
PROCEDURE STATEMENT

Texas A&M AgriLife Extension Service (AgriLife Extension) is committed to upholding the highest standard of ethical conduct and compliance with the legal obligations of the agency. In support of these efforts, the Texas A&M AgriLife (AgriLife) Risk and Compliance Office has been established within AgriLife Administrative Services to provide risk and management advisory services, as well as to promote compliance with applicable federal, state, Texas A&M University System (A&M System), and agency laws, policies, regulations, rules, and procedures.

REASON FOR PROCEDURE

The procedure outlines the roles and responsibilities of the AgriLife Risk and Compliance Office.

PROCEDURES AND RESPONSIBILITIES

1.0 GENERAL

In accordance with A&M System Regulation 16.01.01, *System Ethics and Compliance*, the AgriLife Risk and Compliance Office has been established to encourage, promote, and oversee ethical conduct and compliance within the agency.

2.0 ROLE OF THE AGRILIFE RISK AND COMPLIANCE OFFICE

The AgriLife Risk and Compliance Office will provide subject-matter expertise and administrative support services in the following—but not limited to—areas:

- 2.1 Agency Rules and Procedures;
- 2.2 Audit Liaison;
- 2.3 Enterprise Risk Management/Compliance Plans;
- 2.4 Environmental Health and Safety;
- 2.5 Export Controls/International Travel;
- 2.6 Financial Conflict of Interest;
- 2.7 Indirect Nepotism
- 2.8 Internal Management Review Team;
- 2.9 Management Advisory Services;

- 2.10 Open Records;
- 2.11 Records Management/Retention;
- 2.12 Research Compliance; and
- 2.13 Workers' Compensation.

3.0 APPOINTMENT AND ROLE OF THE COMPLIANCE OFFICER (CO)

In accordance with System Regulation 16.01.01, the Assistant Director for Risk and Compliance in AgriLife Administrative Services is appointed as compliance officer for AgriLife Extension, and will work in consultation with the A&M System Ethics and Compliance Officer (SECO).

4.0 APPOINTMENT AND ROLE OF THE COMPLIANCE COMMITTEE FOR AGRILIFE EXTENSION

AgriLife Extension will appoint a compliance committee chaired by the CO that will meet quarterly, with the purpose of maintaining a compliance plan to be approved by the Chief Executive Officer (CEO) and SECO, in accordance with A&M System Regulation 16.01.01. The compliance plan shall include AgriLife Extension's approach to the following:

- 4.1 addressing risk;
- 4.2 identifying emerging risk; and
- 4.3 mitigating risk.

5.0 COMPLIANCE OFFICER REPORTING OBLIGATIONS

- 5.1 The CO shall report compliance processes described in the developed compliance plan to the SECO for review.
- 5.2 The CO will promptly report any reported or suspected compliance violation to the CEO and SECO as soon as possible after the discovery or reporting of the suspected violation. If violations are discovered or reported, the COs, in coordination with SECO will:
 - A. conduct a compliance program investigation, or monitor the investigation conducted by an appropriate member entity, and as appropriate; and
 - B. make written findings and recommendations to the CEO and SECO.

RELATED STATUTES, POLICIES, OR REQUIREMENTS

[A&M System Policy 16.01, System Ethics and Compliance Program](#)

[A&M System Regulation 16.01.01, System Ethics and Compliance](#)

CONTACT OFFICE

For additional questions, contact AgriLife Risk and Compliance at 979-845-7879.