

# Agenda

## 603 Championing a System-wide Approach to Compliance and Ethics Programs: Challenges and Successes



*Joseph K. Maleszewski, Inspector General, Board of Governors, State University System of Florida*



*Lori Clark, Compliance & Audit Specialist, State University System of Florida*

- This case study will review the successes and challenges in championing the development of effective compliance and ethics programs across the State University System of Florida. Absent this effort, such programs varied in formality and centralization
- How to educate governing boards, collaborate with university compliance counterparts, set common expectations, and monitor implementation for accountability at the university and system level
- Case examples will illustrate that compliance and ethics programs are not one-size-fits-all and will highlight some of the unique challenges for both larger and smaller institutions

**12:00 – 1:00 PM**

**Lunch**

**1:00 – 2:00 PM**

**BREAKOUT SESSIONS**

## 701 A Collusion Case Study on Embezzlement, Travel Fraud, and Misappropriation at the University: How Collusion Evaded Detection and Rendered the Control Environment Ineffective for Six Years



*Amy Block Joy, Faculty/Specialist Emeritus, University of California, Davis*

- Collusion Case Study: How collusion between a university employee and a high level supervisor rendered the control environment ineffective for six years leading to a university loss of \$2.3 million and a media scandal
- Analysis: A number of behavioral indicators from this case have been identified which could be used to detect collusive activities before reputations are tarnished
- Discussion: How the university's prompt action lead to improvements in both the financial control environment and the ethical culture of the university

## 702 Building a Culture of Compliance: Two Years into the Journey



*Cathy Smock, Chief Compliance Officer, Prairie View A&M University*



*Whitney Glenz, Compliance Officer II, Prairie View A&M University*

- Discuss why “building a culture of compliance” was the approach taken to change and improve the university's overall compliance environment
- Learn about factors throughout the university that assisted in successes towards changing the compliance culture and those that distracted from the university making progress
- Discuss what the Office of University Compliance learned during these first two years to help it continue on its journey of “building a culture of compliance”

## 703 Rethinking Organizational Relationships to Strategically Align Compliance, Audit, Risk, Ethics, and ERM Functions



*Cassandra Walsh, Director, Baker Tilly*



*Vicki Duggan, Chief Compliance, Risk and Ethics Officer, Montgomery College*

- Discuss how institutions identify & leverage opportunities to combine valuable resources & organizational relationships within their institutions. What are the important distinctions between these relationships & their responsibilities to the institution
- Provide Ideas for utilizing limited resources to better position your institution for improvement opportunities and efficiencies, while maintaining the necessary lines of separation
- Learn about effective and interesting ways to communicate compliance to educate and build awareness across your institution. Creative and easy ways to inform the university community i.e. Faculty, Staff and Administrators, Students, others

**2:00 – 2:15 PM**

**Networking Break**

**2:15 – 3:15 PM**

**BREAKOUT SESSIONS**

## 801 Service Animals and Emotional Support Animals (ESAs): Increasing Complexities in Developing an Effective Policy and Process to Withstand Legal and Public Relations Scrutiny



*Judith W. Spain, Professor, Business Law, Eastern Kentucky University*



*Claire Good, Retired VP for Student Success, University of Maine at Augusta*

- Be prepared; be proactive. Know what constitutes disability discrimination under ADA, ADAAA, and the Fair Housing Act to develop an effective institutional policy and definitions using statutory language, case law, and evidenced-based best practices
- Using policies submitted by attendees as examples, attendees will learn how to design processes to be in compliance with the law, to be fair for the student/employee and the institution, and to be manageable to implement
- Attendee may submit their institutional service/ESA policy before the seminar to be individually reviewed by the presenters and discussed with attendee during pre-arranged times during the conference

## 802 Minding the Gaps: Undertaking a Large Scale Compliance Gap Analysis in Higher Education



*John D. Lawley, Deputy Chief Compliance Officer, Emory University*



*Scotty Jenkins, Compliance Manager, Emory University*

- Practical tips on how to approach an institution-wide gap analysis to assess your university's compliance with federal regulations
- Getting beyond the who to understanding the how: why knowing more than just the operational owner of a compliance requirement is critical
- The array of benefits conducting a thorough gap analysis can have for your organization