

# U of M Board of Regents Audit Committee

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Institutional Compliance Officer Report

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Office of Institutional Compliance

**UNIVERSITY OF MINNESOTA**



# Program Oversight

- ◆ Continued reporting to Audit Committee
- ◆ Regular meetings with Executive Oversight Compliance Committee

# Identification of Responsible Parties and Roles

- ◆ Planned enhancements in research oversight
- ◆ Creation of Occupational Health and Safety Office
- ◆ Planned enhancements in international programs oversight

# Awareness, Education, and Training

- ◆ Continuing compliance education program
- ◆ Enterprise Financial System trainings
- ◆ New Sponsored Projects Symposium

# Lines of Communication

- ◆ Steady University awareness and use of UReport system
- ◆ Employment and human resources concerns continue as leading category of report
- ◆ Opportunities for reporters to raise issues locally and for management to identify areas for improvement

# Dual Objectives of an Effective Compliance Program

- ◆ Exercise due diligence to prevent and detect violations of law
- ◆ Promote an organizational culture that encourages a commitment with the law



# Culture of Compliance and Ethics

- ◆ Measuring and assessing through the PULSE survey
- ◆ Promoting through Code of Conduct campaign
- ◆ Infusing throughout the organization more consciously



# Questions

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