



**THE UNIVERSITY OF TEXAS AT DALLAS**  
**Quarterly Compliance Report to the Institutional Compliance Committee**

**Report for:** FY 2007, 3<sup>rd</sup> Quarter

**High Risk Area:** Academic Affairs Travel & Risk-Related Activities

**Responsible Person:** Richard Huckaba

**Incidents of Non-Compliance this Quarter:**

Yes ☐  
 No ☒

*If yes, briefly describe any known incidents of non-compliance and attach back-up documentation as appropriate. An incident of non-compliance is defined as something that you found as part of your monitoring procedures or an instance of non-compliance with the policies and procedures that are defined in your RAMP. Areas of concern are listed below.*

**What did you do as a result of the incident(s) of non-compliance?** *Briefly describe the action taken on the above incidents of non-compliance.*

**Status of Previous Incidents of Non-Compliance:** *(Review your previous reports. If you reported "Incidents of Non-Compliance" in your previous report(s), briefly describe their status).*

**Areas of concern:** *Briefly describe any concerns you wish to discuss related to your area of responsibility. This would **not** include an incident of non-compliance discussed above. This would include a concern that relates to your high-risk area that could be a potential issue in the future, an issue that is not necessarily a compliance issue, etc. I'd like to review our monitoring process to determine if we can tighten our monitoring of documenting planned vs. completed travel.*

**Training Conducted:** *(Indicate date, topic, trainer, audience, number trained, as outlined in your RAMP)*

None during this period

**Training Received:** *(Indicate date, topic, conference or meeting attended and who was trained. This section is for indicating the training received by persons responsible for high-risk areas, including their staff.)*

None during this period



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**Monitoring Method:** *Briefly describe the method of monitoring that took place during this quarter to insure compliance and what follow-up action was taken if non-compliance was found.*

All documents that have been received have been reviewed. Additionally, I have spoken with one associate dean about the precautions he may want to discuss with faculty who have students traveling independently in their own automobiles for independent research or class-related activities. Ms. Woodmansee did collect the documents as they arrived and was able to identify areas that had not submitted documentation by stated deadlines. Documents are stored in the filing room in the Office of the Provost and are filed by term.

**Have you identified any new high-risk areas?**

Yes ☐

No ☒

*If yes, briefly describe.*

This form was prepared by Richard Huckaba  
on 18 May 2007

Responsible person should sign OR email this document to the Office of Audit and Compliance at [meeoakc@utdallas.edu](mailto:meeoakc@utdallas.edu) or AD32.