University of Missouri System
Board of Curators
February 3, 2022
Audit, Compliance, and Ethics Committee

Internal Audit, Compliance and Ethics Report
UM
Summary of Internal Audit Activity

Since September 2021:

• Completed three internal audits and three investigations
• Ten internal audits and consulting engagement in process
• Actively working six investigations
Organized Healthcare Arrangement
MUHC

Summary Observations

1. Existing resources, tools, policies & procedures for user identity and access management are inadequate for meeting the challenges of an expanded EMR shared by multiple entities
2. It is advisable that due diligence and risk assessment activities result in an understanding of the security, technical and operational capabilities of prospective OHCA partners

Management Actions

1. Improve the effectiveness of the EMR access procedures
2. Evaluate current due diligence procedures and make relevant adjustments
Lab Safety
UMKC

Summary Observation
A broader focus is on general lab safety to include improvement in training and inspections is needed.

Management Actions
UMKC will complete the work already started to fully implement a lab safety program that includes the recommendations from this audit.
UM System Ethics and Compliance Program

Overall Objective
Demonstrate that the UM System has an effective compliance program

Why this is important
The ability to prevent, detect, and mitigate compliance issues reduces the cost of non-compliance and reduces the risk of reputational harm

How this will be achieved
• Perform a gap analysis for major regulatory areas
• This establishes the accountable areas, workflow processes, control activities and current level of effectiveness
UM System Ethics and Compliance Program

Overall Impact

- **Focuses** our work on the highest risk areas needing attention

- **Informs** educational and training needs

- Provides information needed to build dashboards to track progress and collect information to **demonstrate compliance program effectiveness**

- Builds relationships with the compliance professionals who are critical to establishing a **regulatory change management process**
Protection of Minors Program

- 163 Youth Programs
- 6,231 Youth Served
- 1054 Supervising Adults
- 75% Program Compliance
Code of Conduct Training

The training addressed:

• The importance of a code of conduct in supporting an ethical culture

• The code’s foundational role in a compliance program

• The importance of Curator support of the Code

Questions or comments?