COMPLIANCE WORKING GROUP COMMITTEE CHARTER

Introduction
The Compliance Working Group Committee (Committee) is the primary committee of Eastern Kentucky University (University) charged with the assessment of compliance risks and development of activities and programs to effectively manage those risks within the University. This Charter broadly defines the Committee’s roles with respect to the Colonels Comply program.

Purpose and Authority
The Committee is to identify and assess the University’s operational compliance with applicable legal requirements and sound ethical standards. The Committee encourages ethical conduct and a commitment to compliance with the law.

The Committee is empowered to:
• Assist the Compliance Oversight Committee in its monitoring of the University’s compliance with legal and regulatory requirements.
• Prepare University’s compliance risk assessments, identify areas of highest compliance risk, and propose to the Compliance Oversight Committee University activities and programs to effectively manage those risks.
• Seek any information it requires from University employees or external parties.

Composition
Chaired by the Chief Ethics and Compliance Officer, the Compliance Working Group is appointed by the Compliance Oversight Committee and consists of the following ex-officio members as well as other members appointed by the Compliance Oversight Committee as so needed:
• Chief Ethics and Compliance Officer (non-voting)
• Associate Vice President and Dean of Students
• Associate Vice President, Information Technology
• Dean of the Graduate School and Associate Vice President for Research
• Dean of University Programs/Title IX Coordinator
• Chair of Chairs Association
• Director, Athletics
• Director, Human Resources
• Executive Director, Accounting & Financial Services
• Executive Director, Enrollment Management
• Executive Director, Public Safety
• Director, Risk Management and Insurance

Meetings
The Compliance Working Group shall meet at least six times each year, with authority to convene additional meetings, as circumstances require. Meeting agendas will be prepared and provided in advance to members, along with appropriate briefing materials. Minutes will be prepared. Except as otherwise provided by this Charter, a majority of the incumbent members of the Committee shall be required to constitute a quorum for the transaction of business at any meeting, and the act of a majority of the Committee members present and voting at any meeting at which a quorum is present shall be the act of the Committee. The Committee may invite members of the Compliance Oversight Committee, Compliance Partners, or others to attend meetings to provide pertinent information as necessary.
Responsibilities
The Working Group's responsibilities include:

- Review the results of institutional compliance risk self-assessments to identify emerging risk areas and high risk activities within the institution and recommend to the Compliance Oversight Committee those high risks which require executive oversight.
- Provide recommendations to the Compliance Oversight Committee in the development of policies and procedures related to include compliance awareness, training, and monitoring to identify, avoid, and/or minimize non-compliance with applicable laws, regulations, University policies and procedures.
- Recommend quality effective training programs for areas identified as high compliance risks.

While the Committee has the responsibilities and powers set forth in this Charter, it is not the duty of the Committee to plan or conduct audits and reviews. Each member of the Committee shall be entitled to rely on the records, reports, and other materials provided to them in discharging their duties.

Periodic Charter Review and Evaluation
The Committee shall periodically assess its activities with respect to the responsibilities outlined in this charter and shall take action as needed in response to this assessment. This assessment shall include a review of the adequacy of the Committee Charter.

Judith W. Spain.................................................. Date
Chair, Compliance Working Group Committee

Michael T. Benson............................................. Date
President
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[Signature]
Judith W. Spain
Chair, Compliance Working Group Committee

[Signature]
Michael T. Benson
President

August 11, 2014
Date