

FLORIDA STATE UNIVERSITY

UNIVERSITY COMPLIANCE AND ETHICS CHARTER

PURPOSE AND MISSION

FSU's Office of Compliance and Ethics (Office) provides oversight and guidance to all areas of the institution in the areas of compliance and ethics. The Office provides centralized and coordinated oversight through the ongoing development of effective policies and procedures, education, training, monitoring, communication, and response to reported issues, as required by Chapter 8 of the Federal Sentencing Guidelines and Board of Governors Regulation 4.003. These guidelines and regulation set forth the requirements of an effective compliance and ethics program that maximizes compliance with laws, regulations, rules, and policies and promotes ethical conduct.

The mission of the Office is to support and promote a culture of compliance, ethics, and accountability through its institutional compliance and ethics program (Program).

REPORTING STRUCTURE AND INDEPENDENCE

The Office, led by the Chief Compliance and Ethics Officer (CCEO), reports administratively to the University President and functionally to the university Board of Trustees and the Audit and Compliance Committee of the Board of Trustees. Hiring and retention of the CCEO shall be coordinated with the Board of Trustees. The CCEO and the Office shall have full independence and objectivity to perform their responsibilities as described herein. All activities of the Office shall remain free from actual or perceived influence or impairment.

AUTHORITY

Authority is granted to the CCEO and the Office for full and unrestricted access to all university and direct support organization records, physical properties, activities, information systems, and personnel relevant to any issue or function under review. All employees shall assist the CCEO and the Office in fulfilling the requirements of their jobs.

DUTIES AND RESPONSIBILITIES

The following elements define the duties and responsibilities of the Office:

1. Oversight of compliance and ethics and related activities
2. Development of effective lines of communication
3. Providing effective training and education
4. Revising and developing policies and procedures
5. Performing internal monitoring, investigations, and compliance reviews
6. Responding promptly to detected problems and undertaking corrective action
7. Enforcing and promoting standards through appropriate incentives and disciplinary guidelines
8. Measuring Program effectiveness
9. Oversight and coordination of external inquiries into compliance with federal and state laws and take appropriate steps to ensure safe harbor

The CCEO and staff will:

- a) Develop a Program plan based on the requirements for an effective program. The Program plan and subsequent changes shall be provided to the Board of Trustees for approval. A copy of the approved plan shall be provided to the Board of Governors.
- b) Provide training to university employees and members of the Board of Trustees regarding their responsibility and accountability for ethical conduct and compliance with applicable laws, regulations, rules, policies, and procedures.
- c) Obtain an external review of the Program's design and effectiveness at least once every five (5) years. The review and any recommendations for improvement will be provided to the President and the Board of Trustees. The assessment will be approved by the Board of Trustees and a copy provided to the Board of Governors.
- d) Identify and provide oversight and coordination of compliance officers and partners responsible for compliance and ethics related activities across campus and provide communication, training, and guidance on the Program and compliance and ethics related matters.
- e) Administer and promote a compliance and ethics hotline, an anonymous mechanism available for reporting of potential or actual misconduct and violations of university policy, regulations, or law, and work to ensure that no individual faces retaliation for a good faith report.
- f) Maintain and communicate the university's policy on reporting misconduct and protection from retaliation and ensure the policy articulates the steps for reporting and escalating matters of alleged misconduct, including criminal conduct, when there are reasonable grounds to believe such conduct has occurred.
- g) Communicate routinely to the University President and the Board of Trustees regarding Program activities. Annually report on the effectiveness of the Program. A copy of the report shall be provided to the Board of Governors.
- h) Promote and enforce the Program, in consultation with the University President and the Board of Trustees, consistently through appropriate incentive and disciplinary measures to encourage a culture of compliance and ethics. Failures in compliance and ethics will be addressed through appropriate measures, including education or disciplinary action.
- i) Initiate, conduct, supervise, coordinate, or refer to other appropriate offices such inquiries, investigations, or reviews deemed appropriate in accordance with university regulations, policies, or procedures, and/or state or federal rules, laws, or regulations. Submit final reports to appropriate action officials at the conclusion of inquiries, investigations, or reviews conducted by the Office.
- j) Make necessary modification to the Program in response to detected non-compliance, unethical behavior, or criminal conduct and takes steps to prevent occurrence.
- k) Assist the university in its responsibility to use reasonable efforts to exclude within the university and its affiliated organizations individual whom it knew or should have known through the exercise of due diligence to have engaged in conduct not consistent with an effective Program.
- l) Coordinate or request compliance activity information or assistance as necessary from any university, federal, state, or local government entity. Oversee and coordinate external inquiries into compliance with federal and state laws and take appropriate steps to ensure safe harbor in instances of non-compliance.

PROFESSIONAL STANDARDS

The Office adheres to the *Florida Code of Ethics* and the *Code of Professional Ethics for Compliance and Ethics Professionals*.

ASSESSMENT OF CHARTER

This charter will be reviewed at least every three (3) years for consistency with applicable Board of Governors and university regulations, professional standards, and best practices. Subsequent changes will be submitted to the Board of Trustees for approval. A copy of the charter and any subsequent changes will be provided to the Board of Governors.

This Office of Compliance and Ethics charter is hereby approved on June 8, 2018.

This Office of Compliance and Ethics charter is hereby reapproved on September 24, 2021.


University President

9-28-21
Date

Chairman, Board of Trustees

Date


Chairman, Audit and Compliance Committee

Date