

September 16, 2013

MEMORANDUM

To: Mardecia Bell, Director of Security and Compliance, OIT
Richard Best, Research Compliance Officer & FSO
Barbara Carroll, Associate Vice Chancellor for Human Resources
Carrie Doyle, Senior Associate Athletic Director for Compliance
Duane Larick, Senior Vice Provost for Academic Strategy & Resource Management
Stan North Martin, Director of Outreach, Communications and Consulting, OIT
Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Business and University
Treasurer
David Rainer, Associate Vice Chancellor for Environmental Health and Public Safety
Joanne Woodard, Vice Provost for Institutional Equity & Diversity
Lisa Zapata, Vice Provost for Student Development, Health and Wellness

From: University Compliance Steering Committee

Warwick Arden, Provost and Executive Vice Chancellor
Eileen Goldgeier, Vice Chancellor and General Counsel
Marc Hoit, Vice Chancellor for Information Technology and CIO
Charles Leffler, Vice Chancellor for Finance and Business
Terri Lomax, Vice Chancellor for Research, Innovation, and Economic Development

Subject: **Compliance Officials Working Group**

Integrity in our work and compliance with applicable laws and regulations are critical to our success as a major public research institution. It is therefore imperative that the university maintain an effective organizational compliance and ethics program. The primary locus of the university's Compliance 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 Program reside. We are therefore forming a Compliance Officials Working Group (Working Group), and appointing each of you as a Working Group member.

The mission of the Working Group is to assist the University Compliance Steering Committee (UCSC) in promoting a culture and understanding of and adherence to applicable federal, state, and local laws and regulations, as well as university policies, rules, and regulations. The Working Group will provide compliance leadership in the university's academic and administrative units and ensure effective communication and collaboration among those responsible for compliance.

The Working Group should meet regularly throughout the year. Deputy General Counsel Mike Poterala will coordinate and chair these meetings. The Working Group will help ensure that the university implements and maintains an effective Compliance Program by:

- a. Reviewing and monitoring ongoing compliance activities, and reporting to the UCSC on progress being made, or recommending corrective actions whenever compliance violations occur or when deficiencies are identified in the university's Compliance Program;
- b. Preparing materials for presentation to the UCSC, and, upon request of the UCSC, preparing materials for presentation to the Audit, Risk Management and Finance Committee of the Board of Trustees;
- c. Identifying new and emerging areas of compliance risk relevant to the university's academic and administrative units for the UCSC;
- d. Discussing, planning and recommending to the UCSC coordinated compliance initiatives designed to address identified compliance risks;
- e. Identifying and discussing new and/or improved compliance best practices; and
- f. Engaging the university's faculty, staff, academic units, and administrative units to disseminate information, receive input, and respond to queries.

Cc: Chancellor Woodson
Kevin Howell
Michael Mullen
P.J. Teal
Deborah Yow
Brad Bohlander
Mike Poterala