

CASE STUDY – SESSION TWO

The scenarios below are based on a compilation of actual events that impacted minors or arising out of related activities. For each scenario, discuss and make recommendations as to how having RCA – Risk Compliance and Audit in place would help your institution prevent, detect, and respond to these types of scenarios.

In considering your recommendations keep in mind that not all scenarios require compliance with Regent or UW institution policies and not all are insurable. Also, Compliance, Risk Management and Audit may be actual departments, but you should keep in mind that other departments also conduct RCA activities.

Example Scenario:

A series of high-profile incidents occur with other universities and national youth programs and subsequently the legislature institutes new regulations.

Compliance:

Campus policies on minors were evaluated for adequacy. The compliance department determines what the policy needs to be to address the issue of minors on campus.

Risk Management:

Advises and supports compliance on this process as needed and is responsible for helping management to implement the specific practices required to bring the organization into compliance (e.g. – training, hiring of additional personnel, etc.).

Audit:

Is responsible to ensure that management has implemented these practices and they are functioning as designed.

In this example, audit, risk, and compliance work together to improve assurance that minors are appropriately safeguarded while entrusted to university faculty and staff, and appropriate controls are in place to reduce future risk, with each activity contributing in different but important ways.

Assignment:

Break into 4 groups to conduct a scenario per table/group. Take 10 minutes to discuss your assigned scenario and be prepared to share your responses verbally (2-3 minute summary).

Scenario 1: A gymnastic team (8 high-school girls) attending summer camp events become ill after eating a bagged lunch, the RA's attend to them and medical care is not suggested until 48 hours after they first became ill.

Compliance:

Risk:

Audit:

Scenario 2: The soccer coach runs a very successful summer camp and in addition to payment for the camp, accepts financial “tips”/gifts from parents, a student employee complains to the campus finance department regarding the coach not sharing the tips with other employees.

Compliance:

Risk:

Audit:

Scenario 3: A group of campus daycare children go on a field trip with university employees and are crossing streets, when a car strikes a child and issues raised are appropriate visibility garments, flagging, and training of daycare staff.

Compliance:

Risk:

Audit:

Scenario 4: Internal Audit completes an audit of campus youth protection policies and procedures and there are numerous findings: lack of background check, no record of offering insurance, emergency plan has not been tested, lack of training. A campus risk assessment tool completed 6 months ago had similar information, but Internal Audit did not review the assessment

Compliance:

Risk:

Audit:
