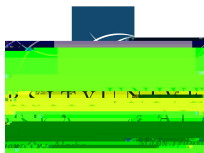


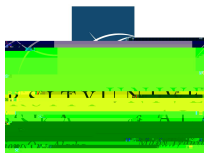
Monday, November 4

The screenshot shows a complex dashboard with multiple data visualization elements. At the top, there are several horizontal bars in shades of blue and green. Below these, there are several line graphs and bar charts, some with red and yellow highlights. A prominent feature is a large, multi-colored bar chart in the center, with segments in blue, green, yellow, and red. To the right, there are several smaller charts and data points, some with red and yellow highlights. The overall layout is dense and colorful, typical of a modern data analytics interface.

Supervisor Compliance Overview



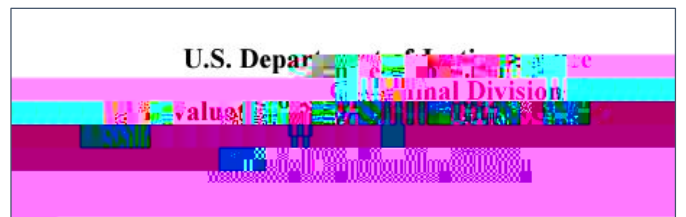
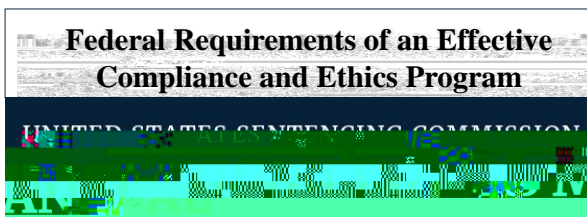
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Existence of policies, procedures, and standards of conduct. Aaz Vhx Zxy(nl Z'n_ Mhk ujbmVZ uxñ xñk by{n Zl y| xZ {aM|UZaMfomxMIXXZVlyonl 'k Mlb` Z.uZVfMlonl yMz MfbljMZXSVZMjñ Vnk k |l bMZX MlX {aM|uxWfblñr | bXMIvZ`

ELEMENTS OF AN EFFECTIVE COMPLIANCE FRAMEWORK: (Continued)

Maintaining lines of communication. Bl bZxyñt jZMZXyabñ, òj NñbñMZX MlX y| uunxñ Vnk k |l bMlonl MlZMwa` |l bZxyñt Mlonl { {aZ |l bZxyñt yVnk ujbmVZ uxñ xñk Stáyu| xunyZ MlX {aZbxZyunt yñbñZyyn {aM|B` Vnk k |l òt k Zk UZxy |l XZxy(MlX MlX Vñl Nyn_ | j òj {aZbxVnk ujbmVZ X| {bZy`?ZMñl MlJZ yZuy, òj UZ {MlZl {n Vnk k |l bMZX y(NlX MlXySuxñVZX| xzyMlX xñjZy{n k Zk UZxyn_ {aZ b yñt} {lonl Sò V| Xb` {aZ ònMlX n_?Z` Zl {ys{n nyZxM Vnk ujbmVZ Vñl yñonl y Zyy` k uñntZZyMZX Zl Vñl xMZX {n xZunx(SZòaZx XbZVñt nxMlñl tk n| yñtSMlñt Vñl VZx yMlX nxyZZi` | bXMIvZ xZ` MlXb` unZl {bñrnxMlñl Nñk byñl X| Vñ, òan| {`ZMñ_xZ{Nñbñl` a

Methods for internal risk assessment, monitoring and auditing. ònl {b |n|y k nl ònxb` byXnl Z Ut XZuMlñk Zl {Nñk MlMZYy{n XZ{ZVñ {aZbx|l òy Vnk ujbmVZ xby` byy| ZyMlX Vnk ujbmVZ xZw` bZk Zl {MlaxZl VZ NynVñMZX` , òa {aZ |l bZxyñt yñuZMlonl y`?ZMñl MlJZ yZuy, òj UZ {MlZl {n Vñl X| Vñ Vnk ujbmVZ xby` NñyZyyk Zl {y{n XZ{Zk b Z an, , Zj B` òyU| yb ZyuxñVZyyZy` | j òj Vñ xZl {pñamñl b` x| jZySxZ` | j Mlonl ySñxñnMlX n_?Z` Zl {yññbñZy`

Methods for enforcement of policies, procedures, and standards. "l y| xZ` {aZxZ MZX VZMlMlZl | Zy{n yZZi` | bXMIvZ nxXZunxñ fñjMlonl yñ_ññbñt MlX` xZjZfMl {jM yuxZ` | j Mlonl y`AaZ` |l bZxyñt, òj_ñjñ, MluxñxñMZX uxñVZyyZyS Vñl X| Vñ bZy{b Mlonl ySZl_ñxZ y(NlX MlXyMlX Zk uññyZñl òñ xZ{Nñbñl` a

Actions are taken when noncompliance occurs (consistently and commensurate with the noncompliance). AaZ` |l bZxyñt xZyunt Xy` MluxñxñMlZñt {n bZy{b MZX MlX MlXxZyy ZubñXZyn_k byñl X| Vñ MlX` fñjMlonl yñ_ññbñt ySxZ` | j Mlonl yMlX unñbñZy`@ZuyMZX {MlZl {n uxZfZl {` | xZaZx yñk òññ Vñl X| Vñ_ñnk òññ xñb` b` {aZ` |l {` xZ` a



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I'm a manager or director, what are my compliance responsibilities?

RISKS	I am aware of the current key compliance risks in the units for which I am responsible I regularly meet with my direct reports to identify, review, and prioritize risks I monitor state and federal changes to my area of responsibility
MITIGATION	I implement compliance activities including processes, procedures and controls to mitigate compliance risks I understand that creating consistent processes to meet compliance requirements will help the university help mitigate risk
TRAINING	I complete all required compliance education and training for my respective position and ensure that members of my team are provided training to ensure effective compliance
COORDINATION	I coordinate activities with university-wide compliance managers
MONITOR	I proactively monitor effectiveness of compliance activities in my department including results and key issues
REPORTING	I report instances of non-compliance to appropriate administrative officers, and I assist Internal Audit & Compliance in developing compliance oversight reporting I understand there is UA Hotline, an anonymous reporting resource

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Lead by Example:

Demonstrate a strong commitment to compliance through your own actions. Uphold ethical behavior, adhere to policies, and model the desired compliance culture for your team.

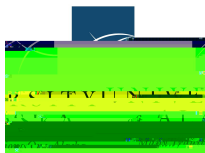
Effective Communication:

Maintain open and transparent communication channels with your team regarding compliance expectations, policies, and updates. Regularly discuss the importance of compliance and its alignment with the university's values.

Education and Training:



Recognize Compliance Champions:



Key Compliance Questions to Ask Your Team:

1) Are you familiar with our university's policies and procedures related to your role, and do you fully understand your specific compliance responsibilities?

2) Do you have all the tools and resources needed to follow required procedures?

3) Have you noticed any potential risks in our processes that we should address?

Key Compliance Questions for You to Consider:

1) How am I actively identifying compliance risks in the university areas related to my department, such as IT compliance, financial compliance, student privacy compliance, environmental health and safety compliance, and research compliance?

2) How do I prioritize and address compliance concerns within my team?

3) Do I have a clear reporting structure in place in my department for potential compliance issues?

4) How do I elevate compliance concerns to my supervisor, senior university management and, if necessary, the Board of Regents?

5) How do I stay up to date on the latest requirements? What process do I follow to provide compliance training and education to my employees, or as necessary, to all employees and/or students?

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Examples of Red Flags to Watch For:

Unusual Financial Transactions: Unapproved spending or missing documentation.

Conflicts of Interest: Faculty/staff benefiting personally from university roles.

Research Compliance Issues: Misreported data or non-adherence to grant guidelines.

Data Privacy Violations: Mishandling of student/employee information (FERPA).

Abuse of Authority/Policy Violations: Ignoring hiring, promotion, or Title IX/ADA procedures.

Fear of Reporting: Hesitancy to report issues or concerns of retaliation.

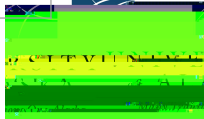
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Resource	Details
1. UA Board of Regents Policy	Review relevant sections on the UA Board of Regents website. https://www.alaska.edu/bor/policy-regulations/index.php
2. HECA Matrix	Use the HECA matrix to identify applicable federal laws and regulations. This resource list includes various elements such as the Item ID, Topic, Statute Name, and multiple Statutes (Statute 1, Statute 2, Statute 3, Statute 4) along with their corresponding Statute IDs. It also covers several Regulations (Regulation 1, Regulation 2, Regulation 3, Regulation 4, Regulation 5), a Statutory Summary, Reporting Requirements, and Deadlines. Additionally, it

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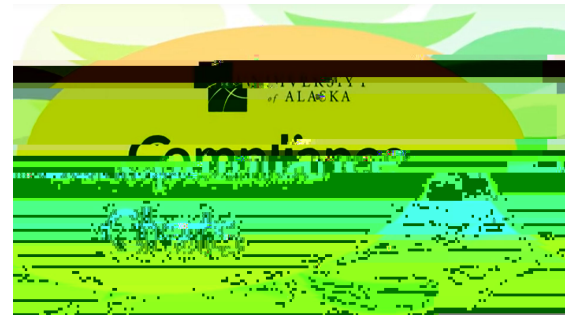
Resource	Details
4. Professional Networking	Connect with your peers and experts here at UA and at other universities. Join committees, attend meetings, and engage in professional organizations.
5. Email Updates	Sign up for your professional associations' mailing lists to stay updated on the latest laws and regulations.
6. University Resources	Have questions? UA has many employees that can help, including in Audit and Compliance Services, the Office of the General Counsel, and Human Resources. For specialized guidance, you can also reach out to: <ul style="list-style-type: none">- Risk Management for safety concerns.- Equity and Compliance for issues related to discrimination and Title IX.- Procurement for purchasing and contracting compliance.- Information Technology for data security and privacy matters.

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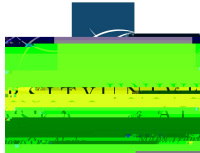


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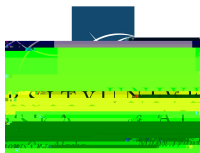
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What is the purpose of the training?

Andy Harrington
©

Andy Harrington

What is the purpose of the training?

University management

How do I track training?	2. The purpose of the training is to ensure that all staff are aware of the university's policies and procedures. This includes the use of the training system to track progress and completion of courses.
Is there management training for new supervisors?	AAsZ' MZ yZfZxY y uZxfYnxt' {xVb b` xZyn xVZyM' {aZ B` "k ujtZ' "I` MZk ZI f' MIX' Z' ZfZinuk ZI f' uMZ' AaZ' {xVb b` 'byV xxZI f' t' UZb` uXMXS M' X' jZNXZyabw' xn uy' M' xnyy' {aZ' f' Zxy' f' ZY' MZ' UZb` ' M' j' ZX' _nx' b' u {n` _` nx'

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Research Compliance	Graduate students must follow ethical standards in research, including human subjects (IRB), animal welfare (IACUC), effort reporting, data integrity, grant compliance, accurate reporting, and avoiding misconduct.
Academic Integrity and Ethics	Graduate students are held to high standards, such as avoiding plagiarism, ensuring fair collaboration, and following proper citation practices.
International Student Compliance	International students must maintain visa status, meet enrollment requirements, and report changes to the university, avoiding unauthorized work.
Teaching and Assistantship Responsibilities	Graduate students in assistant roles must comply with labor policies, FERPA, and any union or employment guidelines.
Intellectual Property and Copyright	Graduate students in research or creative fields must understand university policies on copyright, patents, and data ownership.
Conflict of Interest	Students with external work or funding may need to disclose conflicts of interest that could affect their research or academic duties.
Health and Safety	Graduate students working in labs or field environments must comply with lab safety protocols, proper handling of hazardous materials and Board of Regent health and safety policies including Sex and Gender-Based Discrimination Under Title IX.

