

# **Temple University Ethics and Compliance Office Charter\***

## **1. Scope, Purpose and Mission**

In keeping with best practices, the Temple Ethics and Compliance Office (ECO) was established as a centralized, independent function that reports to the university's ultimate authority, its governing board. The ECO provides oversight and guidance to university-wide ethics, compliance, and enterprise risk management activities, and fosters a culture that seeks to embed these disciplines in all university operations and activities. The ECO promotes coordination of and consistency among university functions and units, covering a wide variety of compliance requirements applicable to academics, athletics, human resources, research, data reporting, information technology, and numerous additional administrative functions.

## **2. Reporting Structure, Independence, and Staffing**

The ECO is led by the Chief Compliance Officer ("CCO"), who reports to the Board of Trustees through the designee(s) of the Chair of the Board. For administrative purposes, the CCO reports to and is supervised by the President. In order to ensure independence and effectiveness, decisions regarding the appointment, compensation, advancement or termination of the CCO are subject to the review of the Chair of the Board of Trustees. The CCO will:

- Maintain a professional staff with size, knowledge, skills, and experience appropriate to its scope and objectives;
- Utilize third-party resources as appropriate to supplement the ECO's efforts; and
- Regularly assess the program to identify appropriate changes and improvements.

## **3. Board Oversight**

The Board of Trustees, through its Compliance Committee, shall review and recommend to the Board the scope of the ECO's duties and responsibilities and provide the Board with appropriate reports of the activities of the ECO. The CCO shall provide regular reports to the Compliance Committee through its Chair and meet on a regular basis with the Compliance Committee. The Compliance Committee shall review and approve the charter of the ECO as developed and presented from time to time to the Compliance Committee by the CCO.

## **4. Duties and Responsibilities**

The ECO shall establish a comprehensive ethics and compliance program as necessary and appropriate to meet and serve the needs of the university. It is expected that the program will meet or exceed the requirements of Chapter 8 of the United States Federal Sentencing Guidelines. The following elements define the general duties and responsibilities of the ECO, as informed by the Guidelines:

- Oversight and coordination of compliance and ethics and related activities, including conflicts of interest
- Development of effective lines of communication

*\*Approved by Board of Trustees Compliance Committee on December 21, 2021.*

- Providing effective advice, training, and education on ethics, compliance, and data integrity issues
- Working with policy owners to revise, manage and keep current policies and procedures
- Performing internal monitoring, investigations, and compliance reviews as set forth in this Charter
- Responding promptly to detected problems and ensuring implementation of corrective action as set forth in this Charter and consistent with appropriate established practices and policies
- Enforcing and promoting standards through appropriate incentives and disciplinary guidelines in accordance with the employee handbook and other policies
- Measuring and ensuring compliance program effectiveness

## 5. Investigations

### i. Helpline and Initiating Investigations

The ECO shall provide avenues for reporting of potential non-compliance or unethical behavior, which shall be available to all stakeholders and shall allow for anonymous reporting. The ECO may also receive claims outside of the Helpline or conduct investigations on its own initiative based upon the receipt of information.

### ii. Referral to Appropriate University Offices

Regardless of source, and subject to subsection iii, below, matters reported to the ECO which require investigation shall be referred by the ECO to the appropriate university office or function based on the responsibility of that office or function, which may include relevant subject matter and expertise or reflect the statutory or independent organizational roles of those offices. The ECO shall establish and revise from time to time an inventory of university offices to which matters will be referred and will track the roles and responsibilities associated with those offices. A current inventory of offices with subject matter-based roles for the oversight and management of compliance is attached to this Charter as Exhibit A. This inventory will be subject to revision from time to time. The ECO shall maintain the case file of matters reported to the ECO and shall manage any communications with anonymous reporters through the Helpline. Notwithstanding anything in this Charter to the contrary, where specific matters are required by university policy or by applicable law to be handled exclusively by a different university function or office (e.g., Research Compliance, Equal Opportunity Compliance), the ECO shall refer such matters to the appropriate function or office for handling.

### iii. Oversight

The ECO shall be responsible for ensuring that all investigations are fair, appropriate, and conducted in accordance with applicable university policies. Depending on the potential impact to the university, the nature of the alleged misconduct, and/or the individuals involved, it may be appropriate for the ECO to exercise direct supervision and management of an investigation in coordination with the appropriate university office(s), unless otherwise indicated by statutory requirements or university policy. In all cases the ECO shall be a resource for the university's investigation needs.

#### **iv. Scope of ECO Review of Prior Investigations**

With respect to matters alleging that an investigation previously concluded by another office or function was biased, incomplete, or otherwise improper or wrongful, the ECO will review the investigative record to determine if the investigation(s) were (a) unbiased; (b) conducted in accordance with university policy and (c) met the applicable requirements of due process.

#### **v. Corrective Action**

The ECO shall make recommendations regarding corrective action as necessary and appropriate to promote fairness and consistency across the university. Recommendations shall be made to the persons who are accountable for carrying out the corrective action with notice given to other appropriate personnel.

### **6. Enterprise Risk Management**

The ECO shall establish and lead a university-wide enterprise risk management (ERM) program to ensure risks across the university are identified, prioritized and managed appropriately. Offices and functions responsible for substantive compliance areas shall participate in the ERM program, coordinating efforts with the ECO to identify, catalog, prioritize, report, and appropriately mitigate risks across the university.

### **7. Data Verification Unit**

ECO shall establish and maintain a Data Verification Unit (DVU) to verify the integrity and accuracy of externally published university data. The ECO shall establish such procedures regarding the nature, process, and scope of review – including regarding mandatory prior review and DVU approval – as appropriate to accomplish its mission.

### **8. Access to Information**

The ECO shall have full and timely access to all university records, documents, facilities, and personnel necessary to meet its responsibilities to conduct compliance assessments, training, monitoring, and investigations, and shall be able to grant access limited in time and scope to any individual acting at its direction. University administration shall ensure that units and personnel fully and timely cooperate with the ECO in carrying out its duties.

### **9. Compliance Audits**

The ECO shall coordinate and work with the Office of Internal Audits to ensure that appropriate audits of compliance processes and procedures are conducted as required to assess the effectiveness of the compliance program.

### **10. Integrity and Confidentiality**

Recognizing the private and/or sensitive nature of some of the information to which it may have access, the ECO operates with the highest level of integrity and respect for confidentiality.

## Exhibit A

### Investigatory Responsibilities Within the University

Regardless of source, all matters received by the Ethics and Compliance office are assigned to the following offices that have investigatory responsibility for the corresponding matter. In cases of overlap, the Ethics and Compliance office will work collaboratively with the appropriate offices to ensure appropriate coordination and assignment:

Claim/Inquiry Type	Lead Investigative Office(s)
Athletics	Athletics Compliance
Conflict of Interest	Ethics and Compliance OVPR (for research-related conflicts)
Criminal Violation Claims (ALL)	University Counsel Campus Safety
Data Integrity (excluding matters covered by the Responsible Conduct of Research Policy)	Ethics and Compliance
Discrimination	Equal Opportunity Compliance
Environmental and Safety Matters	Environmental Health and Radiation Safety Emergency Management University Counsel OVPR (Biosafety)
Ethical Conduct (confidential information, gifts, outside employment, political activity, and retaliation)	Ethics and Compliance OVPR (for Ethical Conduct of Research, FCIO, Research COI, Foreign Influence in Research, and Export Controls)
Faculty Affairs	Provost's Office OVPR (for Ethical Conduct of Research applicable to Faculty)
Financial or Operational Fraud and Misconduct	Internal Audits Ethics and Compliance
HR (General)	HR
Health System	TUHS Counsel
Information Technology	Information Security
Legal	University Counsel
Research Activities, Responsible conduct of research, Human Subjects safety, animal and lab safety, biosafety, and other related research compliance	OVPR
Risk and Safety Matters (General)	Campus Safety Risk Management
Sexual Misconduct (ALL)	Title IX Coordinator
Student Conduct	Dean of Students

Values and Culture (bullying,  
professionalism, etc.)

Ethics and Compliance  
HR (all employees)  
Equal Opportunity Compliance (as appropriate)  
OVPR (as appropriate)