

East Carolina University Regulatory Compliance Committee

Purpose and Responsibilities

The Regulatory Compliance Committee is the forum through which the University's various compliance offices share information, expertise, tools, and techniques related to significant legal and regulatory compliance requirements. The Committee is responsible for communicating significant compliance risks or gaps in coverage per applicable policy or law to University senior management and/or the ECU Board of Trustees.

Authority

The offices listed on this charter are recognized as the University's experts in the various compliance roles they fulfill. They have the authority to provide compliance-related advice and recommendations across the University, no matter what division or office they are organizationally housed within.

Membership

The standing membership consists of administrators with assigned responsibilities related to significant organizational compliance requirements. Other personnel/offices not listed below may participate in the committee's work on an as-needed basis based on the University's wide-ranging compliance needs.

The following offices are represented on the committee:

- Office of Institutional Integrity (OII) (includes Healthcare compliance)
- Athletics Compliance
- Office of Research Integrity and Compliance (ORIC)
- Institutional Review Board (IRB)
- Compliance Monitoring and Strategic Initiatives (REDE/CMSI)
- Title IX Compliance
- Financial Services
- Human Resources
- Information Security Office
- Academic Affairs (FERPA and Financial Aid Compliance)
- Americans with Disability Act (ADA) Compliance
- Office of University Counsel
- Office of Internal Audit and Management Advisory Services

Terms of Office

Members serve indefinite terms of appointment. The membership roster will be reviewed at least annually and updated as the needs of the University dictate.

Committee Reports

The Committee reports significant compliance risks, gaps, and recommendations to University senior leadership through the Vice Chancellor for Legal Affairs and General Counsel. The Committee reports to the Board of Trustees Audit, Risk Management, Compliance, and Ethics Committee through the Chief Audit Officer.

Meeting Times

Meetings are held as needed, typically the first Wednesday of each month. The date and time may change to facilitate the widest participation possible.