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## Edit Survey

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Survey ID	Survey Title	Status
170535	Compliance Program Full Self-Assessment 2016 - Draft1	ON

Edit Survey Title

# Compliance Program Full Self-Assessment 2016 - Draft1

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Thank you for filling in this self-assessment. This information will help the TWU institutional compliance program in a couple of ways. To quote the federal guidelines that govern organizational compliance, the overall purpose of this self-assessment is twofold. First, this survey helps ensure that this "compliance and ethics program [is] reasonably designed, implemented, and enforced so that the program is generally effective in preventing and detecting criminal conduct" (USSG §8B2.1.a.2). Second, this survey helps "to evaluate periodically the effectiveness of [this] compliance and ethics program" (USSG §8B2.1.b.5.B) for your particular function(s) at Texas Woman's University.

However, this survey is not a "deep dive." It captures the equivalent of an executive summary of this compliance program. As such, please be brief in your answers.

For the "Type in..." answers, if the component has not been designed or implemented, please type "None."

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**PART 1: Please provide some basic general information about this compliance program.**

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\*1) Please click on your name in the list below.

--Select--

[Add Question or Text](#)[Edit](#) [Delete](#) [Move](#) [Add Logic](#)

\*2) From the list below, please select the compliance area that relates to the compliance program being assessed in this survey. If there are more than one, please select the closest fit.

- Academic Programs
- Accounting
- Accreditation
- Admissions
- Athletics
- Auxiliary Services
- Campus Safety
- Contracts & Procurement
- Copyright & Trademark
- Disabilities
- Diversity / Affirmative Action

- Environmental Health & Occupational Safety
- Ethics
- Export Controls
- Financial Aid
- Fundraising & Development
- Governance
- Grants Management
- Health Care & Insurance
- Housing
- Human Resources: Discrimination
- Human Resources: Employee Benefits
- Human Resources: Recruitment Hiring & Termination
- Human Resources: Retirement
- Human Resources: Unions
- Human Resources: Wages
- Immigration
- Information Technology
- Intellectual Property & Technology Transfer
- International Activities & Programs
- Lobbying & Political Activity
- Privacy & Information Security
- Program Integrity Rules
- Research
- Sexual Misconduct
- Tax

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\*3) Please enter the name of this Compliance Program. For example, "FERPA Privacy Compliance" or "FOIA Compliance" or "Employee Benefits Compliance."

Add Question or Text

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\*4) Please type in the date your compliance program is scheduled to be audited or assessed again (mm/dd/yy). If you do not know, please type in (01/01/01).

Add Question or Text

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\*5) What are the general compliance obligations of this program? For example, does this law requires training? Specific recruiting/hiring practices? Specific preventative measures? Etc.

▲

▼

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- \*6) What are the primary legal sources of these obligations? For example, the name of the laws or statutes such as "Clery Act" or "Title IX" or "Civil Rights Act" or "E-Verify."

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- \*7) Please list the agencies that oversee these obligations. For example, DOE, NCAA, EPA, EEOC, etc.

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- \*8) What are the risks that TWU is exposed to if we are not in compliance? For example, fines, loss of life, personal injury, loss of data, loss of property, damage to reputation, etc.

(1000 characters remaining)

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- \*9) Please list additional campus areas that have similar compliance responsibilities. For example, HIPAA is about privacy of health information. Several programs on campus create such information, not just one.

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**PART 2: As discussed in training, there are 8 components<sup>1</sup> to a compliance program as required by federal guidelines and each of these requirements has three facets: design, implementation, and enforcement.**

**Therefore, this survey is divided into 8 sections. Each section has 2 sets of questions. The first set, "Program Design Questions," will ask to briefly assess whether or not the required compliance program component is DESIGNED. The second set of questions will combine the assessment of implementation and enforcement. These questions will ask you to please briefly assess whether or not the required component of this compliance program is IMPLEMENTED and, if necessary, ENFORCED.**

**Please note that the "summarize" questions do not require specifics, just a reference to the plan or other document where details can be obtained and reviewed in detail *if necessary*. Think of the summary section as an short entry in a table of contents.**

<sup>1</sup>Adapted from the 8 steps and process outlined in *Compliance in One Page* (c) 2015. Used with permission.

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**Component 1: Assess Risk/Identify Requirements (Questions 7-14)**

Add Question or Text

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**Program Design Questions**

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\*10) Assess Risk: Does this compliance program have a procedure for regularly assessing compliance risk, Yes/No/Partial?

- Yes  
 No  
 Partial

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\*11) Please type in a summary of where the compliance risk assessment process is documented. For example, "See HR's Union Policy and Procedures, paragraph 1.2: Procedure for Assessing Compliance Risk Related to TWU Unions\*\*"

\*\*The examples in the long-answer questions for the rest of the survey will use a fictional "Union Liaison Department."

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\*12) Compliance Requirements: Does this compliance program have a procedure for regularly keeping up to date with compliance requirements, Yes/No/ Partial?

- Yes  
 No  
 Partial

Add Question or Text

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\*13) Please type in a summary of where the process for keeping up-to-date on compliance requirements is documented. For example, "See HR's Union Policy and Procedures, paragraph 1.3: Process for Staying Current on Compliance Requirements Related to Unions"

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**Assess Risk/Identify Requirements: Implementation Questions**

Add Question or Text

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\*14) Assess Risk: Could your department produce documentation showing it regularly assesses compliance risk in this compliance area, Yes/No/Partial?

- Yes  
 No  
 Partial

Add Question or Text

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- \*15) Please type in a summary of where the compliance risk assessment documentation could be found. For example, "See results of the 2014 and 2015 compliance risk assessments in the Union Liaison's files."

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- \*16) Compliance Requirements: Could your department produce documentation showing it keeps compliance requirements up-to-date, Yes/No/ Partial?

- Yes  
 No  
 Partial

Add Question or Text

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- \*17) Please type in a summary of where the process documentation can be found showing that compliance requirements are kept up-to-date. For example, "See the Union Liaison's email file documenting notifications a law/regulation has changed."

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#### Component 2: Establish/Modify Organizational Structure (Questions 15-24)

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#### Program Design Questions

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- \*18) Organization: Does this compliance program have a plan to put people in place who are responsible for managing this compliance program, Yes/No/Partial?

- Yes  
 No  
 Partial

Add Question or Text

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- \*19) Please type in a summary of how this program documents the compliance organization plan. For example, "See HR's Union Policy and Procedures, paragraph 2.2: Union Regulations Compliance Responsibilities Org Chart."

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\*20) Roles and Responsibilities: Does this compliance program outline compliance roles and responsibilities in an official job description AND in compliance program documentation, Yes/No/Partial?

- Yes  
 No  
 Partial

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\*21) Please 1) affirm an official job description(s) can be found in HR records and 2) type in a summary of where the compliance roles and responsibilities are documented in the compliance program. For example, "1) A job description for the Union Compliance manager does exist and can be obtained from HR upon request; 2) See HR's Union Policy and Procedures, paragraph 2.3-2.5: Union Regulations Compliance Roles and Responsibilities Defined."

(1000 characters remaining)

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\*22) Due Diligence: Are persons in your organization with significant responsibility required to undergo regular background checks, Yes/No/ Partial?

- Yes  
 No  
 Partial

Add Question or Text

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\*23) Please type in a summary of where the background check requirements are documented. For example, "See HR's Union Policy and Procedures, paragraph 2.6: Background Check Requirements."

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**Establish/Modify Organizational Structure: Implementation Questions**

Add Question or Text

Edit Delete Move

\*24) Organization: Does this compliance program have people in place to manage this compliance program, Yes/No/Partial?

- Yes  
 No  
 Partial

Add Question or Text

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\*25) Please type in the name(s) and role(s) of the person(s) who currently carry out these compliance responsibilities in this area.

(1000 characters remaining)

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\*26) Roles and Responsibilities: Could documentation be provided that shows the person(s) who currently hold compliance roles carrying out these responsibilities in full compliance with the documented job description(s) and documented roles and responsibilities, Yes/No/Partial?

- Yes  
 No  
 Partial

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\*27) Please type a summary of the types of documents that could be provided that affirm the person(s) who have compliance responsibilities are fulfilling them in full compliance with the job description and documented roles and responsibilities. For example, "A sample of meeting minutes, emails, and documents could be provided that indicate [name goes here] is fulfilling their responsibilities as outlined in the HR Union compliance program."

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\*28) Due Diligence: Have persons in your organization with significant responsibility undergone regular background checks, Yes/No/ Partial?

- Yes  
 No  
 Partial

Add Question or Text

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\*29) Please type in a summary of where the background check data is documented. For example, "Please refer to HR's redacted list showing background checks for leaders with significant responsibilities related to Union compliance." OR If background checks are not required in your area, "Background checks are not required by the university at this level."

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**Component 3: Document Standards, Policies, and Procedures (Questions 25-29)**

Add Question or Text

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**Program Design Questions**

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\*30) Is this compliance program documented, Yes, No, Partial? (This item can be considered a "Yes" or a "Partial" if all or a portion of the DESIGN questions in this survey have substantive answers to the "Type in..." questions.

- Yes  
 No  
 Partial

Add Question or Text

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\*31) Does this compliance program require certain elements to be included in the appropriate TWU code(s) of conduct, Yes/No/ Partial?

- Yes  
 No  
 Partial

Add Question or Text

Edit Delete Move

\*32) Please type in a summary indicating which code(s) of conduct are include relevant elements for this compliance program. For example, "This HR compliance program addressing Union regulations regarding problem escalation can be found in the staff code of conduct, see policy number 5.19." If this is not a requirement, type in "Not required."

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#### Document Standards, Policies, and Procedures: Implementation Questions

Note: This component is considered "implemented" once any related standards, policies, and procedures outlined in the compliance program are documented, approved, and published (considered "active").

Add Question or Text

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\*33) Have the relevant standards, policies, and procedures outlined in the compliance program been documented, approved, and published, Yes, No, Partial?

- Yes  
 No  
 Partial

Add Question or Text

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\*34) Please type in the title/number of all policies/procedures that are related to this compliance program. For example, "15.11 Procedure for escalating an alleged issue with a union employee." If no policies/procedures are linked to this compliance program, type in "Not applicable."

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Component 4: Communicate Standards, Policies, and Procedures (Questions 30-38)

Add Question or Text

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Program Design Questions

Add Question or Text

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\*35) Communication: Does this compliance program include a process for communicating compliance expectations, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

Edit Delete Move

\*36) Please type in a summary of where the communication plan can be found in this compliance program. For example, "See HR's Union Policy and Procedures, paragraph 4.1: Union Compliance Communication Strategy."

(1000 characters remaining)

Add Question or Text

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\*37) Training: Does this compliance program include a training plan, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*38) Please type in a brief summary of where the training plan is documented. For example, "See HR's Union Policy and Procedures, paragraph 4.2: Union Compliance Training Strategy."

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Communicate Standards, Policies, and Procedures: Implementation and Enforcement Questions

Add Question or Text

Edit Delete Move

\*39) Communication: Is there evidence that expectations related to this compliance program have been communicated via email, flyer, posters, news releases, etc., Yes/No/Partial?  
 Yes  
 No  
 Partial

Add Question or Text

Edit Delete Move

\*40) Please type a summary of compliance communications for this program. For example: "The Union Liaison could provide several samples of emails, flyers, posters, etc. showing that compliance expectations have been communicated to all relevant personnel."

Text input field with a vertical scrollbar on the right side.

(1000 characters remaining)

Add Question or Text

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\*41) Training: Is there evidence that the training plan for this compliance program has been implemented, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*42) Training Implementation: Please type the list of training courses that are part of this compliance program. For example: "The Union Liaison conducts an annual training course for all employees and provides this same training during new employee orientation."

Text input field with a vertical scrollbar on the right side.

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\*43) Training Enforcement: Could the department provide a the list of dates complinace-related courses were provided during the past year AND a class attendance list, Yes/No/Partial?

- Yes
- No
- Partial

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Component 5: Implement, Promote, and Enforce (Questions 39-47)

Add Question or Text

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Program Design Questions

Add Question or Text

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\*44) Implementation: Does this compliance program include an implementation plan, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*45) Please type in a summary of where the implementation strategy is documented. For example, "See HR's Union Policy and Procedures, paragraph 5.1: Union Compliance Implementation Strategy."

(1000 characters remaining)

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\*46) Promote and Enforce: Does this compliance program include a plan to promote and enforce compliance, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*47) Please type in a summary of where the promotion and enforcement plans is documented. For example, "See HR's Union Policy and Procedures, paragraph 5.2-5.3: Union Compliance - Promoting and Enforcing this Program."

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Implement, Promote, and Enforce: Implementation and Enforcement Questions

Add Question or Text

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\*48) Implementation: Has this compliance program been implemented, Yes/No/Partial? (This item can be considered a "Yes" or a "Partial" if all or a portion of the IMPLEMENTATION questions in this survey have substantive answers to the "summary" questions.)

- Yes
- No
- Partial

Add Question or Text

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\*49) Promotion: Could evidence be produced that this compliance program is regularly promoted (in addition to communicated), Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*50) Please provide a short summary of promotion examples, if any. If none exist, type "None." Promotion activities might include adding "Does employee make a good faith effort to be compliant with all relevant laws and regulations" to an employee performance report or including compliance responsibilities in job descriptions. Another example might be senior leadership consistently including their support for compliance in "all hands" speeches and memos.

Text input field with a vertical scrollbar.

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\*51) Enforcement: Could evidence be produced that following compliance failures related to this compliance program enforcement activities were conducted, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*52) Please provide a short summary of enforcement examples, if any. If there were several, a sample will suffice. If none exist, type "None." Enforcement activities might include redacted copies of investigations, redacted evidence employees were sanctioned or dismissed, etc.

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**Component 6: Audit, Monitor, and Report (Questions 48-63)**

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**Program Design Questions**

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\*53) Audit: Does this compliance program include a plan for auditing compliance, Yes/No/Partial? Note: The result of an audit will provide reasonable assurance that the university is in compliance (or not). Some areas have an audit program built-in because external auditors make regularly scheduled visits to an organization to audit compliance with regulations. Even in these situations some organizations like to do a pre-audit to prepare for the official audit.

- Yes
- No
- Partial

Add Question or Text

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- \*54) Please type in a summary of where the audit plan is documented. For example, "See HR's Union Policy and Procedures, paragraph 6.1: Union Compliance - Audit Plan."

(1000 characters remaining)

Add Question or Text

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- \*55) Monitor: Does this compliance program include a procedure for monitoring compliance, Yes/No/Partial? Note: Monitoring can be distinguished from auditing in that it is usually not independent and is often established and conducted by the entity responsible for the process to ensure compliance. In addition, monitoring often involves ongoing checking and measuring such as daily or weekly tests.

- Yes  
 No  
 Partial

Add Question or Text

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- \*56) Please type in a summary of where the monitoring strategy is documented. For example, "See HR's Union Policy and Procedures, paragraph 6.2: Union Compliance - Ongoing Monitoring Plan."

(1000 characters remaining)

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- \*57) Program Evaluation: Does this compliance program include a plan to evaluate the program itself for effectiveness, Yes/No/Partial?

- Yes  
 No  
 Partial

Add Question or Text

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- \*58) Please type in a summary of where the program evaluation plan is documented. For example, "See HR's Union Policy and Procedures, paragraph 6.3: Union Compliance - Compliance Program Evaluation Strategy."

(1000 characters remaining)

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- \*59) Reporting: Does the law/regulation in question require regular reports be submitted to a regulator AND/OR does the program include a strategy for regularly reporting compliance status to upper management, Yes/No/Partial?

- Yes  
 No  
 Partial

Add Question or Text

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- \*60) Please type in a summary of where the reporting plan is documented. For example, "See HR's Union Policy and Procedures, paragraph 6.4: Union Compliance - Reporting Requirements."

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**Audit, Monitor, and Report: Implementation Questions**

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**\*61)** Has this compliance area been audited in the past 1-3 years, Yes/No/Partial?

Yes

No

Partial

[Add Question or Text](#)

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**\*62)** Please provide a summary of who the audit reports were addressed to (or cc'd) and the dates these audits were conducted. For example, "The HR: Union's Compliance was audited twice in 2013 and 2015. Copies of the reports can be found in the files of the Union Liaison's office." If there were no audits, type "None."

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**\*63)** Monitor: If this compliance program uses monitoring, are reports available that show monitoring results, Yes/No/Partial?

Yes

No

Partial

[Add Question or Text](#)

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**\*64)** Please provide a summary of where these monitoring reports are located, if any. For example, "The monitoring reports are kept in the files of the Union Liaison's office." If are no reports, type "None."

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**\*65)** Program Evaluation: Have you had this compliance program evaluated for effectiveness in the past 1-3 years, Yes/No/Partial?

Yes

No

Partial

Add Question or Text

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\*66) If this compliance program was evaluated for effectiveness in the past 1-3 years, where can a copy of the evaluation report be found? For example, "A copy of the HR: Union's Compliance program effectiveness evaluation can be found in the files of the Union Liaison's office." If there is no report, type "None."

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\*67) Reporting: If external or internal reporting is part of this program, could copies of these reports be made available for inspection (redacted if necessary), Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*68) If reports could be made available, type in a short summary of the nature of these reports. For example, "See HR's Union compliance program does not report externally, but does send reports to the VP Admin/Finance quarterly. Redacted copies could be make available during a full program evaluation or audit." If there is no reporting or reports, type "None."

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**Component 7: Continuous Improvement (Questions 64-67)**

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**Program Design Questions**

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\*69) Does this compliance program include a continuous improvement process, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*70) Please type a summary of where the continuous improvement process is documented. For example, "See HR's Union Policy and Procedures, paragraph 7.1: Union Compliance Program - Continuous Improvement Process."

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**Continuous Improvement: Implementation Questions**

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\*71) If this compliance program includes a continuous improvement process, could samples be provided of how scheduling or events resulted in improvements to this compliance program, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*72) If this compliance program has been modified, please provide a summary of one or two examples. For example, "The audit of the HR: Unions compliance program conducted in 2013 resulted in a few changes to the compliance program. Evidence could be provided during a full program evaluation or audit."

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**Component 8: Leadership and Corporate Culture (Questions 68-75)**

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**Program Design Questions**

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\*73) Does this compliance program include a strategy for getting and maintaining leadership buy-in, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text



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\*75) Please type in a summary of where this program's leadership development strategy is documented. For example, ""See HR's Union Policy and Procedures, paragraph 8.1: Union Compliance - Obtaining and Maintaining Leadership Support."

Yes  
 No  
 Partial

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\*76) Please type in a summary of where the compliance culture strategy is documented. For example, "See HR's Union Policy and Procedures, paragraph 8.2: Union Compliance - Improving the Compliance Culture."

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**Leadership and Corporate Culture: Implementation Questions**

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\*77) Has the strategy for getting and maintaining leadership buy-in for this compliance program been implemented, Yes/No/Partial?

Yes  
 No  
 Partial

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\*78) Please provide a few examples that leaders are supporting this compliance program. For example, "It is clear that leaders support the HR: Union compliance program in that it has an adequate budget and FTE. In addition, at least once or twice a year, relevant leaders vocalize their support via email or "all hands" speeches." If there is no evidence of leadership support, type "None."

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\*79) Has the strategy for improving compliance culture in this area been implemented, Yes/No/Partial?

Yes  
 No  
 Partial

Add Question or Text

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\*80) Please summarize one or two examples that the compliance culture in this area is positive. For example, "HR's Union compliance culture is positive in that there has never been a strike in this organization. In addition, when union leaders and management sit to discuss relevant issues, these meetings are rarely contentious and usually cordial. Redacted meeting minutes could be provided during a full program evaluation or audit."

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[Rapidly Add New Questions to End of Survey](#)

[End of Survey]

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[Change the "[Survey Title](#)" Setting?]

## Compliance Program Full Self-Assessment 2016 - Draft1

[Edit Survey Conclusion](#)

Thank you for completing this assessment. The data will now be transferred to a database and a report will be generated. You will be provided with a copy shortly.

Thanks again!

[Automatic Text]

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