Agenda

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