

# State University System of Florida Compliance & Ethics Consortium

## Charter



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### SECTION I: Establishment and Purpose

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- 1) The State University System of Florida Compliance and Ethics Consortium (SUS Compliance & Ethics Consortium) was established on June 27, 2013, to provide an avenue for member institutions to discuss the development and improvement of compliance and ethics programs, new federal and state regulations, best practices, and issues they may be facing. In addition, the purpose of the consortium is to ensure effective communication and collaboration in the development of compliance and ethics programs across the State University System of Florida. Consortium members are charged with promoting a culture of ethics, accountability, and compliance at their institutions.
- 2) The purpose of this document is to establish the general operating procedures for the SUS Compliance and Ethics Consortium.

### SECTION II: Membership

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- 1) Consortium membership is composed of Chief Compliance and Ethics Officers (CCOs) and their representatives from the compliance and ethics programs of SUS institutions. The Inspector General and Director of Compliance and his/her representatives from the SUS of Florida Board of Governors serve as non-voting, ex officio members of the Consortium.
- 2) Each SUS institution is afforded one vote on matters before the consortium requiring a vote. A quorum must be present for voting to occur. A majority of the members of the Consortium must be present to constitute a quorum to transact official business. The decision of the majority of members in attendance and voting on an issue shall prevail, unless otherwise provided herein. In the event of a tie vote, the vote of the Chair shall be the deciding vote on the issue. The vote upon any resolution, motion or

other matter may be by voice vote, but the Chair may require a roll call vote if deemed appropriate. Voting by proxy or by mail is permitted.

- 3) The Consortium Chair serves for a two-year term beginning July 1 and ending June 30. In June prior to the end of a Chair's term, the membership will put forth recommendations for Chair. The determination of a new Chair is decided by membership vote and acceptance of the position, the Chair may be elected to multiple terms.
- 4) Visitors may attend consortium meetings upon invitation of the Chair. Recommendations or requests for visitors to attend meetings must be submitted to the Chair for consideration. Visitors are typically invited to discuss the impact of new or existing compliance requirements, ethics programs, or related topics that will aid the members of the consortium.

### **SECTION III: Supporting Structure**

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- 1) The consortium may establish additional groups or subcommittees to support their activities and responsibilities. The composition of these groups will be determined on a case-by-case basis.
- 2) The procedures and specific responsibilities for these groups or subcommittees will be established at the time of formation.
- 3) The consortium will be supported by the Chair's office or institution.

### **SECTION IV: Responsibilities**

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- 1) The *SUS Compliance and Ethics Consortium* shall:
  - a. Provide guidance, input, and best practices on the development and improvement of comprehensive compliance and ethics programs for SUS institutions.
  - b. Identify and discuss compliance and ethics related topics that may affect SUS institutions.
  - c. Promote compliance and ethics within the members' respective institutions and throughout the SUS.
  - d. Develop, implement, and improve compliance and ethics programs within the members' respective institutions based on the seven elements of an effective compliance and ethics program as provided in the *Federal Sentencing*

*Guidelines; and Board of Governors Regulation 4.003 State University System Compliance and Ethics Programs.*

- e. Identify opportunities statewide and nationally to advance compliance and ethics at higher education institutions.
  - f. Develop and uphold general operating procedures for the SUS Compliance and Ethics Consortium that guide the consortium's activities and conduct.
- 2) *Consortium Members* shall:
- a. Provide their respective positions on issues before the consortium.
  - b. Serve as representatives to special groups or sub-committees, which are established to support consortium activities and provide guidance to individuals representing their respective institutions on other committee groups or sub-committees.
  - c. Keep their respective institutions apprised of consortium projects and issues.
  - d. Identify new issues of common concern.
- 3) *The Consortium Chair* shall:
- a. Preside over committee meetings.
  - b. Keep members apprised of all consortium activities.
  - c. Assign tasks and responsibilities as needed to support consortium goals and objectives.
  - d. Appoint the chairperson(s) of special groups or sub-committees.
- 4) *The Office or Institution of the Consortium Chair* shall:
- a. Provide administrative support to the consortium, sub-committees, and special groups.
  - b. Maintain records of meetings and other activities.
  - c. Prepare, distribute, and maintain correspondence.
  - d. Maintain a current roster of all members.
  - e. Develop and distribute projected annual meeting schedule.

- f. Provide personnel, facilities, and support to the SUS Compliance and Ethics Consortium.
- g. The Chair and their institution will have copies of all records regarding the consortium to date.

## **SECTION V: Meetings**

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- 1) The consortium shall meet quarterly, which may include one annual in-person meeting, at the call of the Chair or upon request to the Chair by a majority of its members.
- 2) Recommended agenda items shall be submitted to the Chair.
- 3) Special groups shall meet at the call of their respective Chair(s).
- 4) Minutes of all meetings shall be prepared. The minutes shall include all significant deliberations and recommendations.
- 5) Reports and recommendations of subcommittees and special groups shall be provided to the full membership.

## Revision History

The below chart summarizes the revision history for this Charter.

Version	Date	Description of Revisions	Requested By
0.0	7/14/2014	Inception	Rhonda L. Bishop, Consortium Chair
1.0	3/6/2018	<p>Describe changes since last version                      Added BOG logo to the cover.                      Changed committee to consortium and capitalized chair throughout document.</p> <p>In Section II, 3:</p> <ul style="list-style-type: none"> <li>• Added “CCOs and their” before representatives</li> <li>• Added IG and Director of Compliance and representatives as non-voting, ex-officio members.</li> <li>• Removed membership language for institutions without a compliance and ethics program.</li> <li>• Defined quorum.</li> </ul> <p>In Section II, 4 added Chair may be elected to multiple terms.</p> <p>In Section IV:</p> <ul style="list-style-type: none"> <li>• a. added “for SUS institutions.”</li> <li>• d. added BOG Reg. 4.003 State University System Compliance and Ethics Programs.</li> <li>• e. added “at higher education institutions.”</li> </ul> <p>In Section V, 13 added “may include one in person meeting annually.”</p> <p>Formatted subsections under each Section heading to begin at 1 rather than continuing the previous numbering</p>	Karyn Boston, Consortium Chair