soon as he returns to campus.

If you have any questions about these matters, please feel free to contact me.

Sincerely,

George C. Wright

George C. Wright, President

MLH/gcw

Enc.

xc: Mary Lee Hodge
Max Wardrup

University or Agency: PRAIRIE VIEW A&M UNIVERSITY
 State Audit:
 Internal Audit: PVAMU – Review of Human Resources – Project # - 20060502

Date of Request to Component: September 28, 2007
 Response Due Date: October 22, 2007

Responsible Administrator: Mary Lee Hodge, Executive Vice President and Chief Financial Officer

Status Report on Audit Points					Comments on Implementation or Reason for Delay and New Target Date
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<p>1) Improve annual performance evaluation practices by:</p> <ul style="list-style-type: none"> • Training supervisors on the performance evaluation process to ensure compliance with A&M System regulations and University administrative procedures. • Incorporating goal setting for staff development, which is more than a review of employee's PDQ, into the evaluation process and require this documentation to be submitted to HR with the evaluation form. • Enhancing monitoring controls to ensure that evaluations, reviewed position descriptions, and goals and objectives are completed timely on University forms and that higher or lower than average ratings contain supporting comments. • Reporting delinquent or incomplete evaluations to increasingly higher levels of management to encourage compliance. 	<p>2/1/07 06/30/07 9/1/07</p>	<p>I</p>	<p>9/1/07</p>	<p>Management implemented all annual performance evaluation practices by 9/01/07. Prior to the awarding of merit increases to staff recently, management used the new process to verify that all employees properly qualified for the proposed merit increase, removed merit increases for those that did not qualify, and reported discrepancies to the appropriate supervisors.</p> <p>Management provided training to supervisors on the performance evaluation process in January 2007 and will provide additional training for fiscal year 2008 in November. 2007.</p> <p>Management has incorporated goal settings for staff development into the evaluation process and requires this documentation to be submitted to HR with the evaluation form.</p> <p>Management has implemented monitoring controls to ensure evaluations, reviewed position descriptions, and goals and objectives are completed timely on University forms and that higher or lower than average ratings contain supporting comments.</p> <p>Management has implemented a process to report delinquent or incomplete evaluations to increasingly higher level of management.</p>
<p>3b. Support for Merit Increases</p>				
<p>1) Train supervisors on the necessity of completing performance evaluations to support salary actions. Enhance monitoring controls to ensure that evaluations are completed and that higher or lower than average ratings contain supporting comments before pay actions are approved.</p>	<p>02/01/07</p>	<p>I</p>	<p>01/15/07</p>	

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Please report any audit points that have been completed prior to target date.

PREPARED BY: Lydia Cannon

RESPONSIBLE ADMINISTRATOR: for Mary Lee Hodge by lae

APPROVED BY CEO: George C. Wright

Date 10/19/07

Date 10/22/07

Date _____

Return this form to Charlie Hrcncir, System Internal Audit
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