

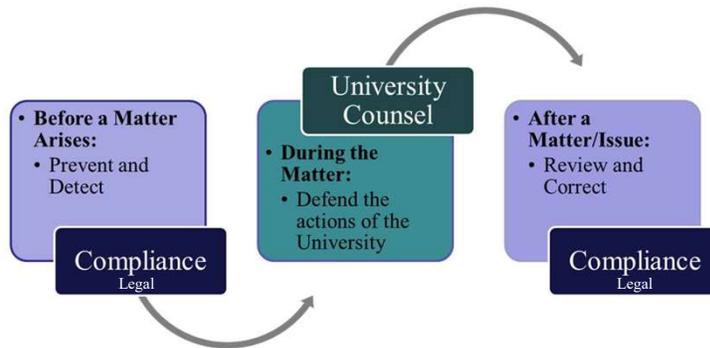
Compliance at UT Tyler

Faculty Senate
January 20, 2022



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How Compliance and Legal Differ



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What is “compliance?”

- Legal definition
 - United States Sentencing Guidelines
 - Chapter 8, Part B, Section 2 (§8B2.1)
 - *Effective Compliance and Ethics Program*
- Practical definition
 - Prevent, find, and fix compliance issues

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**Why (as Context) +
What + How = “Compliance”**

The Genius of the “And”

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WHY: Laws and Regulations Protect...



Reputation



Buildings



Lawsuits



Safety



Data Loss



Financial Losses



Loss of Life



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WHAT: Compliance Content

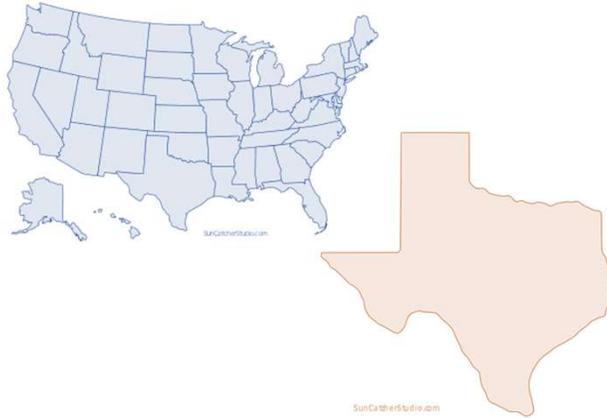


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Compliance Content – Summary

- Compliance Areas
 - 36 Federal
 - 38 State

- Compliance Summaries
 - 282 Federal
 - 266 State



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Compliance Content – Federal Examples

ADA	Clery Act	TEACH ACT
HEOA	VAWA	Fair Housing Act
FCRA	OSHA	ACA
FICA	Davis-Bacon Act	FMLA
Sherman Antitrust Act	E-Verify	Title IX
UBIT	HIPAA	Title VII
EADA	Copyright Act	INA
EPCRA	Lanham Act	SEVIS

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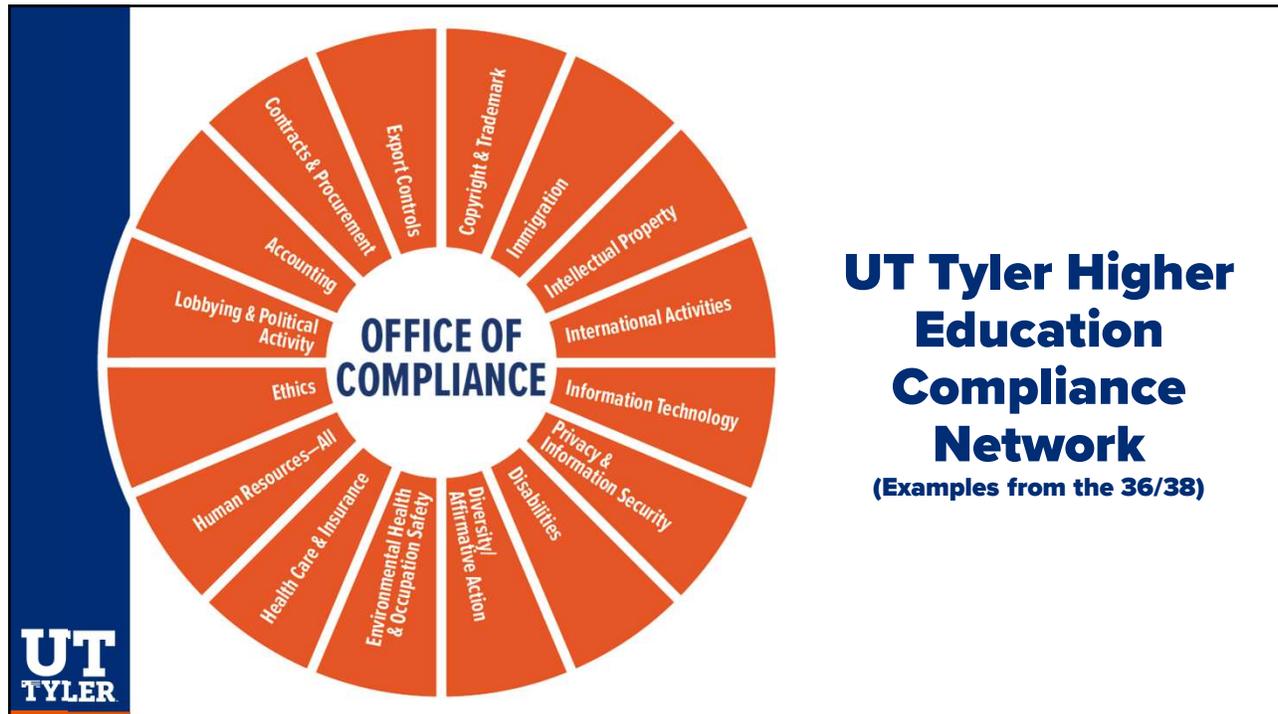
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Compliance Content – State Examples

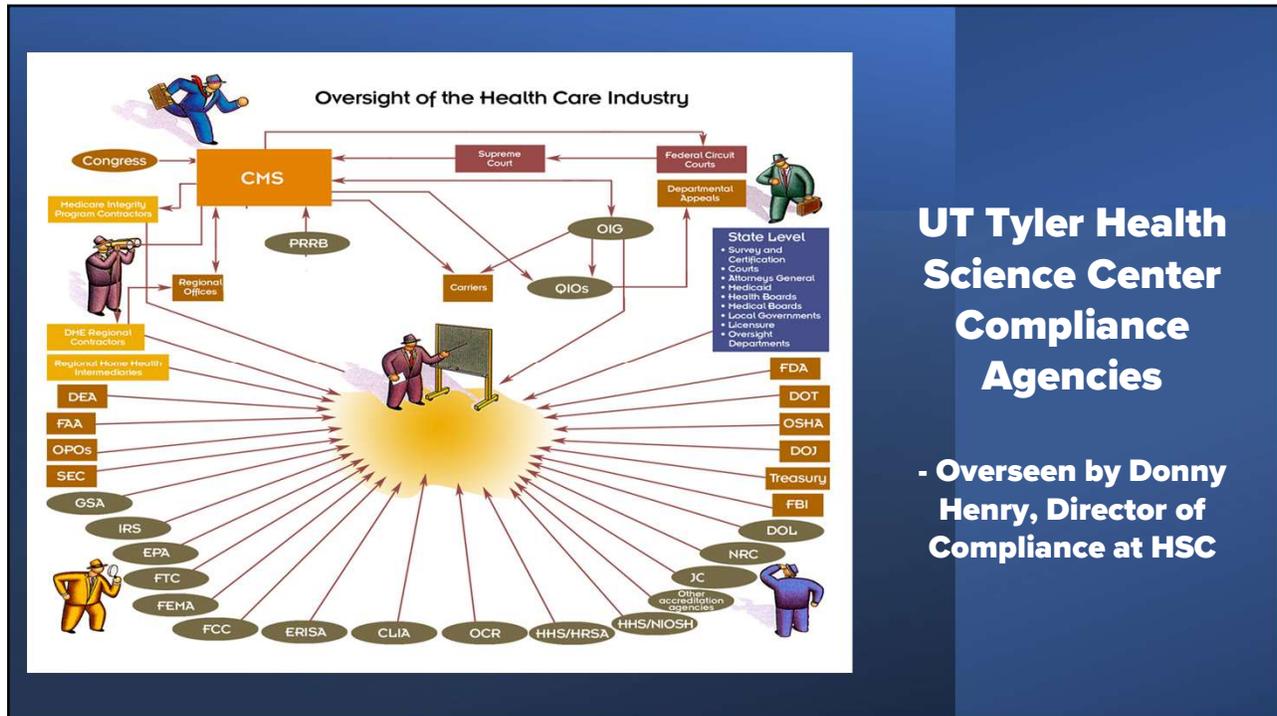
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|--------------------------|------------------------------|
| Open Meetings Act | Texas Dangerous Drugs Act |
| Common Calendar | Texas Clean Air Act |
| Transfer of Credit | Texas Pharmacy Act |
| Core Curriculum | Eminent Domain |
| Texas Success Initiative | Antiquities Code of Texas |
| Firefighter Exemption | Texas Homeland Security |
| Texas Youth Camps Safety | Texas Public Information Act |
| Appropriations Act | TAC 202 |



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Sample...there are over 30!

Key Compliance Leaders – Main Campus

- Gracy Buentello,
 - HR, Culture, and Diversity (Title VI, VII, IX)
- Blake Bumbard
 - Title IX Coordinator
- Ken Leonard
 - Internet Accessibility (ADA)
- MK Kahrhoff
 - Student Accessibility and Resources (ADA)
- James Bonnette
 - Athletics/NCAA
- Gisele Abron
 - FERPA Privacy
- Anna Kurdowska
 - Research Compliance/Export Controls
- Ashleigh Dinkins
 - Minor/Youth Protection

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FYI, the Faculty Senate President is always a member of the Executive Compliance Committee

Main Campus - Compliance Leadership Group Reps

- Provost's Area

Kouider Mokhtari	Standing	Member	Associate Provost for Research and Associate Dean of the Graduate School
Anna Kurdowska	Standing	Member	Associate VPR & Research Compliance Officer
Lou Ann Berman	Standing	Member	Associate Provost for Assessment and Institutional Effectiveness
Rebecca McKay Johnson	Standing	Member	Executive Director, Library
Jo Simmons	Standing	Member	Superintendent, University Academy
Sarah Bowdin, Interim	Standing	Member	Director, Longview Campus
Dixie Rose	Standing	Member	Administrative Services Officer, Palestine Campus
Andres Garcia or designee	Standing	Member	Director, Houston Campus
Colleen Swain	Standing	Member	Associate Provost, Undergraduate and Online Education



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HOW: The Legal Bit

*[A] compliance and ethics program shall be reasonably **designed, implemented, and enforced** so that the program is generally effective in preventing and detecting criminal conduct.*

--USSG §8B2.1 (emphasis added)



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Compliance Activities at UT Tyler¹

- 1. Identify Requirements/Assess Risk
- 2. Establish/ Modify Compliance Organization
- 3. Document Standards, Policies, and Procedures
- 4. Communicate Standards, Policies, and Procedures
- 5. Implement, Promote, and Enforce
- 6. Monitor, Audit, and Report
- 7. Continuous Improvement
- 8. Leadership/Corporate Culture



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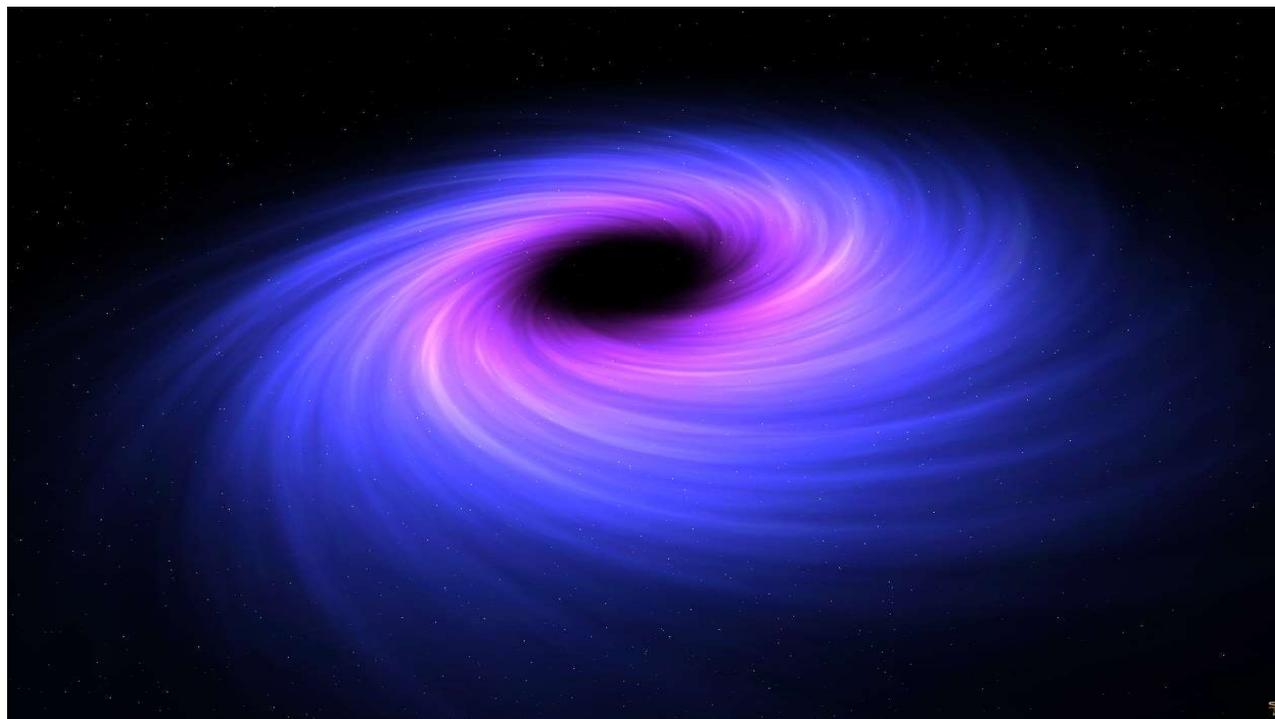
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Compliance Activities: The Picture Version²



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**Why (as Context) +
What + How = “Compliance”**

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www.uttyler.edu/president/

“University Committees” (pp. 13-14)

www.uttyler.edu/compliance



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Questions?



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