

# OLD DOMINION UNIVERSITY

## University Policy

### Policy #1003

### UNIVERSITY RESPONSIBILITY FOR COMPLIANCE

**Responsible Oversight Executive:** Executive Vice President for Strategic Operations  
and Chief of Staff

**Date of Current Revision or Creation:** October 8, 2024

#### A. PURPOSE

Old Dominion University is committed to fostering an institutional culture of ethical conduct and adherence to compliance requirements by establishing and maintaining an effective university compliance program. Critical to this process is the recognition that the responsibility for upholding ethical standards rests with every individual employee. The purpose of this policy is to establish the University's framework for compliance with applicable laws, rules, regulations, and standards and institutional policies and to define the roles and responsibilities for maintaining compliance requirements.

#### B.





3. Compliance owners are responsible for managing all aspects of adherence to rules and regulations within the scope of their assigned authority, including staying updated on the ever-changing legal landscape, interpreting compliance regulations, documenting and maintaining policies and procedures, promoting accountability by establishing clear objectives and lines of responsibility, providing communication and training, implementing effective strategies and controls, and tracking progress to ensure the organization's activities align with these requirements. Compliance owners shall promptly notify the University Compliance Officer of the results of regulatory findings, external audits (state, federal, or third-party), and external regulatory inspections.

#### **G. RECORDS RETENTION**

Applicable records must be retained and then destroyed in accordance with the [Commonwealth's Records Retention Schedules](#).

#### **H. RESPONSIBLE OFFICER**

University Compliance Officer

#### **I. RELATED INFORMATION**

[United States Department of Justice Evaluation of Compliance Programs](#)  
[United States Sentencing Commission Guidelines Manual](#)  
[7 Elements of an Effective Compliance & Ethics Program](#)  
[Board of Visitors Policy 1451 – Faculty Code of Conduct](#)  
[Board of Visitors Policy 1530 – Code of Student Conduct](#)  
[University Policy 1002 – Code of Ethics](#)  
[University Policy 3010 – Internal Controls](#)  
[University Policy 6600 – Standards of Conduct for Classified Employees](#)  
[University Compliance Website](#)

