UNIVERSITY OF CALIFORNIA
Ethics & Compliance Program

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Office of Ethics, Compliance and Audit Services (ECAS)
Overview

• Regent’s Initiate Creation of Program - 2007
• Regent’s Resolution – Ethics and Compliance Program- 2008

Mission Statement

The UC Ethics and Compliance Program enhances the University’s duty to perform its public responsibilities in an ethics and compliance-based environment where applicable laws, rules and regulations are followed and in which the public trust is maintained.

Provide independent assurance to the Regents of ongoing compliance and regulatory oversight.
Why Establish a University Ethics and Compliance Program?

- Good business practice
- Industry benchmarks
- Enhance the public trust
- Effective program aids in preventing compliance risks
- Efficiencies in processes and communication
- Meet expectations of external constituents, i.e., funding sources
- Effective programs are recognized by regulatory agencies in culpability scores which reduces and/or prevents civil and/or criminal enforcement
- Meet Regental expectations
Compliance Matters Impacting the University of California And Relevant Regulatory Bodies*

*Including but not limited to the agencies listed

FERPA
Patriot Act
IRS
SEVIS
Cleary Act
DOJ
CLIA
HIPAA
USDA
HHS
OHRP
CLIA
EAR
HHS
OHRP
ITAR
EH & S
FPPC
OMB
DMCA
FDA
OIG
OSHA
OTI
CSS
CMS
DOL
FEMLA
DOT
EEO
NCAA
EPA
GLOBA
FED
ITAR
EAR
FPPC
OMB
DMCA
FDA
OIG
OSHA
OTI
CSS
CMS
DOL
FEMLA
DOT
EEO
NCAA
EPA
GLOBA
FED
The Board of Regents

UC Chief Compliance and Audit Officer

UC Ethics & Compliance Risk Council*  
(co-chaired by President and SVP/Chief Compliance Officer)

Chancellor – Campus Oversight and Accountability

Campus Ethics & Compliance Risk Committee*  
(co-chaired by EVC and CECO)

Campus Ethics & Compliance Officer (CECO)  
(Vice Chancellor or above level)

Employee Training | Reporting | Monitoring & Auditing

Policies & Procedures

Corrective Action

*Membership to include representation from academic senate and administrative leaders of compliance risk areas; “campus” refers to UC locations including LBNL, UCOP and ANR

*Academic Medical Centers are included in “campus” definition
Compliance Matters Impacting the Business Officer*
UC Ethics and Compliance Program:
Communication Model for the Business Officer

The Regents

President’s Compliance and Audit Committee

Campus Ethics & Compliance Risk Committee
- Vice Chancellor
- Chair/Dean of Dept
- Exec Dir of Unit
- Supervisor

Business Officer

Anonymous Compliance Hotline
The Office of Ethics and Compliance

- Facilitates system-wide compliance with applicable laws, regulations and policies.
- Assures compliance infrastructure is in place to address and mitigate risk priorities.
- Oversees comprehensive reporting mechanisms which allow employees to report suspected violations of UC policies or regulatory obligations.
- HS Compliance Officers report through a dotted line relationship to SVP/CCAO.
- Campus Compliance and Ethics Officers have a functional dotted line relationship to SVP/CCAO with respect to campus compliance.
- Oversees the policy-making process in all areas for which the President has authority.
- Reports high priority and sensitive compliance and/or audit matters to Senior Leadership and Regents; and tracks matters to completion.