First Annual Compliance Week Launches March 17, 2014

A new compliance initiative launches on Monday, March 17, 2014. This day will mark the beginning of PVAMU’s first annual Compliance Week.

Compliance Week, which is sponsored by the University Compliance Office, will feature an array of training activities and contests to bolster compliance awareness on campus.

One of the highlights of the week will be recognizing PVAMU’s first Compliance Champion. The contest allows units and/or departments to compete with one another in three compliance areas for the Compliance Champion trophy and a year’s worth of bragging rights.

Another feature of Compliance Week will be daily training on topics such as fraud, ethics, and export controls. Departments/units that enter the Compliance Champion challenge will earn additional Compliance Champion points when a representative from their area attends a training. Likewise, all training attendees will be entered in a daily drawing to win door prizes.

The University Compliance Team is excited about increasing compliance awareness and looks forward to seeing everyone during the festivities.

For additional information about Compliance Week or to enter the Compliance Champion challenge, please contact a member of the Compliance Team.

Don’t Let the Term “Internal Controls” Scare You!

Most compliance issues discovered in organizations are a result of not having adequate internal controls in place. Simply defined, internal controls can be systems and procedures, checklists, and assignment of responsibility to oversee a particular risk area. Internal controls are instruments to measure or evaluate how well an area is performing and indicators that show what the conditions are. Internal controls help address or lower risk that may impact the organization, employees, and customers.

They help all of us do our jobs more effectively.

We encounter internal controls in our lives on a daily basis. For example, the (continued on page 3)
Policy Central: Recently Approved PVAMU Policies

- 21.01.02.P0.03 Credit Card Collections Security (PCI)
- 24.01.01.P0.02 Health, Safety, and Environmental Management Programs
- 24.01.01.P0.03 Lab Hood Inspections
- 24.01.01.P0.04 Incinerator Usage
- 24.01.01.P0.05 Chemical and Biological Safety Responsibility
- 24.01.01.P0.06 Use of Protective Equipment
- 24.01.01.P0.08 Employee Safety Responsibility
- 29.01.03.P0.26 Information Resources-System Development and Acquisition
- 33.99.01.P0.01 Employment Practices
- 33.99.01.P0.02 Organizational Accountability

Policy Spotlight: PVAMU UAP 33.99.01.P0.02 Organizational Accountability

The Office of Human Resources established UAP 33.99.01.P0.02 Organizational Accountability in an effort to improve compliance with applicable Federal and State laws, System rules and regulations related to areas such as employment practices, criminal background checks, and civil rights compliance.

The UAP states the Office of Human Resources will provide training to educate employees on the laws, rules and regulations for which they will be held accountable.

The Senior Vice President for Business Affairs, the President and the executive council will be notified of any department and/or individual who fails to comply with the rules and regulations outlined in the UAP. In addition, the UAP provides a list of violations that will be monitored by the Office of Human Resources. The list is also available here.

Departmental Procedure and UAP Writing Sessions

If you won the lottery tomorrow, would someone be able to complete your job duties? That’s the thought process behind developing written departmental procedures. Likewise, University Administrative Procedures, or UAPs, are necessary to provide general procedural guidance for the campus. While every department may not have a UAP, all departments need written procedures! The Compliance Team is available to work through the writing process with your department and answer questions you may have about the process. Contact Mr. Craig Nunn at x2117 for more information.
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instruments in our vehicles indicate the present condition of the vehicle. Some of the instruments tell us how fast we are going, the temperature of the engine, the oil pressure, some have warning systems when the tire pressure is low, and so on. It’s important to pay attention to those controls. If the controls are not working, chances are we won’t know about the existence of an issue, so we can eliminate a small problem before it becomes a big one. Let’s say we ignore a low oil warning, because we are too busy and we think it will cost us too much to get it evaluated. The potential consequence is that the vehicle engine ceases to run. If we would have addressed the issue early on the incident would have cost us less time and money; now the consequence is more money and more time to fix an even bigger problem.

In the business world, people ignore warning signs and take risks for multiple reasons. It could be that a workforce member receives pressure from a manager to ignore a failure. Perhaps resources are scarce and the worker is concerned about not meeting performance expectations, so the individual takes a short cut to work around the controls processes. We can find ourselves in many situations where we have to make decisions regarding how we should respond. It’s always best to follow the organization’s policies for responding to issues. Consider how you might feel if an incident was discovered and, had you notified someone earlier, the incident would have never occurred. Remember too, that when we fail to report an issue or potential failure, we implicate ourselves in the situation and there could be great consequences that go beyond just not meeting performance expectations.

Addressing risk can be costly, but it can be more costly if we don’t. Compliance programs exist to help organizations (continued on page 4)

CHANGE

“You must be the change you wish to see in the world.”

—Mahatma Gandhi
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evaluate and address risks, but it’s everyone’s responsibility to identify, evaluate, and report concerns of potential or actual failures. After all, reporting is also part of the control environment.

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HAVE A SAFE AND HAPPY HOLIDAY SEASON!

FROM THE UNIVERSITY COMPLIANCE OFFICE