

**University of Illinois FY15 Federal Audit  
Corrective Action Plans**

**Finding 2015-004 – Incomplete Documentation in Client Eligibility Files**

**Plan:**

The University is seeking changes to the state's administrative code, which would allow DSCC to greatly reduce the number of eligibility determinations if alternative forms demonstrating eligibility are presented (e.g., current Medicaid eligibility, etc.). Currently, the University is continuing to conduct eligibility staff refresher trainings, reviewing random samples of eligibility determinations, and increasing DSCC central office oversight.

**Expected Implementation Date:**

June 30, 2016 and On-going

**Contact:**

Karen McCormack, Interim Director, Grants & Contracts  
University of Illinois at Chicago  
809 S. Marshfield Ave., MC 551  
Chicago, Illinois 60612  
312-996-0624

**Finding 2015-005 – Inadequate Procedures for Closing out Federal Projects**

**Plan:**

The University continues to devote additional attention to close-out review and processing to improve the timeliness of project closeout. The University is currently updating its close-out procedures and implementing additional procedures to monitor the timeliness of federal account close-outs.

**Expected Implementation Date:**

On-going

**Contact:**

Linda Gregory, Interim Director, Grants & Contracts Post-Award  
University of Illinois at Urbana-Champaign  
1901 S. First Street, Suite A, Champaign, IL 61820  
217-333-4881

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### **Finding 2015-006 – Incomplete Cost Transfer Information**

**Plan:**

The University will work with the College of Agriculture, Consumer and Environmental Sciences to review its policies related to documentation and approval of cost transfers and implement procedures to ensure the University cost transfer policies are being adequately followed by Hatch Capacity Funds and Cooperative Extension Services Smith-Lever Capacity Grant.

**Expected Implementation Date:**

Not applicable for this finding.

**Contact:**

Linda Gregory, Interim Director, Grants & Contract Post-Award  
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217-333-4881

### **Finding 2015-007 – Inadequate Approval Controls over Financial Reporting**

**Plan:**

The University continues to re-evaluate existing methods of documenting supervisory reviews for financial reports. However, the University does not accept work done at an Assistant Director level being subject to supervisory review.

**Expected Implementation Date:**

On-going

**Contact:**

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### **Finding 2015-008 – Inadequate Support for Cash Requests**

**Plan:**

The Grants & Contracts Office (GCO) will conduct a refresher training for staff to ensure billings coincide with award guidelines and reconcile to supporting documents. We will continue to reconcile the University holding fund on a regular basis.

**Expected Implementation Date:**

June 30, 2016

**Contact:**

Karen McCormack, Interim Director, Grants & Contracts  
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**Finding 2015-009 – Improper Reporting Amounts in Financial Status Reports**

**Plan:**

The University of Illinois at Chicago will seek documented sponsor approval for financial reporting practices that deviate from award documents. A refresher training will be conducted for Grants and Contracts staff.

The University of Illinois Springfield is changing its processes. UIS will ensure all TANF awards are billed within the same month the awards are applied to the student's account Banner Fund. The University will also provide additional training to staff to ensure clear understanding of all Banner modules related to TANF billing.

**Expected Implementation Date:**

June 30, 2016 and On-going

**Contact:**

Karen McCormack, Interim Director, Grants & Contracts  
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312-996-0624

Carolyn Schloemann, Acting Director of Financial Assistance  
University of Illinois Springfield  
One University Plaza, MS UHB 1015  
Springfield, IL 62794  
217-206-6724

**Finding 2015-010 – Inadequate Procedures for Verifying Participant Eligibility**

**Plan:**

The University will review existing procedures to identify areas of improvement and revise procedures for verifying participant eligibility as needed.

**Expected Implementation Date:**

June 30, 2016

**Contact:**

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**Finding 2015-011 – Inadequate Off Campus Workstudy Agreements**

**Plan:**

The University is in process of obtaining replacement documentation related to this finding.

**Expected Implementation Date:**

June 30, 2016

**Contact:**

Shirley Rodriguez-Vega, Interim Director of Financial Aid.  
Office of Student Financial Aid University of Illinois at Chicago,  
1200 W. Harrison (M/C 334), Suite 1800  
Chicago, IL 60607  
312-996-5563

**Finding 2015-012 – Inaccurate Award Records**

**Plan:**

The University will review existing procedures to identify areas of improvement and provide refresher training to Grants and Contracts staff.

**Expected Implementation Date:**

On-going and June 30, 2016

**Contact:**

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Chicago, Illinois 60612  
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**Finding 2015-013 – Failure to Communicate Required Information to Subrecipients**

**Plan:**

The University has reviewed and revised its procedures relative to issuance of subrecipient awards. This included revising the agreements and profile forms. The new forms and agreements emphasize collection and reporting of pertinent award data. Additionally, the University is implementing a new research administration database system which will provide opportunity to automate issuance of certain subawards, and will provide system checks to ensure required information is included.

**Expected Implementation Date:**

June 30, 2015

**Contact:**

Linda Learned, Sr. Associate Director, Office of Sponsored Programs  
University of Illinois at Urbana-Champaign  
1901 S. First Street, Suite A, Champaign, IL 61820  
217-265-7686

**Finding 2015-014 – Failure to Obtain Suspension and Debarment Information from a Vendor**

**Plan:**

University Procurement staff will be retrained to ensure they follow the steps as outlined in the procedures. Additionally, the University is investigating options for the automation of Federal transactions forwarding to a supervisor queue for approval to ensure all steps are followed before being completed.

**Expected Implementation Date:**

On-going

**Contact:**

Bradley W. Henson, J.D.  
Interim Director, Purchasing  
University of Illinois Purchasing Division  
Phone: 217-300-2459

**Finding 2015-015 – Inadequate Review of Direct Loan Reconciliations**

**Plan:**

The University will be documenting the secondary review of the Direct Loan Reconciliation.

**Expected Implementation Date:**

June 30, 2016

**Contact:**

Dan Mann, Director Office of Student Financial Aid  
University of Illinois at Urbana-Champaign  
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217-244-2024

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Carolyn Schloemann, Acting Director of Financial Assistance  
University of Illinois Springfield  
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Springfield, IL 62794  
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### **Finding 2015-016 – Errors in Reporting for National Student Loan Data Systems (NSLDS)**

**Plan:**

The University is working with the third-party vendor and the National Student Loan Data Systems to ensure errors in reporting are correctly on a timely basis.

**Expected Implementation Date:**

June 30, 2016

**Contact:**

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Michelle Lee Garcia, Associate Registrar  
University of Illinois at Chicago  
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Chicago, IL 60607  
312-996-9572

Brian Clevenger, Registrar  
University of Illinois Springfield  
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Springfield, IL 62794  
217-206-6174

### **Finding 2015-017 – Over-Award of Title IV Funds**

**Plan:**

The Office of Financial Assistance will review existing procedures to identify areas of improvement and provide refresher Title IV training to Financial Assistance staff to ensure students are not over awarded federal funds.

**Expected Implementation Date:**

June 30, 2016

**Contact:**

Carolyn Schloemann, Acting Director of Financial Assistance  
University of Illinois Springfield  
One University Plaza, MS UHB 1015  
Springfield, IL 62794  
217-206-6724

### **Finding 2015-018 – Inadequate Return of Title IV Fund Calculation**

**Plan:**

The University will review existing procedures to identify areas of improvement and revise procedures for attendance reporting to ensure funds are properly and timely returned.

**Expected Implementation Date:**

June 30, 2016

**Contact:**

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217-244-2024

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Chicago, IL 60607  
312-996-5563

**Finding 2015-019 – Failure to Obtain Required Information from Subrecipient**

**Plan:**

The University has reviewed and revised its procedures relative to issuance of subrecipient awards. This included revising the agreements and profile forms. The new forms and agreements emphasize collection and reporting of pertinent award data. Additionally, the University is implementing a new research administration database system which will provide opportunity to automate issuance of certain subawards, and will provide system checks to ensure required information is included.

**Expected Implementation Date:**

June 30, 2016

**Contact:**

Linda Learned, Sr. Associate Director, Office of Sponsored Programs  
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