

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 <u>NOT</u>

- 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 Establish/Modify
Compliance
Organization

Leadership & Culture

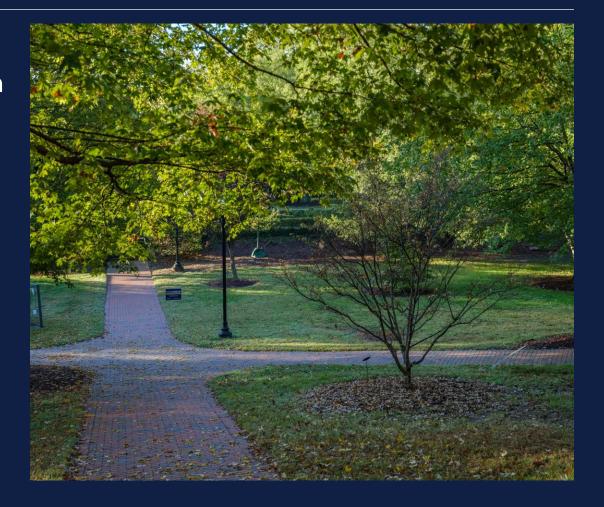
Implement, Promote, and Enforce Document
Standards, Policies,
and Procedures

Communicate
Standards, Policies,
and Procedures



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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