



Compliance Onboarding

System Office of Audit and Compliance Services



UNIVERSITY
of ALASKA
Many Traditions One Alaska



Welcome to the University of Alaska

- We're so glad that you are here!
- At UA there are many individuals and departments responsible for monitoring applicable laws, developing and maintaining appropriate policies, and conducting compliant operations.
- All employees at the University of Alaska are expected to uphold the highest standards of ethics and professionalism when conducting or engaged in university business.



Higher Education Compliance Areas

Financial	Research	Health & safety	Civil rights and employment	Information
<ul style="list-style-type: none"> • Collecting tuition • Capital projects • Procurement • Tax • Investments • Financial aid • Debt management • Cost allowance • Internal controls • Grant and contract accounting • Cash management • Payroll and benefits • Insurance • Gifts and contracts • Ethics 	<ul style="list-style-type: none"> • Human subjects • Animal subjects • Export controls • Research integrity • Conflict of interest • Hazardous materials • Radiation safety • Biosafety • Chemical safety • Industrial safety • Scientific diving and small boat safety 	<ul style="list-style-type: none"> • Employee health • Student health • Violence and suicide prevention • Construction safety • Emergency management • Safety of minors • Public safety • Environmental contamination • Building / grounds maintenance • Housing and food 	<ul style="list-style-type: none"> • Disability access and accommodation • Workers compensation • Labor relations • Wage and hour • Family and medical leave • Recruitment and hiring • Equal opportunity and affirmative action • Sexual misconduct • Non-discrimination • Cultural resources 	<ul style="list-style-type: none"> • Public records • Privacy of data • Security of data • Copyright and trademark • Intellectual property • Information technology • Internet of Things (IoT)
				Athletics
				International



I'm a university employee, what are my compliance responsibilities?

RISKS	<ul style="list-style-type: none">• I understand what compliance risks are and how to identify them• I am familiar with all of the policies, procedures and laws governing the the work I perform for the university• I know how to conduct university business in a compliant and ethical manner
MITIGATION	<ul style="list-style-type: none">• I follow the established compliance activities including processes, procedures and controls to mitigate compliance risks• I understand that creating consistent processes to meet compliance requirements will help the university help mitigate risk
TRAINING	<ul style="list-style-type: none">• I complete the provided compliance training to ensure I am aware of requirements and industry best practices
MONITOR	<ul style="list-style-type: none">• I assist my supervisor, as appropriate for my role, in proactively monitoring effectiveness of compliance activities in our unit
REPORTING	<ul style="list-style-type: none">• I report instances of non-compliance to appropriate administrative officers• I understand there is UA Hotline, an anonymous reporting resource



I'm a manager or director, what are my compliance responsibilities?

RISKS	<ul style="list-style-type: none"> • I am aware of the current key compliance risks in the units for which I am responsible • I regularly meet with my direct reports to identify, review, and prioritize risks • I monitor state and federal changes to my area of responsibility
MITIGATION	<ul style="list-style-type: none"> • I implement compliance activities including processes, procedures and controls to mitigate compliance risks • I understand that creating consistent processes to meet compliance requirements will help the university help mitigate risk
TRAINING	<ul style="list-style-type: none"> • I provide compliance training to ensure effective compliance implementation
COORDINATION	<ul style="list-style-type: none"> • I coordinate activities with university-wide compliance managers
MONITOR	<ul style="list-style-type: none"> • I proactively monitor effectiveness of compliance activities in my department including results and key issues
REPORTING	<ul style="list-style-type: none"> • I report instances of non-compliance to appropriate administrative officers, and I assist Internal Audit & Compliance in developing compliance oversight reporting • I understand there is UA Hotline, an anonymous reporting resource



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

RISKS	<ul style="list-style-type: none"> • I am aware of the current key compliance risks in the university units for which I am responsible • 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 • I understand compliance fines can range from hundreds of dollars to millions of dollars • I recognize that Regents, the president, and university chancellors can be held individually liable for University of Alaska's compliance infractions
MITIGATION	<ul style="list-style-type: none"> • I implement compliance activities including processes, procedures and controls to mitigate compliance risks • 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 • I understand that creating consistent processes to meet compliance requirements will help the university help mitigate risk
TRAINING	<ul style="list-style-type: none"> • 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 style="list-style-type: none"> • I share compliance information with my colleagues and direct reports • I ensure that my direct reports are coordinating activities with university-wide compliance managers
MONITOR	<ul style="list-style-type: none"> • I proactively monitor effectiveness of compliance activities in my department including results and key issues
REPORTING	<ul style="list-style-type: none"> • I report instances of non-compliance to appropriate administrative officers, and I assist Internal Audit & Compliance in developing quarterly compliance oversight reporting • I understand there is UA Hotline, an anonymous reporting resource





For More Information

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