



UC San Diego

Policy & Procedure Manual

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CAMPUS ORGANIZATION

Section: 10-11 ATTACHMENT 3

Effective: 03/01/2018

Supersedes: 07/17/2012

Review Date: 04/20/2021

Issuance Date: 04/20/2018

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

ATTACHMENT 3

UNIVERSITY OF CALIFORNIA SAN DIEGO

Compliance, Audit, Risk, and Ethics (CARE) Committee Charter March 1, 2018

Mission

The CARE Committee functions in an advisory capacity to the UC San Diego Chancellor, the UC Systemwide Compliance Risk Council, and the UC Office of Ethics, Compliance, and Audit, 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. In response to the need for a more coordinated approach to regulatory compliance and campus governance, this Committee combines various duties and responsibilities previously assigned to the Committee on Accountability and Control, the Audit Committee, and the Health Sciences Compliance, Privacy, and Enterprise Risk Management (CPERM) Committee. The Health Sciences CPERM Committee continues to function as the Compliance, Ethics & Risk Committee (CERC) but reports through CARE.

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.

Duties of the CARE Committee include:

- Responsibility for the overall UC San Diego Compliance Program including implementation, 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
- Reporting compliance risk areas of high priority and proposed risk mitigation activities to the Systemwide Compliance Risk Council, on an ad hoc and formal basis as requested

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

**University of California, San Diego Policy – PPM 10 – 11 ATTACHMENT 3
PPM 10 – 11 UC San Diego Audit & Management Advisory Service**

- Designation of a compliance office and conduct of compliance continuous audit and monitoring activities
- Conduct of effective training and education
- Effective lines of communication
- Conduct of internal audits
- 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

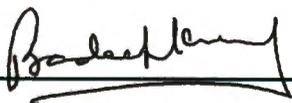
Standard Committee agenda items shall include:

- Periodic discussion and overview of informal and formal risk assessment and management practices in place for major areas of regulatory emphasis, such as:
 - Health Sciences
 - Research Compliance
 - Student Financial Aid Services
 - Human Resources
 - Financial Areas
 - Records Retention and Disposition
 - Information Technology, Privacy, and Information Security
 - Intellectual Property
 - Environmental Health & Safety
- Periodic review of compliance and risk mitigating activities taking place in the above areas
- Formation of subcommittees or councils as needed to address the above areas as determined warranted
- Review of the Audit & Management Advisory Services Annual Plan and Annual Report
- Review of the Health Sciences Compliance Annual Plan and Annual Report
- Review of the results of the annual Regents' Audit
- Review of the status of various other external audits in process

Composition

The Chief Ethics & Compliance Officer and Executive Vice Chancellor shall chair the Committee. The Committee shall be composed Vice Chancellors or their alternates from each area of the campus, subject matter experts, and selected ex-officio members, including the Health Sciences Compliance and Privacy Officer, the Director of Audit & Management Advisory Services, and Campus Counsel.

Approved:



Chancellor Khosla