

# University Compliance Services

Audit and Advisory Services (Internal Audit)

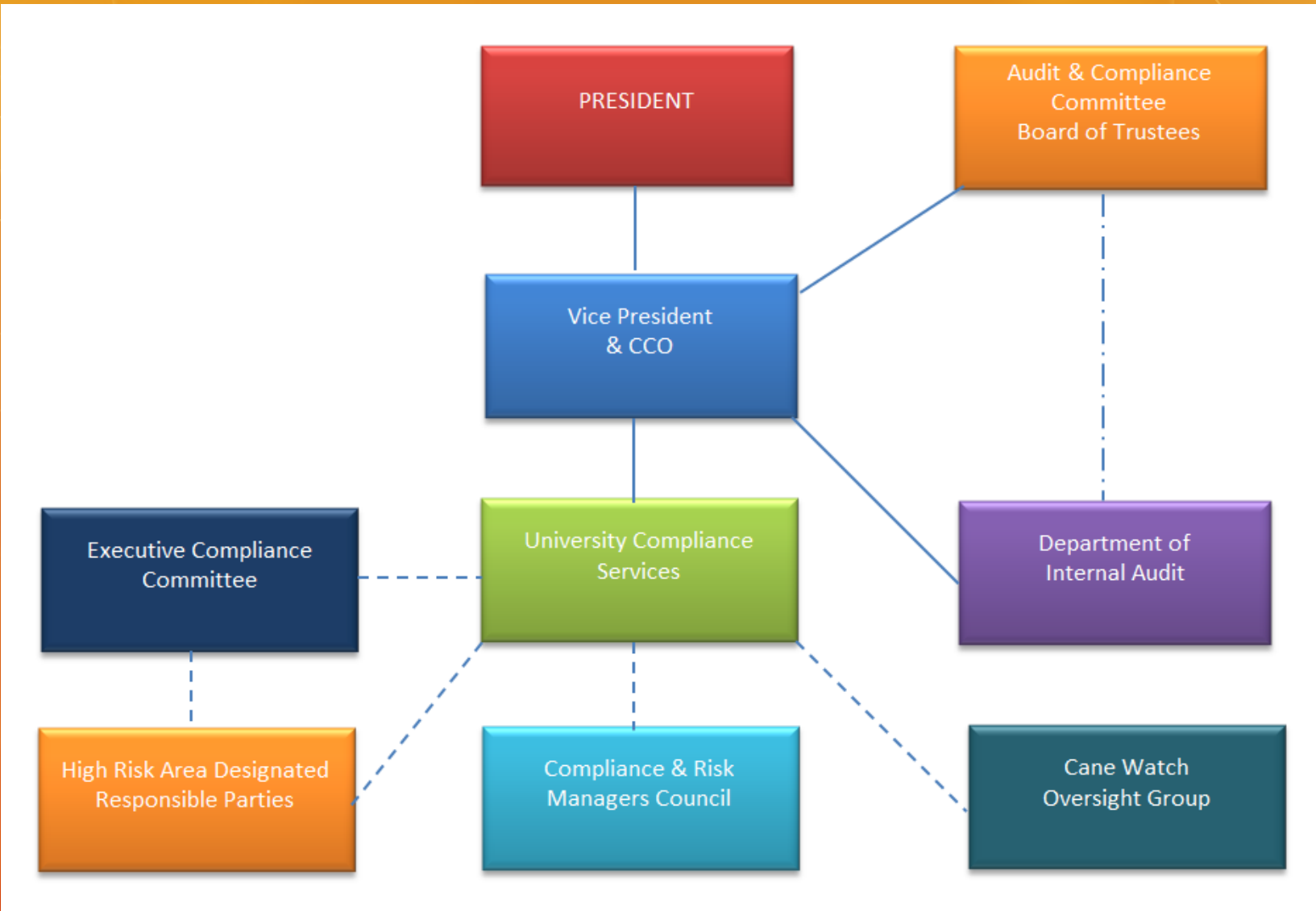
Human Resources

General Counsel

# Elements of an Effective Compliance Program

1. Standards and Procedures
2. Oversight
3. Due Diligence in Delegating Authority
4. Education and Training
5. Auditing and Monitoring
6. Enforcement and Discipline
7. Response and Prevention
8. Risk Assessment

# Compliance and Accountability Program Structural Components



# Executive Compliance Committee

| <b>Permanent:</b>  |                       |
|--|-----------------------|
| President (Chair)  | Donna E. Shalala      |
| Executive Vice President & Provost   | Thomas J. LeBlanc     |
| Vice President and Chief Compliance Officer                                | Rudolph H. Green      |
| Sr. Vice President for Business and Finance and Chief Financial Officer    | Joe Natoli            |
| Vice President for Information Technology and Chief Information Officer    | Steve Cawley          |
| Vice President for Real Estate & Facilities                                | Larry Marbert         |
| Vice President for Human Resources   | Nerissa Morris        |
| Vice President of Finance and Treasurer                                    | John R. Shipley       |
| Vice President, General Counsel and Secretary of the University            | Aileen M. Ugalde      |
| Vice President for Student Affairs   | Patricia A. Whitely   |
| Director of Athletics  | Blake James           |
| Sr. Vice President for Medical Affairs and Dean, Miller School of Medicine | Pascal J. Goldschmidt |
| Vice Provost for Research  | John L. Bixby         |
| Sr. Vice President for University Advancement and External Affairs         | Sergio M. Gonzalez    |

| <b>Appointed for Term:</b> |                 |
|----------------------------|-----------------|
| Dean #1                    | Roni Avissar    |
| Dean #2                    | Nilda Peragallo |
| Dean #3                    | James Tien      |
| Ethics Advisor             | Ken Goodman     |

# Major Compliance & Ethics Risk Areas 2013-14

## Operational

- Athletics Compliance
- Research Compliance
- Controls on Criminal Activity
- Conflicts of Interest
- IT Infrastructure & Security
- Medical Center/Health System Operations Regulatory Compliance
- Human Capital Management and Organizational Structure

## Programmatic

- Compliance and Ethics Risk Management Infrastructure

# 'Cane Watch

## Oversight Group Members:

- Cindy Augustyn
- Rudy Green
- Doug Horr
- Blanca Malagon
- Beverly Pruitt

## To report a 'Cane Watch matter:

- <https://secure.ethicspoint.com/domain/media/en/gui/32533/index.html>

or

- Dial toll-free, within the United States, Guam, Puerto Rico and Canada:  
**877-415-4357**
- After you complete your report you will be assigned a unique code called a "report key." Write down your report key and password and keep them in a safe place. After **5-6** business days, use your report key and password to check your report for feedback or questions

# University Compliance Services Contact Information

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Vice President and Chief Compliance Officer

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