



This session will focus on various processes for developing and implementing compliance monitoring tools in higher education. Examples from several different compliance "starting points" will be covered, including development of tools for enterprise-wide compliance program monitoring, for individual campus/unit use in monitoring specialized compliance functions, and in response to new regulations.

The learning objectives for this session include:

- Recognize when monitoring tools may need to be developed.
- Classify possible approaches to developing compliance monitoring tools.
- Identify the important elements of implementing compliance monitoring tools.

**Compliance Monitoring Tools
in Higher Education:
Development and Implementation**

September 30, 2010

3:00 - 4:00pm CST

Click on the link below to register

<https://www2.gotomeeting.com/register/492907995>

Who Should Attend:

- Compliance officers/staff
- Internal Audit
- Risk Managers

About the Presenters:

Luanna Putney, Director of Research Compliance, University of California System

Luanna is the Director of Research Compliance for the University of California system comprised of 10 campuses and one national lab. Responsibilities include facilitating system-wide compliance in the areas of Contracts & Grants, Animal and Human Subjects Protections, Export Control, Conflict of Interest and Research Misconduct. Luanna has over 10 years experience in research compliance, with a background as a scientist, IRB Member and Intellectual Property Officer.

Peter Cataldo, Director of Ethics and Compliance, University of California System

Peter Cataldo, CIA, CFE, CCEP, is a Director of Ethics and Compliance for the University of California. Responsibilities include working with the campuses, medical centers, national laboratories and UCOP departments in focusing on all elements of an effective compliance program with emphasis on program oversight, education and training, and auditing and monitoring. Peter also provides compliance program expertise and leadership to support system-wide initiatives, policies and procedures, and best practices related to the ethics and compliance function. Prior to his compliance position, Peter held a number of positions over the past 20 years within the University of California's internal audit program, and most recently as the UC system-wide Associate Audit Director.

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