

November 2021

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### **Scope of work on Guidepost Solutions contract**

- Generally advise ECRT Executive Director, Culture Journey Working Group and others as appropriate
- Help finalize Protection from Retaliation Standalone Policy and Related Controls
- Help finalize Sexual Misconduct Umbrella Policy and Related Controls
- Help finalize External Hiring/Internal Promotion Vetting Guidance
- Continue to Enhance Misconduct Reporting Channels and Related Controls
- Train investigators and quasi-investigators in best practices in doing investigations around sexual harassment and violence and retaliation including but not limited to those at Michigan Medicine, HR and Internal Audit in addition to ECRT
- Help with announcements at Board of Regents meetings scheduled this Fall as requested
- Conduct an Ethics and Compliance Program Review for University of Michigan Campuses and Michigan Medicine
- Offer draft recommendations for the structure and functional responsibilities for UM Ethics and Compliance Program for the Campus and Michigan Medicine
  - Recommendations and options based on how things are done elsewhere and GPS high level gap analysis
  - Identify shared services opportunities and best practices within the UM Ethics and Compliance Program for the Campus and Michigan Medicine
- Review results in identifying and eliminating organizational program redundancies
- Review results in added efficiencies and cost savings to UM
  - Research empirical evidence on structural and functional ethics and compliance program options
- Conduct Community Engagement listening sessions with campus and Michigan Medicine stakeholders as requested
- Summary written work-product combined with a debrief meeting(s)

Sally Churchill comment: A number of people have been engaged with this work since Guidepost was retained almost a year ago (in December 2020). In addition, in August 2021 President Schlissel established a working group to serve as a resource for the focused work this semester on ethics and compliance, which is comprised of the VP and Secretary (me), VP for Research Cunningham, VP and General Counsel Lynch, Michigan Medicine President Dave Miller and Senior Vice Provost Amy Dittmar. Guidepost will conduct the following work on ethics and compliance:

#### Outline:

- Conduct an Ethics and Compliance Review of the University of Michigan Campuses
- High level review for a startup program at a major university
- Informed by Guidepost Solutions Gap Analysis and AAUP compliance program standards for peer universities; Conduct an Ethics and Compliance Review of Michigan Medicine
  - High level review following regulatory guidance for an existing, healthcare compliance program
  - Facilitate a discussion of how to best oversee health system efforts from campus leadership level, and how to integrate campus efforts where appropriate; Offer draft recommendations for the structure and functional responsibilities of a Centralized UM Ethics, Integrity, and Compliance Program for the Campus and Michigan Medicine
  - Recommendations and options based on how things are done elsewhere and GPS high level gap analysis

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- Identify shared services opportunities and best practices within the recommended UM Central Program for the Campus and Michigan Medicine
- Review results in identifying and eliminating organizational program redundancies
- Review results in added efficiencies and cost savings to UM
- Research evidence that central offices result in fewer major compliance issues

The plan is to receive a final verbal report by the end of the year or in early 2022.