Tufts University Risk and Compliance Committee Charter

Role
A comprehensive institutional compliance program is one which integrates and coordinates all significant requirements with which the institution must comply by law, regulation, or other binding rule or agreement. University leaders and managers are responsible for assuring compliance with laws and regulations that impact their functional areas. The Tufts University Risk and Compliance Committee (“the Committee”) supports these individuals by providing senior level guidance relative to significant regulatory compliance matters that have been brought to its attention, particularly when overlap exists among functional areas or it is unclear which unit is responsible for managing a particular compliance requirement. The Committee’s role is an important component in ensuring compliance with the university’s regulatory requirements.

Membership
Because Staff Council represents the highest level of executive level leadership at the university, it shall designate at least one of its meetings on a quarterly basis to fulfilling its role as the University Risk and Compliance Committee.

The membership of the University Risk and Compliance Committee shall comprise:
- Provost and Senior Vice President
- Vice Provost for Research
- Associate Provost, Institutional Research and Evaluation
- Executive Vice President
- Senior Vice President for University Relations
- Vice President for Finance and Treasurer
- Vice President for Human Resources
- Vice President for Operations
- Vice President University Advancement
- Vice President & Chief Information Officer
- Senior Legal Counsel (both individuals)
- Executive Director Planning & Administration
- Director of Audit & Management Advisory Services
- Other individuals as topics dictate

Meetings
The Committee shall meet four times per year (quarterly) or more frequently at the request of the Provost and/or Executive Vice President and be scheduled in lieu of meetings by the Staff Council. Summaries of Committee meeting proceedings shall be recorded and maintained by University Legal Counsel.
Responsibilities

The Committee fulfills its oversight responsibilities by:

1. Providing leadership and support in promoting a culture of institutional compliance with regulatory matters

2. Being informed of any significant new or changing regulatory requirements and associated compliance risks that may require executive level attention

3. Sharing information about university-wide policies that address key areas of regulatory compliance and learning how the policies are being communicated

4. Determining, when requested or as necessary, if additional resources need to be allocated to effectively address any significant regulatory compliance concerns that have been brought before the Committee

5. Determining, when ambiguous, which university unit(s) should be responsible for the coordination, monitoring and enforcement of a new regulatory requirement and (if required) training of Tufts employees who will be affected

6. Being informed of any adverse notice or report issued by an outside regulator that requires a university coordinated response in order to avoid or reduce a significant fine, pre-empt negative publicity, avoid termination of funding or interruption of university operations

7. Being informed of any significant regulatory compliance concerns identified during an internal audit that have not been effectively addressed

8. Helping with the assessment of institutional risks and updating of the University Risk Register