



# UC San Diego

## Policy & Procedure Manual

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### CAMPUS ORGANIZATION

#### Section: 10-11 ATTACHMENT 2

Effective: 06/29/2023

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Issuing Office: [Audit and Management Advisory Services](#)

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### ATTACHMENT 2

#### UNIVERSITY OF CALIFORNIA SAN DIEGO

#### Compliance, Audit, Risk, and Ethics (CARE) Committee Charter June 29, 2023

#### Purpose/Mission

The Compliance, Audit, Risk, and Ethics (CARE) Committee was established in 2011 in accordance with the UC Ethics and Compliance Program Plan which was approved in 2008 by the Regents of the University of California, and approved and re-affirmed in 2017. The CARE Committee functions in an advisory capacity to the UC San Diego Chancellor and the UC Office of Ethics, Compliance, and Audit Services, on matters pertaining to compliance with laws, regulations, and UC policies and procedures; the conduct of the external and internal audit programs; and the identification and assessment of enterprise risk.

#### Roles and Responsibilities

The CARE Committee's charge is to provide ongoing oversight of compliance with established policies and procedures in a variety of areas; and to make recommendations for improving compliance programs as needed in a highly decentralized environment. The Chief Ethics and Compliance Officer, who co-chairs the CARE Committee, has the independent authority and autonomy necessary to objectively provide a review and evaluation of compliance issues within all levels and in all subdivisions, subsidiaries and holdings of UC San Diego.

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As noted in the UC Ethics and Compliance Program Plan, the duties of the CARE Committee include:

- Responsibility and support for the overall UC San Diego Compliance Program including implementation, performance metrics, and ongoing processes of the Program
- Providing oversight of risk assessment tools for campus use in identifying and mitigating high risk compliance areas
- Advising on the need for campus-specific guidance documents, education materials, and training courses
- Providing oversight of compliance monitoring activities for high-risk areas as needed and recommending compliance policies and best practices
- Reporting compliance risk areas of high priority and proposed risk mitigation activities to UC Ethics, Compliance and Audit Services on an ad hoc and annual basis as requested

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The CARE Committee will consider whether the following elements are in place as determined necessary for reducing and/ or mitigating key risk areas of regulatory compliance:

- Written policies and procedures
- Conduct of effective training and education
- Effective Lines of communication
- Enforcement of standards through well-publicized disciplinary guidelines, undertaking corrective action, and reporting to the appropriate Federal agency
- Well-defined roles and responsibilities and assignment of oversight responsibility and appropriate delegations of authority

Review and Approval

The CARE Committee is responsible for reviewing and approving the following on an annual basis:

- Institutional Risk Work Plan
- Health Risk and Compliance Work Plan
- Audit & Management Advisory Services Audit Plan

Governance Structure

UC San Diego has established a Compliance Governance Structure approved by the Chancellor which includes various Committees, Councils, or other groups (collectively referred to as Subcommittees) that will provide reports to the CARE Committee. These include:

- Clery Compliance Committee
- Athletics Compliance Committee
- Risk Steering Committee
- Information Security and Privacy Council
- Health Sciences Executive Compliance Committee (also reports to the Health System Executive Governing Board)
- Cybersecurity Governance Committee (also reports to the IT Executive Governance Committee (ITEGC))
- Youth Protection Oversight Committee

Subcommittees may be added or removed as needed by the CARE Committee.

**Composition**

Co-Chairs

The Chief Ethics & Compliance Officer and Executive Vice Chancellor shall co-chair the Committee.

Committee Members

Committee shall be composed Vice Chancellors from each area of the campus, subject matter experts, and selected ex-officio members, including the CEO of UC San Diego Health, the Health Sciences Compliance and Privacy Officer, the Director of Audit & Management Advisory Services, and Campus Counsel.

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**Meetings**

The CARE Committee shall meet annually and more frequently as needed.

**Approval and Revisions**

- Approved by the Chancellor on January 8, 2011
- Revised March 1, 2018
- Revised June 29, 2023

**Reference Section**

- [July 16, 2008, Resolution to Approve the University of California Ethics and Compliance Program](#)
- [March 15, 2017, Resolution to Reaffirm the University of California Ethics and Compliance Program](#)

**Attachments**

- UC San Diego Compliance Governance Structure