

FISCAL & COMPLIANCE COUNCIL – 2009-10 AUDIT COMPLIANCE CHECKLIST

2009-10 Audit Item	Responsible Area / Managers	Date FCC Reviewed	Date Sent to Manager	Date for Status Update to FCC	Comments	Date for Status to Governing Board	Final Target Date of Completion
2010-1 Finding: Internal Control-Safeguarding of Assets. Significant Deficiency	VP Yulian Ligioso, Director Susan Foft	3/2/11	3/9/11	4/13/11	Susan reported on status of bank reconciliations. By June all bank recon's should be caught up.	5/18/11	6/30/11
2010-2 Finding: Year-End Closing Process. Material Weakness	VP Yulian Ligioso, Director Susan Foft	3/2/11	3/9/11	4/13/11	Susan reported on year-end campus memo, internal procedures being created and staff getting trained.	5/18/11	6/30/11
2010-3 Finding: R2T4 Issue: Student Financial Aid Cluster, Pell Grants-CFDA#84.063. Significant Deficiency, Internal Control Over Compliance	EVP Arturo Reyes, Arthur Lopez, Interim Dean of Enrollment Management/Financial Aid	3/2/11	3/9/11	4/13/11	Art Lopez reported full compliance with required reporting. Staff training conducted and correct Banner set-up done.	5/18/11	6/30/11
2010-4 Finding: Concurrent Enrollment. Significant Deficiency	EVP Arturo Reyes and Barbara Fountain, Director of Admissions & Records	3/2/11	3/9/11	4/27/11	Barbara Fountain reported finding is fixed and resolved in Banner. K-12 students taking 12 or more units are automatically assessed full fees, per Ed. Code. Seven students were affected, over three terms.	5/18/11	6/30/11
2010-5 Finding: Health Fee Exemptions. Significant Deficiency	EVP Arturo Reyes, Curriculum Office, Mostafa Ghous, Director of Student Development, Shirley Lewis, Dean, Vacaville Center	3/2/11	3/9/11	4/27/11	Mostafa Ghous reported verbiage exists online on the website under the following links. Under Fees/Refunds: http://www.solano.edu/oar/fees_refunds.html	5/18/11	6/30/11

					<p>See Health Fee and click on "Health Fee Exemptions" http://www.solano.edu/oar/0910/Health%20Fee%20Exemptions.pdf</p> <p>Also reported information was forwarded to be published in the in the 2011-12 catalog under the fees section. Because catalog is issued every other year, FCC directed publishing info in the class schedule—starting with spring 2012.</p>		
PRIOR YEARS' FINDING: Bank Reconciliation-Internal Controls	VP Yulian Ligioso, Director Susan Foft	3/2/11	3/9/11	4/27/11	Susan Foft reported Judy Yu, new Acctng Manager, has immediately begun working on recon's. Both Susan & Judy to document the process for the staff for training purposes.	5/18/11	6/30/11