



Compliance, Audit, Risk Management and Legal Affairs (CARL) Committee
October 29, 2024
10:15 a.m.

Discussion Item

CARL-3 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

3.1 Hot Topics: University-wide Policy & Compliance Program Update

Hot Topics: University-Wide Policy & Compliance Program Update

October 29, 2024

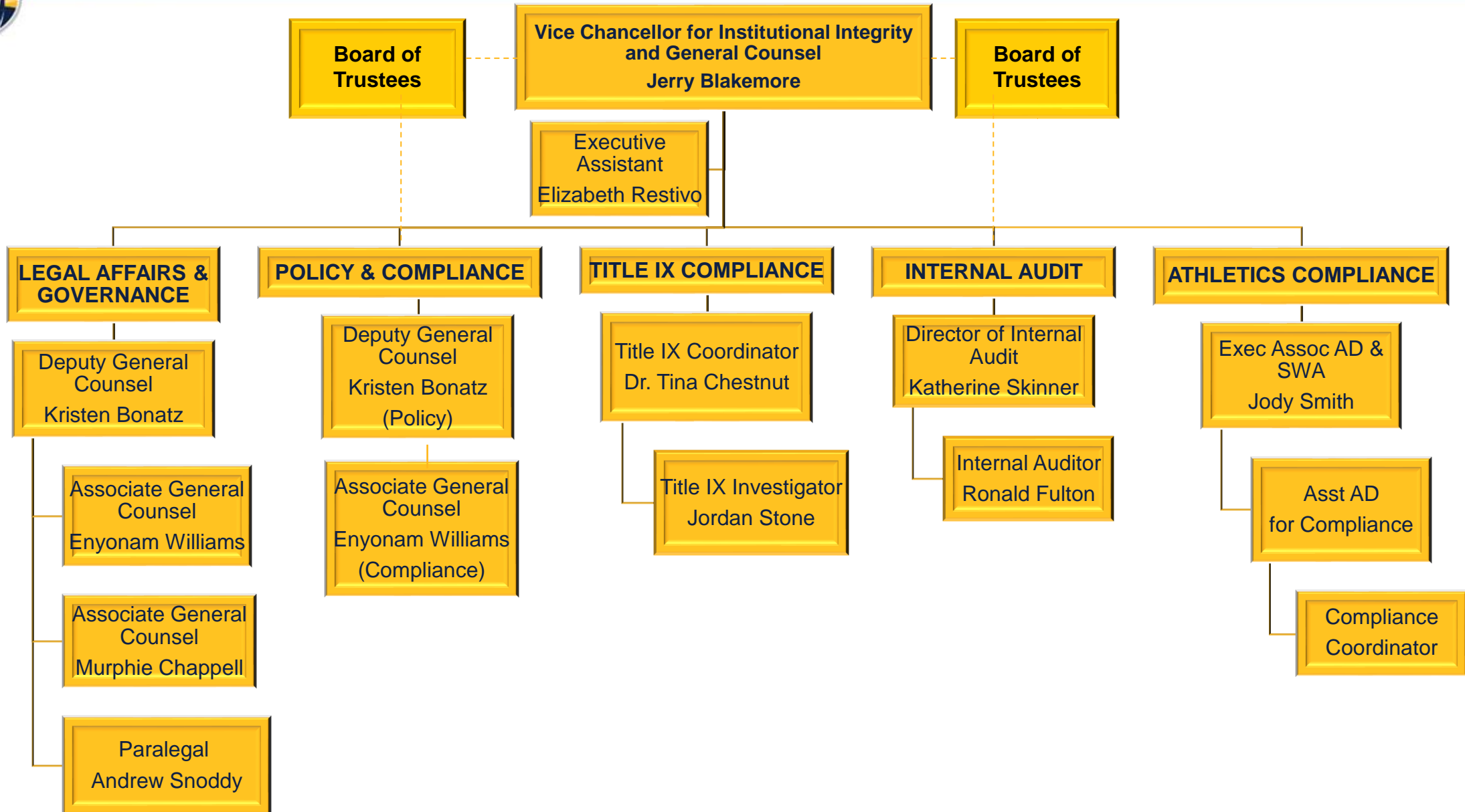
**Kristen S. Bonatz, Deputy General Counsel and
Policy Administrator**

**Enyonam K. Williams, Associate General Counsel and
University Compliance Director**



**UNC
GREENSBORO**

*Office of Institutional
Integrity and General Counsel*

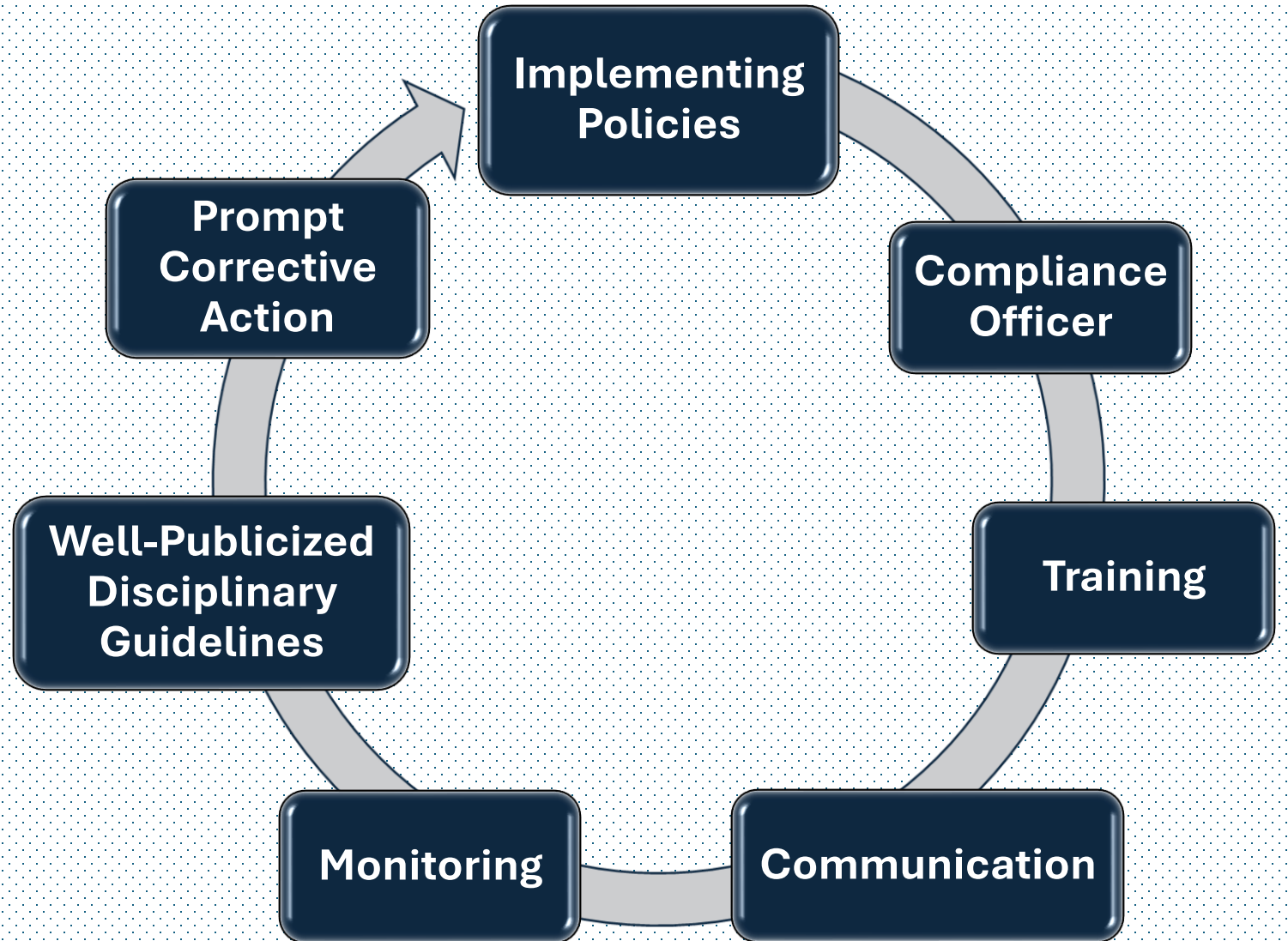


AGENDA

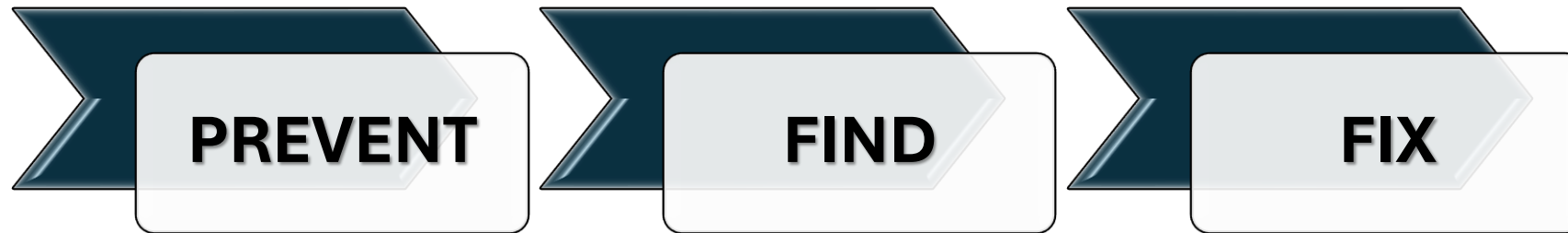
- Overview:
 - Compliance and Integrity Program
 - Policy Program
- Priorities
- Hot Topics in Higher Education
Policy & Compliance
- Concluding Thoughts



Seven Elements of an Effective Compliance Program



Compliance and Integrity Program



- Compliance Initiative
- Origami Risk Software
 - Lists regulatory requirements
 - Tracks reporting obligations/deadlines, sends reminders, checks for compliance
- Compliance Committee
 - Identifies, Addresses, and Monitors Compliance Risks

Challenges Creating Regulatory Compliance Risks on Campus



Recent Compliance Solutions

CIVIL RIGHTS COMPLIANCE

ABOUT CIVIL RIGHTS COMPLIANCE

UNC Greensboro is committed to providing its programs and services to students, employees, and community members without discrimination, in accordance with Title VI of the Civil Rights Act of 1964.

RELATED UNIVERSITY POLICIES

[Discriminatory Conduct Policy](#)

[Events Accessibility Policy](#)

FILE A COMPLAINT

University visitors and public participants in University programs may click below to file a discrimination complaint against UNC Greensboro. UNC Greensboro students and employees should not use this form.

[File a Complaint](#)

COMPLAINT PROCESS

This process for handling discrimination complaints only applies to University visitors and public participants in University-sponsored programs and activities. UNC Greensboro students should contact the [Dean of Students Office](#). Employees should contact [Human Resources](#).

[Complaint Process](#)

CONFIDENTIAL REPORTING SYSTEM

ABOUT

ANONYMOUS. VOLUNTARY. NON-PUNITIVE.

This Confidential Reporting System captures compliance concerns about UNC Greensboro practices or the activities of its associated entities. All reports are confidential and can be submitted anonymously for transmission directly to the University Compliance Division for review.

THIS IS NOT 911 OR AN EMERGENCY SERVICE LINE

Do not use this site to report events presenting an immediate threat to life or property. Reports submitted through this service will not receive an immediate response. If you require emergency assistance, please contact your local law enforcement agency or emergency services.

This Confidential Reporting System does not replace any legal obligations to report information.

- [Report Concerning Behavior \(Non-Emergency\)](#)
- [Report Abuse or Neglect of Minors](#)
- [File a Title IX Complaint or Report Sexual Misconduct](#)

UNC Greensboro employees who, in good faith, report unlawful activity, fraud, misappropriation of State resources, public health and safety dangers, gross mismanagement/waste of monies, or gross abuse of authority, are protected against retaliation by North Carolina law. (N.C.G.S. §126-84 et seq.)



THE UNIVERSITY OF NORTH CAROLINA SYSTEM

- UNC Board of Governors Committee on Audit, Risk Management, and Compliance (CARMC)
- UNC System ERM Report
 - Risk Register

Operational, Legal, Regulatory, & Compliance Risk affecting goal 7: University Productivity

REGULATORY COMPLIANCE

- Policies, procedures, and protocols for a variety of programs, departments, and operations across campus need development and updating
- Lack of compliance procedures could present a major threat to public health, safety, funding, and grant management

UNC System Priorities

UNC System Office Compliance Priorities

- Monitoring Equality Policy Compliance
- Associated Entity Compliance/Bad Actor Policing
 - System Policy updated in March 2024 and report submitted August 31 to verify documents and oversight
 - Assisted Weatherspoon Art Museum Council (WAMC), University Investment Fund (UIF)
- P-Card Compliance

UNC System Office Policy Interests

- Demonstration Policy
- Definition of Academic Freedom



HOT TOPICS IN HIGHER EDUCATION POLICY & COMPLIANCE

- Title IX and Title VI
- Pay Equity/Transparency
- Name, Image, Likeness
- Speech and Protest
- Targeted Scholarships
- Financial Value Transparency & Gainful Employment
- Artificial Intelligence



Concluding Thoughts

Continue to Provide:

- Resources
- Training
- Policy Review/Consultation
- Updates on New Compliance Obligations

Committee Collaboration

Leverage Software Solutions

People
Policies
Practice