University of Texas at Dallas
Institutional Compliance
Fiscal Year 2007
Action Plan

#	ACTION ITEM	TARGET COMPLETION DATE
	A. RISK ASSESSMENT	
1.	Continue implementation of Enterprise Risk Management Process.	8/31/07
2.	Perform joint risk assessment using Crawford Model for three high risk areas (specific high-risk areas to be determined by 10/30/06).	6/30/07
3.	Meet with responsible parties for all high-risk areas to evaluate and update comprehensive risk assessments.	8/31/07
	B. MONITORING ACTIVITIES / ASSURANCE	
4.	Conduct one-on-one meetings with responsible parties for major high-risk areas for status updates (currently EH&S and Research Administration).	At least twice quarterly
5.	Schedule and conduct compliance inspections for FY 07. Plan for inspections is coordinated with Internal Audits.	8/31/06
6.	Conduct quarterly meetings with Compliance Subcommittee. The subcommittee includes responsible persons for all high-risk areas.	Quarterly
7.	Conduct quarterly meetings with the Compliance Committee (ECC) to review reports on the status of identified high-risk areas, new issues, and proposed new high risk areas.	Quarterly
8.	Schedule follow-up to Peer Review conducted in December 2003.	8/31/07
	C. COMPLIANCE TRAINING / AWARENESS	
9.	Implement new on-line compliance training system using Breeze. Analysis of Level of Effort by UTD IR and Adobe Breeze is in process. Implementation date will be based on this analysis.	TBD
10.	Work with Compliance Subcommittee to determine modules to be required for FY 07 university-wide annual compliance training.	11/17/07
11.	Obtain Audit & Compliance Committee approval for modules that will be required for FY 07 on-line compliance training.	11/30/06
12.	Obtain updated compliance training modules from responsible parties.	12/31/06
13.	Update compliance training modules in on-line training system.	1/15/07
14.	Schedule on-line annual compliance training for all eligible UTD	2/1/07

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	employees.	
15.	Conduct compliance orientation for UTD new hires.	Bi-weekly
16.	Coordinate presentation of required compliance training modules to Research and Teaching Assistants.	1/07 and 8/07
17.	Monitor and report on completion of required compliance training.	On-going
18.	Achieve 99% completion rate for FY 07 compliance training.	3/31/07
19.	Update Management Responsibilities Handbook.	12/31/06
20.	Update Compliance Manual.	11/30/06
21.	Develop quarterly Audit and Compliance Newsletter.	11/30/06
	D. REPORTING	
22.	Prepare FY 2007 Compliance Action Plan for UT System.	10/2/06
23.	Provide monthly reports to UT System.	Monthly
24.	Provide quarterly liaison reports to UT System.	Quarterly
25.	Prepare FY 07 annual report for UT System.	8/31/07
26.	Report status and proposed changes to High Risk Areas and Compliance Issues to Compliance Committee.	Quarterly
	E. OTHER / GENERAL COMPLIANCE	
27.	Investigate hotline reports. Communicate issues and resolution as appropriate.	On-going
28.	Attend ICAC quarterly meetings and Standing Committee.	Quarterly
29.	Participate in ICAC Standing Committee.	On-going
30.	Conduct campus survey to determine satisfaction with Compliance Office and suggestions for improvement.	5/30/07
31.	Enhance Compliance Committee reporting tools, such as Compliance Issues Log.	2/28/07