

Compliance Officers Working Group Charter

1. *Compliance Officers Working Group Composition:* The University Compliance Steering Committee (UCSC) has appointed Compliance and Risk Management Officers who have executive responsibility for key compliance and risk management areas, as well as other representatives to participate in a Compliance and Risk Management Officers Working Group (COWG). This group will provide compliance and risk management leadership in the University's academic and administrative units and ensure effective communication and collaboration among those responsible for compliance and risk management. The UCSC may appoint additional Compliance Officers and representatives to the Working Group from time to time as it determines is necessary and appropriate to sustain and enhance the University's Compliance and Risk Management Program.

2. *Mission Statement:* The University recognizes that the primary locus of its Compliance and Risk Management Program is in the University's academic and administrative units, where the authority for University policy development and the responsibility for implementation of the Compliance and Risk Management Program reside. Accordingly, the mission of the COWG is to assist the UCSC in promoting a culture and understanding of risk management and adherence to applicable federal, state, and local laws and regulations, as well as University policies.

3. *Specific Responsibilities of the COWG:* The COWG will meet regularly throughout the year. The University's Chief Compliance Officer and the Director of Insurance and Risk Management will coordinate and chair these meetings. The COWG will help ensure that the University implements and maintains an effective Compliance and Risk Management Program by:

a. Reviewing and monitoring ongoing compliance and risk management activities, and reporting to the UCSC on progress being made, or recommending corrective actions whenever deficiencies are identified in the University's Compliance and Risk Management Program;

b. Reviewing and approving agendas and materials prepared for presentation to the UCSC and to the Audit and Compliance Committee of the Board of Trustees;

c. Identifying new and emerging areas of compliance risks and other risks relevant to the University's academic and administrative units for the UCSC;

d. Discussing, planning and recommending to the UCSC coordinated compliance and risk management initiatives designed to address identified compliance risks and other risks;

e. Identifying and discussing new and/or improved compliance and risk management best practices; and

f. Engaging members of the Schools Compliance and Risk Management Officers Taskforce (SCOT), where appropriate, to disseminate information, receive input based on School experience, and respond to queries.