

Narrative: Compliance Office

In December 2003, The University of Texas at Dallas (UTD) requested a peer review to evaluate the effectiveness of the Compliance Program, to identify opportunities for enhancement, and to determine whether The University of Texas's "Institutional Compliance Program Action Plan to Ensure Institutional Compliance" was implemented.

The peer review team recommended hiring a full-time Compliance officer who reports to the President and developing a formal work plan that corresponds with the monitoring of high risks. The peer review team also recommended: (1) the Compliance Officer meet periodically with the responsible parties; (2) the hotline be monitored by the Compliance Office and the records retention policies be reviewed; (3) responsibilities of Internal Audit and Compliance be defined; (4) training be provided to Compliance Office staff; (5) risk assessment processes be improved; (6) monitoring plans be enhanced; (7) compliance training for UTD employees be improved; and (8) the high-risk areas of Environmental Health and Safety and Research be more closely reviewed. The department implemented action plans for these recommendations in fiscal year (FY) 04 and 05.

Effective September 1, 2005, the office of Internal Audit and the office of Compliance were reorganized, and both now report to the President via the Director of Audit and Compliance. The department hired a full-time Compliance Officer, who is supported by a full-time Compliance Coordinator. The department also prepares an annual work plan. The Compliance Officer continues to work closely with the U. T. System Compliance Office and their best practices to further enhance the program. A new compliance training program for UTD employees will be implemented in 2008. Another peer review is being scheduled for the end of FY 07.