

# Legal and Compliance Committee Update

October 2023



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# Compliance Program Design



# Compliance Strategic Plan Elements

**Goal 1:** Understand the Risks and How They are Being Mitigated Today

**Goal 2:** Measure our Impact and the Continuous Improvement

**Goal 3:** Make Values, Ethics and Compliance Part of the Conversation

**Goal 4:** Optimize Issue Identification/Raising and Response Practices



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# Centers of Excellence

- Replaced the former *Ethics & Compliance Council* and *Ethics Committee*
- Driving ACTION to achieve and accelerate strategic plan elements
- Lean teams to maximize efficiency



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## Center of Excellence #1: Issue Response and Investigations

- Initial Remit:
  - Create investigations best practices and SOPs, and drive their adoption
  - Support efforts to simplify reporting
  - Metrics transparency
  - Retaliation report follow up process
  
- Updates:
  - Streamlined reporting site
  - Initial investigation metrics information being provided via Maxient and other channels
  - Drafting best practices with focus on:
    - Investigation Intake
    - Referrals to Alternate Investigative Units
    - Investigation Standards
    - Communication/Sharing of Information
    - Case File Retention Standards



## Center of Excellence #2: Regulatory Management & Risk Mitigation

- Initial Remit:
  - Design controls mapping and gap identification process for significant compliance risks
  - Establish standard “Root Cause Analysis” guidelines
  - Create best practices for maintaining awareness of regulatory changes/developments
  
- Progress to date:
  - Drafted “Risk Identification, Mitigation, and Regulatory Management Toolkit” to support new compliance requirement/program implementation AND strengthening existing compliance programs
  - Plan to pilot the toolkit in Fall 2023



## Centers of Excellence #3: Values & Ethics Communications/Training

- Initial Remit:
  - Catalogue PSU ethics and compliance training efforts, identify topics to be included in future annual trainings and propose opportunities for targeted training by Unit/Function
  - Support Living our Values Survey results follow ups and action planning
  
- Updates:
  - Focus on proactively socializing and promoting the values
  - Developing a comprehensive list of compliance training across the University
  - Investigating other tools, modalities, and platforms can be used to socialize and promote the Penn State Values – in particular those that would connect with student population



# Thank You



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