Legal and Compliance Committee Update

October 2023



PennState OFFICE OF ETHICS AND COMPLIANCE

Compliance Program Design



PennState OFFICE OF ETHICS AND COMPLIANCE

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



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



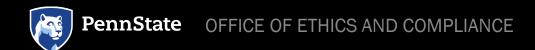
Center of Excellence #1: Issue Response and Investigations

- 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

