College of Health Sciences
(Selected Programs)

Audit Report # 12-11
May 2, 2013

Office of Auditing and Consulting Services

"Committed to Service, Independence and Quality"
May 2, 2013

Dr. Diana Natalicio, President
The University of Texas at El Paso
Administration Building, Room 500
El Paso, Texas 79968

Dear Dr. Natalicio:

The Office of Auditing and Consulting Services has completed a limited scope audit of the College of Health Sciences. The objective of the audit is to determine whether four selected programs are in compliance with applicable laws and policies.

We appreciate the cooperation and assistance provided by the College of Health Sciences personnel throughout the review.

Sincerely,

William A. Peters, CPA, CIA
Director
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Auditors Assigned to the Audit:

Lori Wertz (Project Manager)
Mirna Naylor (Lead Auditor)
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EXECUTIVE SUMMARY

The Office of Auditing and Consulting Services has completed a limited scope audit of the College of Health Sciences (CHS). The audit scope was limited to the functions and operations of the following programs in the CHS during the 2012-2013 fiscal year:

- Clinical Laboratory Sciences
- Occupational Therapy
- Physical Therapy
- Speech-language Pathology

These programs were selected because they all have separate accreditation requirements as well as measurable program prerequisites and procedures. Additionally, the programs were identified as high risk during the campus-wide risk assessment process.

Our audit results indicated that all four selected programs were in compliance with applicable laws and policies, and the audit resulted in no reportable exceptions. Program accreditations were current, processes have been implemented to ensure students meet program requirements, laboratory inspections were current and laboratory facilities were properly secured.
BACKGROUND

The College of Health Sciences (CHS) offers a range of nationally-accredited professional education programs in the health rehabilitation, education and human service fields. These programs lead to careers in nine professions:

- Clinical Laboratory Science
- Kinesiology
- Social Work
- Public Health
- Physical Therapy
- Occupational Therapy
- Speech-Language Pathology
- Rehabilitation Counseling
- Pharmacy

Due to the clinical component required for all disciplines, the College has developed and maintained relationships with clinical facilities both within and outside of the El Paso community.

AUDIT OBJECTIVES

The focal points of this audit were to determine whether:

A. the programs tested had current program accreditations,
B. students met the program compliance requirements,
C. laboratory inspections are current, and
D. the laboratory facilities are properly secured and available only to authorized personnel.
SCOPE AND METHODOLOGY

The audit scope was limited to the functions and operations of the following programs in the CHS during the 2012-2013 fiscal year:

- Clinical Laboratory Sciences
- Occupational Therapy
- Physical Therapy
- Speech-language Pathology

These programs were selected because they all have separate accreditation requirements as well as measurable program prerequisites and procedures. Additionally, the programs were identified as high risk during the campus-wide risk assessment process.

Audit methodology included reviewing applicable regulations and institutional policies, interviewing key personnel and performing limited testing. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors.

AUDIT RESULTS

A. Program Certification
All four programs are accredited by nationally recognized agencies for their respective professions. We verified the status of each program to determine whether each had a current accreditation. No exceptions were noted.

B. Student Compliance Requirements
Each program requires students to complete clinical rotations outside of the University. Prior to the start of a rotation, students must submit proof that they have completed the prerequisites for their specific program.

We tested 16 of 166 current students and eight of 68 graduates by program. One exception was noted for a graduate; however, the students tested who are currently enrolled met all prerequisites without exception.

C. Laboratory Inspections
The Department of Environmental Health and Safety (EH&S) distributes the results of the fire and life safety inspections to the Dean and the laboratory inspection reports are given directly to the Principal Investigators (PIs). Auditors reviewed the most current laboratory safety, and fire and life safety inspection reports for the CHS facilities. EH&S noted exceptions in their reports; however, after discussions with personnel from the CHS and EH&S, we confirmed that a follow-up process is in place to monitor and correct
exceptions. The CHS building manager receives a verbal report from the inspector regarding any exceptions found and follows up with the PIs on the progress of the corrective action.

D. **Laboratory Security and Access Control**

The auditors obtained from the UTEP Key Shop a list of individuals with access to the CHS laboratories under review and compared it to the CHS list. The UTEP Key Shop list included eight individuals no longer employed at the University.

Further discussion with the CHS building manager indicated that there are procedures in place to control access. All individuals who request access to the research labs must submit the appropriate forms to the Dean’s Office for approval. The building manager then makes the arrangements to grant access to the authorized individuals.

**CONCLUSION**

We concluded that all four selected programs were in compliance with applicable laws and policies, and the audit resulted in no reportable exceptions. Program accreditations were current, processes have been implemented to ensure students meet program requirements, laboratory inspections were current and laboratory facilities were properly secured.

We wish to thank the staff and faculty of the CHS for their assistance and cooperation provided throughout the audit.