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## PROCEDURE SUMMARY

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Texas A&M AgriLife Research (AgriLife Research) 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) Ethics and Compliance Office has been established within AgriLife Administrative Services to provide ethics and management advisory services, as well as compliance guidance with applicable federal, state, Texas A&M University System (A&M System), and agency laws, policies, regulations, rules, and procedures.

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

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## PROCEDURES AND RESPONSIBILITIES

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### 1.0 GENERAL

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

### 2.0 ROLE OF THE AGRILIFE ETHICS AND COMPLIANCE OFFICE

The AgriLife Ethics 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 and Mitigation Reports;
- 2.4 Environmental Health and Safety;
- 2.5 Export Controls;
- 2.6 International Travel;
- 2.7 Financial Conflict of Interest;
- 2.8 Indirect Nepotism;
- 2.9 Internal Management Review Team, and Management Advisory Services;
- 2.10 Programs for Minors;

- 2.11 Open Records;
- 2.12 Records Management/Retention;
- 2.13 Research Compliance (including Hemp Research, IRB, IBC, IACUC, AACUC); and
- 2.14 Unmanned Aircraft Systems.

### 3.0 APPOINTMENT AND ROLE OF THE COMPLIANCE OFFICER (CO)

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

### 4.0 APPOINTMENT TO AND ROLE OF THE AGRILIFE COMPLIANCE COMMITTEE

AgriLife Research will appoint a representative to the AgriLife Compliance Committee, chaired by the CO and meeting 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, as well as to assess progress on the plan, including the allocation of resources to ensure compliance, and to address any newly identified areas of risk or noncompliance. The compliance plan shall include AgriLife Research's, AgriLife Extension's, and TVMDL'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
  - B. make written findings and recommendations to the CEO and SECO.

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## RELATED STATUTES, POLICIES, OR REQUIREMENTS

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

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

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## CONTACT OFFICE

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Questions regarding this procedure should be referred to AgriLife Ethics and Compliance at 979-862-2689.

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## REVISION HISTORY

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Approved: July 25, 2012  
Revised: December 18, 2015  
April 23, 2021

Next Scheduled Review: April 23, 2026