

UW-MILWAUKEE COMPLIANCE STEERING COMMITTEE CHARTER

Steering Committee (“Steering Committee”) Mission Statement: In order to fulfill UWM’s vision and support its Guiding Values, and in furtherance of its designation as a Carnegie Commission R1 research and Carnegie Community Engagement institution, UWM must prioritize integrity in its work and compliance with applicable laws and regulations that are fundamental to our status as a public higher education institution with a dual mission of research and access. All constituencies served by and interested in UWM’s educational, research, and service activities expect UWM, as an institution and through its individual employees, to act as a responsible steward of state resources and to uphold the public trust. Compliance with applicable laws and regulations and identification and management of risks occurs primarily in the academic and administrative units throughout the University, where the authority for policy development and the responsibility for compliance implementation reside. The mission of the Steering Committee is to promote excellence in UWM’s compliance efforts to assure integrity and compliance with our legal, regulatory, and ethical responsibilities.

Steering Committee Composition: The members of the Steering Committee are the Chief Legal Counsel, chair, the Compliance & Ethics Officer, and the chairs of the Compliance Working Groups (TBD and to be listed here once identified). Other staff may be invited to attend meetings at which items relevant to their areas of responsibility or concern are raised.

Steering Committee Specific Responsibilities: The Steering Committee serves as a forum to communicate and advise on relevant compliance matters. The Steering Committee also advises the Executive Committee regarding significant compliance issues, Compliance Working Group reports, and/or compliance issues to be addressed at the System or Board of Regents level. The Steering Committee will meet at least biannually to:

- a. Review UWM’s compliance environment and compliance initiatives for which the University’s academic and administrative units are responsible;
- b. Report to the Executive Committee on all compliance activities;
- c. Ensure key compliance strategies align with UW System’s and UWM’s compliance risks and priorities;
- d. Ensure that Compliance Working Groups are actively managing compliance requirements and risk in each identified area, including by requiring a common reporting format and following up to seek additional information as necessary;
- e. Receive updates on and monitor alleged compliance violations and any related investigations by internal and external parties;
- f. Discuss enforcement actions in higher education and emerging risks.