

**CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS**

**FISCAL YEAR 2016 ANNUAL INTERNAL AUDIT REPORT**

**NOVEMBER 1, 2016**

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**I. Compliance with Texas Government Code, Section 2102.015: Posting the Internal Audit Plan, Internal Audit Annual Report, and Other Audit information on Internet Web site**

Texas Government Code, Section 2102.015 requires state agencies and higher education institutions, as defined in the statute, to post their Internal Audit Plan, Internal Audit Annual Report, and other audit information on the Internet.

The Cancer Prevention and Research Institute of Texas (CPRIT or the agency) will post this report and its 2017 Internal Audit Plan on its website at [www.cpritis.state.tx.us](http://www.cpritis.state.tx.us) following adoption by the Oversight Committee at its next quarterly meeting on November 16, 2016, and no later than December 1, 2016.

CPRIT will include a detailed summary of the weaknesses, deficiencies, or other concerns raised by performance of the audit plan as they are identified or by November 1, 2017. CPRIT will also update the posting with the corrective action taken to address the weaknesses, deficiencies, wrongdoing or other concerns identified in the internal audits.

**II. Internal Audit Plan for Fiscal Year 2016**

The internal audits planned and performed for Fiscal Year 2016 were selected to address the agency's highest risk areas, based on the 2015 Internal Audit Risk Assessment conducted during the fall of 2014, which included input from CPRIT management. The audits conducted during fiscal year 2016 as listed below.

Internal Audit	Report #	Report Date	Current Status
Internal Audit Over Commodity and Service Contracts	IA #01-16	May 13, 2016	This report was issued on June 10, 2016.  Follow-up procedures to verify that corrective action has been performed are included in the implemented 2017 Internal Audit Plan.
Internal Audit Over Information Security	IA #02-16	August 3, 2016	The report was issued August 26, 2016.  Follow-up procedures to verify that corrective action has been performed are included in the implemented 2017 Internal Audit Plan.
Internal Audit Over Revenue	IA #03-16	July 6, 2016	This report was issued on August 15, 2016.  Follow-up procedures to verify that corrective action has been performed are included in the implemented 2017 Internal Audit Plan.
Internal Audit Over Cash Management	IA #04-16	August 12, 2016	This report was issued August 26, 2016.  Follow-up procedures to verify that corrective action has been performed are included in the implemented 2017 Internal Audit Plan.
Internal Audit Follow-Up Over Grant Management	IA #05-16	June 9, 2016	The report was issued July 15, 2016.  No issues.
Internal Audit Follow-Up Over Information Technology	IA #06-16	August 3, 2016	The follow-up procedures over Information Technology were integrated with the Internal Audit over Information Security report issued August 26, 2016.

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**III. Consulting Services and Nonaudit Services Completed**

As defined in the Institute of Internal Auditors' International Standards for the Professional Practice of Internal Auditing and the Government Auditing Standards, 2011 Revision, Sections 3.33 – 3.58, CPRIT completed the following consulting and non-audit services for FY 2016:

Weaver consulted with CPRIT on the agreed upon procedures that detail the required audit steps to be completed for CPRIT grant recipients by an independent auditor to satisfy the State Single Audit requirements and CPRIT policies and procedures.

CohnReznick LLP was engaged by CPRIT to perform grant compliance monitoring services to ensure that CPRIT grant recipients are in compliance with Texas Uniform Grant Management Standards and CPRIT policies and procedures.

**CohnReznick FY2016 Grant Compliance Monitoring Reports**

<b>Report Name</b>	<b>Report #</b>	<b>Report Date</b>	<b>Current Status</b>
Angelo State University	PP120108	February 26, 2016	Completed. No Findings Identified.
Angelo State University	PP150086	June 17, 2016	Completed. No Findings Identified.
Baylor College of Medicine	RR150005	March 21, 2016	Completed. No Findings Identified.
Baylor College of Medicine	RR140038	March 21, 2016	Completed. No Findings Identified.
Baylor College of Medicine	R1306	March 31, 2016	Completed. No Findings Identified.
Baylor College of Medicine	RR150009	April 4, 2016	Completed. No Findings Identified.
Baylor College of Medicine	R1304	April 5, 2016	Completed. No Findings Identified.
Baylor College of Medicine	RP150648	May 5, 2016	Completed. No Findings Identified.
Baylor College of Medicine	R1314	May 13, 2016	Completed. No Findings Identified.
Baylor College of Medicine	RP150587	June 8, 2016	Completed. No Findings Identified.
Baylor College of Medicine	R1223	February 29, 2016	One finding identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	R1313	April 5, 2016	One finding identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	RP130256	May 5, 2016	One finding identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	RP110471-C3	May 26, 2016	One finding identified. Remediation testing will occur in FY 2017.

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<b>Report Name</b>	<b>Report #</b>	<b>Report Date</b>	<b>Current Status</b>
Baylor College of Medicine	RP110471-P3	May 26, 2016	One finding identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	RP110708-C1	April 4, 2016	Two findings identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	RP120092	April 13, 2016	Two findings identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	RP110553-P1	June 8, 2016	Two findings identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	RP110553-AC	June 13, 2016	Two findings identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	RP110553-C1	June 13, 2016	Three findings identified. Remediation testing will occur in FY 2017.
Baylor College of Medicine	RP110784	April 18, 2016	Seven findings identified. Remediation testing will occur in FY 2017.
Baylor Research Institute	RP110553-C3	June 13, 2016	Completed. No Findings Identified.
Baylor Research Institute	RP150638	August 4, 2016	Completed. No Findings Identified.
Baylor University	RP140399	August 4, 2016	Completed. No Findings Identified.
CerRx, Inc.	CP130023	April 5, 2016	Completed. No Findings Identified.
Immatics Biotechnologies	DP150029	November 19, 2015	Completed. No Findings Identified.
Legacy Community Health Services	PP140208	November 17, 2015	Completed. No Findings Identified.
Mercy Ministries of Laredo	PP120198	November 17, 2015	Completed. No Findings Identified.
MHMR of Tarrant County	PP120216	February 29, 2016	Completed. No Findings Identified.
MHP, Inc. Promoviendo Vidas Saludables	PP150078	November 17, 2015	Completed. No Findings Identified.
Pulmotect, Inc.	CP120014	November 17, 2015	Completed. No Findings Identified.
Rice University	RR150044	May 4, 2016	Completed. No Findings Identified.
Rice University	RP110532-C2	June 1, 2016	Completed. No Findings Identified.
Rice University	RP140024-AC	August 4, 2016	Completed. No Findings Identified.

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<b>Report Name</b>	<b>Report #</b>	<b>Report Date</b>	<b>Current Status</b>
Rice University	PP130032	August 10, 2016	Completed. No Findings Identified.
Rice University	RP140132	August 15, 2016	Completed. No Findings Identified.
Rice University	RR140073	May 10, 2016	One finding identified. Remediation testing will occur in FY 2017.
Rice University	RR140081	July 7, 2016	One finding identified. Remediation testing will occur in FY 2017.
Rice University	RP120713-P2	August 5, 2016	One finding identified. Remediation testing will occur in FY 2017.
Rice University	R1110	August 15, 2016	Two findings identified. Remediation testing will occur in FY 2017.
Rice University	R1111	February 12, 2016	Three findings identified. Remediation testing will occur in FY 2017.
Texas A&M University	RR150038	May 13, 2016	Completed. No Findings Identified.
Texas A&M University	RP150559	August 18, 2016	Completed. No Findings Identified.
Texas A&M University	PP160032	August 18, 2016	Completed. No Findings Identified.
Texas A&M University	RP140781	August 16, 2016	One finding identified. Remediation testing will occur in FY 2017.
Texas A&M University Health Science Center Institute of Biosciences and Technology	RP110532-AC	April 12, 2016	Two findings identified. Remediation testing will occur in FY 2017.
Texas A&M University System Health Science Center	PP130090	September 28, 2015	Completed. No Findings Identified.
Texas A&M University System Health Science Center	RP150637	June 28, 2016	Completed. No Findings Identified.
Texas A&M University System Health Science Center	RP150578	June 29, 2016	Completed. No Findings Identified.
Texas A&M University System Health Science Center	RP150703	July 6, 2016	Completed. No Findings Identified.
Texas A&M University System Health Science Center	PP160048	July 11, 2016	Completed. No Findings Identified.
Texas A&M University System Health Science Center	RP160051	July 18, 2016	Completed. No Findings Identified.
Texas A&M University System Health Science Center	RP110441-P3	August 18, 2016	Completed. No Findings Identified.
Texas A&M University System Health Science Center	PP150025	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.

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<b>Report Name</b>	<b>Report #</b>	<b>Report Date</b>	<b>Current Status</b>
Texas A&M University System Health Science Center	RR140053	February 12, 2016	Two findings identified. Remediation testing will occur in FY 2017.
Texas A&M University System Health Science Center	DP150086	January 28, 2016	Three findings identified. Remediation testing will occur in FY 2017.
Texas Agrilife Extension Service	PP150089	July 11, 2016	Two findings identified. Remediation testing will occur in FY 2017.
Texas AgriLife Research	RP150454	August 24, 2016	Completed. No Findings Identified.
Texas Agrilife Research	RP160589	August 25, 2016	Completed. No Findings Identified.
Texas Tech University	RP150720	August 25, 2016	Completed. No Findings Identified.
Texas Tech University	RP140298	August 25, 2016	Completed. No Findings Identified.
Texas Tech University	RP140840	September 7, 2016	Completed. No Findings Identified.
Texas Tech University	RP140478	September 8, 2016	Completed. No Findings Identified.
Texas Tech University Health Science Center at El Paso	PP140211	October 23, 2015	Completed. No Findings Identified.
Texas Tech University Health Science Center at El Paso	RP120528	September 28, 2015	Two findings identified. Remediation testing will occur in FY 2017.
Texas Tech University Health Sciences Center	RP121060	September 28, 2015	Completed. No Findings Identified.
Texas Tech University Health Sciences Center	RP130547	October 19, 2015	Completed. No Findings Identified.
Texas Tech University Health Sciences Center	RP110786	October 20, 2015	Completed. No Findings Identified.
Texas Tech University Health Sciences Center	RP130266	October 23, 2015	Completed. No Findings Identified.
Texas Tech University Health Sciences Center	PP130068	November 23, 2015	Completed. No Findings Identified.
Texas Tech University Health Sciences Center	PP150031	January 28, 2016	Completed. No Findings Identified.
Texas Tech University Health Sciences Center	PP150009	January 28, 2016	Completed. No Findings Identified.
Texas Tech University Health Sciences Center	PP130083	November 20, 2015	One finding identified. Remediation testing will occur in FY 2017.
Texas Tech University Health Sciences Center	PP130071	December 4, 2015	One finding identified. Remediation testing will occur in FY 2017.

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Texas Tech University Health Sciences Center	RP150416	April 4, 2016	One finding identified. Remediation testing will occur in FY 2017.
Texas Tech University Health Sciences Center	RP150656	July 11, 2016	One finding identified. Remediation testing will occur in FY 2017.
Texas Tech University Health Sciences Center	PP140033	December 4, 2015	Three findings identified. Remediation testing will occur in FY 2017.
The Bridge Breast Network	PP140026	November 17, 2015	Completed. No Findings Identified.
The Methodist Hospital Research Institute	RP110532-C1	October 23, 2015	Completed. No Findings Identified.
The Methodist Hospital Research Institute	RP110444-P3	November 6, 2015	Completed. No Findings Identified.
The Methodist Hospital Research Institute	DP150099	January 28, 2016	Completed. No Findings Identified.
The Methodist Hospital Research Institute	RP150611	June 20, 2016	Completed. No Findings Identified.
The Methodist Hospital Research Institute	RP121048	September 21, 2015	One finding identified. Remediation testing will occur in FY 2017.
The Methodist Hospital Research Institute	RP110444-C2	November 6, 2015	One finding identified. Remediation testing will occur in FY 2017.
The Methodist Hospital Research Institute	RP140315	February 12, 2016	One finding identified. Remediation testing will occur in FY 2017.
The Methodist Hospital Research Institute	R1112	November 23, 2015	Three findings identified. Remediation testing will occur in FY 2017.
The University of North Texas Health Science Center at Fort Worth	PP130074	November 23, 2015	Completed. No Findings Identified.
The University of North Texas Health Science Center at Fort Worth	PP120213	November 5, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas at Arlington	RP150711	September 7, 2016	Completed. No Findings Identified.
The University of Texas at Arlington	RP110465-C2	June 8, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	RP140328	August 15, 2016	Completed. No Findings Identified.
The University of Texas at Austin	DP150087	September 1, 2016	Completed. No Findings Identified.
The University of Texas at Austin	RP150346	September 7, 2016	Completed. No Findings Identified.



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The University of Texas at Austin	R1106	March 1, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	R1116	March 21, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	R1214	April 4, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	R1202	May 26, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	RP110782	May 26, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	R1120	March 21, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	RP110532-P1	March 21, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	RP110465-P4	May 26, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas at Austin	R1118	March 1, 2016	Four findings identified. Remediation testing will occur in FY 2017.
The University of Texas at Dallas	RP150713	August 15, 2016	Completed. No Findings Identified.
The University of Texas at Dallas	RP140544	August 15, 2016	Completed. No Findings Identified.
The University of Texas Health Science Center at Houston	PP120086	April 5, 2016	Completed. No Findings Identified.
The University of Texas Health Science Center at Houston	RR150104	August 23, 2016	Completed. No Findings Identified.
The University of Texas Health Science Center at Houston	RP150014	September 2, 2016	Completed. No Findings Identified.
The University of Texas Health Science Center at Houston	PP140183	September 6, 2016	Completed. No Findings Identified.
The University of Texas Health Science Center at Houston	RP160015	September 6, 2016	Completed. No Findings Identified.
The University of Texas Health Science Center at Houston	RP160235	September 6, 2016	Completed. No Findings Identified.
The University of Texas Health Science Center at Houston	RP150551	May 5, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Health Science Center at Houston	R1307	May 23, 2016	One finding identified. Remediation testing will occur in FY 2017.

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The University of Texas Health Science Center at Houston	RP110776	July 11, 2016	Three findings identified. Remediation testing will occur in FY 2017.
The University of Texas Health Science Center at Houston	R1215	April 5, 2016	Seven findings identified. Remediation testing will occur in FY 2017.
The University of Texas Health Science Center at San Antonio	RP150600	May 5, 2016	Completed. No Findings Identified.
The University of Texas Health Science Center at San Antonio	PP120089	February 12, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Health Science Center at San Antonio	RR140072	May 5, 2016	Seven findings identified. Remediation testing will occur in FY 2017.
The University of Texas M.D. Anderson Cancer Center	RP120348	March 23, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	R1227	April 5, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	R1312	April 5, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	R1301	April 11, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	R1213	April 11, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	R1203	April 11, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	RR140052	May 4, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	RR140071	May 4, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	PP150054	May 4, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	RP150535	May 4, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	RR150039	May 4, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	RP130090	May 13, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	RP130297	May 13, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	RP110465-P2	May 17, 2016	Completed. No Findings Identified.
The University of Texas M.D. Anderson Cancer Center	RP110471-P2	February 29, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas M.D. Anderson Cancer Center	RP110553-P4	March 21, 2016	One finding identified. Remediation testing will occur in FY 2017.

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The University of Texas M.D. Anderson Cancer Center	R1218	April 5, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas M.D. Anderson Cancer Center	R1205	April 11, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas M.D. Anderson Cancer Center	R1108	February 29, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas M.D. Anderson Cancer Center	RP120214	May 13, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas M.D. Anderson Cancer Center	RP110471-C1	June 1, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas M.D. Anderson Cancer Center	R1005	March 23, 2016	Three findings identified. Remediation testing will occur in FY 2017.
The University of Texas Medical Branch at Galveston	RP140020-AC	September 2, 2016	Completed. No Findings Identified.
The University of Texas Medical Branch at Galveston	RP140020-P1	September 6, 2016	Completed. No Findings Identified.
The University of Texas Medical Branch at Galveston	RP140020-C3	September 6, 2016	Completed. No Findings Identified.
The University of Texas Medical Branch at Galveston	RP140020-C3	September 7, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP140021-P3	September 28, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP140021-AC	September 29, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP140021-P2	September 29, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	R1103	September 29, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130189	September 30, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130172	October 7, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130312	October 7, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130409	October 19, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130464	October 19, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130513	October 19, 2015	Completed. No Findings Identified.

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The University of Texas Southwestern Medical Center	RP130603	October 19, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130607	October 19, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130109	October 19, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130212	October 19, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130362	October 19, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130427	October 19, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP130515	October 20, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110441-P1	October 23, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110465-AC	October 23, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110441-C1	November 9, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110595-P3	November 9, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110562-C1	November 9, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110441-P2	November 9, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110465-P1	November 9, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110486-P2	November 11, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110562-P1	November 11, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110486-AC	November 12, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110708-C3	November 16, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110708-P1	November 16, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP110708-AC	November 16, 2015	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150498	February 12, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150242	February 12, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150356	February 12, 2016	Completed. No Findings Identified.

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The University of Texas Southwestern Medical Center	RP150386	February 12, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150456	February 12, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150485	February 12, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	R1225	February 12, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150164	February 24, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RR150032	February 25, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RR150033	March 2, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RR150010	March 10, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	PP150053	June 20, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	PP150061	June 20, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150573	June 20, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150590	June 20, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150632	June 20, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150596	July 11, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160089	July 11, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160268	July 11, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160255	July 14, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160157	July 15, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160180	July 15, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160211	July 15, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160307	July 15, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160318	July 15, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160340	July 15, 2016	Completed. No Findings Identified.

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The University of Texas Southwestern Medical Center	RP160440	July 15, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP150676	July 18, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RR150058	July 18, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RR150059	July 18, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RR150089	July 18, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160493	July 18, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160030	August 4, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	RP160520	August 12, 2016	Completed. No Findings Identified.
The University of Texas Southwestern Medical Center	R1107	September 28, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP130145	October 19, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120960	October 20, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1117	October 20, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140021-P4	October 20, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP110486-P3	November 6, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP110562-AC	November 6, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP110441-AC	November 9, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP110465-P3	November 9, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP130629	November 12, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140320	November 16, 2015	One finding identified. Remediation testing will occur in FY 2017.

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The University of Texas Southwestern Medical Center	R1222	December 2, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140141	December 4, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140143	December 7, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140233	December 16, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140661	December 16, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140367	December 16, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	PP140182	December 17, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140140	December 21, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140672	December 21, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120670-AC	December 21, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120670-C1	December 21, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140402	December 21, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120670-P4	December 29, 2015	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120670-C3	January 5, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120670-P3	January 5, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120717-AC	January 5, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120717-C1	January 5, 2016	One finding identified. Remediation testing will occur in FY 2017.

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The University of Texas Southwestern Medical Center	RP140285	January 6, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120718-AC	January 6, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120717-P2	January 6, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120685-AC	January 8, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120718-C1	January 11, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120685-P2	January 12, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120685-P3	January 28, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120717-P1	January 28, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120717-P3	January 28, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120732-AC	January 28, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120718-P1	January 28, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RR140036	February 12, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RR140082	March 17, 2016	One finding identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1208	September 28, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP130272	October 19, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1115	October 20, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP110708-C2	November 6, 2015	Two findings identified. Remediation testing will occur in FY 2017.



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<b>Report Name</b>	<b>Report #</b>	<b>Report Date</b>	<b>Current Status</b>
The University of Texas Southwestern Medical Center	RP110771	November 16, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP110708-P3	November 16, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1212	November 16, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1209	November 16, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP110486-P5	November 23, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1221	November 30, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1220	December 2, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120685-C1	December 29, 2015	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140412	January 6, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120718-P2	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120718-P3	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120732-C2	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120732-P1	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	DP150051	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	DP150077	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.

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<b>Report Name</b>	<b>Report #</b>	<b>Report Date</b>	<b>Current Status</b>
The University of Texas Southwestern Medical Center	RP140655	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120718-C2	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120732-P3	January 28, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RR140084	February 12, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RR140023	February 12, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RR140042	February 17, 2016	Two findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140449	November 16, 2015	Three findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1117	November 20, 2015	Three findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP110708-P2	November 23, 2015	Three findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1216	November 23, 2015	Three findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140152	December 2, 2015	Three findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP130166	September 15, 2015	Four findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1008	November 17, 2015	Four findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	R1308	February 12, 2016	Four findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RR140025	February 12, 2016	Four findings identified. Remediation testing will occur in FY 2017.

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The University of Texas Southwestern Medical Center	R1207	September 21, 2015	Five findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP120613	December 2, 2015	Five findings identified. Remediation testing will occur in FY 2017.
The University of Texas Southwestern Medical Center	RP140110	September 29, 2015	Six findings identified. Remediation testing will occur in FY 2017.
University Health System	PP120217	April 4, 2016	Completed. No Findings Identified.
University of Houston	RP130553	August 30, 2016	Completed. No Findings Identified.
University of Houston	RP150343	September 1, 2016	Completed. No Findings Identified.
University of Houston	RR150088	September 8, 2016	Completed. No Findings Identified.
University of Houston	RP110444-AC	May 10, 2016	One finding identified. Remediation testing will occur in FY 2017.
University of Houston	RP110444-P1	May 26, 2016	One finding identified. Remediation testing will occur in FY 2017.
University of Houston	RP110444-C1	May 17, 2016	Two findings identified. Remediation testing will occur in FY 2017.
University of Houston	RR140013	May 26, 2016	Two findings identified. Remediation testing will occur in FY 2017.
University of Houston	RP130258	November 2, 2015	Seven findings identified. Remediation testing will occur in FY 2017.
Val Verde Regional Medical Center	PP150071	November 17, 2015	Completed. No Findings Identified.

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Other consulting and nonaudit services were provided by Grant Thornton. CPRIT engaged Grant Thornton as the third party to observe each in-person and telephone conference Peer Review Panel meeting and ensure compliance with conflict of interest and staff participation requirements.

Grant Thornton issued the following reports during fiscal year 2016:

Review Panel	Report #	Report Date	Current Status
Product Development			
15.4 Due Diligence	2015-10-12-PDEV	10/20/2015	Complete
16.1 PD-1 screening teleconference	2015-10-30-PDEV	11/9/2015	Complete
16.1 PD-2 screening teleconference	2015-10-29-PDEV	11/9/2015	Complete
16.1 PD – 1 onsite	2015-12-03-PDEV	12/11/2015	Complete
16.1 PD – 2 onsite	2015-12-01/02-PDEV	12/11/2015	Complete
16.1 PD Due diligence/PDRC	2016-03-21-PDEV	3/30/2016	Complete
16.2 PDP-1 screening teleconference	2016-04-07-PDEV	4/14/2016	Complete
16.2 PDP-2 screening teleconference	2016-04-08-PDEV	4/14/2016	Complete
16.2 PDP 1 In person review	2016-05-10/11-PDEV	5/20/2016	Complete
16.2 PDP 2 In person review	2016-05-12-PDEV	5/20/2016	Complete
Academic Research			
16.1 Clinical & Translational Cancer Research and Translational Cancer Research	2015-09-29-RES	10/7/2015	Complete
16.1 Cancer Prevention Research Panel	2015-09-30-RES	10/7/2015	Complete
16.1 Imaging Technology and Informatics Research	2015-10-01-RES	10/7/2015	Complete
16.1 BCR-2	2015-10-05-RES	10/13/2015	Complete
16.1 BCR-1	2015-10-06-RES	10/13/2015	Complete
16.1 Cancer Biology	2015-10-07-RES	10/13/2015	Complete
16.1 SRC	2015-10-23-RES	10/27/2015	Complete
16.2-.3 Recruits	2015-10-19-RES	10/26/2015	Complete
1-PDEV6.4 recruits	2015-11-12-RES	11/20/2016	Complete
16.5-.6 recruits	2016-01-14-RES	1/25/2016	Complete
16.7 SRC (recruits)	2016-02-11-RES	2/19/2016	Complete
16.8 SRC (recruits)	2016-03-24-RES	3/31/2016	Complete
16.2 SRC meeting (research apps)	2016-03-29-RES	4/5/2016	Complete
16.2 Cancer Prevention Research Panel	2016-03-09-RES	3/18/2016	Complete
16.2 Clinical & Translational Research and Translational Cancer Research	2016-03-9/10-RES	3/21/2016	Complete
16.2 Imaging Technology and Informatics Research	2016-03-11-RES	3/21/2016	Complete
16.2 BCR-1	2016-03-14-RES	3/21/2016	Complete
16.2 Cancer Biology	2016-03-15-RES	3/21/2016	Complete
16.2 BCR-2	2016-03-16-RES	3/25/2016	Complete

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<b>Review Panel</b>	<b>Report #</b>	<b>Report Date</b>	<b>Current Status</b>
16.9 Recruitment	2016-04-14-RES	4/20/2016	Complete
16.10 Recruitment	2016-05-26-RES	6/3/2016	Complete
16.11 Recruitment	2016-06-16-RES	6/21/2016	Complete
16.12 Recruitment	2016-07-14-RES	7/25/2016	Complete
Prevention			
16.1 Prevention panel 1	2016-07-14-RES	9/30/2015	Complete
16.1 PRC	2015-10-23-PREV	10/29/2015	Complete
16.2 Prevention Panel 1	2016-05-23/24-PRE	6/3/2016	Complete
16.2 Prevention Panel 2	2016-05-24/25-PRE	6/3/2016	Complete
16.2 PRC	2016-07-01-PREV	7/12/2016	Complete

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**IV. External Quality Assurance Review**

In accordance with professional standards, and to meet the requirements of the Texas Internal Auditing Act, Internal Audit is required to undergo an external quality assurance review at least once every three years. Weaver's review was performed in October 2013.



**System Review Report**

October 4, 2013

To the Partners of Weaver and Tidwell, L.L.P.  
and the National Peer Review Committee

We have reviewed the system of quality control for the accounting and auditing practice of Weaver and Tidwell, L.L.P. (the firm) applicable to non-SEC issuers in effect for the year ended May 31, 2013. Our peer review was conducted in accordance with the Standards for Performing and Reporting on Peer Reviews established by the Peer Review Board of the American Institute of Certified Public Accountants. As a part of our peer review, we considered reviews by regulatory entities, if applicable, in determining the nature and extent of our procedures. The firm is responsible for designing a system of quality control and complying with it to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. Our responsibility is to express an opinion on the design of the system of quality control and the firm's compliance therewith based on our review. The nature, objectives, scope, limitations of, and the procedures performed in a System Review are described in the standards at [www.aicpa.org/prsummary](http://www.aicpa.org/prsummary).

As required by the standards, engagements selected for review included engagements performed under *Government Auditing Standards*; audits of employee benefit plans, audits performed under FDICIA, and examinations of service organizations (Service Organizations Control (SOC) 1 and 2 engagements).

In our opinion, the system of quality control for the accounting and auditing practice of Weaver and Tidwell, L.L.P. applicable to non-SEC issuers in effect for the year ended May 31, 2013, has been suitably designed and complied with to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. Firms can receive a rating of *pass*, *pass with deficiency(ies)* or *fail*. Weaver and Tidwell, L.L.P. has received a peer review rating of *pass*.

*Eide Bailly LLP*

Eide Bailly LLP

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**V. Internal Audit Plan for Fiscal Year 2017**

The Internal Audit Plan was submitted to the Audit Subcommittee of the CPRIT Oversight Committee. The Audit Subcommittee approved the plan on September 6, 2016, and the Oversight Committee subsequently approved the plan on September 14, 2016. Below is the 2017 Internal Audit Plan submitted to the agency's Oversight Committee based on the results of the 2016 Internal Audit Risk Assessment update. The approved internal audit plan was submitted to the State Auditor's Office prior to November 1, 2016.

<b>Fiscal Year 2017 Internal Audit Plan</b>		
<b>Audit Area</b>	<b>Risk Rating</b>	<b>Estimated Hours</b>
Procurement and P-Cards	<b>High</b>	300-325
Pre-Award Grant Management	<b>High</b>	210-245
Internal Agency Compliance	<b>High</b>	225-250
Training Programs	<b>Moderate</b>	250-270

The internal audit over procurement and P-cards will address selected contract management and purchasing requirements of Senate Bill 20 (84<sup>th</sup> Legislature).

Planned follow-up procedures for fiscal year 2016 to verify and communicate with Management the remediation efforts of prior Internal Audit Recommendations.

<b>Fiscal Year 2017 Follow-up Procedures</b>		
<b>Audit Area</b>	<b>Risk Rating</b>	<b>Estimated Hours</b>
Information Security	<b>High</b>	90-110
Commodity and Service Contracts	<b>High</b>	50-70
Revenue	<b>Moderate</b>	40-50
Cash Management	<b>Moderate</b>	30-40

The 2016 Internal Audit Risk Assessment resulted in nine Significant Activities rated as "High" risk. Four of the nine Significant Activities are not included in the fiscal year 2017 Internal Audit Plan. Those risks are as follows:

1. **Post-Award Grant Monitoring** – Pre-Award Grant Monitoring was not included in the 2017 Internal Audit Plan. Pre-Award Grant Monitoring was included in the 2015 Internal Audit Plan, and was included in 2016 Follow-Up Procedures.
2. **Governance** – Governance was not included in the 2017 Internal Audit Plan. Governance was included in the 2014 Internal Audit Plan, and was included in 2015 follow-up procedures.
3. **Disaster Recovery and Business Continuity Planning** – Disaster Recovery and Business Continuity Planning was not included in the 2017 Internal Audit Plan.
4. **Information Technology Services** – Information Technology Services was not included in the 2017 Internal Audit Plan. Information Technology Services was included in the 2015 Internal Audit Plan, and was included in the 2016 Follow-Up Procedures.

The 2015 Internal Audit Risk Assessment was updated as part of the 2016 Internal Audit Plan. Information technology risk, including information security risk, was considered throughout the risk assessment process. Information technology risk was considered for significant processes of CPRIT to arrive at the overall risk rating for each process.

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**VI. External Audit Services Procured in FY 2016**

CPRIT engaged McConnell & Jones, LLP, a certified public accounting and consulting firm, as their external auditors for FY 2016. McConnell & Jones, LLP is registered with the Public Company Auditor Oversight Board (PCAOB).

**VII. Reporting Suspected Fraud and Abuse**

CPRIT contracts with Red Flag Reporting to provide a confidential hotline for reporting fraud, waste and abuse. The agency has posted a link on its home page at [www.cprit.state.tx.us](http://www.cprit.state.tx.us) and also has a dedicated page to fraud prevention and reporting on its website at <http://www.cprit.state.tx.us/about-cprit/fraud-prevention/>.

The CPRIT Chief Compliance Officer is the designated staff member within the agency to receive written or verbal allegations of suspected fraud, waste, and abuse. The Chief Compliance Officer has the authority to examine and investigate those allegations and turn over information of verified instances of fraud, waste, or abuse to the State Auditor's Office.