



**Northern Illinois  
University**

# **Ethics and Compliance Office Update**

**Sarah Garner, JD, MPA**  
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# Agenda



- Background
- Portfolio of the Ethics and Compliance Office
- Plans for Fiscal Year 2020
- Questions

# Background



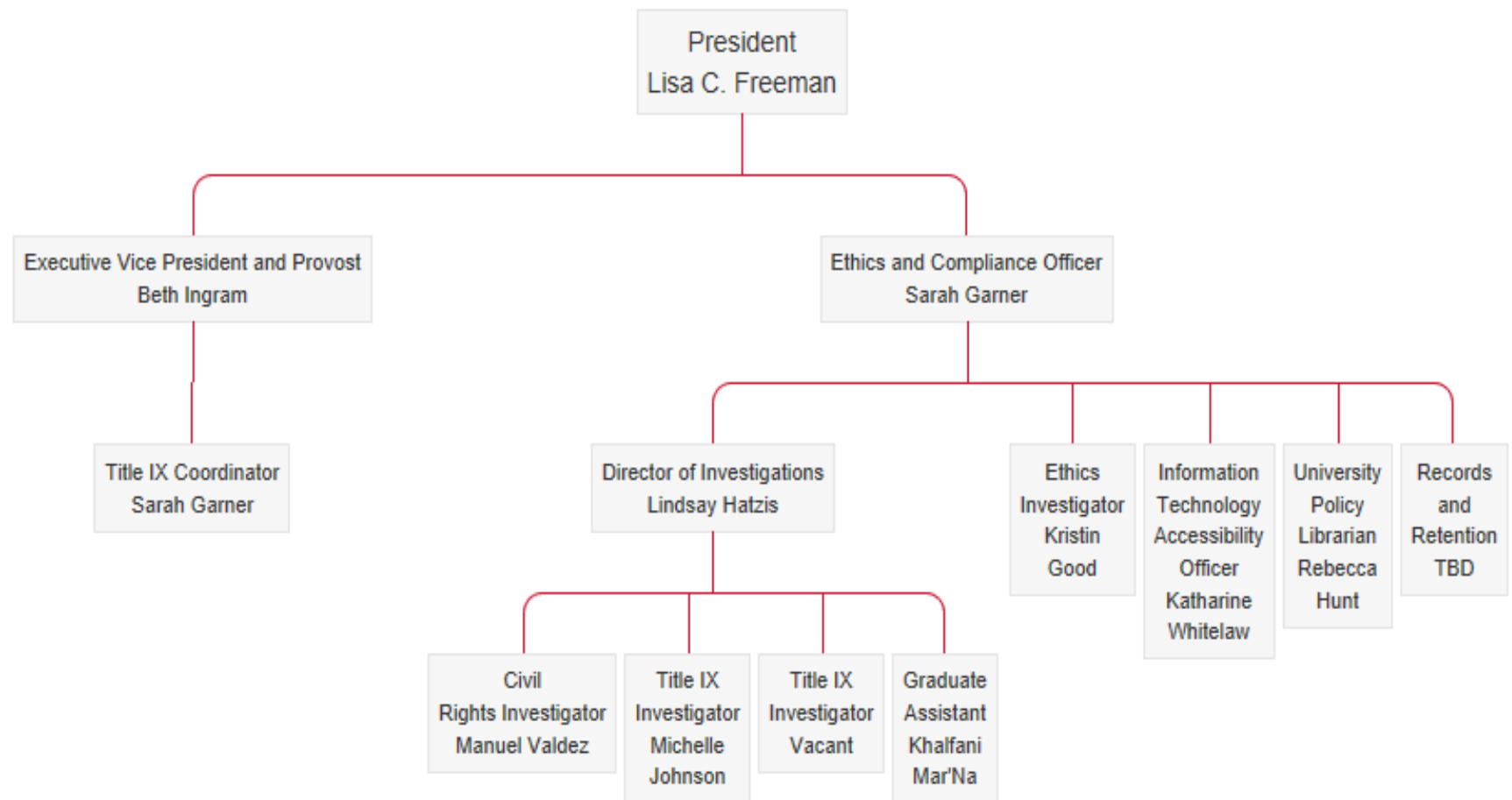
- Introduced during June 14, 2018 Board meeting
  - Launched on July 1, 2018
- Board of Trustees Priority #5
  - Foster a culture of operational, fiscal and ethical excellence
    - Create a university level compliance program, supported by an ethics officer, a policy librarian and a university level compliance coordinator, to integrate roles and responsibilities related not only to ethics and compliance, but also to policy development and management.
- 2018 Presidential Goal #4
  - Foster a culture that is ethical and accountable
    - Increase transparent practices
      - Decrease ambiguity associated with NIU policies and procedures by implementing policy library and university level compliance program.

# Current Portfolio of ECO



- Internal Investigations
- Ethics
- University-wide Compliance
- Policy Library
- IT Accessibility
- Title IX Compliance

# Organizational Structure



# Internal Investigations



- Investigate complaints of discrimination, harassment, retaliation and Title IX/sexual misconduct
- Update policies related to state and federal civil rights legislation
  - *Nondiscrimination, Harassment, and Retaliation Policy and Procedures*
  - *Title IX/Sexual Misconduct Policy and Procedures*
- Advise departments on response protocol for incidents of policy violations
  - Provide on-call trainings for staff and students
- Coordinate with law enforcement for criminal conduct

# Ethics



- Provide advice regarding gift ban, political activity, revolving door, and conflicts of interest
- Conduct investigations referred from Office of Executive Inspector General (OEIG) and filed internally
- Facilitate the completion of statements of economic interest
- Serve as liaison to OEIG
- Annually update new employee and Board training
- Assist with implementation of all employee annual training

# Compliance



- Inventory state and federal laws and regulations impacting higher education
- Develop and maintain the Compliance Calendar
- Review new state laws and disseminate information to senior leaders
- Advise departments on compliance questions
- Chair the Compliance Committee
- Update the university's record retention program



# Policy Library



- Develop and manage the Policy Library, including capturing and storing university policies
- Identify policies due for revision and facilitate policy revision process
  - Three-year cycle
- Advise divisions and departments on policy development and revision
- Chair the Policy Library Committee

# IT Accessibility



- Provide outreach and education
- Approve purchase requisitions related to technology
- Participate in the Request for Proposal (RFP) process to ensure accessibility of products and services
- Troubleshoot accessibility concerns related to campus services
- Review NIU webpages and applications

# Title IX Compliance



- Oversee internal investigations process
- Advocacy for pending legislation and regulations
- Partner with the Diversity, Equity and Inclusion in developing training for students and staff
- Serve as point of contact for all Title IX related matters
- Members of core team for Dept. of Justice Office on Violence against Women Grant
- Chair the NIU Sexual Misconduct and Assault Response Team (SMART) and member of DeKalb County Sexual Assault Response Team (SART)

# Future Plans



- Records management
- Increased outreach and awareness
- Education on university-wide compliance
- Title IX compliance
- Collaborative opportunities

# Thank you



Questions?