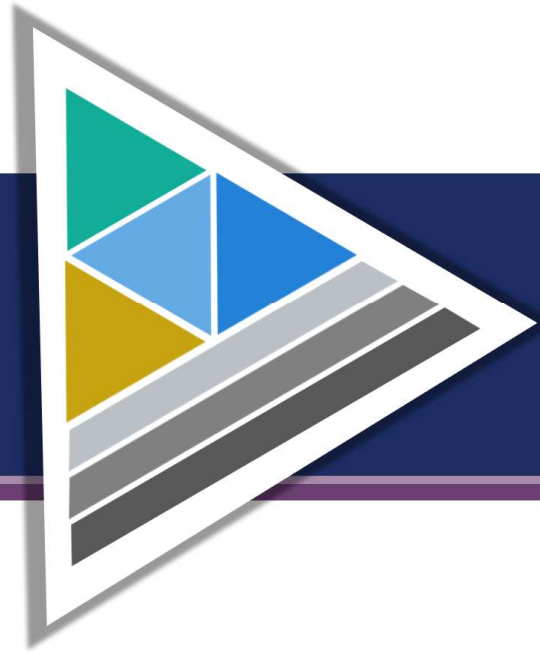




AWARENESS, TRAINING, AND DEVELOPMENT: A SCAFFOLD APPROACH TO COMPLIANCE EDUCATION

Omar Andujar, MBA, CCEP
Associate Compliance Officer
University of Connecticut

Kim Hill, M.Ed
Associate Compliance Officer
University of Connecticut



1

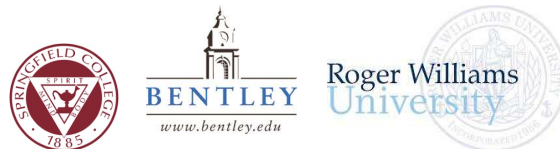
Introductions

Omar Andujar



- BBA Business, MBA Corporate Innovations, ABD Educational Leadership
- Private/Public experience
- 10 + years in Compliance

Kim Hill



- B.S. Psychology, M.Ed. Higher Education
- Private/Public experience
- Joined Compliance in February of 2019
- Student Affairs Background
 - Residential Life (3 years)
 - Student Conduct (10 years)

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2

UConn Background



- Founded in 1881
- Storrs (Flagship), Four Regional Campuses, Law School, School of Social Work, Health Center (including Medical and Dental schools)
- Research 1 Land Grant Institution, Division I Athletics
- 23,900 Undergraduate Students, 8,433 Graduate/Professional Students
- 9,620 faculty/staff (90% of workforce is unionized)

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3

UConn Compliance Background



- University's compliance program started in 2006
- Re-organization of program in 2018 (from OACE to OUC)
- Coordinate University Compliance Committee
- Report to President, dotted line to Joint Audit and Compliance Committee (JACC)
- De-centralized
- University Compliance: 6 FT employees (includes privacy program)
- Responsibilities span all campuses, including the Health Center (AMC)

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4

Blueprints for the Session

Objectives:

- Provide innovative strategies for developing a comprehensive multi-modality education program
- Explore tools for designing and developing engaging and effective compliance learning environments
- Discuss the value of leveraging metrics to assess education efforts and drive creative solutions and initiatives to enhance a culture of compliance

Sections:



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5

SECTION ONE



Learning Concepts

Using the right tools

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6

Do you currently use adult learning concepts when developing education?

- a) Yes
- b) Somewhat
- c) No
- d) What is an adult learning concept?



Overview of
adult learning
concepts

No one-size-
fit-all
approach

Intended to
help enhance
our efforts



Let's talk learning

Learning Concepts



Andragogy

*Adults learn differently
than children*

Dependent
Learning

Knowles, M. S. (1970). *The Modern Practice of Adult Education: Andragogy Versus Pedagogy*. New York: Association Press.

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9

Let's talk learning

Learning Concepts

Andragogy



Dependent
Learning

Self-Directed
Learning

Knowles, M. S. (1970). *The Modern Practice of Adult Education: Andragogy Versus Pedagogy*. New York: Association Press.

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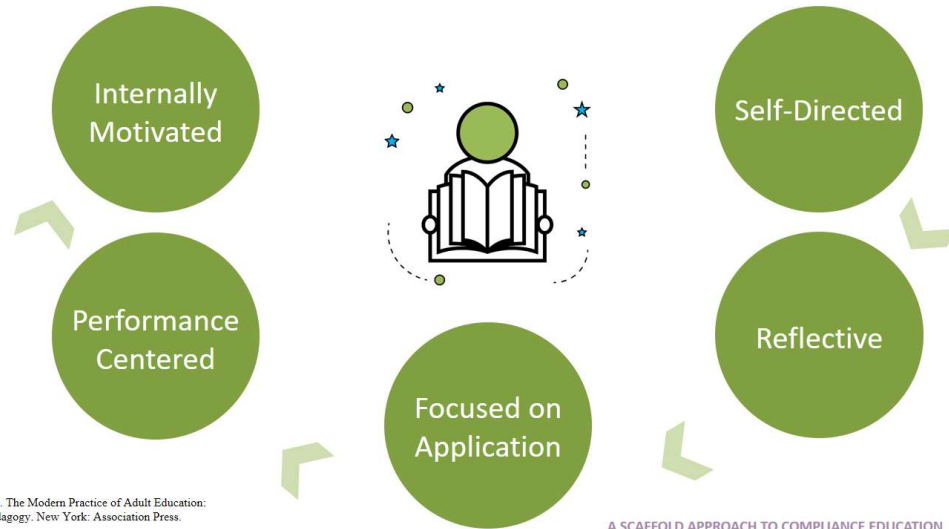


10

Let's talk learning

Learning Concepts

Andragogy



Knowles, M. S. (1970). *The Modern Practice of Adult Education: Andragogy Versus Pedagogy*. New York: Association Press.

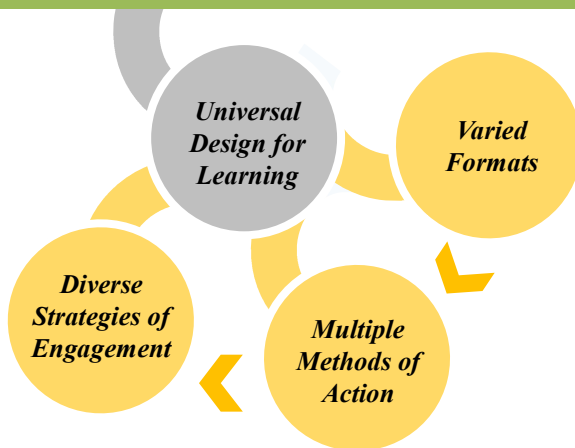
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11

Let's talk learning

Learning Concepts



Meyer, A., Rose, D.H., & Gordon, D. (2014) *Universal design for learning: Theory and practice*, Wakefield MA: CAST.

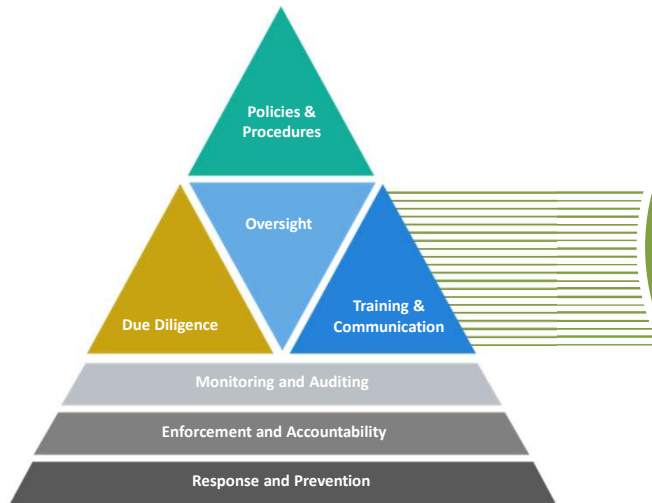
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12

Why should this matter to us?

Learning Concepts



US DOJ

"Another hallmark of a well-designed compliance program is appropriately tailored training and communication."

"Assess whether information has been relayed in a manner "tailored to the audience's size, sophistication, or subject matter expertise."

U.S. Department of Justice. (April 2019). Evaluation of Corporate Compliance.
Retrieved from: <https://www.justice.gov/criminal-fraud/page/file/937501/download>.

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13

Example 1

Learning Concepts

Political Activity

- Employees are not prohibited from seeking political office as long as it is not done on State time or with State equipment
- No employee of the University will engage in partisan political activities while on state time
- No employee will use state materials or equipment for the purpose of influencing a political election

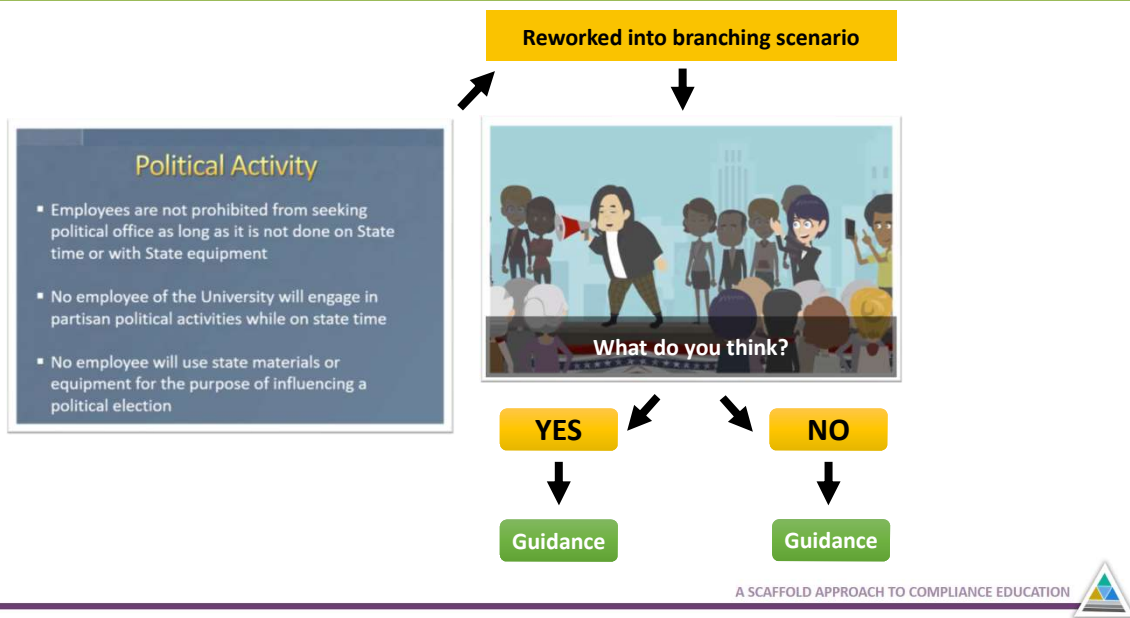
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14

Example 1

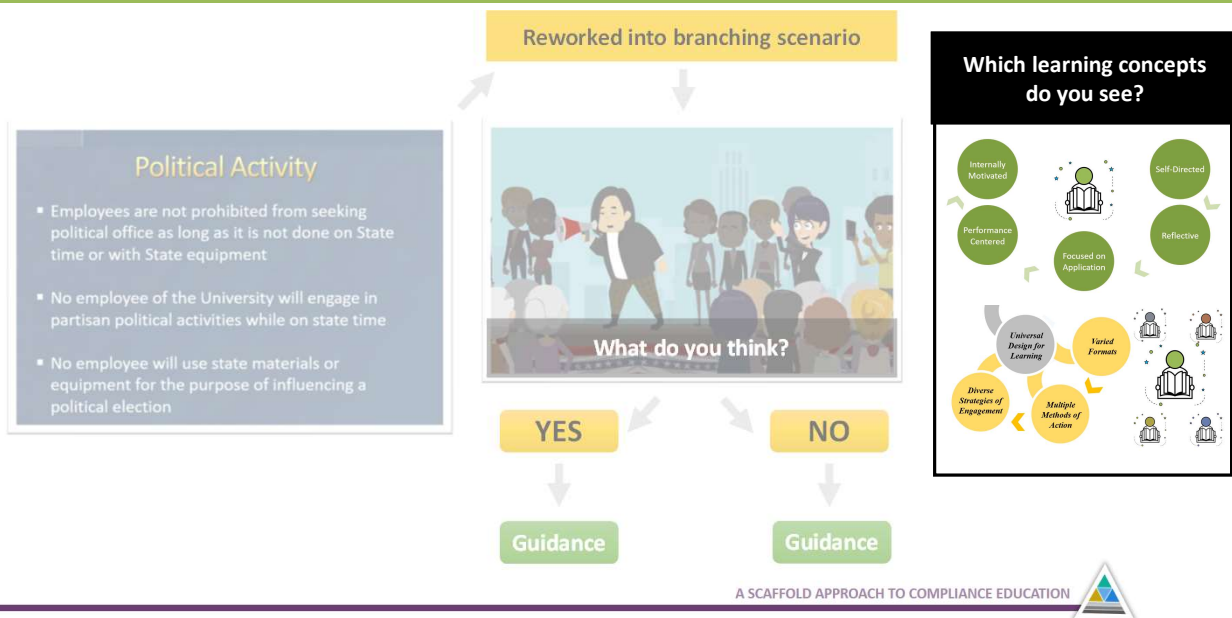
Learning Concepts



15

Example 1

Learning Concepts



16

Notable Changes

- Real-life scenarios
- Media – Videos, Audio, Images, Infographics, etc.
- Closed Captioning
- More and varied knowledge checks
- Increased interactions
- Accompanying Resources

Stakeholder Feedback

“Thank you for your ongoing dedication to improving the Ethics training year in and year out.”

“The knowledge check activities that you interspersed through the ethics section were really good... **this one little tweak made my experience a lot better.**”

“On-line trainings are **usually not my preferred method**, but this was well done, concise, and clear.”

“I really appreciated the **diversity of identities** that were reflected in the case studies.”



SECTION TWO



Needs Assessment

The Foundation



Poll Question

Do you currently conduct an assessment of needs when planning educational initiatives?

- a) Yes
- b) Sometimes, but not always
- c) No – We like to wing it!
- d) I have no idea – what's a needs assessment?

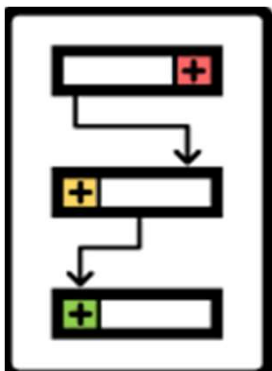
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19

The Foundation: Internal Needs Assessment

Needs Assessment



Educational Need	What do we need? Why? How do we know we need it?
Audience	Who needs it? What considerations? Tracking/compliance?
Educational Outcomes	As a result, what outcomes do we anticipate/hope?
Content	How will content be developed? Considerations for methods of delivery?
Evaluation	How will we know it was effective? How will we use evaluation metrics?

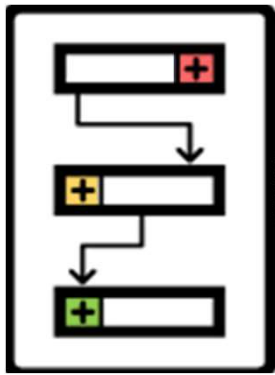
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20

The Foundation: Internal Needs Assessment

Needs Assessment



Structure
Intentionality
Reduction
Documentation
Consistency



Overall Plan
Pro-actively Responsive
Demonstrative
Succession Planning
Historical Archive
Risk Reduction

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21

SECTION THREE



Effective Delivery

Awareness, Training, and Development

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22

Poll Question

What do you count as a part of your educational compliance efforts?

- | | |
|-------------------------|---|
| a) Annual training | h) Website |
| b) Newsletters | i) Posters |
| c) C&E week activities | j) Guidance/inquiry requests |
| d) Presentations | k) Responses to reports |
| e) Monitoring efforts | l) Other (please share in chat feature) |
| f) Investigations | m) We don't quantify our efforts |
| g) Consultation efforts | |

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23

Educational Layers

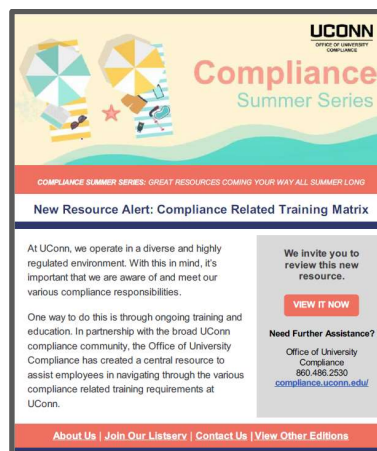
Awareness, Training, and Development

AWARENESS

Training

Development

- Non-Functional
- Draws Attention
- Includes 1+ Issues
- Institution-wide
- One-way direction



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24

Educational Layers

Awareness, Training, and Development

Awareness

TRAINING

Development



- Teach Skills/Competencies
- Functional
- Job-related
- Institutional or Positional
- Interaction



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25

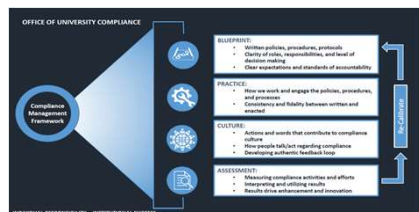
Educational Layers

Awareness, Training, and Development

Awareness

Training

DEVELOPMENT



- Integration of Skills and Competencies
- Shared body of Knowledge
- Multi-Disciplinary Approach
- Prescribed
- Highly-interactive

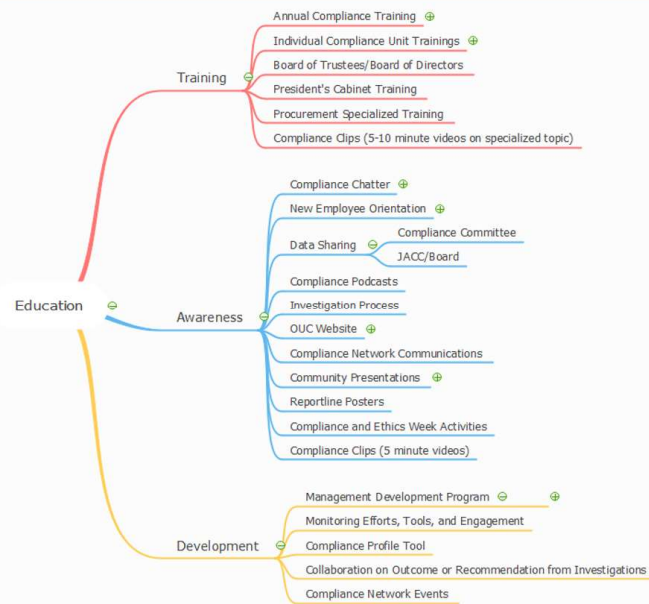
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26

Integration of Layers

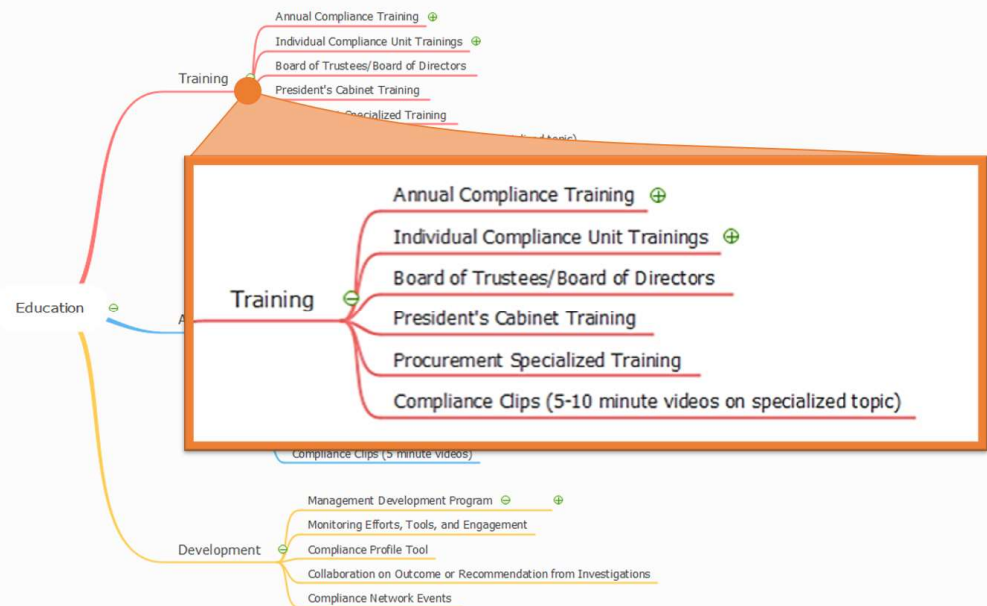
Awareness, Training, and Development



27

Integration of Layers

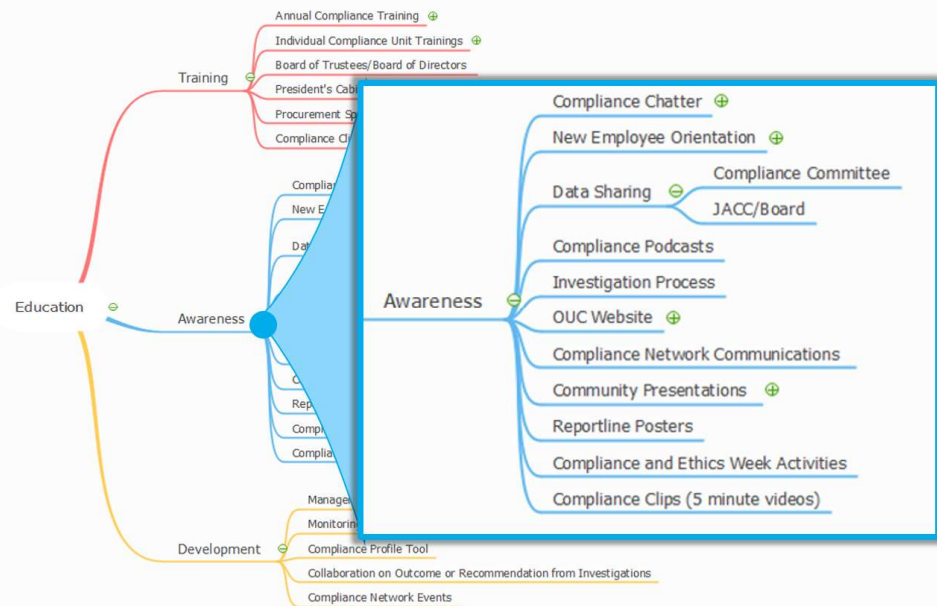
Awareness, Training, and Development



28

Integration of Layers

Awareness, Training, and Development



29

Integration of Layers

Awareness, Training, and Development



30



Evaluation and Metrics



31

Poll Question

Evaluation and Assessment

How confident are you in your efforts to evaluate and assess your educational initiatives?

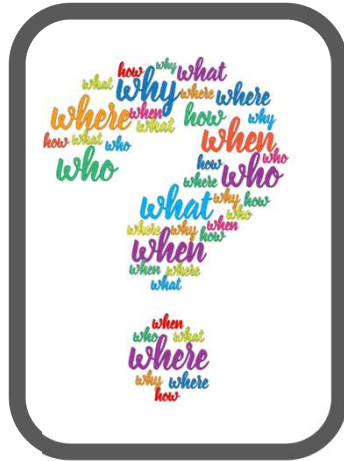
- a) Super confident – we are rocking it
- b) Somewhat confident
- c) Eeekkk... we need some serious help with this
- d) What is evaluation and assessment?



32

Evaluation of Effectiveness

Evaluation and Assessment



Risk-Based
On-Going
Thoughtful
Demonstrative

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35

Evaluation of Effectiveness

Evaluation and Assessment



Risk-Based
On-Going
Thoughtful
Demonstrative



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36

Evaluation: Metrics and Assessment

Evaluation and Assessment



- Reportline/Hotline Data
- Contact Tracing
- Exit Survey
- Investigation Data
- Completion Rates
- Engagement

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37

Evaluation: Metrics and Assessment

Evaluation and Assessment

Data Collection Strategies

Knowledge

Experience

Opinion



- **Knowledge check**
 - Imbedded or detached
- **Informal Polls**
 - Index cards
 - Signaling
- **Focus Groups**
- **Culture survey**
- **Analytics**

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38



EFFECTIVENESS is not a destination but an **EVOLVING PROCESS**

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39

Wrap-Up & Questions

Let's Stay Connected!

OMAR ANDUJAR

Associate Compliance Officer

omar.andujar@uconn.edu

860-486-5682

KIM HILL

Associate Compliance Officer

kim.hill@uconn.edu

860-679-1969



Visit our website at

www.compliance.uconn.edu

for educational tools and resources including videos, informative handouts, and podcasts!

40