

Temple University Ethics and Compliance Office Charter*

1. Scope, Purpose and Mission

In keeping with best practices, the Temple Ethics and Compliance Office (ECO) is a centralized, independent function that reports to the university's ultimate authority, its Board of Trustees. The ECO provides oversight and guidance on university-wide ethics, compliance, and enterprise risk management activities, and fosters a culture that seeks to embed these disciplines in all university operations and activities. The ECO promotes coordination of and consistency among university functions and units, covering a wide variety of compliance requirements applicable to academics, athletics, human resources, research, data reporting, information technology, and numerous additional administrative functions.

2. Reporting Structure, Independence, and Staffing

The ECO is led by the Chief Compliance Officer ("CCO"), who reports to the Board of Trustees through the designee(s) of the Chair of the Board. For administrative purposes, the CCO reports to and is supervised by the President. In order to ensure independence and effectiveness, decisions regarding the appointment, compensation, advancement or termination of the CCO are subject to the review of the Chair of the Board of Trustees. The CCO will:

- Maintain a professional staff with size, knowledge, skills, and experience appropriate to its scope and objectives;
- Utilize third-party resources as appropriate to supplement the ECO's efforts; and • Regularly assess the program to identify appropriate changes and improvements.

3. Board Oversight

The Board of Trustees, through its Compliance, Audit, and Risk Committee, shall review and recommend to the Board the scope of the ECO's duties and responsibilities and provide the Board with appropriate reports of the activities of the ECO. The CCO shall provide regular reports to the Compliance, Audit, and Risk Committee through its Chair and meet on a regular basis with the Compliance, Audit, and Risk Committee. The Compliance, Audit, and Risk Committee shall review and approve the charter of the ECO as developed and presented from time to time to the Compliance, Audit, and Risk Committee by the CCO.

4. Duties and Responsibilities

The ECO shall establish a comprehensive ethics and compliance program as necessary and appropriate to meet and serve the needs of the university. It is expected that the program will meet or exceed the guidance for effective compliance and ethics programs, pursuant to Chapter 8 of the United States Federal Sentencing Guidelines. In general, the ECO's duties and responsibilities include:

- Overseeing and coordinating compliance and ethics and related activities, including conflicts of interest;
- Developing effective lines of communication;
- Maintaining a Program Plan to describe the overall framework for the university's compliance program across all units at the university;

**Approved by Board of Trustees Compliance, Audit and Risk Committee on May 20, 2025.*

- Providing effective advice, training, and education on ethics, compliance, and data integrity issues;
- Working with policy owners to revise, manage and keep current policies and procedures;
- Performing internal monitoring, investigations, and compliance reviews as set forth in this Charter;
- Responding promptly to detected problems and ensuring implementation of corrective action as set forth in this Charter and consistent with appropriate established practices and policies;
- Enforcing and promoting standards through appropriate incentives and disciplinary guidelines in accordance with the employee handbook and other policies; and
- Measuring and ensuring compliance program effectiveness.

The ECO shall establish and revise from time to time an inventory of offices with subject matter-based roles and responsibilities for the oversight and management of compliance. See Attachment A, hereto.

5. Investigations

i. Helpline and Initiating Investigations

The ECO shall provide avenues for reporting potential non-compliant or unethical behavior, which shall be available to all stakeholders and shall allow for anonymous reporting. The ECO may also receive claims outside of the Helpline or conduct investigations on its own initiative based upon the receipt of information.

ii. Referral to Appropriate University Offices

Regardless of source, and subject to subsection iii, below, matters reported to the ECO which require investigation shall be referred by the ECO to the appropriate university office or function based on the responsibility of that office or function, which may include relevant subject matter and expertise or reflect the statutory or independent organizational roles of those offices. The ECO shall maintain the case file of matters reported to the ECO and shall manage any communications with anonymous reporters through the Helpline.

iii. Oversight

The ECO shall be responsible for ensuring that all investigations are fair, appropriate, and conducted in accordance with applicable university policies. Depending on the potential impact to the university, the nature of the alleged misconduct, and/or the individuals involved, it may be appropriate for the ECO to exercise direct supervision and management of an investigation in coordination with the appropriate university office(s), unless otherwise indicated by statutory requirements or university policy. In all cases the ECO shall be a resource for the university's investigation needs.

iv. Scope of ECO Review of Prior Investigations

With respect to matters alleging that an investigation previously concluded by another office or function was biased, incomplete, or otherwise improper or wrongful, the ECO may review the investigative record to determine if the investigation(s) were (a) unbiased; (b) conducted in accordance with university policy and (c) met the applicable requirements of due process.

v. Corrective Action

The ECO shall make recommendations regarding corrective action as necessary and appropriate to promote fairness and consistency across the university. Recommendations shall be made to the persons who are accountable for carrying out the corrective action with notice given to other appropriate personnel.

6. Enterprise Risk Management

The ECO shall establish and lead a university-wide enterprise risk management (ERM) program to ensure risks across the university are identified, prioritized and managed appropriately. Offices and functions responsible for substantive compliance areas shall participate in the ERM program, coordinating efforts with the ECO to identify, catalog, prioritize, report, and appropriately mitigate risks across the university.

7. Data Verification Unit

ECO shall establish and maintain a Data Verification Unit (DVU) to verify the integrity and accuracy of externally published university data. The ECO shall establish such procedures regarding the nature, process, and scope of review – including regarding mandatory prior review and DVU approval – as appropriate to accomplish its mission.

8. Access to Information

The ECO shall have full and timely access to all university records, documents, facilities, and personnel necessary to meet its responsibilities to conduct compliance assessments, training, monitoring, and investigations, and shall be able to grant access limited in time and scope to any individual acting at its direction. University administration shall ensure that units and personnel fully and timely cooperate with the ECO in carrying out its duties.

9. Compliance Audits

The ECO shall coordinate and work with the Office of Internal Audits to ensure that appropriate audits of compliance processes and procedures are conducted as required to assess the effectiveness of the compliance program.

10. Integrity and Confidentiality

Recognizing the private and/or sensitive nature of some of the information to which it may have access, the ECO operates with the highest level of integrity and respect for confidentiality.

ATTACHMENT A – ROLES AND RESPONSIBILITIES MATRIX

Compliance Area	Compliance Example	Compliance Partner
<u>Academic Affairs</u>	Accreditation requirements (e.g., Middle States)	Office of the Provost
<u>Disability Accommodations & Disability Resources and Services</u>	Accessibility accommodations for students & employees	Students - Disability Resources and Services
		Employees - Human Resources
<u>Athletics Compliance (NCAA)</u>	Student-athlete eligibility & recruitment policies	Athletics Compliance Office
<u>Children and Youth Safety (Minors on Campus)</u>	Children and Youth Safety Program Compliance	Ethics & Compliance
<u>Clery Act Compliance</u>	Annual security report publication	Public Safety
<u>Conflicts of Interest</u>	Actual or perceived conflicts of interest (financial, gifts, nepotism, commitment)	Ethics & Compliance
		Office of the Vice President for Research (research-related conflicts)
<u>Data Integrity</u>	<p>Factual statement or document containing statistical, demographic or numerically descriptive data (this includes, but is not limited to, statements made for purposes of encouraging attendance or donations to the university); and</p> <p>Any data submitted to accreditation bodies, government entities or rankings organizations.</p>	Ethics & Compliance
<u>Data Security & Privacy</u>	Protection of sensitive data and research security (HIPAA, GDPR, CCPA)	Information Technology Services (ITS)
<u>Discrimination, Harassment and Sexual Assault including Acts Falling Within Titles II, VI, VII and IX</u>	Alleged violations of Policies Against Discrimination and Harassment, Sexual Assault	Equal Opportunity Compliance
<u>Emergency Management</u>	Campus emergency preparedness and response	Public Safety (Emergency Management)
<u>Employment & Human Resources</u>	Equal Employment Opportunity, FLSA, Drug Free Workplace Act, employee code of conduct, labor law adherence	Human Resources
		Equal Opportunity Compliance

Compliance Area	Compliance Example	Compliance Partner
<u>Environmental Health & Radiation Safety</u>	Hazardous waste disposal regulations	Environmental Health & Radiation Safety
<u>Environmental Regulations & Safety</u>	Laws and regulations related to energy consumption and pollution prevention	Campus Operations (Office of Sustainability)
		Environmental Health & Radiation Safety
<u>Export Control</u>	Compliance with ITAR, ORAC, and EAR for international research	Office of the Vice President for Research
<u>Finance and University Controls</u>	Adequacy of controls to detect and prevent fraud and abuse	Internal Audits
<u>Student Financial Services</u>	Federal Student Aid (Title IV) compliance	Student Financial Services
<u>Foreign Gifts</u>	Reporting Foreign Gifts (HEA Section 117)	Ethics & Compliance
<u>Government Relations & Lobbying</u>	Federal and State lobbying disclosure	Office of Government Affairs and Civic Engagement
<u>Intellectual Property & Technology Transfer</u>	Patent filings and licensing of university research	Office of the Vice President for Research (Technology Commercialization)
<u>Legal Compliance</u>	Legal claims and lawsuits; statutory and regulatory adherence	Office of University Counsel
<u>Student and Employee Health Compliance</u>	Health policies	Student Health Services
		Employee Health Services
<u>Purchasing & Accounts Payable</u>	Independent Contractors, contract commitment process, bidding requirements, vendor management	Finance (Purchasing & Accounts Payable)
<u>Research Compliance</u>	The Institutional Animal Care and Use Committee (IACUC), the Institutional Review Board (IRB), and the Institutional Biosafety Committee (IBC). Conflict of Interest in Research	Research Compliance
<u>State Authorization Regulations</u>	State Authorization Reciprocity Agreements (SARA) and state-specific education law	Temple University Online
<u>Student Conduct</u>	Student conduct and community standards, student rights and responsibilities	Student Affairs
<u>Student and Exchange Visitor Program (SEVP) & SEVIS</u>	Enrollment and visa status reporting for international students under F-1 and J-1 visa program	Global Engagement

Compliance Area	Compliance Example	Compliance Partner
<u>Student Privacy (FERPA)</u>	Ensuring student records confidentiality	Registrar
<u>Tax Compliance</u>	IRS reporting, UBIT, 501(c)(3) compliance	Finance (Office of the Controller)
<u>Trademark and Licensing</u>	Marks, logos, insignias, seal, designs and symbols	Trademark and Licensing
<u>Veterans Affairs</u>	Benefits and certifications for students using GI Bill or other military-affiliated aid programs	Military and Veterans Services Center