UNCW’s
Coordinated Compliance, Policy, and Ethics Program

Annual Update
May 2017– April 2018

Jim Koebel
Assistant General Counsel for Compliance
Overview

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<th>Compliance Program Pillars</th>
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**Compliance** – Includes legal and operational obligations. Primarily encompasses legal obligations with a reporting or filing deadline, but also addresses day-to-day legal standards.

**Policy** – Addresses issues with university-wide impact, can ensure compliance with external standards, and create internal mechanisms for achieving operational goals. Focuses on the ongoing review and updating of existing policies, as well as the creation of policies to respond to new legal requirements and/or emerging higher education issues.

**Ethics** – UNCW’s existing commitment to an ethical workplace culture is embodied in Policy 02.310, Ethics. Ethical conduct includes legal compliance in addition to abiding by professional standards and codes of conduct, and applies to all members of the university community in all of its academic and administrative operations. Seeks to ensure: (i) reporting processes are available and made known, (ii) subject-specific policies contain appropriate ethical standards, and (iii) accountability exists.
Compliance

Completed Projects

- **Compliance website**
  A compliance website, housed within the Office of General Counsel site, has been launched. The website describes each of the Program’s pillars (compliance, policies, and ethics) and contains compliance-related resources, such as a compliance calendar, information on policy development, and how to report ethical concerns. [https://uncw.edu/compliance/](https://uncw.edu/compliance/)

- **Athletics investigations**
  In conjunction with Athletics, reviewed and updated investigatory procedures for compliance and best practices.
Compliance

Ongoing Projects & Initiatives

- **Compliance Calendar**
  
  Housed on the compliance website, a campus-wide compliance calendar lists filing and reporting deadlines as well as programmatic compliance owners. The centralized maintenance of an up-to-date compliance inventory will facilitate the University’s encouragement of legal compliance. A preliminary calendar has been posted to the compliance website, with additional data to be added as an ongoing project.

- **Compliance Reporting**
  
  A system to report compliance projects, needs, and trainings is being piloted. The reporting system is reflective of best practices and is intended to facilitate communication with the Assistant General Counsel for Compliance and prioritization of projects.

- **Compliance Committee**
  
  The Committee continues to meet several times per year. Current membership includes representatives from Human Resources, Information Technology Services, Athletics, Environmental Health & Safety, Office of Title IX & Clery Compliance, Office of Research Integrity, and the Office of e-Learning.

- **University Committee Service**
  
  Serve on 14 university committees & formal workgroups.
In-Progress Projects

- “Compliance 101” training
  Develop brief subject matter trainings that highlight university policy and procedures to provide to new and existing employees. The trainings will complement existing New Employee Orientation programming.

- Tax-exempt bond compliance
  Lead by Controller’s Office and SPARC, implement internal controls to comply with Connect NC Bond terms.
Completed Reviews

❖ 03.230 Conflicts of Interest and Commitment
   In conjunction with the Research Compliance Manager, reviewed, clarified, and revised in accordance with System policies.

❖ 04.140 Missing Residential Student Notification
   In conjunction with University Police, Housing & Residence Life, and Office of Title IX and Clery Compliance, reviewed processes and for Clery Act compliance.

❖ 05.504 Emergency Notification/05.502 Crime Reporting
   In conjunction with UPD, Office of Title IX and Clery Compliance, EH&S, and University Relations, reviewed processes and for Clery Act Compliance, and clarified roles of university stakeholders. These policies were combined to create new policy 05.505.

❖ 04.130 Student Gender-Based/Sexual Misconduct
   Annual review for compliance and best practices.

❖ Code of Student Life: Expression-Related Activity
   In conjunction with multiple units within the Office of Student Affairs, reviewed for procedures and best practices.

❖ 03.380 Institutional Review Board
   In conjunction with the Research Compliance Manager, revised to ensure compliance with recently updated regulations, and to create “standard operating procedure” documents.
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Policy

New Policies

- 05.505 Crime Reporting, Timely Warning, and Emergency Response Procedures
  Combined and replaced former policies 05.504 and 05.502.
Policy

In-Progress Reviews/Revisions

- **02.100 Protocol for Establishing Policies and Procedures ("Policy on Policies")**
  
  Separate the *procedural* aspect of creating policies from the Policy. A pre-determined timeline, tracking method, and identification of stakeholders from whom feedback is required will help to ensure the timely administration of the policy process.

- **01.230 Identity Theft Prevention Program (Red Flags Rule)**
  
  In conjunction with Business Affairs and Red Flags Committee, review for procedures and best practices.

- **04.190 Disability Accommodations for Students**
  
  Review existing processes and grievance procedures.

- **02.220 Improper Relationships Between Students and Employees**
  
  Review for compliance and clarify university stance.

- **08.540 Workplace Violence Policy and Protocol**
  
  Review for compliance and update per revised State policy.

- **02.250 Protection of Minors**
  
  In conjunction with IRM, conduct a campus-wide review and assessment.
**Policy**

**In-Progress Reviews/Revisions**

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Policy

Planned Policies

- 0._._._ Data Management
  Lead by Office of the Provost & Data Governance Committee, implement data classification standards and roles for ensuring data protection.

- 0._._._ Disability Accommodations for Staff
  Address accommodation request procedures, standards, and grievance processes.

- 0._._._ Section 504/ADA Coordination and Student Grievances
  In conjunction with ADA/504 Coordinator, establish policy to reflect new role and for federal compliance.

- 0._._._ Unmanned Aerial Vehicles (Drones)
  Address parameters for obtaining and flying UAVs; address use of drones by various constituencies (e.g., faculty, student organizations, third parties); develop processes for risk management (e.g., insurance requirements, liability waivers).

- Social Media Guidelines
- Media Access Guidelines

  In conjunction with Office of University Relations, create guidelines to ensure consistent and appropriate application of media standards.
Reported Issues

- No issues reported within the Compliance Program.

Conflicts of Interest or Commitment

- UNCW’s Conflict of Interest or Commitment policy (03.230) and procedures have been reviewed, clarified, and revised, and are awaiting finalization. The Associate Provost for Research, Research Compliance Manager, and AGC for Compliance have delivered departmental trainings/presentations on COI reporting requirements and processes and continue to do so.
Other

HIPAA Assessment
- Reviewing consultant proposals for assessment of campus HIPAA controls, activities, and opportunities

Trainings
- Attended 3-day NACUA conference on higher education compliance
- Office of General delivered annual LEAD UNCW module
- Delivered FERPA training to Student Accounts

National & Regional Presentations
- “Collaborative Policy Development” presentations with Disability Resource Center Director (Association on Higher Education and Disability)
- Student misconduct records process webinar (Society of Corporate Compliance and Ethics)