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Survey ID	Survey Title	Status
172382	Compliance Program Self-Assessment - Implementation v0	OFF

Edit Survey Title

# Compliance Program Self-Assessment - Implementation v0

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**PART 3: 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.**

**This survey is divided into 8 sections that specifically measure implementation and enforcement. Each section has 1 set of questions. These questions combine the assessment of compliance implementation and enforcement and will 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.**

**In addition, please note that the examples use the fictitious "Unions Compliance Program."**

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

[Add Question or Text](#)

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\*1) Please type in the ID number that was given to you by the Office of Compliance.

[Add Question or Text](#)

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\*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

Add Question or Text

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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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**Implementation of Component 1: Assess Risk/Identify Requirements (Questions 2-7)**

Add Question or Text

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\*4) 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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\*5) 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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Add Question or Text

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\*6) *Compliance Requirements*: Could your department produce documentation showing it has an list or inventory of regulatory requirements in this area, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*7) Please type in a summary of where the compliance list/inventory can be found. For example, "All Union laws/regulations are tracked by the XYZ company. See <http://xyz.net/requirements>. In addition, the Union Liaison keeps a list on file of items that are not required at this organization."

(1000 characters remaining)

Add Question or Text

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\*8) *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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\*9) 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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**Implementation of Component 2: Establish/Modify Organizational Structure (Questions 8-13)**

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\*10) *Organization:* Does this compliance program have people in place to manage it, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*11) Please type in the name(s) and role(s) of the person(s) who currently carry out compliance responsibilities in this area.

(1000 characters remaining)

Add Question or Text

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\*12) *Roles and Responsibilities:* Could documentation be provided that shows the person(s) who currently hold compliance roles are carrying out these responsibilities in full compliance with the documented job description(s) and documented roles and responsibilities, Yes/No/Partial?

- Yes
- No

Partial

Add Question or Text

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\*13) 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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\*14) *Due Diligence:* Have persons in your organization with significant responsibility undergone regular background checks, Yes/No/ Partial?

- Yes
- No
- Partial
- Not Required

Add Question or Text

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\*15) 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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**Implementation of Component 3: Document Standards, Policies, and Procedures (Questions 14-15)**

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\*16) 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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\*17) Please cut and paste the title(s)/number(s) 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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**Implementation and Enforcement of Component 4: Communicate Standards, Policies, and Procedures (Questions 16-20) Note: Includes both Communication and Training.**

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**\*18) 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

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**\*19)** 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."

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**\*20) Training:** Is there evidence that a training plan for this compliance program has been implemented, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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**\*21)** Training Implementation: Please cut and paste or 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."

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**\*22) 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 21-25)**

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**\*23) 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 questions 1-39 in this survey have substantive answers to the "summary" questions.)

- Yes
- No
- Partial

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**\*24) Promotion:** Could evidence be produced that this compliance program is regularly promoted (in addition to communicated), Yes/No/Partial? (Note: There is some overlap here with communication, but additional promotion activities might be including "compliance" in job descriptions and performance reports.)

- Yes
- No
- Partial

Add Question or Text

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**\*25)** 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 and/or encouraging staff to attend compliance meetings and to complete compliance tasks.

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**\*26) Enforcement:** If there have been compliance failures in the recent past, could evidence be produced that show enforcement activities were conducted, Yes/No/Partial?

- Yes
- No
- Partial
- No compliance failures have occurred since the last evaluation.

Add Question or Text

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**\*27)** If violations occurred and enforcement took place, please provide a short summary of enforcement examples (please do not provide actual reports, just a description). If there were several, a sample will suffice. If none exist, type "None." Enforcement activities might include, "We could provide redacted copies of an investigation report on \_\_\_\_\_" or "We could provide redacted evidence that employees were sanctioned or dismissed," etc.

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**Implementation of Component 6: Audit, Monitor, and Report (Questions 26-33)**

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\*28) *Audit:* Has this compliance area been fully or partially audited in the past 1-3 years, Yes/No?

- Yes  
 No

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\*29) If there were no audits, type "None." If there were, please provide a summary that includes the following information for each audit: 1) What was the title on the audit report? 2) Who was the audit report addressed to (or cc'd)? 3) What is the date on the audit report? For example, "The HR union compliance program was audited twice in 2013 and 2015. Both had the title "HR Union Compliance" and were addressed to John Doe. The reports were dated July 8, 2013 and July 6, 2015. Copies of the reports can be found in the files of the Union Liaison's office."

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\*30) *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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\*31) 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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\*32) *Compliance 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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\*33) 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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\*34) Reporting: If external (i.e. to agencies) or internal (i.e. to senior leadership) 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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\*35) 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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Implementation of Component 7: Continuous Improvement (Questions 34-35)

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\*36) Could evidence and/or samples be provided of how events (or scheduled changes) resulted in improvements to this compliance program, Yes/No/Partial?

- Yes
- No
- Partial

Add Question or Text

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\*37) If this compliance program has been modified/improved in the past 1-3 years, please provide a summary of one or two examples. For example, "The audits of the HR: Unions compliance program conducted in 2013 and 2015 recommended a total of 9 changes be made to improve the compliance program. Evidence could be provided that these changes were made during a full program evaluation or audit."

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Implementation of Component 8: Leadership and Corporate Culture (Questions 36-39)



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\*38) *Leadership*: Has a strategy for getting and maintaining leadership buy-in for this compliance program been implemented, to include leadership promotion of the program and appropriate levels of staffing and funding, Yes/No/Partial?

Yes  
 No  
 Partial

Add Question or Text

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\*39) 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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\*40) *Compliance Culture*: Has a strategy for improving compliance culture in this area been implemented, Yes/No/Partial?

Yes  
 No  
 Partial

Add Question or Text

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\*41) 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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## Compliance Program Self-Assessment - Implementation v0

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.

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