# UA Compliance Leadership for Supervisors Training

System Office of Audit and Compliance Services

November 16, 2023



# Welcome to UA Compliance Leadership for Supervisors Training

- Introduction
- Critical role supervisors/leadership hold in ensuring compliance within their university units
- Institutional Compliance Overview
- Leaderships' Roles and Responsibilities in UA's Compliance
- Compliance Chats, 10 Tips for Common Sense Compliance and the HECA Matrix
- UA Hotline



	Internal Audit	ERM	Compliance
Objective	Internal Audit provides independent, objective assurance to improve the operations and internal controls of the University. Internal Audit validates whether controls are working as designed.	Identify, prioritize, and assess mitigation of compliance, financial, operational, and strategic risks. Compliance is one component of ERM.	Identify, prioritize, and assign accountability for managing existing or potential threats related to legal or policy noncompliance.
Scope	The system of internal control put in place and maintained by UA to manage risk and promote reliable financial reporting, effective and efficient operations, and the process for monitoring compliance with applicable laws and regulations.	Risks that could impact UA's ability to meet its compliance, financial, operational and strategic objectives.	Laws and regulations that UA is required to comply with as well as critical organizational policies.
Owner at UA	Chief Audit Executive	President, facilitated by Chief Audit Executive	Institutional Compliance



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# Institutional Compliance Program

An institutional compliance program enables university members to better manage operations and risks for which they are individually and collectively responsible for by:

- Coordinating the university's compliance assurance activities
- Supporting compliance efforts
- Ensuring senior leadership and the Board of Regents are apprised of their responsibilities with regards to compliance
- Keeping an institutional perspective
- Looking to best practices at other institutions
- Helping departments be apprised of emerging compliance issues



#### **ELEMENTS OF AN EFFECTIVE COMPLIANCE FRAMEWORK:**

**Existence of policies, procedures, and standards of conduct.** The cornerstone a compliance program is to ensure that behavior and decision-making expectations are articulated, clearly communicated and that practical guidance available and accessible. Actively follow and support current standards and procedures to prevent and detect criminal conduct and facilitate compliance. UA employees, full or part-time, are subject to the Executive Branch Ethics Act (EBEA) and its implementing regulations published by the Department of Law.

**Designating responsibility for compliance.** The Board of Regents and UA senic leadership will be knowledgeable about the content and operation of the UA's compliance program. UA's leadership at all levels will demonstrate a strong commitment to compliant business, research and academic operations at the university. Successfully compliant and ethical university operations depend on the individual commitment of every university community member. As compliance requirements permeate all university programs, institutional compliance depends on a unique level of personal accountability and responsibility at all levels of the university.

**Existence of and requirements for training and education.** Provide appropriat relevant, and comprehensive education and outreach about compliance requirements. Each institution and appropriate department should take reasonable steps to periodically communicate its standards and procedures by conducting effective training programs and otherwise disseminating information appropriate to individual roles and responsibilities.







#### **ELEMENTS OF AN EFFECTIVE COMPLIANCE FRAMEWORK: (Continued)**

**Maintaining lines of communication.** University leadership will facilitate and support communication at each university about the university's compliance program, its purpose and their responsibilities so that UA community members understand and can also fulfill their compliance duties. Reasonable steps will be taken to communicate standards, procedures and roles to members of the institution, including the Board of Regents, to foster a compliance consciousness. Employees are encouraged to report, either directly or anonymously, any concerns and or seek guidance regarding potential or actual misconduct without fear of retaliation.

**Methods for internal risk assessment, monitoring and auditing.** Continuous monitoring is done by departmental managers to detect their unit's compliance risk issues and compliance requirement adherence associated with the university's operations. Reasonable steps will be taken to conduct compliance risk assessments to determine how well UA's business processes fulfill current/changing rules, regulations, or Board of Regents policies.

**Methods for enforcement of policies, procedures, and standards.** Ensure there are clear avenues to seek guidance or report violations of policy and relevant laws/regulations. The university will follow appropriate processes, conduct investigations, enforce standards and emphasize non-retaliation.

Actions are taken when noncompliance occurs (consistently and commensurate with the noncompliance). The university responds appropriately to investigate and address episodes of misconduct and violations of laws, regulations and policies. Steps are taken to prevent further similar conduct from occurring in the future.



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Source: Federal Requirements of an Effective Compliance and Ethics Program (see § 8B2.1)



# Can anyone name one department that has compliance responsibilities?



## **Higher Education Compliance Areas**

<ul> <li>Tax</li> <li>Research integrity</li> <li>Investments</li> <li>Conflict of interest</li> <li>Financial aid</li> <li>Hazardous materials</li> <li>Emergency</li> <li>Family and medical leave</li> <li>Cost allowance</li> <li>Biosafety</li> <li>Safety of minors</li> <li>Recruitment and hiring</li> </ul>	Financial	Research	Health & safety	Civil rights and employment	Information
accounting· Scientific diving and small boat safetycontamination· Sexual misconduct· Cash managementsmall boat safety· Building / grounds· Non-discrimination· Payroll and benefitsmaintenance· Cultural resources· Insurance· Housing and food· Maintenance	<ul> <li>Capital projects</li> <li>Procurement</li> <li>Tax</li> <li>Investments</li> <li>Financial aid</li> <li>Debt management</li> <li>Cost allowance</li> <li>Internal controls</li> <li>Grant and contract accounting</li> <li>Cash management</li> </ul>	<ul> <li>Animal subjects</li> <li>Export controls</li> <li>Research integrity</li> <li>Conflict of interest</li> <li>Hazardous materials</li> <li>Radiation safety</li> <li>Biosafety</li> <li>Chemical safety</li> <li>Industrial safety</li> <li>Scientific diving and</li> </ul>	<ul> <li>Student health</li> <li>Violence and suicide prevention</li> <li>Construction safety</li> <li>Emergency management</li> <li>Safety of minors</li> <li>Public safety</li> <li>Environmental contamination</li> <li>Building / grounds maintenance</li> </ul>	<ul> <li>Disability access and accommodation</li> <li>Workers compensation</li> <li>Labor relations</li> <li>Labor relations</li> <li>Wage and hour</li> <li>Family and medical leave</li> <li>Recruitment and hiring</li> <li>Equal opportunity and affirmative action</li> <li>Sexual misconduct</li> <li>Non-discrimination</li> </ul>	<ul> <li>Public records</li> <li>Privacy of data</li> <li>Security of data</li> <li>Copyright and trademark</li> <li>Intellectual property</li> <li>Information technology</li> <li>Internet of Things (IoT)</li> </ul> Athletics



#### I'm a <u>university employee</u>, what are my compliance responsibilities?

RISKS	<ul> <li>I understand what compliance risks are and how to identify them</li> <li>I am familiar with all of the policies, procedures and laws governing the work I perform for the university</li> <li>I know how to conduct university business in a compliant and ethical manner</li> </ul>
MITIGATION	<ul> <li>I follow the established compliance activities including processes, procedures and controls to mitigate compliance risks</li> <li>I understand that creating consistent processes to meet compliance requirements will help the university help mitigate risk</li> </ul>
TRAINING	<ul> <li>I complete all required compliance education and training for my respective position to ensure I am aware of requirements and industry best practices</li> </ul>
MONITOR	<ul> <li>I assist my supervisor, as appropriate for my role, in proactively monitoring effectiveness of compliance activities in our unit</li> </ul>
REPORTING	<ul> <li>I report instances of non-compliance to appropriate administrative officers</li> <li>I understand there is UA Hotline, an anonymous reporting resource</li> </ul>

https://www.alaska.edu/hr/training/employees/new.php



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# UA's Virtual Onboarding Compliance Chat

- This Compliance Chat gives a brief overview of university institutional compliance and individual roles in maintaining it
- Regardless of position, all University of Alaska employees have a role in upholding compliance with laws, policies, and procedures
- Non-compliance carries grave risks. These include health and safety, legal consequences, reputation damage, financial loss, operational disruption, loss of funding, trust erosion, inefficient operations, ethical dilemmas, and the potential loss of accreditation
- Video focuses on an risks, mitigation, training, monitoring and reporting



RISKS	<ul> <li>I am aware of the current key compliance risks in the units for which I am responsible</li> <li>I regularly meet with my direct reports to identify, review, and prioritize risks</li> <li>I monitor state and federal changes to my area of responsibility</li> </ul>	
MITIGATION	<ul> <li>I implement compliance activities including processes, procedures and controls to mitigate compliance risks</li> <li>I understand that creating consistent processes to meet compliance requirements will help the university help mitigate risk</li> </ul>	
TRAINING	<ul> <li>I complete all required compliance education and training for my respective position and ensure that members of my team are provided training to ensure effective compliance</li> </ul>	
COORDINATION	I coordinate activities with university-wide compliance managers	
MONITOR	I proactively monitor effectiveness of compliance activities in my department including results and key issues	
REPORTING	<ul> <li>I report instances of non-compliance to appropriate administrative officers, and assist Internal Audit &amp; Compliance in developing compliance oversight reporting</li> <li>I understand there is UA Hotline, an anonymous reporting resource</li> </ul>	



#### I'm in executive leadership, what are my compliance responsibilities?

RISKS	<ul> <li>I am aware of the current key compliance risks in the university units for which I am responsible</li> <li>I regularly meet with my direct reports to identify, review, and prioritize risks and ensure that they are monitoring state and federal changes related to their unit</li> <li>I understand compliance fines can range from hundreds of dollars to millions of dollars</li> <li>I recognize that Regents, the president, and university chancellors can be held individually liable for University of Alaska's compliance infractions</li> </ul>
MITIGATION	<ul> <li>I implement compliance activities including processes, procedures and controls to mitigate compliance risks</li> <li>I know the promotion of and adherence to compliance with applicable laws and regulations is an integral part of my role as a university leader</li> <li>I understand that creating consistent processes to meet compliance requirements will help the university help mitigate risk</li> </ul>
TRAINING	I complete all required compliance education and training for my respective position and ensure that members of my team are provided training to ensure effective compliance
COORDINATION	<ul> <li>I share compliance information with my colleagues and direct reports</li> <li>I ensure that my direct reports are coordinating activities with university-wide compliance managers</li> </ul>
MONITOR	<ul> <li>I proactively monitor effectiveness of compliance activities in my department including results and key issues</li> </ul>
REPORTING	<ul> <li>I report instances of non-compliance to appropriate administrative officers, and I assist Internal Audit &amp; Compliance in developing quarterly compliance oversight reporting</li> <li>I understand there is UA Hotline, an anonymous reporting resource</li> </ul>

https://www.alaska.edu/hr/training/employees/new.php



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# Risks

- Be aware of current compliance risks within your units
- Regularly meet with direct reports to identify, review, and prioritize risks
- Monitor state and federal changes in your area of responsibility







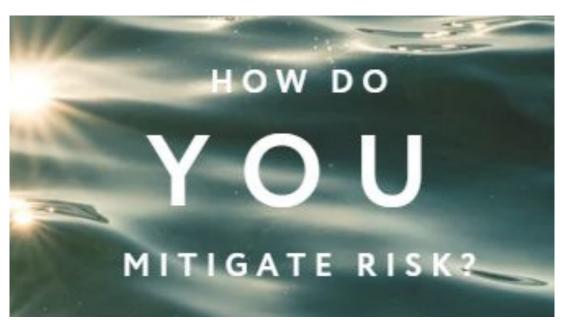
# Mitigation

• Implement compliance

activities, processes, procedures, and controls

 Create consistent processes to meet compliance

requirements



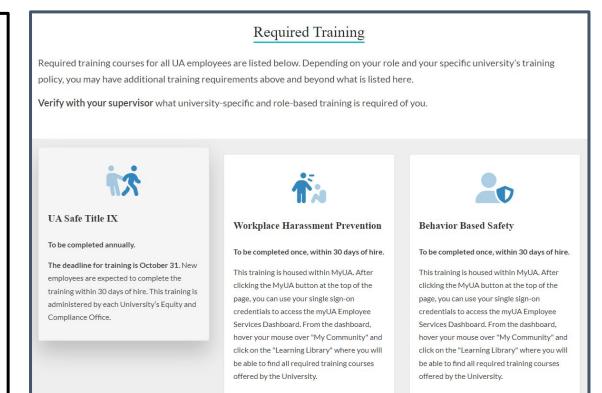
• Understand how these measures help mitigate risks university-wide





# Training

- Complete all required compliance education and training
- Ensure team members receive training for effective compliance
- Highlight the importance of continuous learning in compliance to your team members



https://www.alaska.edu/hr/training/employees/index.php





# Coordination

Coordinate activities with university-wide compliance managers:

- Communicate updates or changes in compliance policies, regulations, or organizational procedures to be aware of cross-over impact.
- Interpretation of policies, such as how each supervisor interprets and implements compliance policies within their teams.
- Share experiences and common challenges related to compliance within respective teams.
- Exchange information on new training options or initiatives each supervisor has implemented to enhance team members' understanding of compliance.



# Monitoring

- Proactively monitor compliance activities in your department
- Track results and identify key issues for timely intervention
- Make sure your team is aware of the specific key performance indicators (KPIs) relevant to compliance within your department
- Stress the significance of thorough documentation and recordkeeping related to compliance activities
- Provide guidance on the types of records that should be maintained and their accessibility



# Reporting

- If anything comes to your attention that looks or feels suspicious, talk to your supervisor, and in the case of a possible crime, law enforcement. If you don't feel comfortable going to your supervisor, utilize the confidential and anonymous UA Confidential Hotline to report. The hotline is a system-wide tool for receiving tips on risks and issues that could jeopardize the University of Alaska's financial health, safety or reputation.
- Assist Internal Audit & Compliance in developing oversight reporting
- Introduce the UA Hotline, an anonymous reporting resource, to your employees



# What are ways that supervisors can foster compliance?



#### Lead by Example:

Demonstrate a strong commitment to compliance through your own actions. Uphold ethical behavior, adhere to policies, and model the desired compliance culture for your team.

#### **Effective Communication:**

Maintain open and transparent communication channels with your team regarding compliance expectations, policies, and updates. Regularly discuss the importance of compliance and its alignment with the university's values.

#### **Education and Training:**

Ensure that your team receives comprehensive compliance education and training relevant to their roles. Keep them informed about any changes in regulations or policies and provide resources for self-learning.

#### **Provide Resources:**

Equip your team with the necessary tools and resources to navigate compliance challenges. Offer guidance on where to find policies, procedures, and contact information for compliance inquiries.

#### **Regular Assessments:**

Periodically review your team's compliance practices and identify areas for improvement. Conduct internal audits or assessments to ensure that processes are aligned with regulations.





#### **Recognize Compliance Champions:**

Acknowledge and reward employees who consistently exhibit strong compliance practices. This fosters a sense of ownership and motivates others to follow suit.

#### **Risk Mitigation:**

Collaborate with your team to identify potential compliance risks specific to your department. Implement measures to mitigate these risks and establish a proactive approach to compliance.

#### **Reporting Channels:**

Clearly communicate the available channels for reporting compliance concerns or violations. Ensure that employees feel comfortable using these channels without fear of retaliation.

#### **Continuous Learning:**

Stay updated on regulatory changes and industry best practices related to compliance. Share relevant information with your team and guide them in adapting to new requirements.

#### **Supportive Culture:**

Create an environment where employees feel empowered to raise compliance concerns without hesitation. Address their concerns promptly and demonstrate that compliance is a shared responsibility.

#### Feedback and Support:

Encourage your team to share their compliance concerns or questions. Offer guidance and support in addressing these issues and acknowledge their efforts in upholding compliance standards.



# **Resources for Supervisors**



# Can you name a few key compliance regulations or policies that directly impact your role as a supervisor?



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#### COMPLIANCE MATRIX **RESOURCES BY TOPIC** COMPLIANCE PROGRAMS **NEWS & UPDATES**

#### **Compliance Matrix**

The HECA Compliance Matrix lists key federal laws and regulations governing colleges and universities. It includes a brief summary of each law, applicable reporting deadlines, and links to additional resources. Users can sort by topic area or by date to plan for upcoming reporting requirements. Users can also filter by topic, to limit the matrix to certain topics of interest (i.e. athletics or human resources).

The information provided in the HECA Compliance Matrix was compiled from publicly-available government agency websites and relevant secondary sources, including resources from the following National Association of College and University Attorneys (NACUA) member institutions: Catholic University of America, University of Florida, Georgia College and State University, Kent State University, North Carolina State University, State University of New York (SUNY), University of Vermont, and Washington & Lee University.

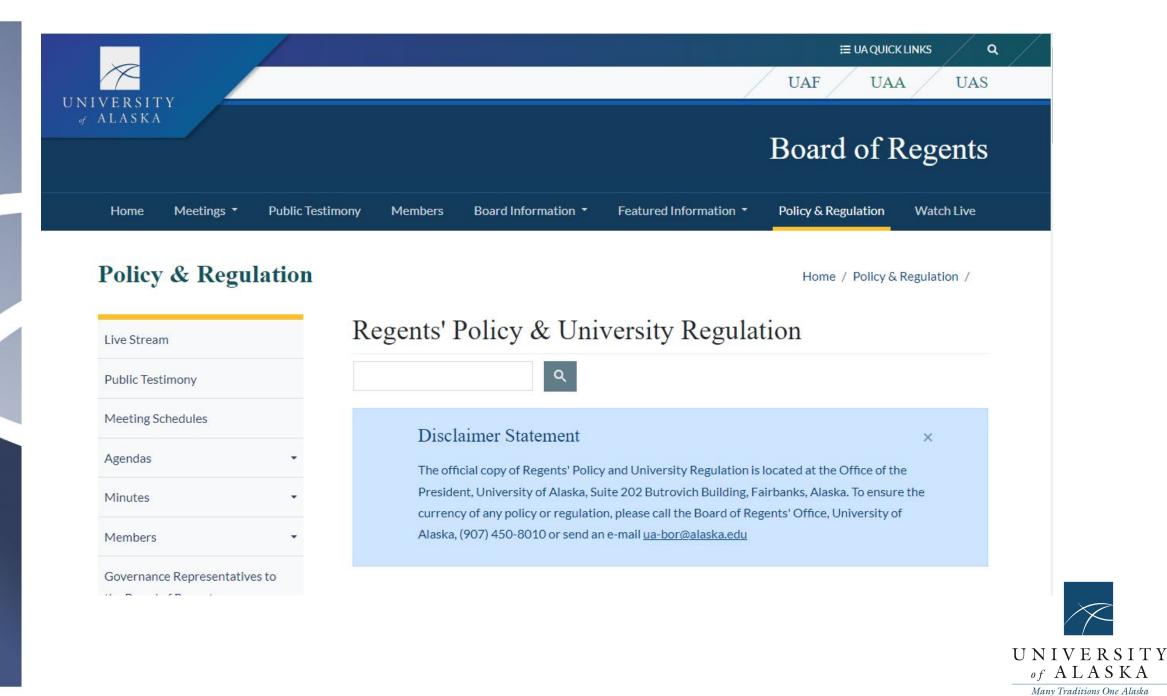
The information contained on this website is for general guidance only and is not intended, nor can it be relied upon, as legal advice. The site is intended to be an informational clearinghouse for laws, rules, and regulations that may impact colleges and universities. While we make every effort to provide updated information, there may be delays or omissions on this site, given the volume and rapid change of laws, rules and regulations. Please consult your campus counsel with specific questions.

#### DOWNLOAD COMPLIANCE MATRIX (XLSX)

Last Updated: November 1, 2021



#### https://www.higheredcompliance.org/compliance-matrix/



### **Compliance Chats**

• UA's Institutional Compliance Program launched the Compliance Chat initiative with a video series on the Alaska Executive Act Ethics Branch (EBEA) to underscore its importance in guiding our actions.

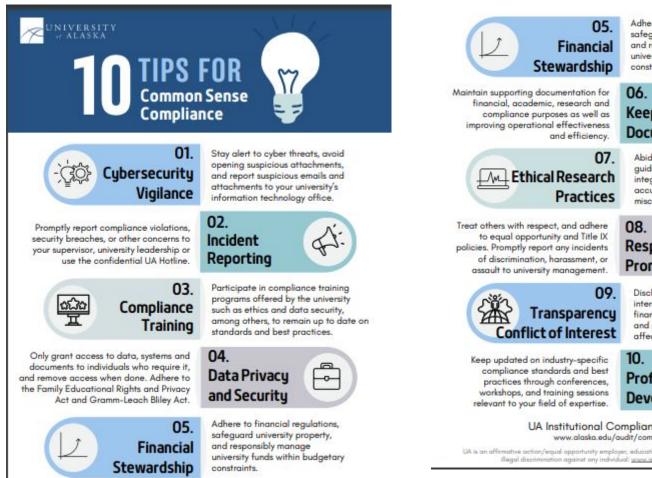


- Chats are part of UA's innovative approach led by Mary Gower, Senior Institutional Compliance Liaison, to offer bite-sized compliance insights to raise awareness and uphold federal and state laws, regulations, and obligations.
- In accordance with federal guidelines for effective compliance and ethics programs, UA releases a new Chat and a compliance-focused article each month to consistently promote these principles throughout the university.
- Cumulative views for these micro-training Chat videos exceed 1600. The September Chat video centered on the protection of minors, October's release provides a virtual compliance onboarding for all new employees, and this month's focus is Title IX.
- Supervisors play a vital role in promoting these videos within their teams, incorporating them into staff meetings to ensure all team members are aligned and can collectively embrace the universities' compliance and ethics principles.



https://alaska.edu/audit/compliance/chats.php

# **10 Tips for Common Sense Compliance**

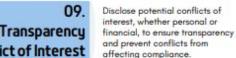






Abide by ethical research guidelines, maintain research integrity, and document findings accurately to prevent research misconduct.







UA Institutional Compliance Program www.alaska.edu/audit/compliance/

UA is an affirmative action/equal opportunity employer, educational institution and provider and prohibits (Tegal discrimination against any individual: www.alaska.edu/nondiscrimination



https://www.alaska.edu/audit/files/UA Compliance-Tips.pdf





### UA Confidential Hotline:

## Protecting You and the University of Alaska

Hotline Details:

- NAVEX Global's EthicsPoint hotline was implemented at UA system-wide in 2014
- EthicsPoint is used by hundreds of higher education institutions
- Third-party hosting provides the best option for anonymity
- Serves as an intake tool for receiving reports of suspected waste, fraud, abuse, violations of policies, and other critical high-risk violations
- Use to report risks and issues that could jeopardize the University of Alaska's financial health, safety, or reputation
- In particular, use the hotline when standard unit or campus reporting mechanisms are not available or feasible
- Does not replace standard UA processes for internal follow-up on allegations; rather, it will connect you to the appropriate department



UA Confidential Make the Right Call HOTLINE www.alaska.ethicspoint.com



### Examples of issues/concerns to report:

- Financial: fraud, waste, abuse
- Ethical misconduct
- Diversity and equal opportunity concerns
- Safety and environmental risks
- Violation of high-impact compliance requirements
- Human resource matters (i.e.: bullying)
- Protection of minors
- Information security
- Research violations
- Title IX violations

View the full list and descriptions: www.alaska.ethicspoint.com



### **UA Hotline Contacts**

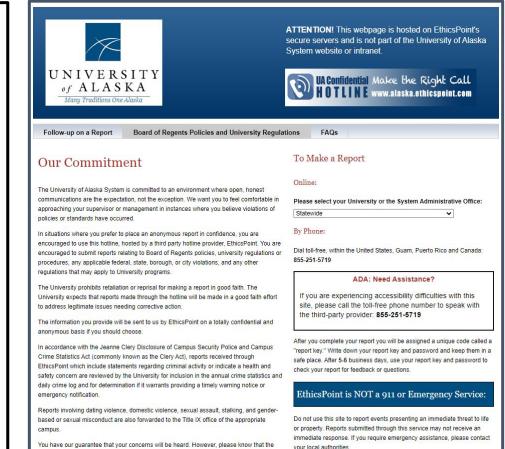
For more information and to access the UA Confidential Hotline, visit www.alaska.ethicspoint.com

You can also use the toll-free telephone number: 855-251-5719

The Hotline is not intended for reporting emergencies

Call 911 in the event of emergency or immediate threat to life or property

### **UA Confidential Hotline**



hotline may not resolve all issues. Individual reports may require resolution through formal dispute mechanisms, and the timelines for these formal processes must be followed.



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### For More Information

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