AWARENESS, TRAINING, AND DEVELOPMENT: A SCAFFOLD APPROACH TO COMPLIANCE EDUCATION

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Introductions

Omar Andujar

- BBA Business, MBA Corporate Innovations, ABD Educational Leadership
- Private/Public experience
- 10+ years in Compliance

Kim Hill

- B.S. Psychology, M.Ed. Higher Education
- Private/Public experience
- Joined Compliance in February of 2019
- Student Affairs Background
  - Residential Life (3 years)
  - Student Conduct (10 years)
UConn Background

- Founded in 1881
- Storrs (Flagship), Four Regional Campuses, Law School, School of Social Work, Health Center (including Medical and Dental schools)
- Research 1 Land Grant Institution, Division I Athletics
- 23,900 Undergraduate Students, 8,433 Graduate/Professional Students
- 9,620 faculty/staff (90% of workforce is unionized)

UConn Compliance Background

- University’s compliance program started in 2006
- Re-organization of program in 2018 (from OACE to OUC)
- Coordinate University Compliance Committee
- Report to President, dotted line to Joint Audit and Compliance Committee (JACC)
- De-centralized
- University Compliance: 6 FT employees (includes privacy program)
- Responsibilities span all campuses, including the Health Center (AMC)
Blueprints for the Session

Objectives:

• Provide innovative strategies for developing a comprehensive multi-modality education program
• Explore tools for designing and developing engaging and effective compliance learning environments
• Discuss the value of leveraging metrics to assess education efforts and drive creative solutions and initiatives to enhance a culture of compliance

Sections:

1 Learning Concepts
2 Needs Assessment
3 Effective Delivery
4 Evaluation and Metrics

SECTION ONE

Learning Concepts

Using the right tools
Poll Question

Do you currently use adult learning concepts when developing education?

a) Yes
b) Somewhat
c) No
d) What is an adult learning concept?

Let's talk learning

Overview of adult learning concepts
No one-size-fit-all approach
Intended to help enhance our efforts
Let’s talk learning

**Andragogy**

Adults learn differently than children

Dependent Learning


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Let’s talk learning

**Andragogy**

Dependent Learning

Self-Directed Learning

**Andragogy**

- Internally Motivated
- Self-Directed
- Performance Centered
- Reflective
- Focused on Application

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**Let’s talk learning**

- Universal Design for Learning
- Varied Formats
- Multiple Methods of Action
- Diverse Strategies of Engagement

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“Another hallmark of a well-designed compliance program is appropriately tailored training and communication.”

“Assess whether information has been relayed in a manner “tailored to the audience’s size, sophistication, or subject matter expertise.”

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**Example 1**

**Political Activity**

- Employees are not prohibited from seeking political office as long as it is not done on State time or with State equipment.
- No employee of the University will engage in partisan political activities while on State time.
- No employee will use State materials or equipment for the purpose of influencing a political election.
Example 1

Learning Concepts

Political Activity
- Employees are not prohibited from seeking political office as long as it is not done on State time or with State equipment
- No employee of the University will engage in partisan political activities while on State time
- No employee will use state materials or equipment for the purpose of influencing a political election

Reworked into branching scenario

What do you think?

YES

NO

Guidance

Guidance

Which learning concepts do you see?

- Social Influence
- Inductive
- Observational Learning
- Self-Directed Learning
- Direct Instruction
- Groupwork

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### Notable Changes

- Real-life scenarios
- Media – Videos, Audio, Images, Infographics, etc.
- Closed Captioning
- More and varied knowledge checks
- Increased interactions
- Accompanying Resources

### Stakeholder Feedback

- “Thank you for your ongoing dedication to improving the Ethics training year in and year out.”
- “The knowledge check activities that you interspersed through the ethics section were really good... this one little tweak made my experience a lot better.”
- “On-line trainings are usually not my preferred method, but this was well done, concise, and clear.”
- “I really appreciated the diversity of identities that were reflected in the case studies.”

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### Needs Assessment

**The Foundation**
Poll Question

Do you currently conduct an assessment of needs when planning educational initiatives?

a) Yes
b) Sometimes, but not always
c) No – We like to wing it!
d) I have no idea – what’s a needs assessment?

The Foundation: Internal Needs Assessment

- **Educational Need**: What do we need? Why? How do we know we need it?
- **Audience**: Who needs it? What considerations? Tracking/compliance?
- **Educational Outcomes**: As a result, what outcomes do we anticipate/hope?
- **Content**: How will content be developed? Considerations for methods of delivery?
- **Evaluation**: How will we know it was effective? How will we use evaluation metrics?
The Foundation: Internal Needs Assessment

Needs Assessment

Structure
Intentionality
Reduction
Documentation
Consistency

Overall Plan
Pro-actively Responsive
Demonstrative
Succession Planning
Historical Archive
Risk Reduction

Effective Delivery
Awareness, Training, and Development
Poll Question

What do you count as a part of your educational compliance efforts?

a) Annual training
b) Newsletters
c) C&E week activities
d) Presentations
e) Monitoring efforts
f) Investigations
g) Consultation efforts
h) Website
i) Posters
j) Guidance/inquiry requests
k) Responses to reports
l) Other (please share in chat feature)
m) We don’t quantify our efforts

Educational Layers

Awareness, Training, and Development

- Non-Functional
- Draws Attention
- Includes 1+ Issues
- Institution-wide
- One-way direction
Educational Layers

Awareness | TRAINING | Development

- Teach Skills/Competencies
- Functional
- Job-related
- Institutional or Positional
- Interaction

Educational Layers

Awareness | Training | DEVELOPMENT

- Integration of Skills and Competencies
- Shared body of Knowledge
- Multi-Disciplinary Approach
- Prescribed
- Highly-interactive
Integration of Layers  
Awareness, Training, and Development

- Annual Compliance Training
- Individual Compliance Unit Trainings
- Board of Trustees/Board of Directors
- President's Cabinet Training
- Procurement Specialized Training
- Compliance Clips (5-10 minute videos on specialized topic)

- Compliance Chatter
- New Employee Orientation
- Data Sharing
- Compliance Committee
- JAC/Board
- Compliance Podcasts
- Investigation Process
- OIC Website
- Compliance Network Communications
- Community Presentations
- Repertory Posters
- Compliance and Ethics Week Activities
- Compliance Clips (5 minute videos)

- Management Development Program
- Monitoring Efforts, Tools, and Engagement
- Compliance Profile Tool
- Collaboration on Outcome or Recommendation from Investigations
- Compliance Network Events

Integration of Layers  
Awareness, Training, and Development

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Poll Question

How confident are you in your efforts to evaluate and assess your educational initiatives?

a) Super confident – we are rocking it
b) Somewhat confident
c) Eekkk... we need some serious help with this
d) What is evaluation and assessment?
“In short, examine whether the compliance program is being disseminated to, and understood by, employees in practice in order to decide whether the compliance program is “truly effective.”

Evaluation of Effectiveness

Risk-Based
On-Going
Thoughtful
Demonstrative
Evaluation: Metrics and Assessment

Data Collection Strategies

- **Knowledge**
  - Knowledge check
    - Imbedded or detached
- **Experience**
- **Opinion**
  - Informal Polls
    - Index cards
    - Signaling
  - Focus Groups
  - Culture survey
  - Analytics

- Reportline/Hotline Data
- Contact Tracing
- Exit Survey
- Investigation Data
- Completion Rates
- Engagement
Evaluation of Effectiveness

EFFECTIVENESS is not a destination but an EVOLVING PROCESS

Wrap-Up & Questions

Let’s Stay Connected!

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Visit our website at www.compliance.uconn.edu for educational tools and resources including videos, informative handouts, and podcasts!