

**1. Title**

Institutional Compliance Program

**2. Policy**

Sec. 1 Effective systemwide, System Administration, and institutional compliance programs are critical to the operation of the University of Texas System and each U. T. institution.

Sec. 2 Sentencing Guidelines. The Federal Sentencing Guidelines are foundational to an effective compliance program. However, the systemwide compliance program, System Administration and institutional compliance programs should strive to exceed these requirements in the pursuit of collaborative and effective compliance operations.

Sec. 3 Systemwide Compliance Charter. The Systemwide Compliance Charter governs the operations of the Systemwide Compliance function. The Systemwide Executive Compliance Committee must approve the Charter and any changes to the Charter. U. T. System Administration and each U. T. institution will comply to the fullest extent practicable to the requirements stated in the Charter.

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 contained in the Charter.

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 Systemwide Compliance Committee. As further specified in the Charter, the Systemwide Executive Compliance Committee provides oversight and direction for the Systemwide Compliance function.

**3. Definitions**

None

**4. Relevant Federal and State Statutes**

[U.S. Sentencing Guidelines](#)

**5. Relevant System Policies, Procedures, and Forms**

[Regents' Rule 20101 Chancellor](#)

[Regents' Rule 20401 Audit and Compliance Programs](#)

[Regents' Rule 70401 Oversight Responsibilities for UTIMCO](#)

[Systemwide Compliance Charter](#)

**6. System Administration Office(s) Responsible for Policy**

Office of Systemwide Compliance

**7. Dates Approved or Amended**

February 12, 2002

October 21, 2009

December 1, 2011

June 19, 2017