

The University of Texas System Administration System Administration Compliance Committee Charter

Executive Compliance Committee

Role

The U. T. System Administration Executive Compliance Committee (“Committee”) provides executive-level direction and guidance to the System Administration Compliance Program and assists the Chancellor in his oversight of the System Administration compliance function. The Committee’s role is an essential component of the compliance program, focusing on U. T. System Administration’s compliance with significant applicable legal, ethical, and regulatory requirements.

Membership

The membership of the Committee shall consist of the Executive Vice Chancellor for Business Affairs, the Vice Chancellor for Administration; the Vice Chancellor and General Counsel; a representative from System Audit (non-voting, ex-officio), and the Chancellor, who will act as chair. The System Administration Compliance Officer, appointed by the Chancellor, is a non-voting member of the Committee, and along with the Compliance Coordinator, serves as a resource to assist the Committee in carrying out its responsibilities.

Meetings

The Committee shall meet four times per year or more frequently at the request of the Chancellor and facilitate direct communication with the System Administration Compliance Officer. Evidence of the discussions of the Committee and the actions taken by the Committee should be reflected in recorded minutes of the meeting and maintained by the Compliance Office. A majority of members constitutes a quorum and attendance should be recorded in the minutes.

Responsibilities

The Committee’s specific responsibilities in carrying out its oversight are as follows:

- (1) Provide leadership for the System Administration Compliance Program by promoting and supporting a culture that builds compliance consciousness into the daily activities of System Administration employees.
- (2) Provide advice and guidance to the Chancellor and to the System Administration Compliance Officer on the design and operation of the compliance program.
- (3) Monitor the System Administration compliance program and review with the System Administration Compliance Officer the status of the program and results of its activities.
- (4) Approve the Annual Action Plan for the System Administration Compliance Program and all changes thereto, and monitor the execution of the Plan.
- (5) Review and approve the role, responsibilities, and structure of the Compliance Working Group Committee (Working Group). Responsibility for determining Working Group membership is delegated to the System Administration Compliance Officer.
- (6) Understand the compliance environment and determine the compliance risks at System Administration that require executive oversight.
- (7) Allocate resources, when necessary, to mitigate activities determined to be a high compliance risk.
- (8) Receive results of all completed monitoring plan compliance inspections.
- (9) Receive summary report of confidential reporting mechanism activity and any investigation there from.
- (10) Be apprised of general compliance training outcomes.

Compliance Working Group Committee

Role

The U. T. System Administration Compliance Working Group (“Working Group”) assists and supports the Executive Compliance Committee (“Committee”) in fulfilling its oversight responsibilities. The Working Group’s role includes a focus on the identification of compliance high risks and the adequacy and effectiveness of the monitoring plans and specialized training plans for U. T. System Administration’s compliance high risks.

Membership

The membership of the Working Group shall consist of a combination of responsible parties for current compliance high risks (or their designees) and other employees at System Administration. The System Administration Compliance Officer will act as chair and is responsible for determining the Working Group membership. The Compliance Coordinator is a non-voting member of the Working Group and serves as a resource to assist the committee in carrying out its responsibilities.

Meetings

The Working Group shall meet four times per year or more frequently at the request of the System Administration Compliance Officer. Evidence of the discussions of the Committee and the actions taken by the Committee should be reflected in recorded minutes of the meeting and maintained by the Compliance Office. A majority of members constitutes a quorum and attendance should be recorded in the minutes.

Responsibilities

The Working Group’s specific responsibilities are as follows:

- (1) Review the results of the annual compliance risk assessment and recommend to the Committee those System Administration compliance high risks that require executive oversight.
- (2) Review and approve new and revised monitoring plans designed to mitigate compliance high risks to an acceptable level.
- (3) Assure that monitoring activities are taking place and specialized training is occurring.
- (4) Recommend training needed by specific employee groups in addition to the general compliance training topics for all System Administration employees that takes place biennially.
- (5) Recommend marketing ideas for compliance awareness campaigns.
- (6) Receive summary report of confidential reporting mechanism activity and any investigation there from.
- (7) Ensure that procedures are established for the receipt, investigation, and resolution of reports of suspected wrongdoing regarding compliance issues and the confidential anonymous submission by employees of concerns regarding ethically or legally questionable matters.

PUBLICATION AND REVISIONS

Approved January 27, 2005, by the System Administration Executive Compliance Committee

Revised November 17, 2005, to include the Vice Chancellor for Research and Technology Transfer as a member of the Executive Compliance Committee, by request of the Chancellor

Revised November 28, 2007, to reflect the changes to the membership of the System Administration Executive Compliance Committee approved by the Chancellor.