



A Legislative Summary Document Regarding
Sam Houston State University

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Prepared for the 78th Legislature
by the State Auditor's Office

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This is not an audit report and, with the exception of any audit report summaries, the material in this document has not been subjected to all of the tests and confirmations performed in an audit.

Sam Houston State University

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Key Findings from Previous Audits and Reviews

January 1, 2001–December 31, 2002

An Audit Report on 19 Agencies' Compliance With Historically Underutilized Business Requirements

(Report No. 01-035, August 2001)

Self-reported information received from Sam Houston State University (University) indicates that the University did not comply with certain provisions of the Historically Underutilized Business (HUB) regulations identified in the Texas Administrative Code (TAC) and Chapters 111 and 2161 of the Texas Government Code in fiscal year 2000. However, we determined that the University made a “good-faith effort” to comply with TAC and the Texas Government Code.

Results of Entity Compliance With Historically Underutilized Business (HUB) Requirements - Fiscal Year 2000				
Compliance Requirement				Did the Entity Make a “Good-Faith Effort”? ^b
Planning	Outreach ^a	Reporting	Subcontracting	
No specific mission statement in strategic plan (Texas Government Code, Section 2161.123)	No material noncompliance	No material noncompliance	No material noncompliance	Yes

^a Most of the entities had not developed and implemented a mentor protégé program during fiscal year 2000. Of the HUB requirements, the mentor protégé program requirement had the latest effective date (June 2000). The entities indicated there was not enough time to design and implement the program in the last quarter of the fiscal year.

^b The State Auditor’s Office, in consultation with the General Services Commission, determined that an entity did not make a “good-faith effort” if it had noncompliance in at least three of the four basic HUB areas: planning, outreach, reporting, and subcontracting. (The General Services Commission was abolished effective September 1, 2001, and the newly created Texas Building and Procurement Commission subsequently assumed most of its responsibilities.)

Status of Corrective Action: In December 2002, the University reported that it had implemented corrective action on the two areas of noncompliance. This information has not been audited.

Most Recent Performance Measure Certification

Fiscal Year 1998–Fiscal Year 2003

The results of *An Audit Report on Performance Measures at 36 State Entities–Phase 12 of the Performance Measures Reviews* (Report No. 98-040, May 1998) for this entity are summarized below.

Period	Measure	Certification Results
1997	Graduation Rate	Certified with Qualification
1997	TASP Retention	Certified with Qualification
1997	EXCET Exam Pass Rate	Certified
1997	Student/Faculty Ratio	Certified with Qualification
Total Measures Certified Without Qualification^a		1/4 (25%)
Data Reliability Percentage (Certified and Certified with Qualification)		4/4 (100%)

^a The percentage of unqualified certifications is presented because it is used in determining an entity’s eligibility for performance rewards as established in the General Appropriations Act [77th Legislature, Article IX, Sec. 6.31(d)(2)].

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Category	Definition
Certified	Reported performance is accurate within +/-5 percent, and controls appear adequate to ensure accurate collection and reporting of performance data.
Certified with Qualification	Reported performance is within +/-5 percent, but the controls over data collection and reporting are not adequate to ensure the continued accuracy of performance data.
Factors Prevented Certification	Actual performance cannot be determined because of inadequate controls and insufficient documentation.
Inaccurate	Reported performance is not within +/-5 percent of actual performance, or there is an error rate of at least 5 percent in the supporting documentation.
Not Applicable	A justifiable reason exists for not reporting performance.