

Ethics & Compliance Committee FY-2020

Subject Matter Experts

*Ethics & Compliance Program: Katelyn Severance
(Chair)*

Athletics (NCAA): Austin Weyant

Civil Rights & Title IX: Michael Hill

Disabilities Services (Students): Sandra Patton

Electronic Information Resources: Lydia Harkey

Federal Communications Commissions: Jerrod Knight

Financial Aid (Title IV): Lester McKenzie (Interim)

Financial Services: Paula Hanson

Graduate Admissions: Vicky Turner

Payroll (Tax): Lisa Blackwell

Police (Clery Act): Lt. Jason Bone

Post-Award/Grant Compliance: Sarah Baker

Pre-Award/Grant Compliance: Kaylee Kinnaird

Procurement Services (HUB): Travis Ball

Registrar (FERPA): Paige Bussell

*Research (IRB/IACUC/IBC/Export Control): Glenda
Denton*

Residential Living & Learning: Michael Stark

Rule & Procedure/Governance: James Vanbebber

Safety & Risk Management: Joshua Adams

*Section 504 Rehabilitation Act Coordinator: Edward
Romero*

*Student Exchange Visitors Program (SEVP/J1): Dr.
Joyce Titilda Adewale*

*Student Health Services (HIPAA): Maxine Mendoza-
Welch*

Student Rights & Responsibilities: Marcy Louis



A&M
COMMERCE

University Ethics & Compliance Office
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Texas A&M System
Risk, Fraud & Misconduct Hotline
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University Ethics & Compliance Office



Integrity - Service - Excellence
Ethical Core Values

The main objective of the Ethics & Compliance Office is not to find fault or to provide a solution, but to facilitate a solution through understanding what is required.

Texas A&M University-Commerce

Phone: 903-886-5996

Ethics & Compliance

The PLUS Acronym

P: Policies & Procedures

L: Laws & Legislation

U: Universal Institutional Values

S: Self/Moral Compass



Purpose

The Ethics & Compliance Office (ECO) oversees the University

Compliance Program, ensuring the institution is following federal and state regulation, as well as Texas A&M University System regulatory standards. To do this, the office works with System Offices and other Members to establish and maintain an effective, system-wide ethics and compliance program. The ECO certifies that policies and procedures are being followed and that behavior in the organization meets the standards set forth in applicable laws and the institution's commitment to integrity.

Compliance is not a stand-alone discipline. The ECO works collaboratively with the President and System Ethics and Compliance Officer (SECO) to protect the integrity of the University. This Office also works with the following System offices to mitigate risks: Internal Audit, Office of General Counsel and Risk Management. Compliance is ultimately a team effort.

Mission

To develop and maintain policies and procedures reasonably designed to detect and prevent violations of the enforced standards and the law, while also fostering a culture of ethics & compliance with the highest ethical standards within a distributed compliance structure.

Vision

To serve the University as the primary professional resource in identifying and mitigating compliance risks.



The objectives of a compliance program are to:

- ⇒ Provide a systematic approach to the early identification and management of risks
- ⇒ Provide consistent risk assessment criteria
- ⇒ Make available accurate and concise risk information that informs decision making including business direction
- ⇒ Adopt risk treatment strategies that are cost effective and efficient in reducing risk to an acceptable level
- ⇒ Monitor and review risk levels to ensure that risk exposure remains within an acceptable level

Governance

System and University Ethics and Compliance responsibilities are defined in System Policy 16.01, System Regulation 16.01.01, University Procedure 16.01.01.R0.01 and in the Texas Education Code Section 51.971, Compliance Program.

University Ethics & Compliance Office

Annual Ethics & Compliance Plan Development, Implementation, and Submission

Compliance Plan Quarterly Report Facilitation and Submission

University Rule and Procedure Processing

Compliance Calendar Monitoring

Hotline Intake, Facilitation, and Mitigation Process

Compliance Training

Discovery and Production Request

Ethics & Compliance Committee

Title IX Program