

University of Arizona Compliance Plan

I. PURPOSE

The University of Arizona Compliance Plan is the expression of the commitment of the Arizona Board of Regents (“ABOR”) and the University of Arizona (the “University”) to carry out educational, research, outreach, and health care activities in compliance with applicable laws and regulations, the ABOR Code of Conduct (ABOR Policies 5-301 to 5-307), University policies, and the highest standards of ethical conduct.

In support of the University’s commitment, the University President established the Compliance Office and the President and Senior Leadership approved the adoption of this Compliance Plan, which contains the elements recommended by Chapter 8 of the Federal Sentencing Guidelines. The policies, procedures, and standards contained and referenced in this Compliance Plan are designed to foster an institutional culture of ethics and compliance; prevent non-compliance with applicable law and ethics standards; detect non-compliance if it occurs; appropriately address non-compliant behavior; and prevent future similar non-compliance.

The President and Senior Leadership are committed to ensuring the University has an effective compliance and ethics program and to supporting the implementation of this Compliance Plan. The Compliance Plan is a living document and will be reviewed and updated on a regular basis by the Compliance Office.

II. COMPLIANCE STRUCTURE

University President

The President or the President’s designee(s) will review and give final approval on any substantive changes or additions to the Compliance Plan, will monitor and oversee compliance activities, and will ensure the effectiveness of the Compliance Plan.

Compliance Office and Chief Compliance Officer

The Compliance Office, led by the Chief Compliance Officer, provides oversight that authorizes, supports, coordinates, and monitors the compliance efforts that occur throughout the University in various units, where the responsibility for implementation resides. The Compliance Office will:

- Oversee implementation of the Compliance Plan;
- Provide the President and Senior Leadership with updates and recommendations regarding compliance matters and prepare an annual report for them on University compliance;

- Manage reports to the University's Ethics and Compliance Hotline for the reporting of suspected violations or concerns, including through the referral of such calls to relevant Compliance Personnel.
- Provides authorization to Compliance Personnel at the University to perform compliance work, unless that authority is otherwise provided by federal, state, or local laws or regulations or ABOR or University policies. Compliance work includes providing guidance on compliance requirements, conducting investigations into non-compliance, making determinations of non-compliance, and, if non-compliance is discovered, taking steps to implement or make recommendations for corrective action.

The Compliance Office will partner with Compliance Personnel, University Units, and relevant stakeholders, including shared governance bodies, to:

- Assist in the monitoring of new laws, regulations, and trends regarding compliance activities;
- Develop and revise compliance-related policies and procedures;
- Develop compliance-related training and outreach strategies and resources;
- Identify potential areas of noncompliance and necessary corrective action; and
- Identify and implement improvements to the compliance program and the Compliance Plan.

Compliance Advisory Committee

The Compliance Advisory Committee advises the President, Senior Leadership, and University administrators (through the Compliance Office) on the effectiveness of the University's ethics and compliance program and Compliance Plan. Members are appointed by the Chief Compliance Officer, with advice and consent of the President or designee, and include one or more representatives who have significant compliance responsibilities in the following areas of the University:

- Academic Affairs
- Athletics
- Business Affairs
- Faculty Affairs and Governance
- Office of the General Counsel
- Global Affairs
- Health Sciences
- Division of Human Resources
- Office of the Provost
- Research, Discovery, & Innovation
- Risk Management Services
- Student Affairs
- Title IX
- University Information Technology Services

University Units and Other Points of Contact

The head of each unit will act as a designated point of contact for the Compliance Office, provide support for the Compliance Plan's implementation within each respective unit, and ensure that University employees, Designated Campus Colleagues (DCCs), students, and others ("University community members") within the scope of the unit's authority complete required and recommended compliance-related training and other activities.

The heads of University units, supervisors, and community members will follow recommendations for correction action made by Compliance Personnel unless there are compelling reasons to not to do so, in which case they will share the reasons with the Compliance Personnel. If Compliance Personnel disagree, they will escalate the matter as described in "Compliance Personnel," below.

Compliance Personnel

This Compliance Plan is not intended to replace the efforts of individuals, offices, and programs with designated compliance responsibilities and authority ("Compliance Personnel") outside the Compliance Office.

Compliance Personnel include, but are not limited to, directors, managers, officers, Designated Institutional Officials, and committee chairs with oversight of University compliance responsibilities related to: Athletics; Academic and Curricular Affairs; Campus and Youth Safety; Conflicts of Interest; Employment; Nondiscrimination/Title IX/ADA; Financial Services/Aid; Information Security, Privacy, Research; and others. For more specific information about designated Compliance Personnel, please consult the Compliance Office Website (<https://compliance.arizona.edu/compliance-partners>) or contact the Compliance Office at complianceoffice@email.arizona.edu or (520) 621-6436.

If Compliance Personnel identify non-compliance and make recommendations for corrective action that are not followed, and Compliance Personnel disagree with the reasons provided for not following the recommendation, Compliance Personnel will notify an appropriate administrator in the units' chain of command. In some cases, this may be the administrator who is next in the chain of command, and in other cases, compliance personnel may choose to raise the concern at a higher level. If the recommendations are still not followed, Compliance Personnel will notify the Chief Compliance Officer.

Compliance Personnel at the University are required to provide information, metrics, and assistance to the Compliance Office as requested, along with access to internal and external compliance audits and reports.

III. POLICIES

The University has established policies that address compliance requirements and ethical standards. These policies cover all areas of the University, including, but not limited to, the following: Administration, Business and Finance, Employment/Human Resources, Ethics and Conduct, Facilities and Safety, Faculty Affairs and Academics, Information Technology, Research, Student Life and Education, and External Relations. These policies are available at the University's Policy Portal, <http://policy.arizona.edu/>.

IV. EDUCATION AND TRAINING

The University engages in robust education and training efforts to communicate compliance requirements, foster a culture that supports ethical and compliant behavior, and prevent non-compliance. The Compliance Office website has information about the University's compliance-related trainings and other resources (<https://compliance.arizona.edu/resources>).

V. REPORTING

Reports

University community members are expected to report in good faith actual or suspected violations of laws, regulations, government contract or grant requirements, ethical or professional standards, or other suspected compliance-related wrongdoings that come to their attention. Individuals can make direct reports to Compliance Personnel who are responsible for the particular subject matter of the complaints or concerns. The names of Compliance Personnel with responsibilities for particular areas are available on the Compliance Office website (<https://compliance.arizona.edu/compliance-partners>).

In addition, for University employees, reporting can occur through standard management channels, beginning with an individual's immediate supervisor. If the suspected violations cannot or should not be reported to an immediate supervisor (e.g., the supervisor is alleged to have engaged in the violation or there is a fear of retaliation), individuals can report the violations to a higher level of management within their units, contact the Compliance Office at (520)621-4192 or complianceoffice@email.arizona.edu, or use one of the alternate Confidential Channels listed below.

Confidential Channels

In the event that the reporting options outlined in the preceding paragraph are not appropriate or feasible, or if the reporter fears retaliation or reprisal and desires confidentiality, the reporter may use a confidential channel. Confidential channels may include:

- Direct reports to certain Compliance Personnel, if, by virtue of University Policy, law, or regulation, they are charged with maintaining confidentiality. Reporters should confirm the scope of such confidentiality where appropriate.
- The University's Ethics and Compliance Hotline, 866-364-1908 or www.hotline.arizona.edu, which is managed by an external vendor with reports sent to the University's Compliance Office. Reports to the Hotline are anonymous unless the reporter chooses to leave contact information. Reports must be made in good faith and not be frivolous in nature.

Response to Reports

The Compliance Office and Compliance Personnel will assess reports they receive of suspected violations of laws, regulations, or policy and investigate if appropriate. Due to the confidential or sensitive nature of many reports received, the Compliance Office and Compliance Personnel may be unable to provide reporters with the results of any review or investigation.

VI. SUSPECTED NON-COMPLIANCE

Investigation

The Compliance Office and/or Compliance Personnel will review and investigate reports received of suspected misconduct or non-compliance, as appropriate. The Compliance Office may refer reports it receives to the appropriate Compliance Personnel who have responsibility related to the subject matter of the reports. When the Compliance Office refers a report to Compliance Personnel for investigation, those personnel will follow the investigatory procedures established by their compliance units, if applicable. When the Compliance Office refers reports to Compliance Personnel whose units do not have established investigatory procedures, those units will follow investigative protocols provided by the Compliance Office. University community members must cooperate fully with any such investigations.

Procedures Following Non-compliance

If the Compliance Office or Compliance Personnel determine, after investigation, that a University community member has engaged in non-compliant conduct, the matter will be addressed with appropriate measures. For employees, the individual's immediate supervisor or other unit leadership will address the matter in consultation with Compliance Personnel and/or the Compliance Office, as appropriate. Disciplinary sanctions will be determined on a case-by-case basis, and may include terminating or expelling the individual(s) involved, reporting the individual(s) to the appropriate authorities or governmental agencies, and taking legal action, as necessary. All disciplinary matters will be conducted in accordance with University policies and procedures.

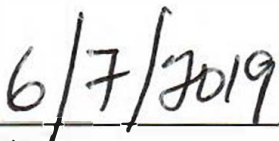
Additional remediation measures may include: revising the Compliance Plan or other policies to better prevent the occurrence of future misconduct; providing enhanced training; conducting campus outreach; increasing auditing and monitoring procedures; or adjusting supervisory duties or departmental structure.

No Retaliation

University community members are prohibited from retaliating against reporters of suspected non-compliance or misconduct, those who provide information, or those who cooperate or assist with an investigation. Individuals who believe they have experienced retaliation are encouraged to report their concerns using the reporting channels described above in the Reporting section.

Approved: 

Robert C. Robbins



Date