



COMPLIANCE DATA COLLECTION FORM

A. Rules, Regulations, and Other Regulatory Requirements

1. Please list all relevant federal laws/ regulations that apply to your compliance area, if any.
2. Please list all relevant state laws/regulations that apply to your compliance area, if any.
3. Please list all relevant local laws/ regulations that apply to your compliance area, if any.
4. Please list all other sources for guidance / best practices (e.g. professional organizations, journal subscriptions, listservs etc.), if any.

B. REGULATORY CHANGES, NEW DEVELOPMENTS, EMERGING COMPLIANCE ISSUES, AND GOVERNMENTAL ENFORCEMENT ACTIVITY

1. Please describe the regulatory changes in your area, if any.



COMPLIANCE DATA COLLECTION FORM

2. Please describe the new developments, and/or emerging compliance issues in your area, if any.

3. Please describe knowledge of governmental enforcement activity in your area, if any.

SEVEN ELEMENTS OF AN EFFECTIVE COMPLIANCE AND ETHICS PROGRAM

The seven elements of an effective compliance program are laid out in the Federal Sentencing Guidelines for organizations. These standards are recognized as the appropriate standard for evaluating the effectiveness of a compliance and ethics program. The Office for Institutional Equity will utilize these seven standards to evaluate and assess compliance and ethics on the University of Memphis campus.

1. STANDARDS AND PROCEDURES

- a. Please provide hyperlinks or attachments to all relevant Policies and Procedures (P&P) in your compliance area. If several P&P exist, is there one hyperlink that provides access to all relevant P&P?

- b. Have Policies and Procedures been updated to reflect regulatory changes, new developments, and/or emerging compliance issues? If so, how?



COMPLIANCE DATA COLLECTION FORM

2. GOVERNANCE, ORGANIZATION, AND REPORTING

Governance

- a. What kind of reporting is performed for your compliance area. If any, please include the frequency of the reporting.

- b. Who is it reported to (e.g. Senior Management, Committees, Board, etc.)?

- c. Are there any committees that meet to review/ oversee/ provide guidance to your compliance area? If so, please include the number of members and frequency of the committee meetings.

Organization

- a. Please describe the reporting structure and/or attach a current organization chart of your compliance area.

Reporting

- a. Describe the metrics for compliance activities in your area (e.g staffing, transactions, volumes, issues identified, reports issued, dollars involved, etc.)



COMPLIANCE DATA COLLECTION FORM

- b. Any reporting to Federal/ state/ local agencies required by law? If so, what are the requirements for reporting?

3. PERSONNEL

- a. Beyond the criminal background and reference checks that the University of Memphis conducts on all new faculty/ staff, does your compliance area require additional background checks or verification of personnel? If so, please explain.
- b. How are risk owners and staff in your compliance area appropriately trained to fulfill their responsibilities and stay current with regulatory requirements (e.g. maintaining professional certifications, attending educational conferences, training, etc.)?

4. TRAINING AND EDUCATION FOR THE UNIVERSITY OF MEMPHIS COMMUNITY

- a. What training does your compliance area provide on regulatory requirements and/or P&P?
- b. What is the training format (e.g. live, web based, etc.)?
- c. To whom and how often is the training provided?



COMPLIANCE DATA COLLECTION FORM

- d. How do you ensure that the listing of the individuals that need to complete the training is up to date (new faculty/staff are added and individuals who leave the UofM are removed)?

- e. Does the level of training vary depending on the responsibilities of the recipient?

- f. Has training been updated to reflect regulatory changes, new developments, and/o emerging compliance issues? If so, how?

5. MONITORING, AUDITING, AND SYSTEMS FOR REPORTING SUSPECTED WRONGDOING

Monitoring

- a. How does your compliance area monitor that regulatory requirements and related Policies and Procedures are in effect and being adhered to?



COMPLIANCE DATA COLLECTION FORM

- b. Does your compliance area perform self-assessments of compliance? If so, how often? What monitoring results are collected, and to whom are they reported?

Accreditations/ Certifications/ Licensure

- a. Please provide a list of current university accreditations, certifications, and/or licenses, if any within your compliance area.

- b. Please include the accrediting/ licensing body for the list of accreditations, certifications, and/or listed above.

- c. What is the frequency that the above accreditations/ licensure is performed or required?

Auditing

- a. Has there been any external audit activity in the last three years? If so, when? Attach copies of applicable reports and corrective plans, if any.

- b. Have external consultant(s) been used in your compliance area to review data/information, contracts, process, etc. in the last three years? If so, please describe.



COMPLIANCE DATA COLLECTION FORM

- c. Has there been any internal audit activity in the past three years? If so, when?

Systems for Reporting Wrongdoing

- a. Are your faculty and staff aware that the University of Memphis has a reporting mechanism for suspected wrongdoing (e.g. the compliance hotline, Office for Institutional Equity, Office of Legal Counsel, Human Resources ,etc)? If so, how are personnel in your compliance area informed of such avenues for reporting concerns?
- b. Does your compliance area have any additional mechanisms for reporting concerns (e.g. hotlines, email, etc.

6. CONSISTENT ENFORCEMENT AND APPROPRIATE DISCIPLINE

- a. Do Policies and Procedures outline consequences for noncompliance with regulatory requirements and policies?



COMPLIANCE DATA COLLECTION FORM

7. RESPONDING TO NONCOMPLIANCE AND MODIFYING THE PROGRAM AS NECESSARY

- a. Is your compliance area planning any strategic objectives or upcoming changes (e.g. physical location changes, software. Organizational restructuring, etc.)? Please describe below.

ADDITIONAL COMMENTS OR CONCERNS