

A close-up photograph of several people's hands stacked on top of each other in a circle. The hands are of various skin tones, including light, medium, and dark. They are wearing different colored long-sleeved shirts, such as white, light blue, and grey. The background is a soft, out-of-focus light blue. The text is overlaid in the center in a white, cursive font.

Three Ways to Ensure Effective Relationships Between System Offices and Member Institutions

Your Presenters



Janet Gordon

System Ethics and Compliance Officer

**THE TEXAS A&M
UNIVERSITY SYSTEM**



John C.B. LaRue

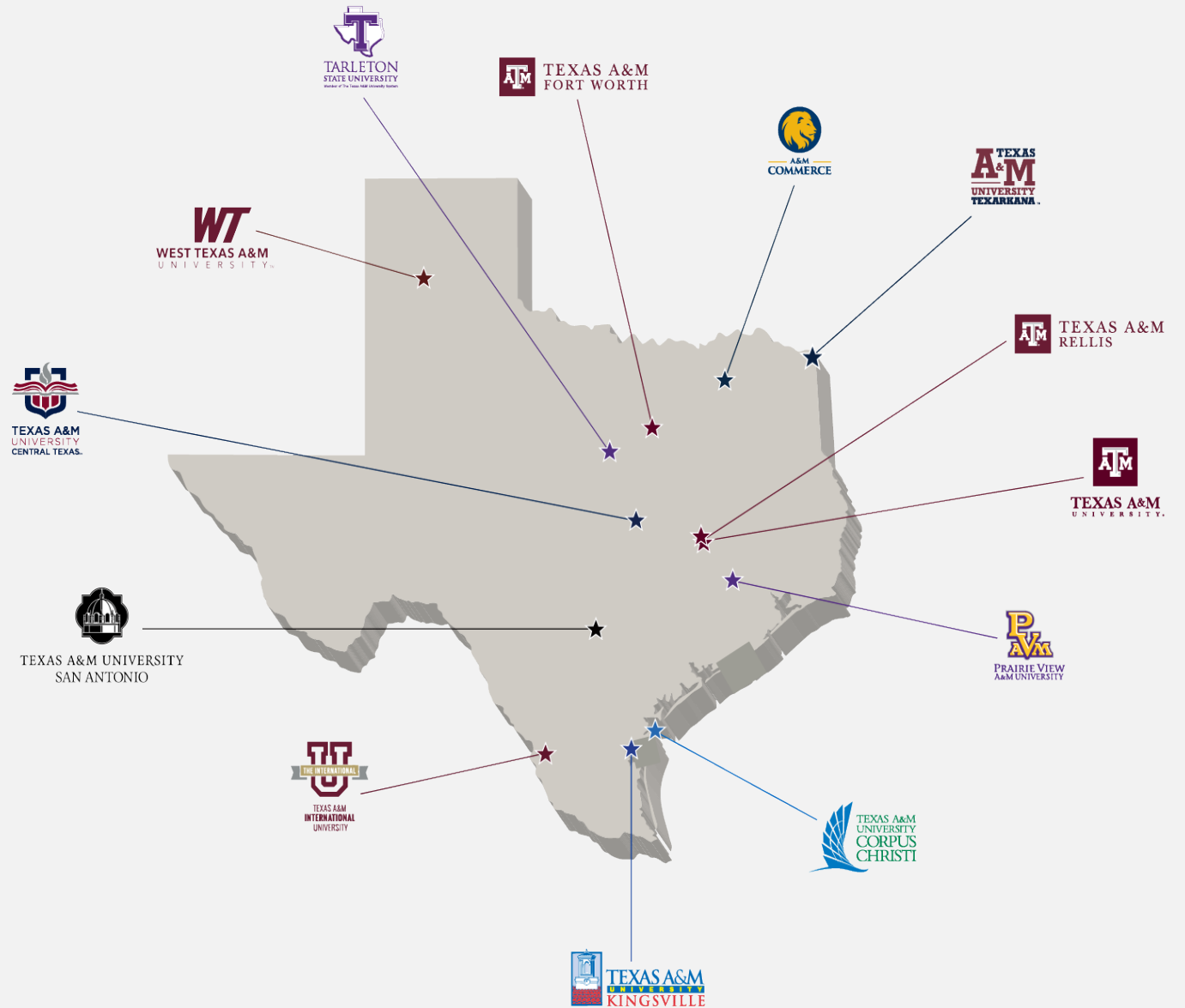
Chief Ethics and Compliance Officer



**TEXAS A&M UNIVERSITY
CORPUS CHRISTI**

Organization

- The Texas A&M University System, headquartered in College Station, Texas, is comprised of 11 universities, 8 state agencies, and the RELLIS Campus. Each member has its own unique mission, history and goals.
- The A&M System is governed by Chancellor John Sharp, and each university and agency has a President or Agency Director.
- A budget of over \$9.6 billion; serves over 152,000 students; over \$1 billion in research and development expenditures throughout the A&M System; and over 24 million additional educational contacts through service and outreach programs each year.





Organization

- The A&M System Ethics and Compliance Officer reports to the General Counsel with a dotted line to the Board of Regents Committee on Audit and the Chancellor.
- The office includes the following positions:
 - Compliance Coordinator
 - Director, Title IX Compliance
 - Director, Equal Opportunity & Diversity
 - Two full-time Investigators
 - Research Compliance Officer (dotted reporting line)

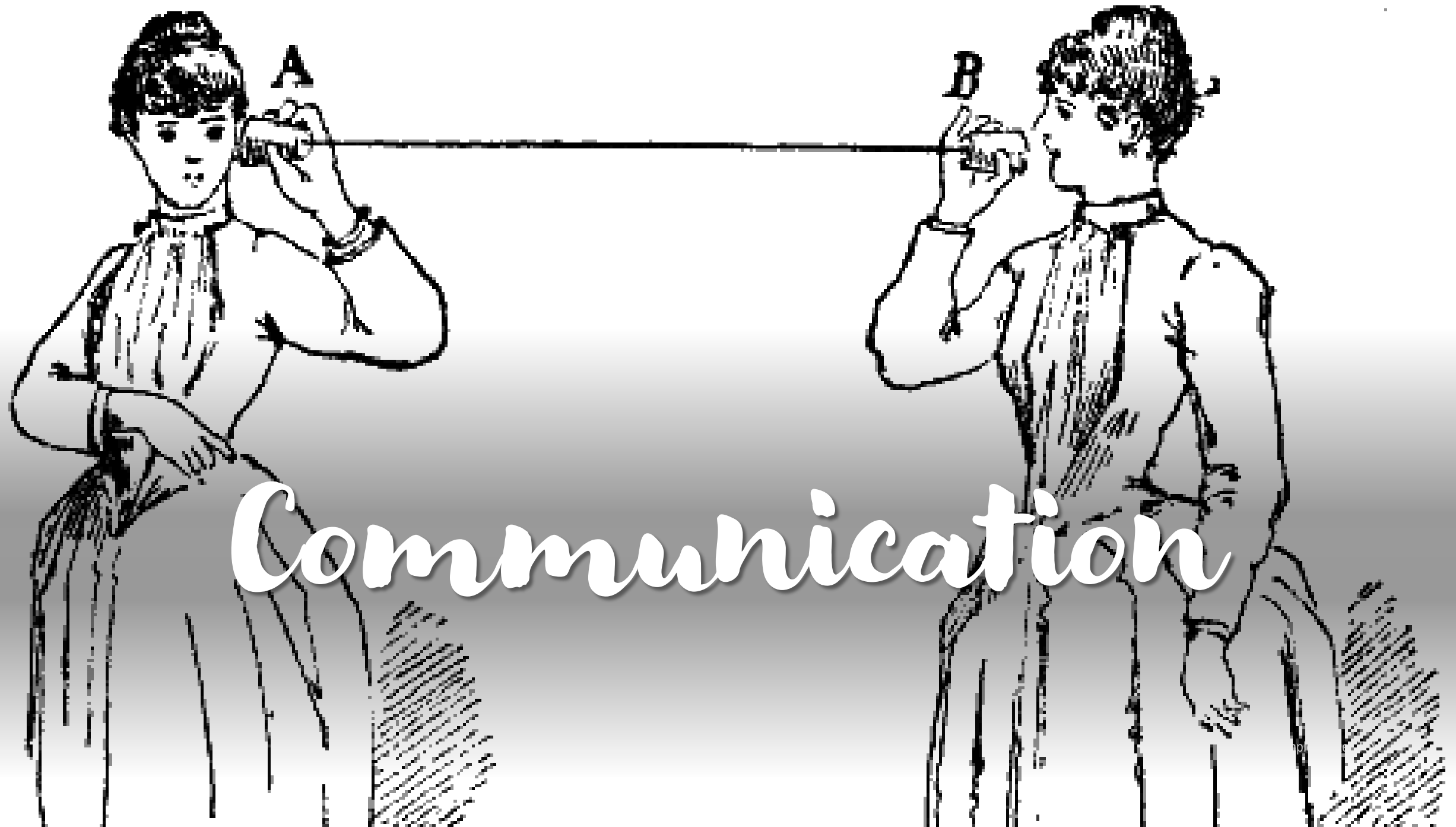


Organization

- Texas A&M University-Corpus Christi is located in Corpus Christi, Texas, is an HSI & MSI, and serves 11,000 students. The CECE reports to the President & CEO, Dr. Kelly Miller.
- The compliance office includes the following functions:
 - Title IX
 - Complaint Resolution
 - NCAA Compliance
 - Export Control/FCOI
 - Public Information
 - Other Duties As Assigned

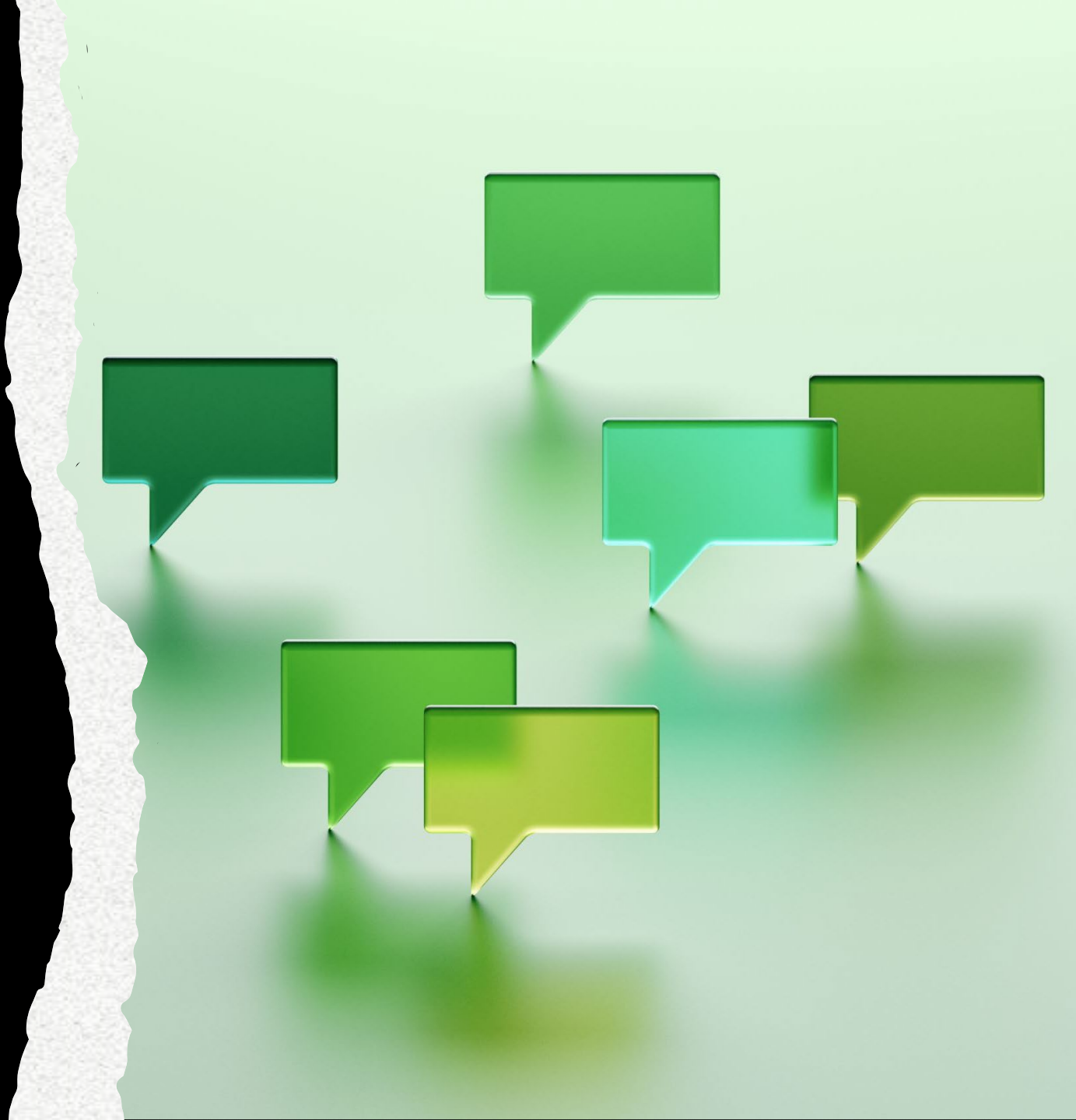
Three Cs to Success

- Communication
- Collaboration
- Cooperation



Communication

- Without clear, consistent communication, compliance programs are doomed to fail. This includes within a single institution, among institutions in the system, and between the system and member institutions.
- Communication can include emails, phone calls, listservs, and virtual meetings, but in person meetings are especially important.
- Blaming system & the 50-mile rule
- Quarterly Compliance Reports
- Compliance Plans





Benefits of In Person Meetings

- Generally held quarterly at an A&M System member
- Allow for reading of verbal and non-verbal comms
 - Provides a sense of connection and empathy that are often lacking in virtual meetings
- A face-to-face ask is 34x more successful than an email request (Harvard Business Review)
- Provides an opportunity for post-meeting social time

Important Elements of In Person Meetings

- Allow COs to add agenda items
- Hold a roundtable, ideally early in the meeting
- Rotate location
- Bring in partners to present (audit, OGC, risk management, other system offices)





Communication and complaint resolution

- Importance of System Office monitoring hotline
- Coordination w/audit, counsel, risk management, campus, and other system offices
- Standardized format for complaint closure
- Centralized complaint center reduces confusion



Collaboration

Collaboration

Affinity Groups

- Subject matter experts from System members
- Collaborate, discuss common issues, share best practices and challenges faced by each member
- Facilitated by SME at the System
- Examples can include Compliance Officers, Clery Officers, Financial Aid Directors

Stakeholder Groups

- Pieces of the Compliance Pie at the member level
- Stakeholders share information and work together to mitigate the risk
- Examples can include: Title IX, Clery, Student Financial Aid

Compliance Meetings

- Without executives
- Middle managers
- Break down silos across the member
- Facilitated by the Compliance Officers
- Members can include athletics, financial aid, HR, student services, research
- With other CO's nationwide



Cooperation

Cooperation

Investigations & Compliance Reviews

- Support across system w/investigations
 - Conflicts of Interest
 - Complaints against CEO or direct report
 - Potential for media exposure
 - Complaints involving compliance personnel
 - Protects member CO's
- Compliance Reviews



Cooperation

A background image showing several hands of different skin tones holding white puzzle pieces together in a circle, symbolizing cooperation and teamwork.

Policies & Regulations

- Focus groups in development of policies & regulations
- Member rule development
- Implementation & interpretation
- Information sharing on best practices
 - Importance of relationships

Other Keys Cooperation Points

- Adversarial & uncooperative relationships
- Agreeing to disagree and disagreeing without being disagreeable
- Escalating problem solving with system clout

Flagship Challenges

- Dispersed functions may include
 - Clery Compliance
 - Student Conduct
 - Risk Management
 - EHS
 - EEO/Title IX
 - Athletic Compliance
 - Research Compliance
 - Training & Development
 - Export Control/FCOI





Interconnectedness
of the 3 C's



Thank you

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