



Office of Compliance & Integrity

Compliance Services

The **Universities of Wisconsin (UW) Office of Compliance & Integrity (OCI)** supports compliance efforts within the Universities of Wisconsin. Our staff collaborates with and supports UW stakeholders on a variety of compliance functions. We provide guidance and interpretation of federal, state, and local laws and regulations. Our office also fulfills compliance with Board of Regents (BOR) policies, develops policies and procedures, and provides training sessions and resource materials, in addition to other compliance services.

Compliance Areas of Focus and Summary of Services

Clery Act

Overview: OCI provides support for campus CLERY Officers in the collection of CLERY data for the Annual Security Report. OCI convenes the CLERY Officers Working Group to exchange information and discuss ways to keep all reports as accurate as possible.

Contact: Dany Thompson dany.thompson@wisconsin.edu

Webpage: <https://www.wisconsin.edu/compliance/clery/>

Compliance

Overview: OCI develops training and awareness resources to support a culture of compliance, participates in multiple task forces focused on areas of concern, manages the Compliance Matrix, collects data and prepares reports, collaborates to develop plans to remediate findings and gaps in audit reports, as well as creates plans to mitigate risks and improve compliance. OCI convenes the UW Compliance Officer Working Group.

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Webpage: <https://www.wisconsin.edu/compliance/>

Ethics and Conflicts of Interest

Overview: OCI provides guidance and oversight for various ethical concerns and conflicts of interest, develops educational materials, assists in reviewing integrity hotline complaints, and provides guidance and consultation in the prevention and resolution of ethical violations.

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Webpage: <https://www.wisconsin.edu/compliance/ethics/>

Investigative Services

Overview: OCI provides investigative services for the UW, upon request, to conduct fact-finding investigations on a variety of matters, including but not limited to, complaints, disputes, grievances and/or violations of policy, administrative code or law that involve allegations of sexual misconduct, harassment, discrimination, retaliation, ethical misconduct, and other types of misconduct. Upon completing the fact-finding process, the investigators review all relevant and applicable evidence and materials and prepare an investigation report.

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Webpage: <https://www.wisconsin.edu/compliance/investigative-services/>

Public Records

Overview: OCI responds to the UW Administration's public records requests in compliance with Wisconsin's public records law and also supports the universities in responding to their public records requests. OCI convenes the Public Records Custodians.

Contact: Kathleen Patten kathleen.patten@wisconsin.edu

Webpage: <https://www.wisconsin.edu/compliance/public-records/>

Records Management

Overview: OCI provides policy, training, resources, and support related to records management. OCI also ensures the creation and management of public records schedules for all records created by the UW in compliance with state statute. OCI convenes the UW Records Officers Council.

Contact: Kathleen Patten kathleen.patten@wisconsin.edu

Webpage: <https://www.wisconsin.edu/compliance/records-management/>

State Authorization of Distance Education

Overview: OCI provides oversight, guidance, training, and support on compliance requirements and activities under the State Authorization Reciprocity Agreement (SARA). OCI assists in the development and implementation of requirements such as policy development, revisions to processes, preparation of disclosures and notifications, tracking of programs, courses, and activities that fall under SARA regulatory oversight, and more. OCI convenes the SARA Coordinator Working Group.

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Title IX

Overview: OCI provides guidance and oversight on all things Title IX and Sexual Misconduct related. OCI works with various university officials to update policies and administrative code if and when new regulations from the Department of Education (DOE) come out. OCI also has a Title IX Specialist to work individually with campus Title IX Coordinators on specific cases, in conjunction with the Office of General Counsel (OGC). OCI convenes the Title IX Coordinator Working Group and Violence Prevention Specialists.

Contact: Dany Thompson dany.thompson@wisconsin.edu

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Youth Protection

Overview: OCI provides guidance and oversight on SYS 625. The policy went live March 1, 2023, and each campus has an assigned Precollege Liaison. OCI provides resources, best practices and helps navigate three software programs; assists with facilitating discussions with OGC on youth topics, EO54, and ATCP 78 regulations. OCI also provides checklists, professional development, and mental health first aid training. OCI convenes the Precollege Liaison Working Group.

Contact: Melissa Vergara melissa.vergara@wisconsin.edu

Webpage: <https://www.wisconsin.edu/compliance/youth-protection/>