DE&I, Compliance and Higher Education

SCCE Higher Education Compliance Conference
June 10, 2022

Kenya Mann Faulkner - Emory University
Kristen Meeks - NC State University
Gary Nimax - University of Virginia

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Agenda/Roadmap

- Introductions
- Engagement in DEI Efforts
- Making compliance an effective part of your institution's DEI initiative
- Understand the pitfalls that can derail a DEI effort and successfully navigate the complexities of DEI in a higher education setting

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Introductions

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Kenya Mann Faulkner

Title: Chief Compliance Officer

Institution Profile: Emory University is one of the nation's leading research universities, grounded in academic excellence, Emory leads with the great purpose of serving humanity.

Primary Roles/Responsibilities: Oversees the University's compliance program and leads the Office of Ethics and Compliance as it coordinates compliance and ethics initiatives across the University

Current Areas of Focus: Clery, Title IX, Risk Assessment, Minors on Campus, Privacy, Ethics and IT

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Kristen Meeks

NC STATE UNIVERSITY

Title: University Compliance, Ethics, & ERM Officer

Institution Profile: R1 public land grant institution with ~36K students and ~9K faculty & staff; 11 colleges offering more than 100 undergraduate, 100 master's, 60 doctoral programs and a Doctor of Veterinary Medicine program

Primary Roles/Responsibilities: Coordinate and lead university's compliance & ERM programs

Current Areas of Focus: Compliance and ERM program maturity goals and related action plans. Supporting compliance partners, including the Office of Institutional Equity and Diversity.

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Gary Nimax

UNIVERSITY *of* VIRGINIA

Title: Assistant Vice President for Compliance

Institution Profile: Public research university, with an academic medical center, founded by Thomas Jefferson in 1819. Student enrollment = 23,000

Primary Roles/Responsibilities: Compliance, Records Management, Signatory Authority, Conflicts of Interest, Compliance Network, Helpline Optimization

Current Areas of Focus: Workday Financials Implementation, Policy Review Committee, Diversity Council, Transgender & LGBTQ Advisory Committee for medical center, and Chair of the LGBT Committee for faculty and staff

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Engagement in DEI Efforts

Polling Question: The Role Compliance Does/Should Play

What role does Compliance <u>currently play</u> in DEI efforts at your institution?

- Primary oversight
- Part of committee
- Advisor
- Advocate
- No role
- Other

Polling Question: The Role Compliance Does/Should Play

What role <u>should</u> Compliance play in DEI efforts?

- Primary oversight
- Part of committee
- Advisor
- Advocate
- No role
- Other

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Polling Question: The Role Compliance Does/Should Play

DEI & compliance: Signs of advancement and complication

What is the role?		What should be the role?
7%	Primary oversight	9%
26%	Part of committee	43%
16%	Advisor	21%
17%	Advocate	17%
32%	No role	9%
2%	Other	1%

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Questions to Consider

- What is the compliance office's mandate?
  - Direct oversight for DEI compliance areas (e.g., Title IX, EEO, ADA, etc.)
  - Non-discrimination policies
  - Compliance helpline
- In what ways does the compliance office engage in DEI compliance efforts?
  - Government reviews
  - Speak up culture
  - Committees (e.g., diversity and/or compliance committees)
  - Other efforts: climate/exit surveys, investigations, etc.

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We want to hear from you

How are you (or would you like to be)

engaged in DEI on your campus?

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Making compliance an effective part of your institution's DEI initiative

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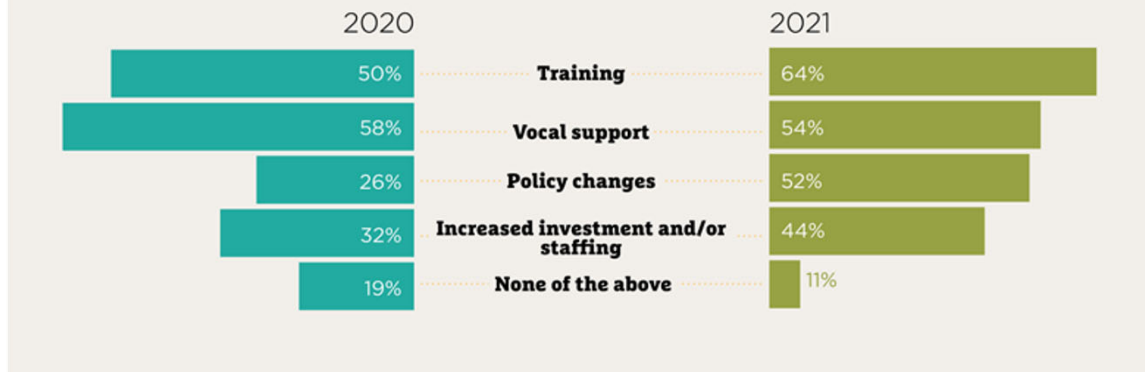## Polling Question - Institutional DEI Efforts over the past two years

Which of the following are among your institution's DEI efforts?

- Training
- Vocal support
- Policy changes
- Increased investment and or staffing
- None of the above

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Polling Question - Institutional DEI Efforts over the past two years

Which of the following are among your company's DEI efforts?
(2020 vs 2021)

	2020		2021
Training	50%		64%
Vocal support	58%		54%
Policy changes	26%		52%
Increased investment and/or staffing	32%		44%
None of the above	19%		11%

Compliance Week, DEI & compliance: Signs of advancement and complications, 11/18/21

Questions to Consider

- What is the universe of compliance obligations that impact DEI?

- How can DEI considerations be incorporated into policies?
    - Separate subcommittee to deploy DEI tools for policy equity evaluation processes
    - E-courses available from the Equity Literacy Institute
    - Equity-minded Decision Making Guide

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We want to hear from you

What else should we be doing to make compliance an effective part of our institutions' DEI initiatives?

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Pitfalls that can derail a DEI effort & navigating the complexities of DEI in a higher education setting

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Questions to Consider

What are the pitfalls that challenge DEI efforts?

- Political Affiliation
- Namings and Statues
- Reporting Structure for the CCO & CDO
- Culture

What strategies can help with navigating the complexities of DEI efforts in institutions of higher education?

- Relationships with leaders & CDO
- Partnership in key strategic initiatives
    - Policy equity group
    - Culture surveys
    - Code of ethics/values/

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We want to hear from you

What are the pitfalls that challenge DEI efforts?

What strategies can help with navigating the complexities of DEI efforts in institutions of higher education?

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Thank you!

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