# Compliance Policy

## Overview

[LEP] values its relationships with employees, customers, service providers, regulators, and the community. Managing compliance requirements helps us maximize our opportunities, our service delivery, and community trust.

## Purpose

Strong compliance programs provide [LEP] with transparency, protects our data and reputation, and reduces risks. By establishing and maintaining a compliance management framework, we comply with state and federal legal and statutory regulations.

## Scope

This policy applies to all [LEP] staff that create, deploy, or support information resources.

## Policy

### GENERAL

[LEP] management is responsible for [LEP] compliance with all relevant laws and regulations, compliance processes, and related reporting requirements surrounding education data privacy. Management must create an environment of individual and collective accountability that includes the importance of meeting and exceeding compliance obligations. They shall provide sufficient resources in the form of support, training, budgeting, and staffing, to ensure compliance with [LEP] specific state and federal statutory regulations.

### [Insert Appropriate Role] RESPONSIBILITIES

Complying with applicable laws, regulations, and standards is the responsibility of all employees. The [Insert Appropriate Role] identifies and communicates minimum compliance requirements for each staff member and their business activities related to information systems usage. Employees must know, understand, and meet compliance requirements that govern daily business activities.

The [Insert Appropriate Role] shall:

* Create, review, and update policies and procedures.
* Monitor [LEP] departments to ensure compliance with requirements.
* Keep abreast of regulatory and industry trends to identify new compliance requirements and related changes to [LEP] operations.
* Track and communicate issues encountered, lessons learned, and changes required.
* Support on-going evolution of compliance management to ensure relevance and appropriateness of protocols.
* Ensure accurate and timely reporting to executive management.

### MANAGEMENT RESPONSIBILITY

When management, legal, or other appropriate staff perceives a compliance issue, the [Insert Appropriate Role] investigates and makes recommendations regarding any actions or concerns.

[LEP] management, compliance, legal, and audit functions are actively involved in managing related risks as follows:

* **Management** - Develops and implements mitigation activities including monitoring and reporting for [LEP] activities.
* **Compliance** – Monitors related laws, regulations, and standards. [LEP] legal counsel and executive management work with the [Insert Appropriate Role] to translate laws into compliance tasks and assists in identifying adherence requirements.
* **Audit** – Provides [LEP] management with independent, objective assurance on the overall effectiveness of the design and operation of internal controls and activities.

The [Insert Appropriate Role] works with departmental management to ensure:

* The organization establishes a plan for outside, independent, periodic technical and non-technical evaluation of IT systems. Such reviews shall include a review of internal and external systems, people, and processes.
* Evaluation reports, analysis, recommendations, and subsequent changes are fully documented, responded to, and implemented.

## Audit Controls and Management

On-demand documented procedures and evidence of practice should be in place for this operational policy. Examples of control processes include:

* Audit and compliance schedules
* Documented results and [LEP] actions from routing audits

## Enforcement

Staff members found in policy violation may be subject to disciplinary action, up to and including termination.

## Distribution

This policy is to be distributed to all [LEP] management and shared with staff as appropriate.

## Policy Version History

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| --- | --- | --- | --- |
| Version | Date | Description | Approved By |
| 1.0 | 10/15/2016 | Initial Policy Drafted |  |
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