Compliance and Integrity Program

UNCG Board of Trustees | Compliance, Audit, Risk and Legal Committee
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What is a compliance program?

A compliance program is

- An initiative to promote awareness, provide support, and conduct monitoring of the University's compliance with laws, regulations, and policies

A compliance program is NOT

- An enforcement mechanism
- A barrier to strategic initiatives
- An internal investigator or auditor
What is a compliance program?

To have an effective compliance and ethics program...an organization shall

- Exercise due diligence to prevent and detect criminal conduct
- Promote an organizational culture that encourages ethical conduct and a commitment to compliance with the law...minimally requiring the following:
  - Written standards and procedures
  - High-level oversight
  - Diligent delegation
  - Communication
  - Monitoring
  - Enforcement
  - Response and prevention
Master Process

Risk Identification & Assessment

Monitor, Audit, and Report

Leadership & Culture

Establish/Modify Compliance Organization

Implement, Promote, and Enforce

Document Standards, Policies, and Procedures

Communicate Standards, Policies, and Procedures

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The Path Ahead

• Documented Outline of Program Structure and Year-One Work Plan

• Baseline Compliance Environment Assessment

• Compliance Risk Inventory and Assessment

• Review 2019–20 CIP Work Plan and Develop Work Plan For 2020–21
Thank you

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