

Oversight: Compliance and ethics program

Board of Trustees

Executive, Audit and Governance Committee

Compliance Executive Committee (CEC)

Provost and Executive VP

VP Athletics

VP for Administration and Finance

Faculty Senate President

VP Research

General Counsel

VP Student Affairs

Chief Audit, Risk and Compliance Executive

Office of Audit, Risk and Compliance

Compliance partners and committees

Elements of an effective compliance and ethics program

7. Response and Prevention.

Episodes of misconduct and violations of laws, regulations and policies are responded to appropriately. Systemic issues are identified, root causes determined, and solutions implemented to prevent recurrence.

6. Accountability, Incentives and Corrective Action.

Community members are encouraged to behave ethically and responsibly. Appropriate, fair and consistent actions are taken in cases of wrongdoing.

5. Receiving Reports and Investigating.

Clear avenues exist to seek guidance or report violations of policy and relevant laws/regulations. Investigations follow appropriate processes and emphasize non-retaliation.

4. Monitoring and Auditing.

Program adherence to compliance requirements is monitored. Emerging and changing laws are tracked.



1. Leadership and Oversight.

Effective leadership and functional committee structures are in place, with regular reporting to the Board of Trustees.

2. Policies and Procedures.

Clear expectations and practical guidance regarding behavior and decision-making are available and accessible.

3. Education and Outreach.

Reasonable steps are taken to provide appropriate, relevant, and comprehensive education and outreach about compliance requirements.

Higher education compliance areas

Financial	Research	Health & safety	Civil rights and employment	Information
<ul style="list-style-type: none"> • Collecting tuition • Capital projects • Procurement • Tax • Investments • Financial aid • Debt management • Cost allowance • Internal controls • Grant and contract accounting • Cash management • Payroll and benefits • Insurance • Gifts and contracts • Ethics 	<ul style="list-style-type: none"> • Human subjects • Animal subjects • Export controls • Research integrity • Conflict of interest • Hazardous materials • Radiation safety • Biosafety • Industrial safety • Scientific diving and small boat safety 	<ul style="list-style-type: none"> • Employee health • Student health • Violence and suicide prevention • Construction safety • Emergency management • Safety of minors • Public safety • Environmental contamination • Building / grounds maintenance • Housing and food 	<ul style="list-style-type: none"> • Disability access + accommodation • Workers' compensation • Labor relations • Wage and hour • Family and medical leave • Recruitment and hiring • Equal opportunity + affirmative action • Sexual misconduct • Non-discrimination • Cultural resources 	<ul style="list-style-type: none"> • Privacy of data • Security of data • Public records • Records retention • Copyright and trademark • Intellectual property • Information technology • Internet of Things
				<p>Athletics</p> <p>International</p>