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# Compliance and Integrity Program

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

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## 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





# 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





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# Thank you

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