Texas A&M Engineering Experiment Station

Compliance Plan
Fiscal Years 2016-2017

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Strategic Agency Overview

The TEES mission, as defined by our Charter as a Texas state agency, is to
(1) perform quality research to address society's needs,
(2) support the state's workforce through continuing and professional education and
(3) develop and transfer technology to industry.

To achieve this goal, TEES has identified objectives in research, workforce development and technology transfer. These objectives are global and extend across all TEES research centers and divisions. By supporting these objectives, research centers within the TEES network and business leaders in the private sector can benefit from collaboration and integration that enables them to reach beyond Texas and capture opportunities to work on a global scale.

Over the next five years, TEES will strive to become an internationally recognized leader in applied research, product development, and commercialization. TEES will help partners respond to changes in a dynamic world through professional and continuing education. TEES researchers will remain committed to addressing big-picture problems. Partners will be empowered to become leaders in engineering innovation.

Looking forward, TEES mission, as stated in part in the 2015-2020 Strategic Plan supports an opportunity for TEES leadership to extend to the world. Identifying and mitigating compliance risks are essential in meeting strategic goals and this commitment requires integrating a culture of ethics and compliance into overall operations.

TEES annual Compliance Plan, as part of its overall ethics and compliance program, provides the basis for the management of compliance risks.
Compliance Plan Goals and Metrics

Risk Assessed:
- Adequate resources to begin or sustain initiatives
- Sufficient staffing levels or quality to operate programs
- Communication of processes and infrastructure
- Adequate controls and appropriate use of resources

I. Centers

Goal
*Provide continuity of center operations and leadership preparation.*

Metrics
- Develop and communicate procedures, including delegated authority.
- Develop a business continuity plan.
- Implement training for sustainability and leadership transition.
- Develop training for regional division/center researchers on using TEES resources for collaborative projects.

II. Commercialization and Entrepreneurship

Goal
*Document established processes to drive new venture environment.*

Metrics
- Develop and communicate procedures, including delegated authority.
- Develop a business continuity plan.

III. Corporate Relations

Goal
*Support researchers though quality services and business integrity.*

Metrics
- Develop and communicate procedures, including delegated authority.
- Develop a business continuity plan.
- Establish a timely, consistent and effective process to control and distribute completion certificates for professional and continuing education activities.

IV. National and Global Initiatives

Goal
*Perform risk assessment analysis when strategically establishing national and global relationships.*

Metrics
- Develop and communicate procedures, including delegated authority.
- Develop a business continuity plan.
V. Regional Divisions

Goal
Promote growth and continuity of regional divisions including leadership preparation.

Metrics
- Develop and communicate procedures, including delegated authority.
- Develop a business continuity plan.
- Implement training for sustainability and leadership transition.
- Develop an annual report to communicate the impact of the regional divisions. Submit to TEES administration.
- Include administrative track in annual regional meeting to address compliance and other risk components.
- Develop training for regional division researchers/center on using TEES resources for collaborative projects.

VI. Resources and Infrastructure

Goal
Provide adequate support and resources to research during infrastructure transition periods.

Metrics
- Develop and communicate procedures, including delegated authority.
- Develop a business continuity plan.

VII. Workforce Development

Goal
Provide adequate support and resources for continuing education activities and workforce development.

Metrics
- Develop and communicate procedures, including delegated authority.
- Develop a business continuity plan.
- Establish a timely, consistent and effective process to control and distribute completion certificates for professional and continuing education activities.
- Develop an annual report to communicate the impact of professional and continuing education program. Submit to TEES administration.
- Establish a process to review all professional and continuing education activities for export control compliance.

VIII. Chief Financial Officer

Goal
Effectively provide financial, budgetary, payroll, and human resource support to divisions.

Metrics
- Develop and communicate procedures, including delegated authority.
• Develop a business continuity plan.
• Participate in the administrative track for the annual regional meeting addressing compliance and other risk components.
• Develop training for regional division/center researchers on using TEES resources for collaborative projects.
• Schedule annual ethics training for business administrators.
• Assist with SRS coordination meetings held 3 times a year for discussion of processes.

IX. Information Technology

Goal

Maintain information systems and services compliant with federal, state, local, and System requirements.

Metrics

• Develop and communicate procedures, including delegated authority and compliance with DFARS clauses in research contracts.
• Develop a business continuity plan.

X. Risk and Compliance

Goal

Promote compliance with federal, state, local, and System requirements.

Metrics

• Develop and communicate procedures, including delegated authority.
• Develop a business continuity plan.
• Participate in the administrative track for the annual regional meeting addressing compliance and other risk components.
• Establish a process to review all professional and continuing education activities for export control compliance.
• Assist with the annual ethics training for business administrators.
• Schedule and hold SRS coordination meetings 3 times a year for discussion of processes.

Summary

TEES monitors the progress toward these compliance risks through reporting efforts of the Enterprise Risk Management (ERM) Plan and regularly scheduled meetings with management. Ad hoc meetings are held when issues arise, the Management Team coordinates bi-monthly, and the Compliance Committee meets quarterly. Through these meetings, compliance concerns are brought forward and mitigation plans are implemented.

In conclusion, risks presented as part of the Compliance Plan pose strategic, operational, financial, and reputational compliance concerns. Major areas in which to focus compliance efforts for the coming year include documented processes, training, global initiatives, security, resources, and infrastructure. Interrelated work in all of these areas must occur in order for TEES to mitigate the risks presented in this plan.
## Performance Metrics

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<thead>
<tr>
<th></th>
<th>Responsible Areas</th>
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<tbody>
<tr>
<td>1</td>
<td>Develop and communicate procedures for each responsible area, including delegation of authority.</td>
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<tr>
<td>2</td>
<td>Develop Business Continuity Plan.</td>
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<tr>
<td>3</td>
<td>Implement training for sustainability and leadership transition.</td>
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<tr>
<td>4</td>
<td>Establish a timely, consistent and effective process to control and distribute completion certificates for professional and continuing education activities.</td>
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<tr>
<td>5</td>
<td>Develop an annual report to communicate the impact of the program.</td>
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<td>6</td>
<td>Establish a process to review all professional and continuing education activities for export control compliance.</td>
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### Responsible Areas

- Centers
- Commercialization and Entrepreneurship
- Corporate Relations
- National and Global Initiatives
- Regional Divisions
- Resources & Infrastructure
- Workforce Development
- Chief Financial Officer
- Information Technology
- Risk and Compliance