



UNIVERSITY SYSTEM OF GEORGIA (USG) **COMPLIANCE AND ETHICS CHARTER**

Introduction

The Compliance and Ethics Program promotes an organizational culture that encourages ethical conduct and a commitment to compliance with the law. The Compliance and Ethics Program also assists the Board, the Chancellor, and institution leadership prevent and detect criminal conduct by USG employees involving USG institutions through exercising due diligence. Board Policy 7.12 Compliance and Board Policy 8.2.18.1 University System of Georgia Ethics Policy serve as the primary policy framework for the Compliance and Ethics Program.

Role of the Compliance Function

The University System Office (USO) Compliance and Ethics Program (Compliance) is responsible for directing the USO Compliance function which oversees the management of USO-specific compliance risks. Compliance advises the Board, the Chancellor, and System/institution leadership on significant compliance risks and action steps to mitigate significant compliance risks across the USG. The Chief Audit Officer (CAO) is responsible for providing system-wide coordination and support to USG institutional compliance functions through the Associate Vice Chancellor of Ethics and Compliance. Finally, Compliance may conduct compliance investigations and reviews across the USG as needed to discharge an effective compliance program.

Organizational Responsibilities

1. The CAO and Assistant Vice Chancellor of Ethics and Compliance are responsible for providing functional coordination and guidance for System-wide compliance activities that include:
 - a) Attend meetings of the Committee and Board as required.
 - b) Oversee the establishment of a USG compliance and ethics function and support the establishment of institutional compliance and ethics functions.
 - c) Periodically report to the Committee on significant compliance and ethics activities to include compliance reviews and the status of reports of non-compliance.
2. USG compliance and ethics professionals shall implement a compliance and ethics program consistent with the federal government's definition of an Effective Compliance and Ethics Program as outlined in Board Policy 7.12. Additionally, compliance and ethics program personnel shall comply with the Code of Ethics for Compliance and Ethics Professionals as adopted by the Society of Corporate Compliance and Ethics.

Compliance and Ethics Program Responsibilities

The compliance and ethics program responsibilities include:

1. Develop and manage a USO compliance and ethics function to manage USO-specific compliance risks;
2. Advise the Board, the Chancellor, and institution management on significant campus or USO compliance risks and provide action steps to mitigate significant compliance risks;
3. Coordinate and support USG institutional compliance functions;

4. Conduct compliance investigations and reviews as needed to discharge an effective compliance and ethics program.
5. Receive reports of alleged employee malfeasance and ensure those reports, in consultation with the USG CAO and Chief Legal Officer, are forwarded to the Attorney General's Office, or other appropriate law enforcement or prosecutorial office, for further investigation.

Authorization

To the extent permitted by law, Compliance and Ethics Program personnel shall have full access to all activities, records, properties, and personnel within the University System of Georgia. Compliance and Ethics Program personnel are authorized to review and appraise all policies, plans, and procedures. Documents and other materials provided to Compliance and Ethics Program personnel will be handled in the same prudent manner as handled by those employees normally accountable for them.

Approved by the Board of Regents of the University System of Georgia on January 18, 2023:



Harold Reynolds
Chair of the Board of Regents

1/27/2023

Date



James K. Syfan, III
Chair of the Committee on Internal Audit,
Risk, and Compliance

1-18-23

Date



Dr. Sonny Perdue
Chancellor

1/19/2023

Date