

# Office of Compliance and Risk Management

## Core Values and Alignment with 2023 UW System Strategic Plan

The Office of Compliance and Risk Management (OCRM) provides compliance and risk management services, guidance and support to UW System and its universities to successfully perform their administrative, operational, and compliance-related activities. OCRM consists of the [Office of Compliance and Integrity](#) and the [Office of Risk Management](#).

### Office of Compliance and Integrity

The [Office of Compliance and Integrity](#) provides support and services to UW System universities in identifying and fulfilling compliance obligations under federal law, state law, and UW System policies and procedures. We seek to create and promote a culture that moves beyond regulatory compliance to one that embraces ethical behavior and integrity across UW System.

Our compliance and integrity efforts encompass the following areas of focus:

- Title IX and Sexual Misconduct
- Clery Act Compliance
- Protection of Minors
- Public Records
- Records Management
- Ethics and Conflicts of Interest
- State Authorization of Distance Education Programs
- Mediation and Facilitation
- Investigative Services

### Office of Risk Management

The [Office of Risk Management](#) provides guidance, support and services to UW System and its universities in providing a safe and healthful higher education environment for students, faculty, staff, and others utilizing UW System programs and facilities.

The Office of Risk Management strives to meet this goal with:

- Proactive loss prevention, health, safety, and environmental management
- Quality property, liability, and workers compensation claims management
- Protection of UW System assets
- Enterprise Risk Management

The Office of Risk Management efforts encompass developing and maintaining emergency management systems and responses, monitoring areas of high-risk, providing guidance and expertise on workers' compensation claims and work-place injuries, negotiating insurance policies on behalf of the UW System, and more.

## OCRM Living UW System Core Values

OCRM is committed to living out core values in its daily operations, duties, and responsibilities. The following core values are reflected in OCRM's duties and functions for the benefit of those it serves.

### **PURPOSE-DRIVEN**

- Service: An essential aspect of the UW System and the universities that comprise it is to serve the State of Wisconsin and the public good.

### **PEOPLE-FOCUSED**

- Collaboration and teamwork: We appreciate and understand that our best work is done working together in teams in a collaborative and supportive environment.
- Diversity: We are committed to diversity, equity, inclusion, and belonging. These principles are key to our long-term success.
- Mutual respect and trust: We support an environment of civility, trust, collegiality, open and honest communication, and mutual respect by building a sense of community and caring among faculty, staff, students, and community partners.

### **COMMITMENT TO STEWARDSHIP**

- Accountability: We are committed to live our core values and deliver excellence every day. As a premier public university system, we are committed to providing an excellent educational experience for our students while ensuring accessibility, affordability, and cost-effectiveness.
- Integrity: We adhere to high standards of ethics and professionalism and safeguard the reputation of our universities and the UW System.
- Innovation: We understand the importance of adapting to changing conditions in the world by being open to new ideas and continuously seeking solutions to challenges.
- Sustainability: We take the long-term view to ensure we are structured and supported to serve the people of Wisconsin for generations to come. We will leave the UW System better than we found it.



## Strategic Goals

OCRM's goals and priorities for 2023 align with the following sections of the 2023 Strategic Plan:

### **S2.7: Review and modify or eliminate any System policies that have a negative impact on the ability of the universities to meet the academic and career advising and student mental health needs.**

- OCRM will work in collaboration with Office of Internal Audit to address issues and concerns identified through annual auditing of high-risk areas. This work will include a review of applicable policies and controls and implementation of changes, as needed.

### **S3.1: Monitoring and investigating allegations of misconduct that may impact advancing an inclusive workplace and retaining high-quality, diverse staff.**

- OCI will provide investigative services to UW System Administration and universities on matters involving employee misconduct and alleged violations of sexual misconduct, discrimination and/or equal opportunity to hold employees accountable for their actions while also ensuring a credible and consistent process for addressing and resolving complaints.
- OCI will develop and present training sessions and programs to university stakeholders on topics, including sexual harassment and sexual violence, Title IX, ethics, and conflicts of interest, and how to report alleged misconduct.

### **S3.1: Promotes and provides a safe and healthy work environment which improves employee morale and decreases compensable workers' compensation claims.**

- ORM will work in collaboration with the Office of Information Technology and UW Madison Police Department to plan and conduct a UWSA executive-level tabletop exercise involving a hypothetical cybersecurity incident.
- ORM will review UWSA's Emergency Operation Plans and related activities to ensure that it is properly prepared to act during an emergency.
- ORM will develop and implement a system-wide Worker's Compensation Manual to assist in the processing of worker's compensation claims and other operational aspects of work-related injuries, claims and return to work protocols.
- ORM will introduce a new system-wide initiative called EHS Pathway to Success. This initiative will highlight environmental health and safety as essential and integral to each university and create a consistent systemwide regulatory compliance structure and mitigation of worker's compensation injuries and claims.



**S4.4: Work with the universities to identify priority areas for strengthening or clarifying policies on cultivating critical thinking, civil discourse, freedom of expression, and academic freedom on all campuses and for all communities.**

- OCI will continue to collaborate with UW System, internal and external stakeholders on training and communication opportunities around civil discourse, freedom of expression, and civility.
- OCI will work closely with UW System Human Resources to develop and implement training to UWSA employees on topics related to free speech, freedom of expression, and engaging in civil dialogue.

**S5.2: Implement shared services in a cost-effective manner that preserves benefits for our universities.**

- OCRM will continue to offer services, guidance and support to UW System and universities in a centralized and cost-effective manner on compliance, risk management and worker's compensation matters, including but not limited to:
  - Develop and implement a risk assessment process to ensure that UW System and universities identify, respond to and mitigate high-level risks. Develop and implement hands-on training and tools for conducting a standardized risk assessment.
  - Work in collaboration with UW System Administration and universities in the implementation of the SYS 625 Youth Protection and Compliance Policy through staff expertise, resources, and contracted services.
  - Work in collaboration with Internal Audit and UW System Administrative office to develop management plans for resolving compliance-related issues and concerns identified through internal audit activities.
  - Provide investigative services system-wide as a cost-effective means for conducting investigations into complaints or allegations involving Title IX complaints and employee workplace misconduct.
  - Develop and provide system-wide training programs and opportunities on topics related to youth protection activities, Title IX, First Amendment, public records and records management, ethics and conflicts of interest, and state authorization of distance education.
  - Centralize a system-wide Vehicle Use Agreement process with UW Shared Services for the benefit of universities.

