

# Meet Your Compliance Officer

The Director of Compliance, **Dale Sump**, serves as the Compliance Officer at The University of Texas System Administration and is primarily responsible for the management of a continuous and proactive compliance



function that ensures compliance with applicable laws, regulations, policies and procedures. He provides guidance to departments and collaborates with them regarding the development of procedures and processes to address compliance issues and implement compliance monitoring, reporting, specialized training, and assurance plans designed to prevent, detect, and respond appropriately to compliance risks. As Compliance Officer, he is the chairman of the Compliance Working Group and serves as a non-voting member of the Executive Compliance Committee to advise management and facilitate the Committees' monitoring and oversight responsibilities.

The Director reports administratively to the Vice Chancellor for Administration, and as Compliance Officer, has a direct report to the Chancellor for matters of System Administration compliance. Mr. Sump provides leadership and guidance to develop and implement an effective compliance program by managing a variety of on-going compliance activities at System Administration:

- Manages the risk assessment process and prepares an annual risk-based compliance plan.
- Provides guidance to and collaborates with departments regarding the development of procedures and processes to address compliance issues and implement compliance monitoring, reporting, specialized training, and assurance plans. Advises management to maximize compliance with statutory, regulatory, and policy requirements.
- Manages general compliance education and training programs and monitors attendance levels for appropriateness.
- Maintains and publicizes a confidential mechanism that allows employees to obtain information regarding compliance issues and/or to report instances of suspected noncompliance in a manner that assures no retaliation.
- Coordinates/conducts investigations of non-compliance. Communicates instances of non-compliance to the appropriate institutional management for corrective action. Determines that appropriate corrective, restorative, and/or disciplinary action has been taken in the event of noncompliance.
- Monitors developments and changes in statutes and court rulings, rules, and regulations that impact compliance areas, in conjunction with the Office of Governmental Relations and Office of General Counsel. Obtains up-to-date information on changes in laws, rules, and regulations.
- Develops and updates reference publications such as the Standards of Conduct Guide and the Manager and Supervisor Reference Guide.

Mr. Sump was appointed as the Director of Compliance on October 1, 2007. He previously served as the Manager of Compliance for six years. Before joining the System Administration Compliance Office, Mr. Sump served sixteen years in the University Lands Accounting Office, West Texas Operations, where he supervised the oil and gas royalty accounting, marketed in-kind royalty oil and gas, and conducted financial and compliance audits of oil and gas operators, lessees, and gas processing plants.

Mr. Sump graduated from The University of Texas at Austin with a Bachelor of Business Administration degree in Accounting and is a Certified Public Accountant.