



September 26, 2012

Dr. Daniel,

Our fiscal year 2012 Audit Plan requires a report to document the assurances provided by the Office of Audit and Compliance in the research compliance area. This report serves to document results of internal audits performed during fiscal year 2012 relating to research compliance. The following internal audit reports were issued:

Departmental Audits: The objectives of these audits are to ensure that an adequate system of internal controls is in place in the department to provide reasonable assurance of sound management. The following departments receive research funding, and we performed testing on research expenses during these audits. *There were no recommendations specific to research compliance in these audits.*

Report Number	Audit	Issue Date
R1203	Physics	11/3/2011
R1204	Biology	11/29/2011
R1216	Mathematical Sciences	6/1/2012
R1219	Natural Sciences & Mathematics	7/12/2012

Compliance Audits: The objectives of these audits are to ensure that UT Dallas is in compliance with applicable policies and procedures with regard to the area being audited. The following compliance audits involved research compliance:

Report Number	Audit	Issue Date	Objectives	Recommendations
R1201	Education Research Center	9/30/2011	To ensure ERC is in compliance with the terms of the contract with Texas Higher Education Coordinating Board and Texas Education Agency for fiscal year 2011.	None specific to research compliance.
R1206	Environmental Health & Safety Lab Safety	1/4/2012	To provide assurance that an effectively designed compliance program has been implemented for lab safety.	<ol style="list-style-type: none"> 1. Improve Monitoring over the Purchasing of Hazardous and Other Regulated Materials 2. Update and Implement Controls on the Risk



Report Number	Audit	Issue Date	Objectives	Recommendations
				Assessment and Monitoring Plan 3. Implement Peer Review and Prior Audit Recommendations 4. Improve Inspection Monitoring process 5. Improve Monitoring over Training
R1212	NHARP Grants (Norman Hackerman Advanced Research Program)	2/23/2012	To provide assurance that UT Dallas complies with NHARP grant restrictions as outlined by the Texas Higher Education Coordinating Board.	1. Ensure Controls over Expenditures Are Enhanced
R1213	Conflicts of Interest	2/23/2012	To provide assurance that an effectively designed compliance program has been implemented for Conflicts of Interest.	1. Expand Conflict of Interesting Monitoring 2. Create and Publish Management Plan Guidelines 3. Document Review of Conflict of Interest When New Projects Arise 4. Require More Involvement and Documentation by Responsible Person(s) 5. Improve Reporting Processes 6. Improve the Risk Assessment and Management Plan for Non-Research Conflict of Interest

The recommendations listed above have either been implemented or are in the process of implementation at August 31, 2012.



The following research compliance audits were in process as of August 31, 2012, and reports will be issued in September/October 2012:

Departmental Audits:

- Geosciences
- Lithospheric Studies
- Chemistry

Compliance Audits:

- Time and Effort Reporting
- Education Research Center (FY 2012)

Please let me know if you have any questions or comments resulting from this report.

Toni Stephens
Executive Director of Audit and Compliance

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