

COMPLIANCE PROGRAM UPDATE



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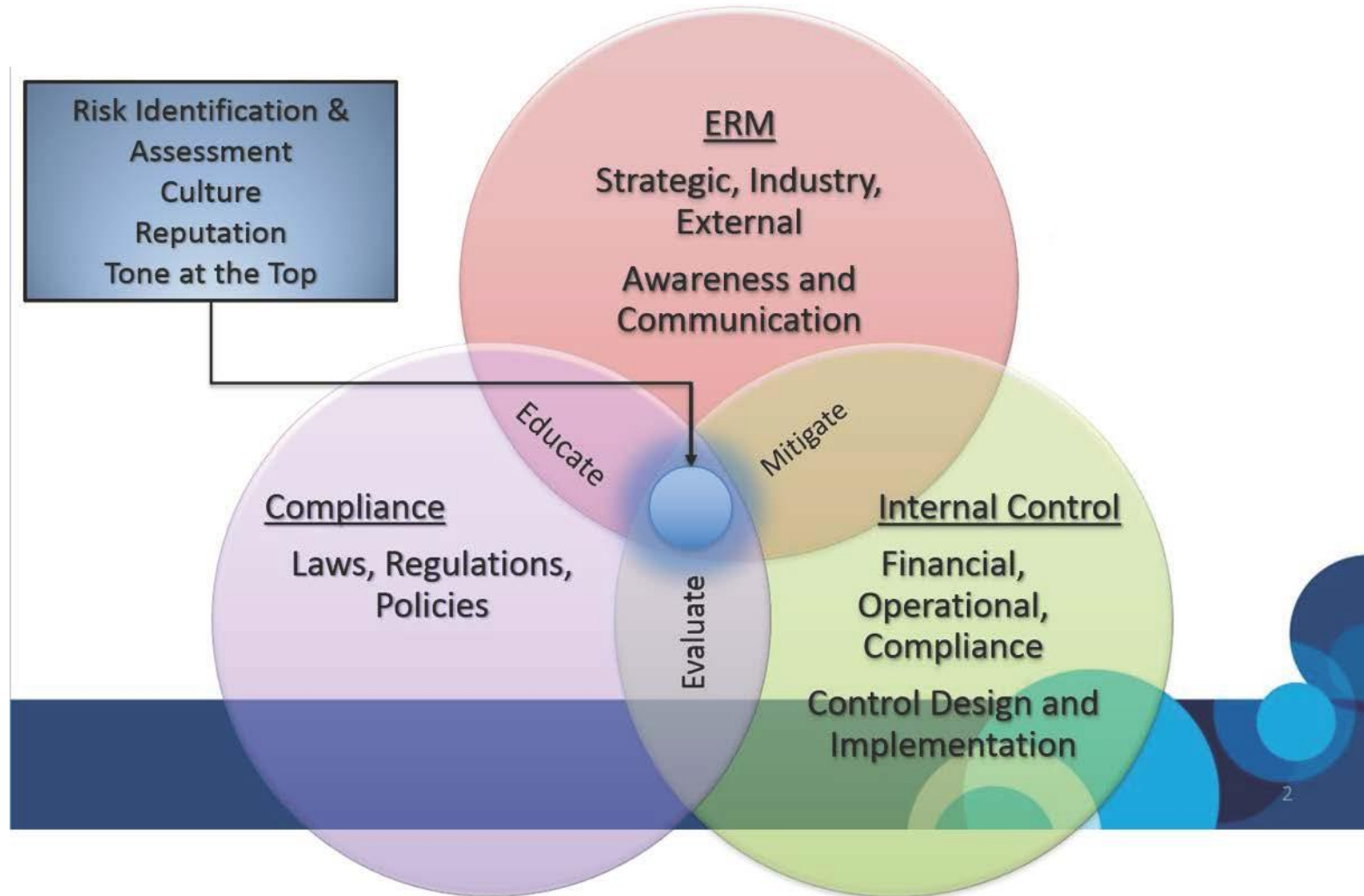
COMPLIANCE PROGRAM OVERVIEW



N.C. A&T COMPLIANCE PROGRAM

CPSEC at A&T

- N.C. A&T Compliance Program and Standards of Ethical Conduct (CPSEC) approved by the BOT in February, 2018.
- CPSC supplemented the established enterprise risk management program (ERM).
- Established to “maintain A&T’s reputation for integrity and high standards in the educational and business community.”



CPSEC AND REGULATORY COMPLIANCE

Four main categories

- Laws applied as a condition of funding that promote government's interest in research (e.g., DORED research contracts and grants);
- Laws and regulations as a condition of funding that promoted specific agenda or other interests (e.g. FERPA, Pell Grants, GI Bill);
- Laws of general application (e.g., EEO/Non Discrimination laws);
and
- Laws that regulate colleges and universities based upon tax-exempt status.

CPSEC

Key Elements

- High-level personnel will have oversight authority and have a reporting relationship to the Chancellor and Finance and Audit Committee of the Board of Trustees;
- The university has university-wide and unit specific policies and procedures and regulations;
- The university has a code of ethical conduct;
- The university will have compliance training and education programs;
- The university will have a compliance communications plan;

CPSEC

Key Elements

- Compliance standards will be enforced through published policies;
- The university has internal compliance monitoring and auditing;
- The university takes remedial and corrective action to substantiated violations of policies, laws or regulations; and
- The university will conduct routine and periodic compliance reviews and risk assessments under this compliance plan.

COMPLIANCE ACTIVITIES AND INITIATIVES

Program Components

- Compliance includes myriad legal and operational obligations.
- The compliance function of the CPSEC primarily encompasses legal obligations with a reporting or filing deadline, but also addresses day-to-day legal standards.

COMPLIANCE ACTIVITIES

Status Updates

- Completed
 - > Financial Aid Review
 - > DORED Review and Policy Development
- In-Progress
 - > Compliance Calendar
 - > Title IX Resource page and Tool-Kit
 - > Policy Review Matrix and Advisory Committee
 - > OLA Website Development
 - > Training

COMPLIANCE COMMITTEES

- Behavioral Intervention Team
- Crisis Management Team
- Identity Theft Prevention Committee
- IACUC/IRB/IBC (research)
- Industrial Hemp Work Group
- SART/CCRT – Title IX
- Diversity & Inclusion Committee
- Export Controls Advisory Committee
- Chancellor’s Advisory Committee on Naming Facilities and Units
- SACSCOC Steering Committee
- Emergency Operations
- EEO Committee
- Financial Aid Notice and Disclosure Compliance Committee Information Security Advisory Committee
- DAAPP (Drug and Alcohol) Committee
- HEMP research advisory Committee

POLICY REVIEW AND CREATION

Meeting Materials

- > New Policies
 - 34 new policies including, but not limited to, a new Policy on Policies governing the policy creation, approval, and review process.
- > Revised Policies
 - 75 revised policies including, but not limited to, substantial reviews to the Faculty Handbook.
- > Policies in Progress (New) - 13
- > Policies in Progress (Review) – 4

QUESTIONS?

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