

# COMPLIANCE AND ETHICS TRAINING IN HIGHER EDUCATION

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# Objectives

- Discuss the unique culture of an academic environment and its impact upon training.
- Share our history and experiences.
- Review examples of program elements that have been successful and those that have not.
- Provide practical tips in developing or refining a compliance education program.
- Hear your stories and ideas.

# Training in Higher Education - Why is it Different?

- Unique culture in academia
- Tenured Faculty
  - Independent
  - Academic Freedom
  - College/University Profit Center
- Making faculty understand that compliance is important to them and can impact their teaching/research/service.
  - Connect them into the fabric of the organization.

# University of Connecticut

- 14 schools and colleges, five regional campuses and Health Center.
- Research awards in 2008 exceeded \$194 million.
- \$2.8 billion, 20-year infrastructure investment from the state.
- Approx. 21,000 undergraduate students; 8,000 graduate students.
- Approx. 10,000 union and non-union employees.

# THE STORRS STORY



## 2005

- The University settled allegations with the EPA Office of Inspector General (OIG) by signing a five year CIA.
- \$2.5 million fine.
- By July 1, 2006, certify “adequate and appropriate compliance program.”
- BOT hired first Chief Audit and Compliance Officer
  - Reorganized Internal Audit department into Office of Audit, Compliance & Ethics
  - Oversight of ALL campuses

# Ethics

- June 2004 - CT Governor John Rowland resigns
  - allegations of accepting expensive gifts from employees and contractors.
- July 2004 - Lt. Governor Jodi Rell takes office
  - Executive Order No. 1 - "committed to restoring public trust".
  - Established Special Counsel for Ethics Compliance
- 2005 - dismantled former State Ethics Commission
  - Internal fighting among staff and firing of Director
  - Established new Office of State Ethics and Citizen's Ethics Advisory Board

# THE HEALTH CENTER CHRONICLE



# University of Connecticut Health Center (UCHC)

- John Dempsey Hospital (JDH) -224 beds.
- Schools of Medicine/Dental Medicine and postgraduate residency programs.
- University Medical Group.
- UConn Health Partners.
- University Dentists.
- Correctional Managed Healthcare.
- Clinical and translational research.

# UCHC Compliance History

- Mid-1990's-Existing Internal Auditor assigned additional role of Compliance Officer.
- 2000-EVP of Health Affairs recognized importance of individual Audit and Compliance functions.
  - Compliance Officer named.
  - Training initiated with focus upon academic medical centers and clinical compliance.
- 2005-Program expanded and “domains” were born.
- 2007-Certification of Compliance Agreement (CCA) signed between JDH and Department of Health and Human Services OIG.
  - Existing Compliance Program reduced penalty.

# THE COMPLIANCE TRAINING EXPERIENCE





## ....In the Beginning

- 2006 - Code of Conduct, University Guide to the State Code of Ethics and Federal False Claims Act (UCHC)
- One module for both faculty and staff
- “Roll out” plan
  - Dean’s Council/Faculty Councils/Senior Management
  - Executive Compliance Committees
  - Presented training to the unions
- Online and Classroom Sessions
- General and Individual Department sessions
  - Anytime, anywhere, any place
  - Spanish translation & Sign Language Interpreter sessions

# What We Learned the First Year...

- Support from senior management essential.
  - Invite President/Provost/Deans/VPs to make opening remarks.
- Differences between faculty/staff and campuses.
  - Tailor sessions for specific audience
- Individual department sessions not efficient use of resources.
  - Refined classroom sessions
- Make the training relevant.
- Critical to reinforce the role of Compliance.

# Online Training

- Key component, but should not be your only method.
- “Home-grown” system vs. outside system.
  - Benefits vs. weaknesses
- Include a post test in your online system.
- Consider your environment.

# Regional Campuses and Programs

- Feel like the “step-children” of the University.
- Classroom sessions are important to create a connection.
  - Video conferencing
- Individual culture - including specific examples that are relative to their environment.

# The Art of Nagging

- Accurate attendance tracking system is key.
- Frequent attendance reports to Deans, Directors and Department Heads.
  - unions
- Reminder emails and mailings.
- Phone calls.
- Embarrassment/Fear Factor.

# Sanctions

- Storrs developed formal Compliance Training Policy in 2008.
  - Input from senior managers and unions.
  - Approved by Executive Compliance Committee
  - Requires annual compliance training.
  - Attestation.
  - Sanctions.
- Due to CIA, any mandatory employees who do not complete specific grant management training will have their grant monies withheld until compliant.

# PRACTICAL TIPS



# Bodies in the Seats vs. Making an Impact

- “Converts”
  - How you build a “culture of a compliance”
- Employees in the trenches want to comply with the rules.
  - Know how the system works and when there may be a problem.
- Using “hot topics” and frequently asked questions from previous year to create next year’s training.
- Support from your Joint Audit & Compliance Committee.

# It's all in the Approach

- Legal/regulatory with Faculty.
- Include the “Who” and the “Why” .
- Real life examples of consequences of non-compliance.
- Subject matter expertise is a plus!
- “We’re here to help” .
- Set standards of behavior upfront in classroom setting.

# Knowing the Culture

- Ongoing support from your Joint Audit & Compliance Committee.
- Using your allies.
- Knowing the organizational structure.
- Recognize your audience.
- Picking your battles.

# Collaboration

- Other departments may also require mandatory training.
  - Creates confusion/frustration for faculty and staff
- Work with these departments to ensure clarification.
  - Online system
  - Master Calendar
  - Use your training to assist with overall compliance.

# What They Don't Tell You

- Never EVER show fear!
- If you don't know the answer, admit it up front.
- "Messenger" approach.
- Develop a thick skin.
- Patience & Humility.
- Be ready to respond to questions about every public figure in your school and state.

# Building Trust

- “Face” of the Compliance Program.
  - New Employee Orientation
- Employees will not report to the Compliance Program if they don’t trust YOU.
  - What people tell you during/after sessions.
  - Coming from the ranks helpful.
- We ALL want our university to succeed.

# Think Outside the Lecture Hall....

- Newsletters
- Websites
- Broadcast messages
- Posters
- Committee membership
- “Lunch and Learn”
- Collaborating with professional development programs

# The Numbers

- 2006-2007
  - Storrs - 95% Completion (67% live, 33% online)
    - » 85 Live Sessions
  - UCHC - 95% Completion
    - » 49 Live Sessions
  - JDH - 100% Completion
- 2007-2008
  - Storrs - 98% Completion (58% live, 42% online)
    - » 67 Live Sessions
  - UCHC -
    - » 44 Live Sessions
  - JDH -
- 2008-2009

# Takeaways

- One-size-fits-all does not work in an academic environment.
- Buy-in from Faculty important.
- Support from BOT & senior management.
- Use the experts available to you to help create your training.
- Don't be afraid to make mistakes.
- Persistence.

**QUESTIONS?**

