University Compliance Network Charter
George Washington University

Mission Statement

While the university recognizes that each member of the community is responsible for compliance, there are identified staff throughout the institution who have specific operational compliance responsibilities. These individuals work in units across the university and apply specialized experience and expertise to particular compliance issues and requirements. They serve as the first line of defense for specified compliance and risk management areas while the Office of Ethics, Compliance, and Risk provides oversight and centrally develops, coordinates, implements and manages GW’s Ethics and Compliance Program.

Under the leadership of the Office of Ethics, Compliance, and Risk, the University Compliance Network (UCN) will serve as the mechanism to bring together operational owners of compliance functions to collaboratively work together to ensure coordination of compliance activities across the institution. The UCN will assist in maintaining an effective compliance and ethics program by ensuring compliance activities are reasonably designed, implemented and educated on, and are effective in detecting and preventing risk or compliance violations and will promote a culture of ethical conduct and commitment to laws, policies and regulations.

Responsibilities

Members of the UCN will be responsible for the following:

- Serve as a liaison between the Office of Ethics, Compliance, and Risk and their unit
- Centralized tracking of regulatory responsibilities including efforts to comply with responsibilities, assessment of risk associated with regulatory compliance, training initiatives, and reporting/audit obligations
- Analyzation of the effectiveness and efficiency of existing compliance processes and providing of institutional knowledge and expertise to improve compliance activities
- Assist in the identification of existing and emerging compliance risks and participate in the discussion of university strategy to address identified risk
- Sharing of resources including tools, trainings, and educational documents
- Provide feedback on compliance education and training tools for the university community based on areas of expertise
- Communicate and promote a culture of compliance at the university

Group Composition

The University Compliance Network (UCN) is comprised of individuals who have operational responsibility for key compliance and risk areas within a distributed compliance environment. Members represent the following key compliance areas:
The UCN was established November 2019.