



**TABLE OF CONTENTS  
FOR  
AUDIT, COMPLIANCE, AND MANAGEMENT REVIEW  
COMMITTEE**

**Committee Meeting: 8/11/2005**  
U. T. Medical Branch - Galveston

*Robert A. Estrada, Chairman*  
*Rita C. Clements*  
*Judith L. Craven, M.D.*  
*Woody L. Hunt*  
*Cyndi Taylor Krier*

	<b>Committee Meeting</b>	<b>Board Meeting</b>	<b>Page</b>
<b>A. Convene</b>	8:00 a.m. <i>Chairman Estrada</i>		
1. <b>U. T. System: Report on the status of the Fiscal Year 2005 U. T. System Financial Statements Audit</b>	8:00 a.m. <b>Report</b> <i>Mr. Chaffin</i> <i>Mr. Wallace</i> <i>Mr. Rodney Lenfant,</i> <i>Ms. Julia Petty,</i> <i>Deloitte &amp; Touche</i>	Not on Agenda	<b>25</b>
2. <b>U. T. System: Report on the System-wide Internal Audit Activity</b>	8:10 a.m. <b>Report</b> <i>Mr. Chaffin</i>	Not on Agenda	<b>25</b>
3. <b>U. T. System: Report on audit peer reviews</b>	8:15 a.m. <b>Report</b> <i>Mr. Chaffin</i> <i>Ms. Ramos,</i> <i>U. T. Brownsville</i> <i>Ms. Thomas,</i> <i>U. T. HSC –</i> <i>San Antonio</i>	Not on Agenda	<b>27</b>
4. <b>U. T. System: Report on the System-wide Institutional Compliance Program Activity</b>	8:20 a.m. <b>Report</b> <i>Mr. Chaffin</i>	Not on Agenda	<b>27</b>
5. <b>U. T. System: Report on Research Compliance Initiatives</b>	8:25 a.m. <b>Report</b> <i>Mr. Chaffin</i> <i>Mr. St. Onge</i> <i>Ms. Wishon, UTMB</i>	Not on Agenda	<b>31</b>

<b>B. RECESS TO EXECUTIVE SESSION PURSUANT TO TEXAS GOVERNMENT CODE, CHAPTER 551</b>	<i>Committee Meeting</i> 8:30 a.m.	Board Meeting
Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of Officers or Employees - Section 551.074	<i>Ms. Norma Ramos, UT Brownsville</i> <i>Ms. Diane Thomas, UTHSC - San Antonio</i> <i>Mr. Michael Holtrop,</i> <i>Mr. Terry Reeves,</i> <i>UTMB</i>	Not on Agenda
<b>U. T. System: Discussion with institutional internal auditors and compliance officers concerning evaluation and duties of System and institutional employees involved in internal audit and compliance functions</b>		
<b>C. RECONVENE TO CONSIDER ANY ACTION FROM EXECUTIVE SESSION AND ADJOURN</b>	8:55 a.m.	

1. **U. T. System: Report on the status of the Fiscal Year 2005 U. T. System Financial Statements Audit**

REPORT

Mr. Rodney Lenfant, Deloitte & Touche LLP, will report on the interim work performed relating to the Fiscal Year 2005 financial statement audit and the firm's plan for the completion of the audit.

BACKGROUND INFORMATION

In November 2003, the U. T. System Board of Regents approved an initiative to implement the "spirit" of the Sarbanes-Oxley Act as a good faith effort toward manifesting financial accountability and compliance in the public sector. As a result, in June 2004, the Board of Regents sought proposals for a comprehensive annual financial statement audit by an independent certified public accounting firm to obtain assurance that U. T. System has a sound financial base and adequate resources to support the mission of the organization and the scope of its programs and services.

A Request for Qualifications (RFQ) was distributed by U. T. System staff in June 2004. Two proposals were received. After a review of the proposals and firm interviews by Committee Chairman Estrada and U. T. System staff, the Board of Regents authorized U. T. System staff to negotiate and enter into an auditing services contract with Deloitte & Touche LLP, at the July 16, 2004 Board of Regents' meeting. The contract, which terminates on April 1, 2006, provides U. T. System the option to renew for two additional one-year terms.

2. **U. T. System: Report on the System-wide Internal Audit Activity**

REPORT

Mr. Charles Chaffin, Chief Audit Executive and System-wide Compliance Officer, will report on System-wide audit activity including progress toward audit plan completion and the status of outstanding significant recommendations for the third quarter of Fiscal Year 2005.

The third quarter activity report on the Status of Outstanding Significant Recommendations is set forth on Pages 26.1 - 26.5. Additionally, a list of other audit reports issued by the System-wide audit program and the State Auditor's Office follows on Page 26.6.

There are two types of audit findings/recommendations: 1) reportable and 2) significant. A "reportable" audit finding/recommendation should be included in an audit report if it is material to the operation, financial reporting, or legal compliance of the audited activity, and the corrective action has not been fully implemented. "Significant" audit findings/recommendations are reportable audit findings/recommendations that are deemed significant at the institutional level by each U. T. institutional internal audit committee or designee.

Significant audit findings/recommendations are submitted to and tracked by the System Audit Office. Quarterly, the chief business officers are asked for the status of implementation; the internal audit directors verify implementation. A summary report is provided to the Audit, Compliance, and Management Review Committee of the U. T. System Board of Regents. Additionally, the Committee members receive quarterly a detailed summary of new significant recommendations.

THE UNIVERSITY OF TEXAS SYSTEM  
Status of Outstanding Significant Recommendations

26.1

Report Date	Institution	Audit	2nd Quarter		3rd Quarter		Targeted Implementation Date	Overall Progress Towards Completion (Note 1)	Ranking Significance
			Ranking	# of Significant Findings	Ranking	# of Significant Findings			Material to Institution's Fin. Stmts. ("F"), Compliance ("C"), and/or Operations ("O")
1998-07	UTHSC-H	Federal Contracts & Grants Review		1		1	8/1/2005	Satisfactory	C
2000-04	UTHSC-H	Medical Service Research & Development Plan Summary of Operations Review		1		1	8/31/2005	Satisfactory	C
2001-08	UTMDACC	Lotus Notes Environment		2		2	11/15/2005	Satisfactory	O
2001-10	UTMDACC	Disaster Recovery/Business Continuity Planning		1		1	7/31/2005	Satisfactory	O
2001-11	UTT	Information Technology General Security Review		1		0	3/1/2005	Completed	O
2002-04	UTB	General Controls Audit of Information Technology		1		0	8/31/2005	Completed	O
2002-07	UTHSC-H	Healthcare Billing Compliance Review		1		0	8/31/2005	Completed	F, C
2002-08	UTHSC-SA	Institutional Compliance Program		2		1	9/1/2005	Satisfactory	C
2002-08	UTSYS ADM	Travel and Entertainment Expenditures		1		1	6/30/2005	Satisfactory	C, O
2002-11	UTMDACC	Temporary Personnel		1		1	6/30/2005	Satisfactory	O
2003-05	UTMB Galveston	Delivery of Operating Room Services		2		2	3/31/2006	Satisfactory	O
2003-06	UT Austin	University Data Center		1		0	3/15/2005	Completed	O
2003-06	UTA	Internal Audit Office Peer Review		1		0	6/30/2005	Completed	O
2003-06	UTD	General Controls		1		1	7/1/2005	Satisfactory	O
2003-08	UTMB Galveston	Pharmacy Costs of Goods Sold Review		1		1	9/30/2005	Satisfactory	O
2003-08	UTMB Galveston	School of Medicine Office of Student		1		1	6/30/2005	Satisfactory	C
2003-09	UTHC-T	Medical Services, Research and Development Plan AFR		1		1	8/31/2005	Unsatisfactory	F, O
2003-09	UTHSC-H	Quality Assessment of The Office of Auditing and Advisory Services		1		1	7/15/2005	Satisfactory	C, O
2003-09	UTSYS ADM	System Available Balances		1		1	6/30/2005	Satisfactory	F
2003-11	UTMDACC	Pharmacy Charge Capture		1		0	5/1/2005	Completed	O
2003-12	UTD	Lab and Biological Safety		1		1	12/31/2005	Satisfactory	C, O

THE UNIVERSITY OF TEXAS SYSTEM  
Status of Outstanding Significant Recommendations

26.2

Report Date	Institution	Audit	2nd Quarter		3rd Quarter		Targeted Implementation Date	Overall Progress Towards Completion (Note 1)	Ranking Significance
			Ranking	# of Significant Findings	Ranking	# of Significant Findings			Material to Institution's Fin. Stmt. ("F"), Compliance ("C"), and/or Operations ("O")
2004-01	UTEP	Information Technology - General Controls Review		1		1	8/31/2005	Satisfactory	O
2004-01	UTMDACC	2003 Mainframe Disaster Recovery Test		1		1	12/31/2005	Satisfactory	O
2004-01	UTMDACC	PeopleSoft Payroll		1		1	8/31/2005	Satisfactory	O
2004-02	UT Austin	Compliance Inspection: Account Reconciliation and Segregation of Duties		1		1	6/30/2005	Satisfactory	C
2004-02	UTHSC-SA	MSRDP Front-End Billing		3		3	8/31/2005	Satisfactory	O
2004-02	UTMB Galveston	Compliance Inspection: Account Reconciliation and Segregation of Duties		2		2	12/31/2005	Satisfactory	F, O
2004-03	UT Austin	Information Security Management		2		2	8/31/2005	Satisfactory	C, O
2004-03	UTB	Contracts and Grants		1		1	9/15/2005	Satisfactory	C, O
2004-03	UTPA	Accounts Receivable and Allowance for Bad Debts		2		2	8/31/2005	Satisfactory	C
2004-03	UTSA	Information Technology Organization and Planning Controls		2		2	11/30/2005	Satisfactory	F, O
2004-04	UTHC-T	Capital Assets FYE 8/31/03		2		2	8/31/2005	Unsatisfactory	C, O
2004-04	UTHC-T	Discretionary Funds		2		2	8/31/2005	Satisfactory	F, O
2004-05	UTA	Office of Research - Grants/Contracts		1		1	8/31/2005	Satisfactory	C
2004-06	UTB	2003 Financial and Applications Controls Audit of the Financial Aid Office		1		1	7/1/2005	Satisfactory	C, O
2004-06	UTHC-T	Surgical Services		1		0	5/31/2005	Completed	F, C, O
2004-07	UTEP	Facility Services		1		1	3/31/2006	Satisfactory	O

THE UNIVERSITY OF TEXAS SYSTEM  
Status of Outstanding Significant Recommendations

26.3

Report Date	Institution	Audit	2nd Quarter		3rd Quarter		Targeted Implementation Date	Overall Progress Towards Completion (Note 1)	Ranking Significance
			Ranking	# of Significant Findings	Ranking	# of Significant Findings			Material to Institution's Fin. Stmt. ("F"), Compliance ("C"), and/or Operations ("O")
2004-07	UTMB Galveston	Basic and Clinical Research Management (BACRM) & Contracts and Grants (C & G)		6		5	12/31/2005	Satisfactory	F, C, O
2004-08	UT Austin	Texas Box Office/Paciolan Ticketing System		1		1	11/30/2005	Satisfactory	O
2004-09	UTHC-T	Cash and Cash Equivalents		1		1	10/31/2005	Satisfactory	C, O
2004-09	UTMB Galveston	Agreed Upon Procedures on Financial Statement Fund Balance		4		4	11/30/2005	Satisfactory	F, O
2004-09	UTMB Galveston	Endowment Compliance Program of the Office of University Advancement ("OUA")		3		2	8/31/2005	Satisfactory	C, O
2004-09	UTPB	Lab Safety		4		3	8/31/2005	Satisfactory	C
2004-09	UTSA	Research Compliance - Time and Effort Reporting		1		1	8/31/2005	Satisfactory	C
2004-09	UTSA	Year End Financial Review for FY 2003		2		0	5/31/2005	Completed	F
2004-10	UTB	Physical Plant		3		3	9/30/2005	Satisfactory	C, O
2004-11	UTSA	Scholarship Management		1		1	8/31/2005	Satisfactory	O
2004-12	UTA	TAC 202 Information Security Compliance				1	8/31/2005	Satisfactory	C
2004-12	UTSA	Texas Administrative Code 202		4		2	12/31/2005	Satisfactory	O
2005-01	UTPA	NCAA Compliance Camps & Clinics		1		0	3/31/2005	Completed	C
2005-02	UT Austin	Credit Card Processing		1		1	6/30/2005	Satisfactory	O
2005-02	UTEP	Sub-recipient Grants		2		0	3/1/2005	Completed	O
2005-03	UTMB Galveston	Compliance Update with the HIPAA Final Security Rule				2	8/31/2005	Satisfactory	C, O
2005-03	UTSA	IT Vulnerability Assurance & Action Plan Follow-Up Report				1	9/1/2005	Satisfactory	O
2005-04	UTHC-T	TAC 202 Compliance				1	9/1/2007	Unsatisfactory	C

THE UNIVERSITY OF TEXAS SYSTEM  
Status of Outstanding Significant Recommendations

Report Date	Institution	Audit	2nd Quarter		3rd Quarter		Targeted Implementation Date	Overall Progress Towards Completion (Note 1)	Ranking Significance
			Ranking	# of Significant Findings	Ranking	# of Significant Findings			Material to Institution's Fin. Stmts. ("F"), Compliance ("C"), and/or Operations ("O")
2005-04	UTT	East Texas Rural Fiscal and Physical Outreach Program Grant				1	12/31/2005	Satisfactory	C
2005-05	UTEP	Office of the Registrar				4	3/1/2006	Satisfactory	O
2005-05	UTSA	DEFINE Access Controls				2	7/1/2005	Satisfactory	O
Totals				82		76			

26.4


**STATE AUDITOR'S OFFICE AUDITS**


2002-05	UTMDACC	Statewide Single Audit report for Year Ended August 31, 2001		1		1	6/31/2005	Satisfactory	C
2002-09	UTB	A Financial Review		1		1	9/1/2005	Satisfactory	F
2002-11	UTMB	Security Over Electronic Protected Health Information at Selected Texas Academic Medical Institutions		1		1	8/31/2005	Satisfactory	C
2002-11	UTMDACC	Security Over Electronic Protected Health Information at Selected Texas Academic Medical Institutions		3		2	8/31/2005	Satisfactory	C
2004-02	UTSA	Financial Review		3		3	9/30/2005	Satisfactory	F
2004-06	UT Austin	Protection of Research Data at Higher Education Institutions		3		3	12/31/2005	Satisfactory	O
2004-06	UT Southwestern	Protection of Research Data at Higher Education Institutions		3		3	12/31/2005	Satisfactory	O
2004-06	UTHSC-SA	Protection of Research Data at Higher Education Institutions		3		3	8/31/2005	Satisfactory	O
2004-06	UTSYS ADM	Protection of Research Data at Higher Education Institutions		2		1	8/31/2005	Satisfactory	O
2004-10	UTHSC-H	Cash Controls		8		6	9/1/2005	Satisfactory	F
2005-02	UT Southwestern	Federal Portion of the Statewide Single Audit				0	9/1/2004	Completed	C
2005-02	UTMDACC	Federal Portion of the Statewide Single Audit				2	9/1/2005	Satisfactory	C
Totals				28		26			


n/a - State Auditor's Office recommendations are significant by definition.




Color Legend:

 Any audit with institutionally significant findings. Not necessarily a failure - just an area that needs high level attention. Corrective action will be taken subsequent to the quarter in which the finding was reported.

 Significant progress toward resolution was made during the quarter in which the significant finding was first reported.

 A red or orange audit becomes a yellow when significant progress continues beyond the quarter in which the significant finding was first reported.

 All issues have been appropriately resolved, including any issues resolved during the quarter in which they were first reported.

Note: **Completed** - The institution Internal Audit Director deems the significant issues have been appropriately addressed and resolved.

**Satisfactory** - The institution Internal Audit Director believes that the significant issues are in the process of being addressed in a timely and appropriate fashion.

**Unsatisfactory** - The institution Internal Audit Director does not feel that the significant issues are being addressed in a timely and appropriate fashion.

**\* OTHER U. T. SYSTEM AUDITS COMPLETED - 3/2005 through 5/2005**

<b>Month Received by System</b>	<b>Institution</b>	<b>Audit</b>
2005-03	UT Arlington	Department of English
2005-03	UT Arlington	Departmental Review - Dean's Office, College of Liberal Arts
2005-03	UT Arlington	Internal Controls over Expenditures/Materials and Supplies Expenditures
2005-03	UT El Paso	Chemistry Department Follow Up
2005-03	UT San Antonio	IT Vulnerability Assurance & Action Plan Follow Up
2005-03	UT Southwestern	Front End Processes Review
2005-03	UT System Admin	Real Estate Office Change in Management
2005-03	UT System Admin	Texas Administrative Code 202 Compliance (Information Security Compliance)
2005-04	UT Arlington	Departmental Review - Registrar's Office
2005-04	UT Arlington	Departmental Review - Military Science
2005-04	UT Arlington	Internal Controls Over Revenue
2005-04	UT El Paso	Center for Environmental Resource Management
2005-04	UT El Paso	Facility Services
2005-04	UT El Paso	Fixed Asset Inventory
2005-04	UT El Paso	Time and Effort
2005-04	UTHSC San Antonio	Internal Quality Assurance Review
2005-04	UT San Antonio	Advanced Research/Technology Programs
2005-04	UT San Antonio	Cash Operations
2005-04	UT Tyler	Administrative Cost Review
2005-04	UT Tyler	Annual Financial Report 2003
2005-04	UT Tyler	Annual Financial Report 2004
2005-04	UT Tyler	Information Systems Security Inventory and Vulnerability Assessment - Phase 2
2005-04	UT Tyler	Automated Budget System of Texas
2005-04	UT Tyler	Compliance Inspection: Account Reconciliations & Segregation of Duties
2005-04	UT Tyler	Office of the Provost & VP for Academic Affairs
2005-04	UT System Admin	Follow Up Audit 1st Quarter Fiscal Year 2005
2005-05	UT Dallas	Lena Callier Trust for the Hard of Hearing and the Deaf
2005-05	UT Dallas	Time & Effort Follow Up
2005-05	UTHC Tyler	Office of the President
2005-05	UTHSC Houston	Internal Medicine
2005-05	UTHSC Houston	OB-GYN Residency LBJ
2005-05	UTHSC Houston	OB-GYN Residency MHH
2005-05	UTHSC San Antonio	Medical Travel & Consulting
2005-05	UTHSC San Antonio	PeopleSoft Lab Animal Resources
2005-05	UTMB - Galveston	Governor's Executive Order on Fraud Prevention and Detection
2005-05	UTMB - Galveston	Kronos Audit Report
2005-05	UT Southwestern	Construction Management Follow Up
2005-05	UT System Admin	Employee Group Insurance
2005-05	UT System Admin	Institute for Public School Initiatives

**\* STATE AUDITOR'S OFFICE AUDITS COMPLETED - 3/2005 through 5/2005**

<b>Report Issuance Date</b>	<b>Institution</b>	<b>Audit</b>
2005-02	UT Austin	Federal Portion of the Statewide Single Audit
2005-02	UT Southwestern	Federal Portion of the Statewide Single Audit
2005-02	MDACC	Federal Portion of the Statewide Single Audit
2005-02	UTHSC San Antonio	Federal Portion of the Statewide Single Audit

**3. U. T. System: Report on audit peer reviews**

REPORT

Mr. Charles Chaffin, Chief Audit Executive and System-wide Compliance Officer, will provide an update on external audit peer review activities at the institutions and U. T. System Administration.

Ms. Norma Ramos, Director of Internal Audits, U. T. Brownsville and Ms. Diane Thomas, Director of Internal Audits, U. T. Health Science Center - San Antonio will present the results of the recent peer reviews at their respective institutions.

**4. U. T. System: Report on the System-wide Institutional Compliance Program Activity**

REPORT

Mr. Charles Chaffin, Chief Audit Executive and System-wide Compliance Officer, will report on the status of the System-wide Compliance Program. A summary report of the 3rd quarter activities is set forth on Pages 28 - 30. Activity reports are presented to the Audit, Compliance, and Management Review Committee on a quarterly basis.

**The University of Texas System  
Institutional Compliance Program  
3<sup>rd</sup> Quarter Report Summary, FY 2005**

**Program Executive Summary**

The purpose of the Institutional Compliance Program is to ensure that the UT System, the fifteen institutions, UTIMCO and System Administration are in compliance with all applicable laws, policies and regulations of the numerous bodies responsible for oversight of higher education institutions. This is achieved through institutional compliance risk assessments, awareness education, and ongoing monitoring. The System-wide Compliance Officer, Mr. Charles G. Chaffin, is responsible for apprising the Chancellor and the Board of Regents of the institutional compliance functions and activities. Each institution has appointed a compliance officer and established an appropriate reporting mechanism for program activities, using Compliance Committees that meet on average quarterly. During the 3<sup>rd</sup> quarter, 16 of the 17 institutional Compliance Committees reported that they met. Additionally, the following significant *organizational changes* have occurred this quarter: a new Director of Research Compliance was appointed at UT Arlington, at UT Dallas a new Compliance Coordinator was appointed and a new Director of Environmental Health and Safety was hired, at UT Tyler a New Director of Sponsored Research was appointed, additional members were added to the Institutional Compliance Committees at UT Southwestern and UT Pan American, and vacancies were posted in the positions of Institutional Compliance Program Director, Manager of Medical Billing Compliance and Manager of Health Care Billing Compliance at UT Health Science Center at Houston.

**Summary of Quarterly Activity:** The following *monitoring activities* were conducted by many of the institutions:

**Risk Assessment** – the following high-risk areas were assessed: employment discrimination, sexual harassment, IT use and password protection standards, SSN confidentiality and privacy issues, implementation of relevant Sarbanes-Oxley provisions, physician and non-physician licensing and data security.

**Endowments** (endowment compliance) – annual reports were completed and submitted to UT System. Additionally, the areas of expenditures and awarding of endowed scholarships were monitored.

**Environmental Health and Safety** (compliance with federal and state regulations) – the following areas were reviewed: chemical waste management, fire and disaster drills, radioactive material inventory, certification of hazardous materials and chemicals, sanitary sewer discharges, asbestos abatement projects, and food establishment inspections. Additionally, lab safety inspections and compliance audits were conducted.

**Fiscal Matters** (compliance with policies and procedures and established internal controls) – monitoring activities were performed in the areas of equipment inventory, procurement card activity and account reconciliation completion.

**The University of Texas System  
Institutional Compliance Program  
3<sup>rd</sup> Quarter Report Summary, FY 2005**

**Human Resources** – monitoring of compliance requirements for payroll activity, overtime activity and the processing of I9 forms.

**Information Resources/Security** (in clinical billing situations) – monitoring of compliance requirements for medical coding and billing and HIPAA compliance.

**Intercollegiate Athletics** – monitoring of NCAA compliance related to student eligibility, recruiting, and enrollment.

**Research** – monitoring of research compliance requirements related to human subject research, research conflicts of interest, unallowable costs, HUB requirements, and time and effort reporting.

**Student Affairs** (compliance with federal standards) – monitoring activities were performed in the areas of FERPA privacy compliance, international student and/or employee status tracking, federal aid disbursement activities, and student financial aid eligibility.

**Assurance activities included:** distribution of *Financial and Internal Controls Self Assessments*, reviews of Time and Effort Reporting, review of the implementation of State Bill 3015 – Tuition Deregulation, inspections of various high risk areas at several institutions, quality assurance reviews were conducted to validate management certifications, Fire Marshall inspections, and internal audits in the areas of grants and contracts and fiscal matters. Additionally, Compliance Program Peer reviews were completed for two of the institutions during the quarter.

**Training Activities included:** new employee training, general compliance training, Blood borne Pathogens, Fire Life Safety training, Radiation Safety training, Emergency Response training, Capitalized and Controlled Asset Removal and Transfer System (CCART) training, Equal Employment Opportunity training, sexual harassment and sexual misconduct training, HIPAA security rule training, IT security vs. privacy training, electronically protected health information compliance standards training, medical billing compliance training, management training, endowment compliance and endowment database training, I9 form training, student travel training, professional travel training, faculty tenure and promotion training, personnel effort reporting training of Grants and Contracts staff, student financial aid training, storm water training, HUB training, hazardous communications training, infectious substance shipping training, radiation safety and mold awareness training, FEMA National Response Plan training, IT system administrator server security training, records retention training, leave administration training, research coordinator training, clinical documentation training, IRB NIH training, physician training and SOX training all occurred this quarter.

**Action Plan Activities**

Many of the items identified in the Action Plans are in progress or completed at this time. These include, but are not limited to the following: revision and improvement of the

**The University of Texas System  
Institutional Compliance Program  
3<sup>rd</sup> Quarter Report Summary, FY 2005**

Institutional Compliance Training Program to include hospital operation and link the program to a new learning management system, updating of Management Responsibilities Handbook, updating the Standards of Conduct Guide, facilitation of compliance awareness surveys, modification of the endowment tracking system, improvement in documentation of hotline cases, compliance website updates and revisions, review and documentation of endowment files, correction of fire safety equipment, and overall training program revisions.

## 5. U. T. System: Report on Research Compliance Initiatives

### REPORT

Research activities within the U. T. System are governed by federal and state laws and institutional policies and procedures. Noncompliance with these rules and regulations can result in significant penalties to the institution and, in some instances, to the individual researcher. Research compliance programs have been established at each institution to ensure compliance with grant management, time and effort reporting, protection of human subjects, the welfare of animals, the safe use of recombinant DNA, and pathogens and toxins and to enhance the ethical conduct.

Mr. Chaffin, Chief Audit Executive and System-wide Compliance Officer; Mr. Richard St. Onge, Assistant Vice Chancellor for Health Affairs; and Ms. Angela Wishon, Research Compliance Officer, U. T. Medical Branch - Galveston, will provide an update on several research compliance initiatives related to time and effort reporting, institutional review board accreditation, biosafety, and compliance audits.