

# **Texas Woman's University Regent Policy**

**Regent Policy Name: Compliance and Ethics Program**

**Regent Policy Number: Regent Policy: B.20210**

## **POLICY STATEMENT**

Texas Woman's University ("TWU" or "University") is committed to the highest standards of integrity and respect at every level of the University. TWU strives to achieve the utmost level of compliance with all applicable ethical, legal, and regulatory standards and requirements. The TWU Board of Regents ("Board") adopts this policy in its efforts to foster a culture that encourages ethical conduct and a commitment to compliance with such standards and requirements.

## **APPLICABILITY**

This policy is applicable to TWU Students, Employees, Guests, and University Affiliates.

## **DEFINITIONS**

1. "Employee" means an individual who is employed part-time, full-time, or in a temporary capacity as faculty, staff, or who is required to be a student as a condition of employment, undergraduate or graduate.
2. "Guest" means any individual not affiliated with TWU.
3. "Student" means a person taking courses at TWU, a person who is not currently enrolled in courses but who has a continuing academic relationship with TWU, or a person who has been admitted or readmitted to TWU.
4. "University Affiliate" means any individual associated with TWU in a capacity other than as a Student or Employee who has access to TWU resources through a contractual arrangement or other association. This includes the following individuals:
  - a. Contractors and Vendors: an individual, business, or governmental entity that has a fully executed contract to provide goods or services to TWU. This includes employees of contractors or vendors and independent contractors.

- b. Employee of a Governmental Agency: an individual employed by a federal or Texas state agency.
- c. Employee of a TWU-Affiliated Institution: an individual who works for organizations that are tightly aligned with the University.
- d. Pre-Employment Individual: an individual who will be hired by the University and the hiring department has sponsored their access to TWU resources.
- e. Other University Affiliate: any individual who does not fit into any other category and needs access to TWU resources.

## **POLICY**

### **I. Compliance and Ethics Program**

Compliance and Ethics Program. The Chancellor and President (“Chancellor”) is responsible for ensuring the implementation of a Compliance and Ethics Program for TWU.

### **II. Chief Compliance Officer**

Chief Compliance Officer. The Chancellor shall appoint a Chief Compliance Officer. The Chief Compliance Officer is the senior compliance official of TWU.

### **III. Program Requirements**

Program Requirements. The Compliance and Ethics Program shall be designed to promote ethical behavior and ensure compliance with all applicable policies, laws, and rules governing higher education. The Chief Compliance Officer shall be responsible for developing the infrastructure for the effective operation of the Compliance and Ethics Program.

### **IV. Board Review of Program**

Board Review of Program. The Board shall receive regular reports through its Finance and Audit Committee regarding the status of the Compliance and Ethics Program.

### **V. University Regulations and Procedures – Compliance and Ethics Program**

Adoption of Regulations and Procedures. TWU is committed to the highest standards of integrity and respect at every level of the University. TWU shall adopt University Regulations and Procedures concerning a Compliance and Ethics Program consistent with state and federal law.

## **REVIEW**

This policy will remain in effect and published until it is reviewed, updated, or archived. This policy is to be reviewed once every six years. Interim review may be required as a result of updates to federal and state law or regulations, or internal processes or procedures.

## **REFERENCES**

[Texas Education Code Section 51.971](#)

[Federal Sentencing Guidelines Manual, §8B2.1, Effective Compliance and Ethics Program](#)

## **FORMS AND TOOLS**

None

**Adopted: August 11, 2023**

**Revised: (Month Day, Year)**