

1. Title

Institutional Compliance Program

2. Policy

- Sec. 1 Source of Program. The University of Texas System Institutional Compliance Program is documented in the Action Plan to Ensure Institutional Compliance (Action Plan) approved by the Chancellor and presented to the Business Affairs and Audit Committee of the Board of Regents on April 24, 1998.
- Sec. 2 Impact of Sentencing Guidelines. A proactive program to maximize compliance with applicable laws, rules, regulations, policies, and procedures became an essential part of every organization's internal control infrastructure after the passage of the United States Sentencing Guidelines (Sentencing Guidelines).
- Sec. 3 Program Requirements. A mission statement, including Goals and Objectives for the program ([Exhibit A](#)) has been developed to reflect the requirements of the Sentencing Guidelines.
- Sec. 4 Mission Statement Required. U. T. System Administration and each institution must have an institutional compliance mission statement modeled after the Systemwide mission statement.
- Sec. 5 Local Control. U. T. System Administration and each institution have the authority to determine the appropriate compliance infrastructure and policies and procedures for their respective institutions.
- Sec. 6 Accountability. Responsibility and accountability of the parties in the institutional compliance infrastructure are detailed in the Action Plan and are reproduced in The Responsibility and Accountability for Compliance ([Exhibit B](#)).
- Sec. 7 Systemwide Compliance Committee. The Systemwide Executive Compliance Committee provides oversight and direction for the Systemwide compliance function. The Committee is comprised of the Chancellor; the Executive Vice Chancellors for Business Affairs, Health Affairs, and Academic Affairs; the Vice Chancellor and General Counsel; the General Counsel to the Board of Regents; and the Systemwide Compliance Officer. The Chancellor is the chairman of this Committee. The Committee meets on a quarterly basis.

3. Definitions

None

4. Relevant Federal and State Statutes

[U.S. Sentencing Guidelines](#)

5. Relevant System Policies, Procedures, and Forms

[Exhibit A - Mission Statement](#)

[Exhibit B - The Responsibility and Accountability for Compliance](#)

6. Who Should Know

Administration
Employees

7. System Administration Office(s) Responsible for Policy

Office of General Counsel

8. Dates Approved or Amended

February 12, 2002
October 21, 2009
December 1, 2011

9. Contact Information

Questions or comments about this policy should be directed to:

- bor@utsystem.edu