15-113 Training

We have completed our audit of training. This audit was performed at the request of the UTHealth Audit Committee and was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

BACKGROUND
The training function at UTHealth has both centralized and decentralized components. For centralized training that pertains to the entire university, the department of Learning and Development serves as a liaison to collect and disseminate information. Information is provided by departments with knowledge in the specific subject matter, such as basic internet security or conflicts of interest. Oversight of decentralized, or specialized, training functions are the responsibility of the area with the most direct knowledge of the subject matter.

OBJECTIVES
The objective of this audit was to assess and inventory training resources at UTHealth.

SCOPE PERIOD
January 2016 - April 2016

METHODOLOGY
The following procedures were performed:

- Through a review of institutional websites and interviews with management, we documented the various training opportunities available at UTHealth. As a part of this process we also identified who provides the training, and whether it is available in person or web-based.
- Identified how employees are made aware of the need to attend required training and documented the process to ensure employees attend all of the required training.
- Determined employees in remote locations are provided training, training updates and completion of training is documented.
- Determined employees who change roles are properly identified and provided appropriate training.
- Determined how researchers who change research projects are identified, and how researcher training is documented. We focused on areas that require specialized training such as research involving human care, animal care, or restricted and/or potentially hazardous agents.
- Identified the processes in place for ensuring existing employees receive required training before being allowed to access more controlled spaces.
**AUDIT RESULTS**
The institution has training resources available, and the risks associated with training are mitigated with appropriate controls. While a decentralized training function allows for a more specialized up-to-date knowledge base, it can also mean there is not a central repository of training courses available. To assist in facilitating accessibility of training information, we have added a table and links to training available in the institution on the A&AS intranet website.

**NUMBER OF PRIORITY & HIGH FINDINGS REPORTED TO UT SYSTEM**
None

We would like to thank the staff and management throughout the institution who assisted us during our review.

Daniel G. Sherman, MBA, CPA, CIA
Assistant Vice President

**MAPPING TO FY 2015 RISK ASSESSMENT**

<table>
<thead>
<tr>
<th>Risk (Rating)</th>
<th>An assessment and inventory of training resources</th>
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**AUDITING & ADVISORY SERVICES ENGAGEMENT TEAM**

<table>
<thead>
<tr>
<th>Assistant Vice President</th>
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<tbody>
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<td>Auditor Assigned</td>
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<tr>
<td>End of Fieldwork Date</td>
<td>April 25, 2016</td>
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<tr>
<td>Issue Date</td>
<td>May 25, 2016</td>
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Copies to:
Audit Committee