Ethics & Compliance Committee FY-2020

Subject Matter Experts

Ethics & Compliance Program: Katelyn Severance (Chair)

Athletics (NCAA): Austin Weyant

Civil Rights & Title IX: Michael Hill

Disabilities Services (Students): Sandra Patton

Electronic Information Resources: Lydia Harkey

Federal Communications Commissions: Jerrod Knight

Financial Aid (Title IV): Lester McKenzie (Interim)

Financial Services: Paula Hanson

Graduate Admissions: Vicky Turner

Payroll (Tax): Lisa Blackwell

Police (Clery Act): Lt. Jason Bone

Post-Award/Grant Compliance: Sarah Baker

Pre-Award/Grant Compliance: Kaylee Kinnaird

Procurement Services (HUB): Travis Ball

Registrar (FERPA): Paige Bussell

Research (IRB/IACUC/IBC/Export Control): Glenda Denton

Residential Living & Learning: Michael Stark

Rule & Procedure/Governance: James Vanbebber

Safety & Risk Management: Joshua Adams

Section 504 Rehabilitation Act Coordinator: Edward Romero

Student Exchange Visitors Program (SEVP/J1): Dr. Joyce Titildla Adewale

Student Health Services (HIPAA): Maxine Mendoza-Welch

Student Rights & Responsibilities: Marcy Louis





University Ethics & Compliance Office McDowell Administration Bldg., Room 259 Post Office Box 3011

> Phone: 903.886.5996 Fax: 903.886.5989 Texas A&M System Risk, Fraud & Misconduct Hotline 888.501.3850



Mitigating risks and creating a culture of accountability through education.

University Ethics & Compliance Office



Integrity - Service - Excellence Ethical Core Values

The main objective of the Ethics & Compliance Office is not to find fault or to provide a solution, but to facilitate a solution through understanding what is required.

Texas A&M University-Commerce

Phone: 903-886-5996

Ethics & Compliance The PLUS Acronym P: Policies & Procedures L: Laws & Legislation U: Universal Institutional Values S: Self/Moral Compass

Purpose

The Ethics & Compliance Office (ECO) oversees the University

Compliance Program, ensuring the institution is following federal and state regulation, as well as Texas A&M University System regulatory standards. To do this, the office works with System Offices and other Members to establish and maintain an effective, system-wide ethics and compliance program. The ECO certifies that policies and procedures are being followed and that behavior in the organization meets the standards set forth in applicable laws and the institution's commitment to integrity.

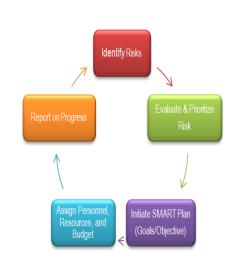
Compliance is not a stand-alone discipline. The ECO works collaboratively with the President and System Ethics and Compliance Officer (SECO) to protect the integrity of the University. This Office also works with the following System offices to mitigate risks: Internal Audit, Office of General Counsel and Risk Management. Compliance is ultimately a team effort.

Mission

To develop and maintain policies and procedures reasonably designed to detect and prevent violations of the enforced standards and the law, while also fostering a culture of ethics & compliance with the highest ethical standards within a distributed compliance structure.

<u>Vision</u>

To serve the University as the primary professional resource in identifying and mitigating compliance risks.



The objectives of a compliance program are to:

- ⇒ Provide a systematic approach to the early identification and management of risks
- \Rightarrow Provide consistent risk assessment criteria
- \Rightarrow Make available accurate and concise risk information that informs decision making including business direction
- ⇒ Adopt risk treatment strategies that are cost effective and efficient in reducing risk to an acceptable level
- \Rightarrow Monitor and review risk levels to ensure that risk exposure remains within an acceptable level

Governance

System and University Ethics and Compliance responsibilities are defined in System Policy 16.01, System Regulation 16.01.01, University Procedure 16.01.01.R0.01 and in the Texas Education Code Section 51.971, Compliance Program.

University Ethics & Compliance Office

Annual Ethics & Compliance Plan Development, Implementation, and Submission

> Compliance Plan Quarterly Report Facilitation and Submission

University Rule and Procedure Processing

Compliance Calendar Monitoring

Hotline Intake, Facilitation, and Mitigation Process

Compliance Training

Discovery and Production Request

> Ethic & Compliance Committee

Title IX Program