

01.01.01.R1.01 Compliance Monitoring of University Rules and Procedures

Approved March 21, 2011

Next Scheduled Review March 21, 2016



Procedure Statement

Compliance with published university rules and procedures, and The Texas A&M University System policies and regulations is critical for the efficient and transparent operation of the university. This procedure establishes a mechanism to monitor compliance on a five-year cycle, and to address noncompliance.

Reason for Procedure

This procedure ensures that every university procedure and rule is reviewed to address compliance at least every five years, and that action plans are developed for noncompliance of any procedures or rules.

Procedures and Responsibilities

1. UNIVERSITY COUNCIL ON COMPLIANCE

A University Council on Compliance will be appointed yearly by the president. This Council will be composed of members from the President's Office, Academic Affairs, Student Access and Success, Business Administration, Advancement, Athletics, Risk Management, one member from each of the academic colleges, and a representative from the Office of the Dean for Graduate Studies and Research. Additional ex-officio members may be added by the president as needs arise.

2. COMPLIANCE MONITORING

The University Council will determine a five-year rotation of review of university rules and procedures. Any new rules and/or procedures will be added to the rotation so that the new rules/procedures will be reviewed for compliance within five years of development and implementation.

2.1 At the beginning of each academic year, the Council will determine the rules/procedures to be reviewed that academic year. The Contact Office for each rule/procedure under

review will be notified by October 1 of the review as well as the chair of the Compliance Committee for University Procedures/Rules Development.

2.2 The Council will develop a format for determining compliance with the rules/procedures under review. Documentation of compliance (either written or electronic) must be provided to the Council. This documentation will be reviewed by the Council for evidence of compliance with the rule/procedure. A yearly Compliance Report will be developed and distributed by May 1 of each year.

2.3 The Council will issue findings of compliance for each rule/procedure under review. In the case of noncompliance of any section of any rule/procedure under review, the Council will notify the appropriate office(s) and request an action plan to bring the rule/procedure into compliance.

3. COMPLIANCE ACTION PLAN

For each rule/procedure found to be in noncompliance, the appropriate office(s) will develop an action plan to come into compliance with the rule/procedure. This action plan must be presented to the Council by September 1 following the review.

3.1 The action plan will specifically address how the deficiency or deficiencies will be corrected, the person(s) responsible for the correction(s), as well as a time line for implementation of the planned correction(s).

3.2 The Council will approve the plan within thirty days of the submission.

3.3 A summary report, along with documentation, will be submitted to the Council within one year of the approval of the action plan.

Related Statutes, Policies, or Requirements

System Policy [*01.01 System Policies, Regulations, and Member Rules*](#)

System Regulation [*01.01.01 Development and Publication of Regulations and Rules*](#)

Contact Office

President's Office
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