

## The UT Tyler Compliance Charter

This Charter describes the mission, authority, independence, and principal responsibilities of the Office of Compliance (OC) at The University of Texas at Tyler.

### **Mission**

The UT Tyler compliance program supports the strategic plan of The University of Texas at Tyler as it works to promote a culture of ethical behavior and to ensure compliance with all applicable policies, laws, and regulations.

### **Authority**

OC activities are governed by policies established by The University of Texas System, UTS 119 - Compliance Programs, and the Systemwide Compliance Charter, and all applicable institution policies and procedures.

Responsibility for oversight of the institutional compliance program and the execution of the institutional compliance program rests with the Institutional Executive Compliance Committee (IECC). The IECC ensures adequate resources are dedicated to compliance programs institution-wide, ensures appropriate action is taken when noncompliance issues are brought to its attention, and provides overall policy guidance for the program. The IECC meets quarterly and is chaired by the President.

To be effective, it is essential there be cooperation between management, faculty, staff, and the OC. The OC, with stringent regard for information safekeeping and confidentiality and subject to the applicable policies of this institution, will have access to all institutional records, property, and employees as may be necessary to fulfill its responsibilities.

### **Independence and Structure**

The CCO reports administratively to the Vice President of Operations with direct access to the President and the IECC. The OC has no operational responsibility or authority over the areas for which they provide services, nor are they the business owners of present or potential compliance issues arising in such areas.

The UT Tyler compliance function is decentralized. This means that relevant subject-specific compliance leaders are integrated into the operations of the university.

## **Responsibilities**

The UT Tyler institutional compliance program endeavors to 1) ensure all UT Tyler compliance leaders have the skills and information needed to maintain effective subject-specific; compliance programs and, as needed, assist leaders with obtaining appropriate skills and information, 2) periodically assess the effectiveness and quality of these subject-specific programs, and 3) periodically assess the effectiveness and quality of the institution-wide program. To accomplish this, the CCO's responsibilities include but may not be limited to:

- a) Working with relevant subject-specific compliance leaders at UT Tyler to ensure all departments with significant compliance responsibilities have effective subject-specific compliance programs and, as needed, assist them with maintaining and improving these programs.
- b) Assess the effectiveness and quality of these subject-specific compliance programs, as needed;
- c) Ensuring the elements of an effective compliance and ethics program—consistent with those stipulated in the Federal Guidelines on Effective Compliance and Ethics Programs (USSG §8B2.1)—are in place and periodic quality assessments are performed to validate the overall effectiveness of the institutional compliance program;
- d) Evaluate emerging high-risk compliance trends in higher education and government that may affect UT Tyler, ensure these compliance areas are acted upon appropriately by relevant compliance leaders (compliance business owners), assist in the implementation of best practices in these compliance areas and within the institutional compliance and ethics program as a whole, and providing positive assurance to managers, executive officers, and the UT System regarding the status of critical institutional compliance risks;
- e) Ensuring appropriate Standards of Conduct are in place and enforced at UT Tyler and assisting with the creation, maintenance, and delivery of these standards;
- f) Delivering appropriate compliance- and ethics-related communication, education, and training and ensuring subject-specific compliance leaders have effective communication and training programs in place;
- g) In partnership with executives and other compliance leaders, promote effective compliance awareness;

- h) Administering the UT Tyler Ethics & Compliance Hotline reporting system, which allows for the anonymous reporting of concerns, and ensuring instances of non-compliance are appropriately investigated and, if necessary, that corrective action is taken;
- i) As needed, ensure that necessary steps are taken to correct identified problem(s) discovered during reporting, that reasonable steps to prevent further similar conduct, that any necessary modifications are made to the appropriate institutional or subject-specific compliance program, and to assist with the process, as needed;
- j) Collaborating with the Office of Systemwide Compliance and other UT System institutional compliance officers to promote compliance and ethics best practices at UT Tyler.

## **Revisions to the Charter**

This Compliance Charter is intended to be flexible and readily adaptable to changes in regulatory requirements. The IECC shall review the UT Tyler Compliance Charter at least annually to ensure it remains current and effective. Any recommended changes to the Compliance Charter must be approved by the President.

## **Version History**

Version 1.0 - Approved by the IECC on May 27, 2020. (Format error on page 2 fixed on 1/5/2022.)