



# University Compliance Office

---

Lucas Christain  
Assoc Director, University Compliance

# Agenda

---

- What is the University Compliance Office (UCO)?
- What does the UCO do?
- How does the UCO approach its work?
- How can SMEs partner with the UCO?



# Federal Sentencing Guidelines for Organizations

---

Guidance and direction for establishing effective ethics and compliance programs

## Seven Elements of an Effective Compliance Program

1. Implementation of policies and procedures
2. Governance and oversight
3. Effective training and education
4. Effective lines of communication
5. Internal auditing and monitoring
6. Enforcement and disciplinary guidelines
7. Prompt response

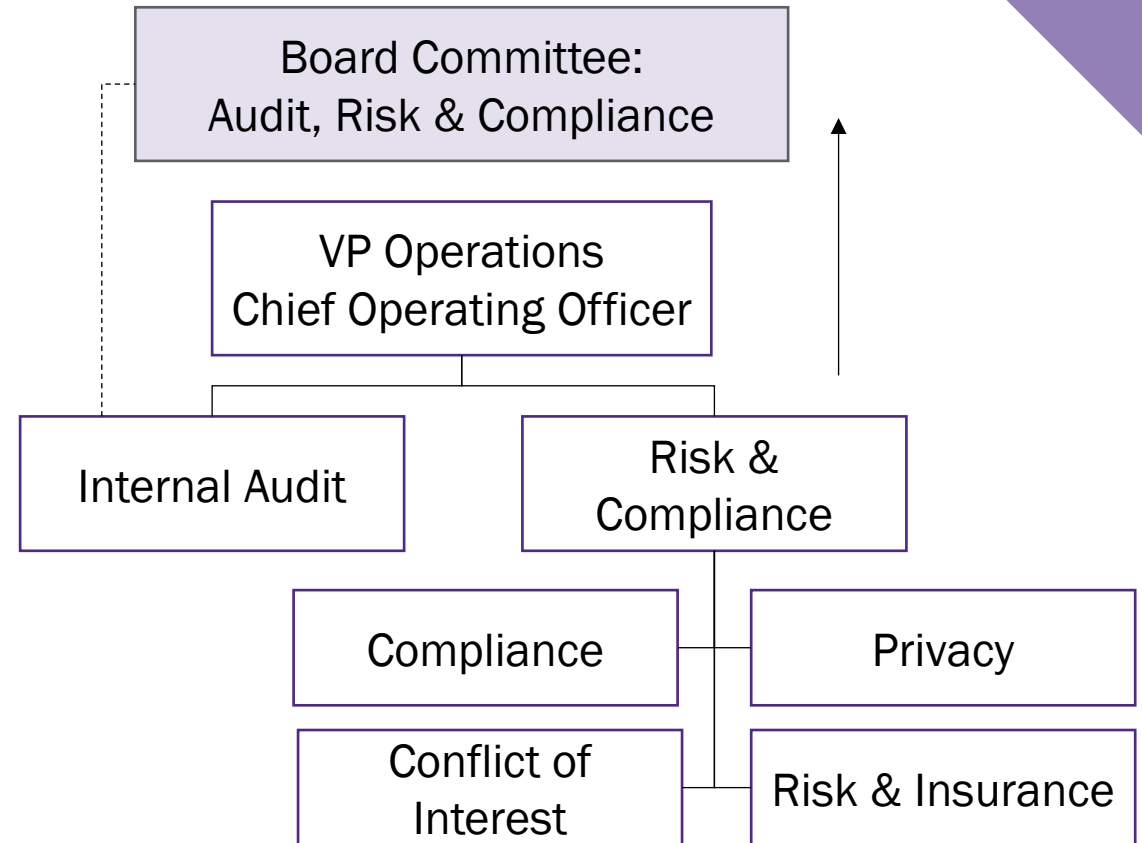
# Northwestern's Compliance Program

## History:

- Created as a stand-alone function in 2015/16
- Several leadership changes until 2021

## Current structure:

- Reports through Operations
- Quarterly reports to Audit, Risk & Compliance Committee of the Board



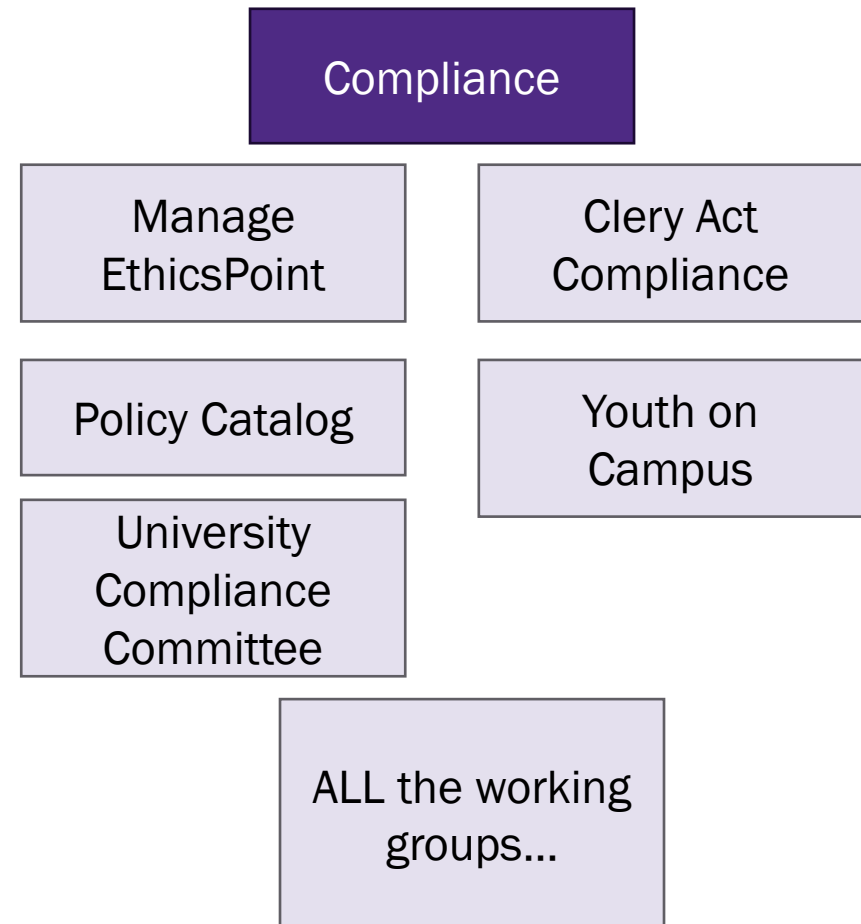
# Northwestern's Compliance Program

## Program Scope

- Coordination, support, and monitoring
- Appropriate handling of reported concerns
- Support policy management

## Operational responsibility:

- Clery Act Compliance
- Youth on Campus programs (Minors)



# Mission

---

*The University Compliance Office fosters a collective commitment to comply with laws, regulations, and policies at Northwestern University. Through teamwork, support, and accountability we strengthen our federated compliance programs and the culture of compliance and the ethical standards of our entire community.*

# Values

---

Trust

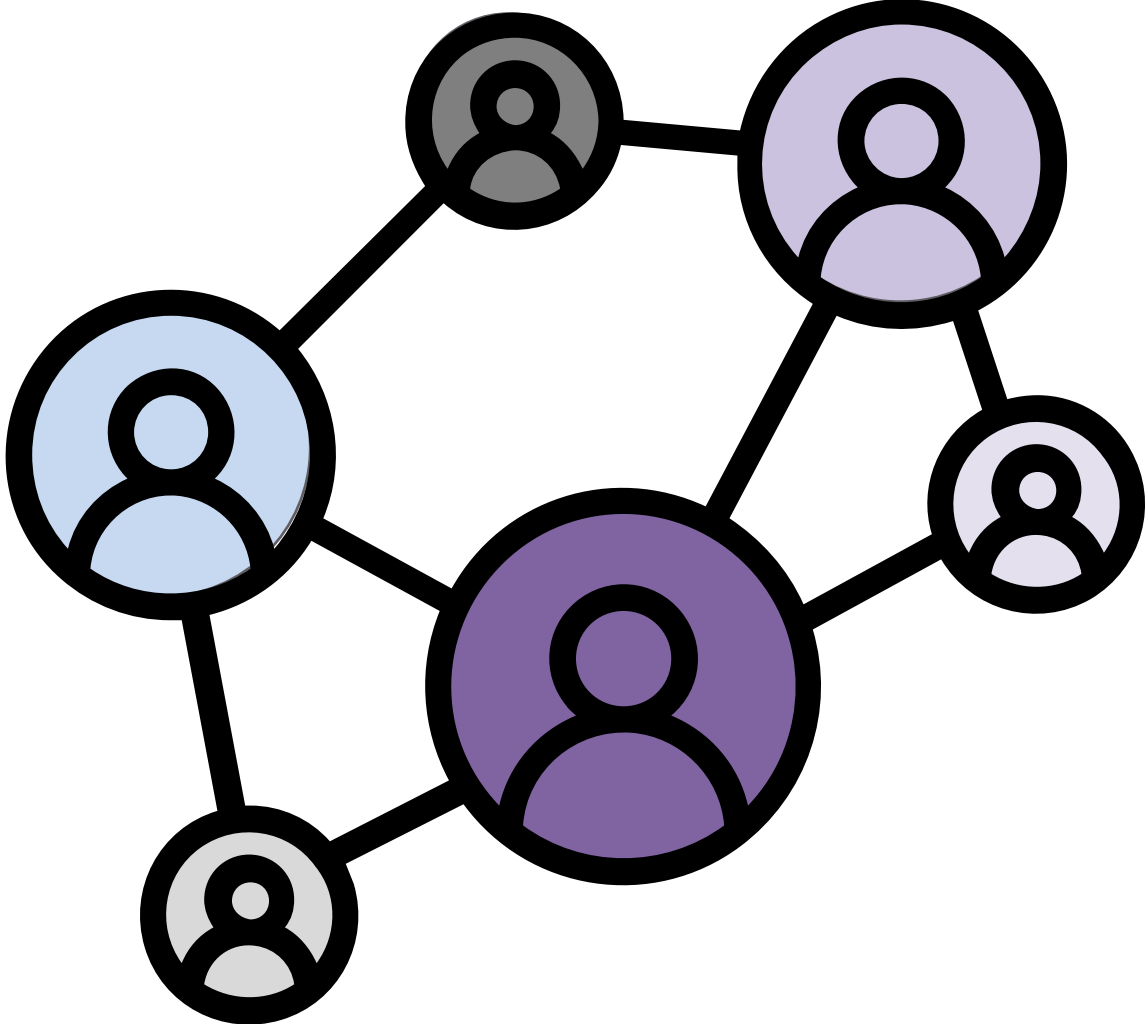
Accountability

Integrity

Teamwork

# Federated Compliance

---





# Compliance Network

---

- Information Security
- Institutional Review Board (IRB)
- Internal Audit
- Northwestern University Police (NUPD)
- Office of Civil Rights and Title IX Compliance
- Research Safety
- Research Integrity
- Student Affairs
- The Graduate School
- Youth on Campus Program
- University Athletics Compliance
- AccessibleNU (ANU)
- Accounting Services for Research and Sponsored Programs (ASRSP)
- Academic Integrity
- Institutional Animal Care and Use Committee (IACUC)
- Privacy
- Clery Act Compliance
- Conflict of Interest
- Export Controls Compliance
- Finance

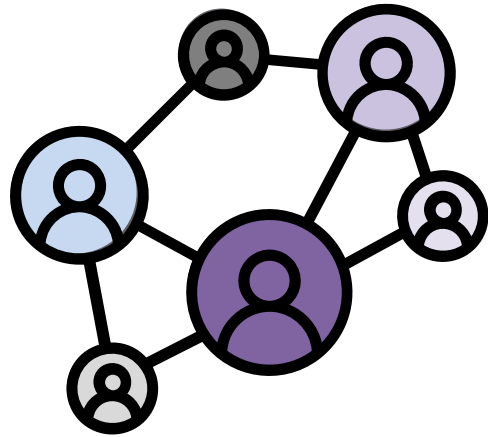
# Community of Practice

---

- Human Resources
- Office of Civil Rights & Title IX Compliance
- Research Integrity
- Office of the Provost
- Student Affairs
- Ombudsperson
- The Graduate School

# Projects and Partnerships

---



- Centralized Reporting Website [www.northwestern.edu/report](http://www.northwestern.edu/report)
- Policy Management
- Compliance Training 101
- EthicsPoint Reports
- Record Retention Project
- Compliance Matrix
- Complex investigations
- Clery Act Compliance
- Youth On Campus



**Questions?**

---