

UNIVERSITY COMPLIANCE COMMITTEE CHARTER

PURPOSE

The University Compliance Committee (UCC) was established by and reports to the President's Cabinet. As operational owners, The UCC will assist the University in maintaining an effective compliance and ethics program by ensuring compliance activities are reasonably designed, implemented, and generally effective in preventing and detecting risks or compliance violations. Through engagement in regular meetings and sub-committee participation, committee members will work collaboratively to ensure the coordination of compliance activities across the institution. The committee will further take or recommend necessary actions to promote a culture of ethical conduct and commitment to compliance with laws, policies and regulations.

RESPONSIBILITIES

Members of the UCC will be knowledgeable about the content and operation of the University's compliance program and will further exercise day-to-day oversight of the implementation and effectiveness of program activities, including:

- Participating in discussions aimed at identifying, prioritizing, and remediating institutional risks. This includes evaluating risks associated with emerging compliance issues, and enhancing accountability by ensuring that all aspects of compliance are assigned to specific responsible offices and individuals.
- Ensuring that university policies and procedures are effectively communicated across the university and that training resources are in place.
- Identifying areas where university policies and procedures need to be established or enhanced, including developing a response to new or revised regulatory requirements.
- Analyzing the effectiveness and efficiency of existing compliance processes.
- Ensuring that the university has exercised due diligence with respect to its efforts to establish compliance standards and procedures that identify and prevent wrongdoing.
- Communicating and promoting a culture of compliance at the University.

COMPOSITION

The Chief Compliance Officer serves as the chair of the UCC. Members of the UCC are appointed by the President's Cabinet and include designees who have responsibility for key compliance areas including, but not limited to¹:

- Office of the General Counsel
- Athletic Compliance Office
- Department of Human Resources
- Division of Public Safety
- Environmental Health and Safety
- Information Security Office
- Office of Institutional Equity
- Office of the Controller
- Executive VP for Administration & CFO
- Office of the Provost
- Office of the VP for Enrollment Management
- Office of the VP for Research
- University Business Services
- Global Affairs
- University Planning, Design and Construction
- VP for Student Affairs

OPERATIONS

The committee shall meet quarterly, or more frequently as circumstances dictate, and regularly reports (through the Chief Compliance Officer) to the President's Cabinet.

¹ Given the specific compliance requirements and needs of the healthcare environment, UConn Health shall have a separate compliance committee charged with the responsibilities above.