



Compliance, Audit, Risk Management and Legal Affairs (CARL) Committee
September 27, 2022
10:15 a.m.

Discussion Item

CARL- 4 Policy and Compliance Update

Background Information

Kristen Bonatz, Deputy General Counsel, and Enyonam Williams, Associate General Counsel, will provide an update on the University's policy and compliance functions.

Attachment (see below)

4.1 Policy and Compliance Update Presentation



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Policy and Compliance Update

UNC Greensboro Board of Trustees
Compliance, Audit, Risk Management, and Legal Affairs (CARL) Committee
September 27, 2022

Kristen S. Bonatz, Deputy General Counsel
Enyonam K. Williams, Associate General Counsel



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Agenda

- Policy Development
 - Status Update
 - New Policy Process
- Compliance
 - Previous Compliance Workplan
 - Compliance Status Update
 - Current Compliance Program Vision
- Next Steps



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Policy

- Currently have 102 officially designated University Policies
- Updates and Streamlining Policy Review process to expedite the policy review and approval process.
- Named and collaborated with Divisional Liaisons
 - Partners to develop and review and comment on new and revisions to existing policies



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Summary of Streamlined Policy Process

Stage 1

- Drafter Submits Form to Liaison and OIIGC (with confirmation from Responsible Executive)
- Draft reviewed by OIIGC and other identified stakeholders

Stage 2

- Liaisons and Stakeholders provide comments
- Policy Action Group reviews
- Returned to Drafter, copy to liaison for finalizing

Stage 3

- Liaison shares final draft with Responsible Executive
- Submitted to Chancellor's Council for endorsement by consent or discussion
- Chancellor reviews/revises

Stage 4

- Content reviewed with Drafter, Annual review scheduled and added to review cycle
- Final policy posted on website
- Community informed, history and archives updated

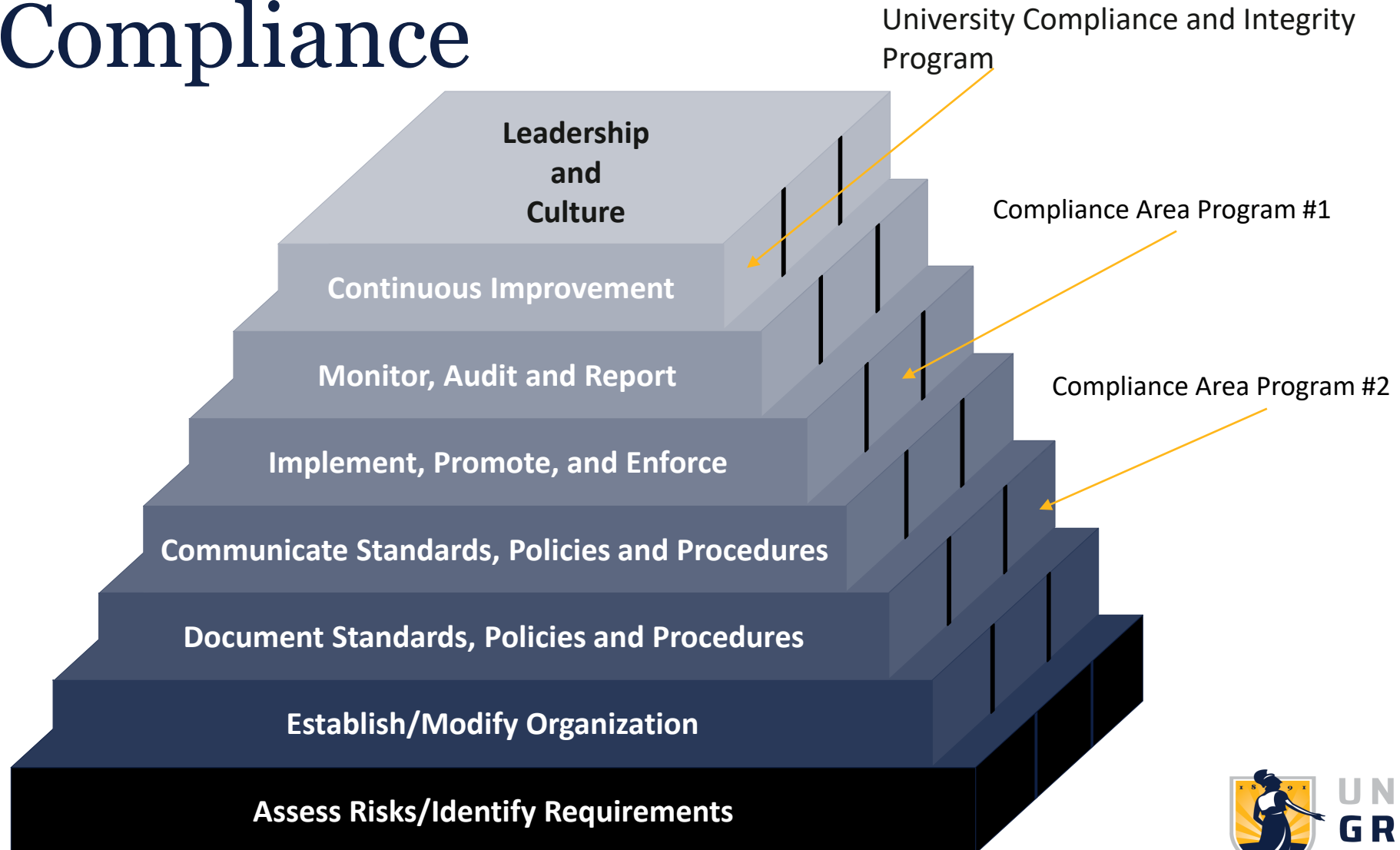


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Compliance



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Previous Compliance Work Plan (2019-2020)

Months	Activities
September-December 2019	<ul style="list-style-type: none"><input checked="" type="checkbox"/> Define program structure and adopt year one Compliance & Integrity Program work plan<input checked="" type="checkbox"/> Identify and meet with Compliance Partners<input checked="" type="checkbox"/> Enhance University Policy Manual website
January-March 2020	<ul style="list-style-type: none"><input type="checkbox"/> Conduct initial compliance risk inventory<input checked="" type="checkbox"/> Develop compliance matrix<input type="checkbox"/> Enhance University Compliance website
April – August 2020	<ul style="list-style-type: none"><input type="checkbox"/> Prepare compliance risk assessment criteria and process<input type="checkbox"/> Review 2019-20 Compliance & Integrity Program work plan and develop work plan for 2020-2021
Fall 2020	<ul style="list-style-type: none"><input type="checkbox"/> Training sessions with Compliance Partners on compliance risk assessment criteria and process<input type="checkbox"/> Conduct compliance risk assessment





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University Compliance

Status Update:

- Updated University-wide Compliance Matrix
- Held Fall University Compliance Partners Meeting on August 26
- Collaborating with Enterprise Risk Management to explore joint technology
- Will coordinate with University Compliance Partners to:
 - Finalize updates to the University-wide Compliance Calendar
 - Develop the 2023-2024 University Compliance Work Plan

Vision

Coordinated approach to ensure UNCG meets obligations under:

- **Applicable Laws**
- **Regulations**
- **Best Practices / Standards**
- **Contractual Obligations, and**
- **Applicable Policies (both internal and external)**

Work to Improve University operations, governance and overall compliance

Keep University leaders informed about how the University is meeting compliance obligations



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Next Steps

- Making both compliance and policy processes more efficient
- Finalize Compliance Calendar
- Develop revised work plans this academic year
 - Implementation 2023-2024



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