UNIVERSITY RISK AND COMPLIANCE COUNCIL
CHARTER

PURPOSE

The University Risk and Compliance Council serves as a forum for assessing and monitoring UWF’s total risk and compliance responsibilities. The Council provides a proactive program to ensure recognition of UWF’s risks and strives to achieve compliance with all applicable policies, procedures, laws and regulations. The Council proactively seeks to train employees, provide for the active solicitation and discovery of concerns followed by an appropriate investigation into problem areas, and facilitate timely resolution of issues.

DEFINITIONS

RISK: The threat or probability that an action or event will beneficially or adversely affect public safety or UWF’s ability to meet its current or future objectives.

RISK MANAGEMENT: A planned, systematic and disciplined approach to identify, assess and control those uncertainties which may impact public safety or the achievement of UWF’s strategic goals, objectives and opportunities.

COMPLIANCE: A process to monitor the University’s compliance efforts and by documenting the University’s expectations for its faculty, staff, and other representatives in the performance of their responsibilities at UWF. Compliance remains the responsibility of operational and/or functional managers throughout the university.

SPECIFIC RESPONSIBILITIES

1. Monitor the risk management and compliance processes of the University as a whole.

2. Advise the University senior leadership on issues as they relate to overall risk and compliance.

3. Recommend an appropriate risk tolerance or level of exposure for the University.

4. Identify and quantify fundamental risks affecting the University and ensure that procedures and measures are in place to manage those risks.

5. At least annually, review fundamental potential risks and their controls and report to the President and the Vice Presidents. Throughout the year, bring reports as necessary to the President, the Vice Presidents and other central committees.

6. Ensure that extreme risks are adequately mitigated following UWF’s disaster recovery/business continuity plans. Ensure that these plans are up to date and regularly tested.

7. Help to develop a culture of risk awareness through risk education and help to embed risk management into major decisions through high level controls and procedures.
DRAFT UPDATE—FEBRUARY 2014

8. Identify and map current and emerging compliance requirements affecting the University and ensure that procedures and measures are in place to achieve and maintain satisfactory compliance with federal, state, and other requirements.

9. Perform biennial review of compliance practices and report to the President and the Vice Presidents.

10. Receive quarterly reporting of activities from the UWF Compliance Office, which will include reporting of activities, emerging issues, and other relevant information.

8. Bring reports as necessary to the President, the Vice Presidents, and other central committees.

10. Recommend to the President, where appropriate, new policies and procedures and changes to existing policies and procedures relating to risk management and compliance.

11. Endeavor to protect the safety and reputations of faculty, staff and students at UWF and the safety and reputation of the institution while mitigating risk and monitoring compliance to a myriad of topics.

MEMBERSHIP REPRESENTATION

The University Risk and Compliance Council is composed of thirteen (19) members. That membership is determined as follows:

Vice President, Business, Finance, and Facilities (or designee), who serves as chair
Vice President/Chief of Staff (or designee)
Associate Vice President for Internal Auditing and Management Consulting, who serves as vice chair
Senior Associate Vice President, ASPIRE
Associate Vice President, Public Safety and Management Services
Associate Vice President for Research, and Dean of Graduate Studies
Senior Associate Vice President for Student Affairs
Assistant Vice President, Enrollment Affairs
Assistant Vice President, Human Resources
Chief Information Security Officer
Chief Budget Officer
Chief Mental Health Officer
Compliance Officer, Intercollegiate Athletics
Assistant Vice President for Financial Services and Controller
Director of Emergency Management
Environmental Health and Safety
Chief of Police
Compliance Office representative
A representative from the Camps and Youth Programs Risk Management Committee
A faculty representative, recommended and appointed by the Faculty Senate
A university workforce representative, recommended and appointed by the Staff Senate
General Counsel, who serves ex officio, non-voting.

MEMBERSHIP AND MEETING POLICIES

Meetings will be conducted under the most current edition of Robert's Rules of Order, unless specified otherwise below.
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The Vice President for Administrative Services—Business, Finance, and Facilities (or designee) serves as an ex officio chair. The AVP for Internal Audit and Management Consulting serves as an ex officio vice chair. The person serving as chair in any meeting shall not vote in that meeting except in the case of a tie.

MEETING SCHEDULING, AGENDAS, AND MINUTES

The Committee shall meet as often as needed to accomplish its goals and responsibilities, normally quarterly.

Agendas should be distributed in advance of meetings, and written minutes of meetings should be prepared. The Committee must forward to the Faculty Senate Office an electronic copy of all documents, including all meeting schedules, agendas, minutes, and reports. The Faculty Senate Office Secretary will be responsible for posting these documents to Argus.

TERMS OF APPOINTMENT

All members:
Continuous

Faculty Senate and Staff Senate members:
◆ One Three-year terms; can be reappointed to successive terms. Terms begin with the next academic year, unless otherwise noted.

REVIEW

The Charter shall be reviewed biannually by the Council and recommendations for changes submitted to the Faculty Senate.

LEGAL REFERENCES

None

RECOMMENDATIONS REPORTED TO

University President and Vice Presidents

Dates prepared/Modified by the Governance Committee
February 22, 2008
January 21, 2011
March 24, 2014

Dates Approved by the Faculty Senate
March 14, 2008
February 11, 2011
March 24, 2014

Approved by the Administration

/s/ Judith A Bense  
University President  March 24, 2014
Date