



Office of the President

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DATE: September 15, 2020
TO: Chancellors
FROM: Tommy G. Thompson, President
RE: UW System Office of Compliance and Related Initiatives

I write to update you on changes I am making to UW System's Office of Compliance and Integrity to expand our emphasis on compliance that will enhance systemwide protection of precollege youth, our faculty and staff, and our students. I also want to update you on several compliance-related projects.

The purpose behind these initiatives is to move beyond mere adherence to laws and policies toward creating an environment that fosters ethics and integrity, and an atmosphere that allows us to function at our highest and best capacity as we serve our students, employees, and the public. I promised when I arrived here to be a good steward of our resources, a promise that is even more important now during these challenging times. An investment in compliance is an investment in our people, and it's a promise, not only to the public who entrusts us with their resources, but to the families who entrust us with their students, and to our communities who look to us to lead by example.

Expansion of Office of Compliance and Integrity

- Katie Ignatowski, UW System Director of Compliance, will report directly to me under the new title of UW System Chief Compliance Officer. Her duties will include developing a system to monitor compliance with laws, regulations, and reporting requirements; informing the UW System President and the Board of Regents on key compliance risks facing the UW System; and recommending measures to mitigate compliance risks facing the system. She will also work with the Board's Audit Committee on a proposal to move to a dual reporting structure where she reports to the Chair of the Audit Committee as well as the System President. The full proposal will be brought before the Board in spring or summer 2021 along with a plan on how this restructuring can further support compliance efforts on each campus.
- The Office of Compliance and Integrity is expanding its focus on youth protection and compliance. On September 1, Prencia Clifton joined UWSA as the Director of Youth Protection and Compliance. She will work with UW System Precollege Liaisons, program directors, and youth program coordinators to support the implementation of training, safe oversight of minors, policies, and standards for youth protection and compliance. Prencia previously served as UW-Madison's Director of the Office of Youth Protection and Compliance.

To support youth protection and compliance efforts, the Office of Compliance and Integrity is developing a system-wide database application to maintain and track youth program compliance. For example, each program or activity that involves minors will be required to confirm the existence of youth safety plans and must upload staff rosters to ensure that all staff working with minors have received appropriate background checks. The effort will build on the functionality of an existing UW-Madison youth protection database to include the other UW System institutions. Processes for maintaining compliance and populating the database will be established for each institution, and the database will be populated with participant data for each program. This initiative will also help bolster our marketing and recruitment efforts with K-12 school districts and other youth programs around the state to build the next generation of UW System students.

- Recently, the investigations team from UW-Shared Services transitioned into the Office of Compliance and Integrity, where they will handle high-risk investigations on behalf of the comprehensive institutions and provide support in the areas of civil rights compliance, such as Title IX.

Update on Compliance Initiatives

- **Compliance Matrix:** On October 1, UW System will launch a compliance matrix tool. This will serve as a database of nearly 500 university compliance obligations from federal and state law, Board of Regents and UW System policy, and will identify reporting requirements and responsible parties across UW System.
- **Title IX Rules and Policy:** The UW System Board of Regents approved a series of emergency rules and a Regent policy to comply with new federal Title IX regulations. At the System level, we are working to support our campuses in their efforts to create, implement, and enforce new policies and procedures. UW System will also provide necessary support services to those who experience sexual harassment and discrimination and work to prevent this type of behavior from occurring in the first place.
- **Public Records Tracking Tool:** The Public Records Team in the Office of Compliance has been working with the App Factory at UW-Parkside to develop a SharePoint tracking system for public records requests. This tool will bring us into compliance with the requirements of Wisconsin Executive Orders 89 and 235, provide enhanced transparency on the requests we receive, and allow us to calculate metrics and gauge our performance in real-time. This site, which will go live later this fall, will also house a resource database to support public records compliance at all UW System institutions.

Thank you for your continued dedication to compliance efforts at your institution. We look forward to continuing to work with you on ways to collaborate to enhance compliance across the UW System and create an environment where all of our community members can work, learn, and thrive.