

**University of Illinois FY12 Federal Audit
Corrective Action Plans**

12-03—Incomplete Documentation in Client Eligibility Files

Plan:

The University will reinforce procedures for accurately documenting eligibility determinations to ensure compliance with program regulations.

Expected Implementation Date:

April 30, 2013

Contact:

Vanessa Peoples, Executive Director and Assistant Chief Business Officer, Grants and Contracts
University of Illinois at Chicago
513MB, MC 551
Chicago, Illinois 60612
312-996-5958

12-04—Inadequate Procedures for Closing Federal Projects

Plan:

The University will devote additional attention to close-out review and processing.

Expected Implementation Date:

Completed

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
University of Illinois at Urbana-Champaign,
1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750

12-05—Inadequate Supporting Documentation for Cost Transfers

Plan:

The University does not accept this finding and it is under resolution. Cost transfers are adequately documented and supported in accordance with University policy and requirements of OMB Circular A-21 and OMB Circular A-110. The University has formal written policies for cost transfers for every campus. These policies are followed by Grants Office personnel during their review of cost transfers posted to sponsored project funds. Additional detail is provided in the response to the finding.

Expected Implementation Date:

Not applicable to this finding

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
University of Illinois at Urbana-Champaign,
1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750

12-06— Inadequate Process for Monitoring Cost Share Requirement

Plan:

In response to the Management Decision Letter from the Office of Naval Research (ONR), the Urbana Campus has submitted a plan of action to the Office of Naval Research with procedures to monitor cost sharing claimed by subrecipients are allowable prior the final close of the subaward.

Expected Implementation Date:

January 1, 2013

Contact:

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
University of Illinois at Urbana-Champaign,
1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750

12-07—Improper Reporting of Amounts in Financial Status Reports

Plan:

The University will provide refresher training to the personnel responsible for financial status reporting.

Expected Implementation Date:

On-going

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
University of Illinois at Urbana-Champaign,
1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750

12-08—Inaccurate Fringe Benefit Charges

Plan:

The University will reinforce the importance of ensuring employees are properly coded in the payroll system and fringe benefits charges are properly charged to federal awards.

Expected Implementation Date:

On-going

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
University of Illinois at Urbana-Champaign,
1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750

12-09—Inadequate Process for Limiting Indirect Costs on DoD Awards

Plan:

The University will reinforce procedures to ensure the indirect cost limitation imposed by the DoD is not breached.

Expected Implementation Date:

June 30, 2013

Contact:

Vanessa Peoples, Executive Director and Assistant Chief Business Officer, Grants and Contracts
University of Illinois at Chicago
513MB, MC 551
Chicago, Illinois 60612
312-996-5958

12-10—Failure to Obtain Suspension and Debarment Certifications from Vendors

Plan:

The University has implemented procedures that ensure verification with EPLS (now SAM.gov) is being completed for all required purchases. The procedures will be reinforced to ensure documentation is filed properly.

Expected Implementation Date:

June 30, 2013

Contact:

Kevin Fair, Interim Director of Purchasing
University of Illinois at Chicago
302 MAB, 809 S. Marshfield Avenue
Chicago, IL 60612

12-11 --Inaccurate Quarterly Expenditure Reports Prepared for the SNAP Program

Plan:

We will reinforce procedures to ensure the quarterly expenditure reports are accurately prepared.

Expected Implementation Date:

On-going

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
University of Illinois at Urbana-Champaign,
1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750

12-12—Failure to Follow Property Management Regulations

Plan:

The University will reinforce its ongoing efforts to ensure that its property control policies/procedures are followed and identify opportunities for improvement.

Expected Implementation Date:

On-going

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
University of Illinois at Urbana-Champaign,
1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750

12-13—Inaccurate and Untimely Reporting of Student Status Changes

Plan:

The Office of the Registrar on each of the three campuses will review procedures to ensure submissions to NSLDS are accurately reported within the required timeframe for all FFEL and Direct Loan borrowers.

Expected Implementation Date:

June 30, 2013

Contact:

Rob Dixon, Registrar
University of Illinois at Chicago
Suite 1200 Student Services Building
1200 W. Harrison Street, Chicago, IL 60607-7161
(312) 413-1878 ext. 21

Brian Clevenger, Registrar
University of Illinois at Springfield
One University Plaza, UHB 1094
Springfield, IL 62703-5407
(217) 206-6178

Rodney Hoewing, Interim Registrar
University of Illinois at Urbana-Champaign

901 W. Illinois Street
Urbana, IL 61801
(217) 333-2034

12-14—Inadequate Support for Cash Draws

Plan: The University will refine and document procedures to ensure expenditures are appropriately recorded in the accounting system before they are billed to the sponsor. We will continue to monitor the posting and billing of the TANF grant expenditures.

Expected Implementation Date:

On-going

Contact:

Rebecca Jones
Assistant Director of Grants and Contracts
University of Illinois at Springfield
UIS Grants and Contracts Post-Award Administration
One University Plaza
Springfield IL 62703-5407
(217) 206-7849

12-15--Inadequate Cash Draw Controls and Reimbursement Controls

Plan:

The University does not accept this finding. The Department of Health and Human Services (HHS) in coordination with the Department of Education (ED) and the National Science Foundation (NSF), issued on February 14, 2011, a Management Decision Letter (MDL). The University subsequently received a letter of clarification on March 10, 2011, from HHS. The University continues to seek further guidance from HHS, NSF, Office of Naval Research and ED.)". The University has been actively engaged in collaboration with the agencies to find resolution on this issue.

Expected Implementation Date:

Not applicable to this finding.

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
University of Illinois at Urbana-Champaign,
1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750

12-16—Inadequate Approval Controls Over Financial Reporting

Plan:

The University does not accept this finding. Adequate internal controls and procedures for the review and submission of financial status reports already exist. The University will consider options to document supervisory reviews for financial reports.

Expected Implementation Date:

June 30, 2013

Contact:

Sandra Moulton, Sr. Director, Grants & Contract Post-Award
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1901 S. First Street, Suite A, Champaign, IL 61820
(217) 244-4750