

University of North Florida Compliance Office Charter

Mission and Vision

The UNF Compliance Office provides an organizational structure and range of services which:

- support the University's mission, vision, and values,
- promote a culture of compliance and ethical behavior,
- encourage a commitment to compliance with laws, rules, regulations, and policies,
- reduce the risk of non-compliance, and
- add value to and improve UNF's operations.

The University's Compliance and Ethics Program (C&E Program) outlines strategies to help ensure integrity, accountability, and ethical conduct become embedded in all elements of our day-to-day operations. The C&E Program and the UNF Code of Conduct and Ethics establish the tone for ethical decision-making and accountability in all University business operations and reinforces UNF's commitment to integrity and "doing the right thing."

Responsible Parties

The University's Compliance, Ethics and Risk Oversight Committee (CEROC) is established to oversee the implementation of the UNF C&E Program, to promote excellence in all University compliance and ethics activities, and to provide leadership and oversight of the University's risk assessment processes. CEROC is advisory in nature, with Committee recommendations submitted directly to the President.

The University's Chief Compliance Officer (CCO) is responsible for providing leadership and oversight in support of the implementation of the Compliance and Ethics Program and will:

- Provide administrative support and oversight to the University Compliance, Ethics, and Risk Committee (CEROC),
- Assist and support compliance partners in fulfilling their compliance responsibilities,
- Communicate and promote the University's Code of Ethics to the University community,
- Coordinate the development, review, and approval of University policies and communicate and promote those policies to the University community,
- Provide support, guidance, and managerial services to supervisors and managers on compliance and ethics related issues, including conflicts of interest,
- Coordinate the implementation of a comprehensive compliance training and awareness program
- Facilitate opportunities for all employees to report issues of non-compliance and/or retaliation,
- Serve as a member of the Hotline Triage Workgroup, which is responsible for reviewing reports of non-compliance, overseeing corrective action, and documenting outcomes, and
- Establish systems, processes, and activities to identify compliance risks, to detect non-compliance, and measure the effectiveness of the Compliance and Ethics Program.

Authority

Authority is granted to the CEROC and the CCO Officer for full and unrestricted access to any and all UNF records, physical properties and personnel relevant to any issue or function under review. All employees are to assist the CEROC and the CCO in fulfilling the requirements of their jobs. Documents and information reviewed will be handled in the same prudent and confidential manner as by those employees normally accountable for them.

Independence & Organization

CEROC reports to the President. The CCO reports administratively to the Office of the President under the general supervision of the President and with a dual-reporting relationship to the BOT Audit and Compliance Committee as reiterated by the State University System Board of Governor’s (BOG) regulations. The CCO will report material and significant compliance and ethics issues to the President and the Chair of the Audit and Compliance Committee and to the BOG, when applicable.

Professional Standards

The Compliance and Ethics Program must and shall be implemented consistent with the Code of Ethics for Public Officers and Employees (Part III, Chapter 112, Florida Statutes), the Federal Sentencing Guidelines, and Board of Governors Regulation 4.003, SUS Compliance and Ethics Programs. The work of the Compliance Officer is also guided by the Code of Ethics for Compliance and Ethics Professionals of the Society of Corporate Compliance and Ethics. Finally, the Compliance Office will adhere to UNF policies and procedures, as well as those of the State University System of Florida Board of Governors.

Charter Review and Approval

This Charter shall be reviewed at least every three (3) years. A copy of the approved charter and any subsequent changes shall be provided to the Board of Governors.

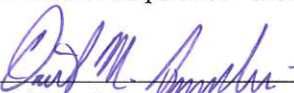
Approved:



Joann N. Campbell
AVP and Compliance Officer

10-11-18

Date



David M. Szymanski
President

10/11/18

Date



Paul McElroy
Chair, BOT Audit and Compliance

10/11/18

Date