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| RISK: | RANK: |
| Applicable Law/Regulation/Policy: | |
| FY Risk Mitigation Plan | |
| <p>Compliance Controls: Describe the activities that are embedded in day-to-day operations that <u>ensure compliance</u> with the applicable law, regulation or policy for this risk. Please provide documentary evidence for each activity described.</p> <p><u>Examples:</u></p> <ul style="list-style-type: none"> ▪ Policies and procedures ▪ Systemic changes, i.e. segregation of duties ▪ Reconciliations or comparisons ▪ Transactions performed by the people directly involved in the process ▪ Training and education | |
| <p>Compliance Controls:</p> <p>1.</p> | |
| <p>Documentary Evidence of Compliance Controls:</p> <p>1.</p> | |
| <p>Compliance Monitoring Activities: Describe the monitoring activities performed within the department/area to ensure that Compliance Activities are being performed as expected. Please provide documentary evidence for each activity described.</p> <p><u>Examples:</u></p> <ul style="list-style-type: none"> ▪ Reviews performed by management or staff positions who do not originate the event/transaction ▪ Tracking education and testing for understanding of Compliance Controls ▪ Periodic review of reported activities | |
| <p>Monitoring Activities:</p> <p>1.</p> | |

Documentary Evidence of Compliance Monitoring Activities:

1.

Reporting Responsibilities: Are there any Reporting Responsibilities to internal or external groups/agencies related to the Compliance Controls and Compliance Monitoring Activities as stated above? Yes No

If yes, please describe below those reporting activities related to the Compliance Controls and Compliance Monitoring Activities stated above.

Examples:

- Committee Reports
- Executive Management Reports
- UT System Reports
- Regulatory Authority

Reporting Responsibilities:

1.

Documentary Evidence of Reporting Responsibilities:

1.