

HEALTH SCIENCE CENTER HANDBOOK OF OPERATING PROCEDURES

Chapter 1	Administration and Organization	Effective:	December 2003
Section 1.6	Administrative Committees	Revised:	November 2008
Policy 1.6.5	Compliance & Ethics Committee	Responsibility:	President

COMPLIANCE & ETHICS COMMITTEE

Members

1. President
 2. Senior Executive Vice President/Chief Operating Officer
 3. Executive Vice President for Business Affairs/Chief Financial Officer
 4. Vice President/Chief Information Officer
 5. Vice President for Research
 6. Dean, School of Medicine/Vice President for Medical Affairs
 7. Dean from one of the five Schools
 8. Vice Dean, Clinical Affairs
 9. Associate Dean for Graduate Medical Education
 10. Vice President for Human Resources
 11. Chief Legal Officer
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Ex-Officio

1. Assistant Vice President for Regulatory Affairs & Compliance
 2. Assistant Vice President for Internal Audit & Consulting Services
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Chair

President of the Health Science Center

Charge

The Compliance & Ethics Committee will provide oversight and direction for the Institutional Compliance Program. The Committee's purpose includes a focus on the institution's processes to manage business and risks in compliance with applicable significant legal, ethical, and regulatory requirements. The Compliance & Ethics Committee has responsibility to:

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- Ensure that the Institutional Compliance Program is risk-based and considers all aspects of the institution's operations.
 - Review and approve the annual institutional compliance workplan.
 - Ensure continuous and effective monitoring of institutionally designated compliance high-risk activities.
 - Provide oversight and guidance to investigations being conducted by the Office of Regulatory Affairs & Compliance.
 - Follow-up on all instances of non-compliance reported to the Committee to ensure management has taken appropriate corrective action.
 - Serve as the official Privacy Board for the institution.

**Term of
Membership**

Three years
