

# BOARD OF REGENTS POLICY

## 42 COMPLIANCE

### 42.01 Institutional Compliance

The Chancellor, as Chief Executive Officer of the System, is responsible for ensuring the implementation of an institutional compliance program for the System designed to promote ethical behavior and ensure compliance with all applicable policies, laws, and rules governing higher education, including research and health care to the extent applicable.

#### 42.01.1 System-Wide Compliance Officer

The System-wide Compliance Officer is responsible, and will be held accountable for, apprising the Chancellor and the Audit and Compliance Committee of the institutional compliance functions and activities at each of the universities as set out in Subparagraph B, below. The System-wide Compliance Officer provides institutional compliance assistance to the Chancellor and the Vice Chancellors in the exercise of their responsibilities.

- A. **Appointment:** The System-wide Compliance Officer shall be appointed by the Chancellor. The System-wide Compliance Officer is the senior compliance official of The University of Houston System, and, as such, provides assistance and advice covering all university compliance programs, and shall hold office without fixed term, subject to the pleasure of the Chancellor.
  
- B. **Duties and Responsibilities:** The primary responsibilities of the System-wide Compliance Officer include developing an infrastructure for the effective operation of The University of Houston System Institutional Compliance Program, designed to prevent, monitor, detect and respond to non-compliance throughout the System; chairing the System Compliance Council; and developing annual risk-based compliance initiatives in light of institutional risks.

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### Related Statutes, Policies, or Requirements

[Texas Education Code § 51.971 – Compliance Program](#)

[Chapter 8 – Sentencing of Organizations - United States Sentencing Guidelines](#)

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