You’ll Thank Me for This One Day (Just Maybe Not Today)…

Measuring Compliance Program Effectiveness and Improvement Strategies in a Decentralized Environment

Agenda

- Overview of NC State’s Compliance and Integrity Program
- Measuring Effectiveness
- Improvement Strategies
- Moving forward… and moving the needle
- Open Discussion: Reporting and Documenting Results
Compliance Officials Working Group

- Accreditation
- Athletics
- Academic and Student Affairs
- Environmental Health and Public Safety
- Finance Division
- Global Engagement
- Human Resources
- Institutional Equity and Diversity
- Information Technology
- Registration and Records
- Research Administration
- Scholarships and Financial Aid

Division of Accountability

“Compliance Owners”

- Responsible Official:
  - Ensures supervisor establishes compliance expectations for employees

- Compliance Supervisor:
  - Communicates expectations and evaluates employee compliance efforts

- Point of Contact:
  - Works with developing outputs, matter content, and receiving & improving compliance efforts
Example – Clery Act

Responsible Official
- Associate Vice Chancellor for Environmental Health and Public Safety

Compliance Supervisor
- University Police Chief

Point of Contact
- Clery Compliance Coordinator

Division of Ownership & Accountability
Evaluations and Assessments

GOALS AND OBJECTIVES

- Ensure compliance with laws and regulations related to financial aid, student information systems, and internal controls.
- Enhance the university’s reputation for financial responsibility.
- Improve the effectiveness and efficiency of budgeting and financial reporting processes.
- Support the university’s strategic plan by providing accurate and timely financial information.

Description:

- Implement and maintain a system of internal controls to ensure the accuracy and integrity of financial data.
- Conduct regular audits and reviews to identify areas for improvement.
- Provide training and development opportunities for staff to enhance their understanding of financial policies and procedures.
- Collaborate with other divisions and departments to ensure financial policies are aligned with institutional goals.

NC STATE UNIVERSITY
Framing the Issues in Decentralized Environment

- Issue 1: How do we achieve a culture of constant improvement?
- Issue 2: How do we generate relevant data on an annual basis for reporting?
- Issue 3: How do we achieve “ownership awareness” across all vertical levels (ROs, Supervisors, POCs) for the identifiable improvements advanced by the responsible compliance units?

Solution: Compliance Program Self Assessments

1. Benchmarking current landscape
2. Develop and report back improvement strategies

Measuring Effectiveness

- Step 1: Charge Point-of-Contacts
- Step 2: Identify Compliance Areas
- Step 3: Benchmark Status Quo
• Review and revise existing policies, regulations, and rules
• Develop internal SOPs, guidelines, and protocols
• Update training content
• Increase effective communication with compliance partners
• Formalize after-action reviews and protocols
• Formalize documentation procedures
• Develop metrics and measures for monitoring compliance activity
• Develop rapid response protocols, exercises, and tabletops
• Other ....
Current Ongoing Activities/Partnerships

- NIST 800-171 Compliance
- EU General Data Protection Regulation
- Protection of Minors on Campus
- Research Compliance Education Modules
- SACSCOC Administrative Unit Assessments
- HIPAA Compliance Review
- State Authorization Reciprocity Agreements Renewal

Open Discussion

Reporting and Documenting Results

- Governing Boards and Committees
- State Public Records Laws
- Employee Evaluations
- Accreditation
- Audits and Agency Reviews

Questions?