

Administrative and Educational Support Report

Compliance Support Services

Annual Action Plan
Annual Assessment Report

June 2005 – May 2006



Annual Action Plan: June 1, 2005–May 31, 2006

Unit: Compliance Support Services

UTPA Mission: The University of Texas-Pan American (UTPA) serves the higher education needs of a rapidly growing, international, multicultural population in the South Texas Region. The University preserves, transmits and creates knowledge to serve the cultural, civic, and economic advancement of the region and the state. The University provides students advanced instruction in academic programs offered through innovative delivery systems that lead to professional certification, and baccalaureate, master’s and doctoral degrees. Through teaching, research, creative activity and public service, UTPA prepares students for lifelong learning and leadership roles in the state, nation and world community.

Division: Business Affairs **Unit Head:** Wilson Ballard

Unit Mission: The University of Texas-Pan American endeavors to fulfill all of its responsibilities to the people of Texas in an environment based on ethical behavior and compliance to applicable laws and rules (*BPM 63, HOP 2.4.1*).

Unit Goal: The Institutional Compliance Program will provide:

- assurance that all faculty and staff are aware of their duties and responsibilities in establishing and sustaining the desired compliance environment
- a mechanism for continuously assessing the effectiveness of that environment in assuring that all UT Systems business is conducted with integrity.
- direct support to management in removing obstacles to making improvements that will provide greater assurance of compliance.

Link to UTPA Goal(s): 3. Improve UTPA’s organizational effectiveness

Unit Objective (Action Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome for Unit Objective (AA-Measurable Objective)	Strategy(ies) to Achieve Expected Outcomes	Assessment Criteria, Evaluation Methods for Expected Outcome	New Resources Needed in FY06
Enhance management of high risk areas. (1)	7	<ul style="list-style-type: none"> • Achievement of comprehensive risk analysis as a basis of areas to focus. • Extent of high risks judged to be 	<ul style="list-style-type: none"> • Participate on risk assessment committee of UT System Compliance Advisory Council. • Organization of agenda material for 	<ul style="list-style-type: none"> • Assess against UT System best practices in risk assessment. • Compliance Risk and Mitigation 	<ul style="list-style-type: none"> • Software purchase made in FY 05 for \$3000. • Annual maintenance cost starting FY06 of \$1800.

Unit Objective (Action Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome for Unit Objective (AA-Measurable Objective)	Strategy(ies) to Achieve Expected Outcomes	Assessment Criteria, Evaluation Methods for Expected Outcome	New Resources Needed in FY06
		functioning at “low probability of occurrence.”	<p>Compliance Committee that is effective in getting support for progress.</p> <ul style="list-style-type: none"> Compliance inspections and abbreviated reporting integrated into process. Streamline quarterly reporting for high risk areas with survey software. 	Status Report for each quarter.	
Address compliance questions in a timely effective manner. (2)	7	<ul style="list-style-type: none"> Specified timeline by the President met: initial response in 2 weeks and closed within 6 weeks except in extenuating circumstances. UTPA’s “raise compliance question” approach defended. 	<ul style="list-style-type: none"> 2/month reporting of status of open items to members of compliance committee Monthly assertion of our position on reports to UT System/Articulation of advantages of our approach in light of revisions to Uniform Sentencing Standards Guidelines Use data from OCEG 	<ul style="list-style-type: none"> Metric- Aging of open items and items closed on report of status included in agenda materials for each compliance committee meeting. OGC approval of our revised HOP 2.4.1 in a form that leaves the “raising compliance questions” approach intact. Is exemption from 	No additional resources.

Unit Objective (Action Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome for Unit Objective (AA-Measurable Objective)	Strategy(ies) to Achieve Expected Outcomes	Assessment Criteria, Evaluation Methods for Expected Outcome	New Resources Needed in FY06
		<ul style="list-style-type: none"> Exemption from Texas Open Records with regards to compliance questions filed. 	<p>Benchmarking Survey item on open record/ confidentiality issue; work with UT System Compliance Advisory Council to promote this as a legislative agenda item</p>	<p>Texas Open Records for compliance questions files attained – yes or no.</p>	
<p>Train university employees in the compliance responsibilities of their jobs. (3)</p>	<p>7</p>	<ul style="list-style-type: none"> 95% complete in general compliance training. 95% complete in compliance training for supervisors Appropriate training plans implemented by responsible parties for all high risk areas. 	<ul style="list-style-type: none"> Use Training Post to deliver general compliance training Annual compliance assurance statements signed by all employees to reinforce their responsibilities Give all new employees in-person introduction to compliance program in their new employee orientations. Give all supervisors in-person training in a combination of sessions for specific departments and integrated sessions with new employee orientation 	<ul style="list-style-type: none"> Percent complete on Training Post- as reported each quarter to compliance committee. Percent complete for supervisors as reported each quarter to compliance committee. Compliance Risk and Mitigation Status Report for each quarter shows extent of implementation of training plans in high risk areas. 	<p>No additional resources.</p>

Unit Objective (Action Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome for Unit Objective (AA-Measurable Objective)	Strategy(ies) to Achieve Expected Outcomes	Assessment Criteria, Evaluation Methods for Expected Outcome	New Resources Needed in FY06
			presentations. • Support responsible parties in developing and deploying specialized training for high risk areas.		
Develop capabilities within Oracle for compliance training. (4)	7	<ul style="list-style-type: none"> • Much enhanced tracking of completion of all compliance training. • Consolidated training record for each employee of all training taken. • Assignment to training based on job position requirements integrated within HR system. 	<ul style="list-style-type: none"> • Dedicate 40% FTE to Oracle Implementation Team for implementation of training capabilities 	Achievement of objectives- yes or no	No Additional resources



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Link to UTPA Goal(s): 3. Improve UTPA’s organizational effectiveness

Unit Objective (Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome	Assessment Criteria, Evaluation Methods	Assessment Results (Use actual data to describe annual performance)	Use of Results (What change was made?)
Enhance management of high risk areas. (1)	7	<ul style="list-style-type: none"> • Achievement of comprehensive risk analysis as a basis of areas to focus. 	<ul style="list-style-type: none"> • Assess against UT System best practices in risk assessment. 	<ul style="list-style-type: none"> • Significant extensions to the compliance risk assessment were made in Summer 2005. 	<ul style="list-style-type: none"> • Major areas remaining are pending Oracle go-live, as we need time with staff heavily loaded with implementation.

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Unit Objective (Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome	Assessment Criteria, Evaluation Methods	Assessment Results (Use actual data to describe annual performance)	Use of Results (What change was made?)												
		<ul style="list-style-type: none"> Extent of high risks judged to be functioning at “low probability of occurrence.” 	<ul style="list-style-type: none"> Compliance Risk and Mitigation Status Report for each quarter. 	<ul style="list-style-type: none"> High risk areas judged to be functioning at “low probability to occur”. <p>4rd Qtr FY05 – 13 or 41% 3rd Qtr FY06 – 19 or 56%</p>	<p>Complete in FY07.</p> <ul style="list-style-type: none"> Highlighted change to Institutional Compliance Committee and solicited their support for further progress. 												
Address compliance questions in a timely effective manner. (2)	7	<ul style="list-style-type: none"> Specified timeline by the President met: initial response in 2 weeks and closed within 6 weeks except in extenuating circumstances. UTPA’s “raise compliance question” approach defended. Exemption from Texas Open Records with 	<ul style="list-style-type: none"> Metric- Aging of open items and items closed on report of status included in agenda materials for each compliance committee meeting. OGC approval of our revised HOP 2.4.1 in a form that leaves the “raising compliance questions” approach intact. Is exemption from Texas Open Records for compliance 	<ul style="list-style-type: none"> Reduced average days outstanding: <table border="1" data-bbox="1308 795 1661 966"> <thead> <tr> <th></th> <th>1st Qtr FY 06</th> <th>3rd Qtr FY 06</th> </tr> </thead> <tbody> <tr> <td>Open</td> <td>305</td> <td>44</td> </tr> <tr> <td>Closed</td> <td>43</td> <td>49</td> </tr> <tr> <td>Ext Circ</td> <td>635</td> <td>663</td> </tr> </tbody> </table> <ul style="list-style-type: none"> No advance on OGC approval of our revised HOP 2.4.1. No exemption from Texas Open Records for compliance 		1 st Qtr FY 06	3 rd Qtr FY 06	Open	305	44	Closed	43	49	Ext Circ	635	663	<ul style="list-style-type: none"> Stay the course We will develop the story of the success of the program to support this point. We will use it perhaps after positive working relations with incoming executive Vice Chancellor are established. Work with Compliance Coordinators from
	1 st Qtr FY 06	3 rd Qtr FY 06															
Open	305	44															
Closed	43	49															
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		regards to compliance questions filed.	questions files attained – yes or no.	questions.	other campuses to put on legislative agenda.
Train university employees in the compliance responsibilities of their jobs. (3)	7	<ul style="list-style-type: none"> • 95% complete in general compliance training. • 95% complete in compliance training for supervisors • Appropriate training plans implemented by responsible parties for all high risk areas. 	<ul style="list-style-type: none"> • Percent complete on Training Post- as reported each quarter to compliance committee. • Percent complete for supervisors as reported each quarter to compliance committee. • Compliance Risk and Mitigation Status Report for each quarter shows extent of implementation of training plans in high risk areas. 	<ul style="list-style-type: none"> • 93.8% complete - 3rd Qtr FY06. This will increase to above 95.5 with Spanish in-person version in Physical Plant 5/25/06. • 97.8% complete - 3rd Qtr FY06. • High risk areas showed training plans implemented: • 4rd Qtr FY05 – 19 or 61% • 3rd Qtr FY06 – 21 or 64%. 	<ul style="list-style-type: none"> • Stay the course • Continue to train new supervisors. • Focus attention and support on responsible parties who are not developing and deploying training plans for their high risks.
Develop capabilities within Oracle for compliance training. (4)	7	<ul style="list-style-type: none"> • Much enhanced tracking of completion of all compliance training. • Consolidated training record for each 	Achievement of objectives- yes or no.	Development of capabilities within Oracle for compliance training was left out of Phase 1 of implementation.	Wait.

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		employee of all training taken. <ul style="list-style-type: none"> • Assignment to training based on job position requirements integrated within HR system. 			