Coordinated Compliance, Policy, and Ethics Program

Annual update May 2021 – April 2022

University of North Carolina Wilmington
Office of General Counsel
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Summary
This report summarizes compliance-related activities conducted since the last annual update in April 2021.

Compliance Activities and Initiatives

Completed Projects
- Privacy in data requests
- NCAA Title IX disclosure process
- Process for data protection in contracts
- HIPAA manual
- Phone system - 911 dispatch

In-Progress Projects
- DC Virgo contract terms

Ongoing Activities
- Compliance calendar
- Committee service

Policy Review and Creation

Completed Policy Reviews and Revisions
- 08.151 Background Checks of Employees
- 08.110 Recruitment and Selection Plan for Perm. and Time Limited SHRA Employees
- 08.111 Recruitment and Selection of EHRA Non-Faculty Employees
- Various HR policies

Ethics
- Nothing to report

Other
- Campus trainings
Compliance

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

Completed Projects

- Privacy in data requests
  With the Office of Institutional Research and Planning, reviewed and enhanced safeguards for data privacy in requested data analyses and reports.
- Process for data security & privacy in contracts
  With ITS and Purchasing Office, implemented contract review process to ensure consistency in data security and privacy terms.
- HIPAA manual & resource
  Led by Office of Research Integrity, finalize internal manual and resources for University researchers handling health data governed by HIPAA.
- NCAA Title IX disclosure process
  With Athletics and Title IX Director, developed and implemented process for compliance with NCAA Board of Governors requirement regarding disclosures of Title IX misconduct information from student-athletes.
- Phone system – 911 dispatch
  Led by ITS, ensure replacement of campus phone system (VoIP technology) maintained compliance with Ray Baum Act, which requires a “dispatchable location” is transmitted with 911 calls to dispatch centers.

In-Progress Projects

- D.C. Virgo contract terms
  With ITS, review contract templates used for D.C. Virgo Preparatory Academy to ensure compliance with K-12 data privacy requirements.
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 (for example, the Director of Title IX and Clery Compliance must post the Annual Security Report by October 1). The calendar ensures transparency and clarity with respect to various compliance obligations. The centralized maintenance of an up-to-date compliance inventory facilitates the University’s encouragement of legal compliance. A calendar has been posted to the compliance website, with additional data to be added as an ongoing project.

 University committee/workgroup service

- ADA/Section 504 Committee
- Clery Committee
- Data Governance Committee
- ERM Committee
- Health Insurance Portability and Accountability Act (HIPAA) Committee
- Institutional Research Board (IRB)
- Institutional Animal Care and Use Committee (IACUC)
- Return to Campus Planning Group
- Telework Work Group
- Title IX Advisory Committee

Policy

Policies address issues with university-wide impact, can ensure compliance with external standards, and create internal mechanisms for achieving operational goals. The policy function of the Program 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.

Completed Reviews

 08.151 Background Checks of Employees

Updated to reflect System-wide requirements that ensure fairness and consistency in review of employment applications.

 08.110 Recruitment and Selection Plan for Permanent and Time Limited SHRA Employees
 08.111 Recruitment and Selection of EHRA Non-Faculty Employees

Led by HR, revised to clarify processes and address best practices in recruitment.
Various HR policies

Led by HR, updated numerous policies regarding Talent Acquisition to reflect System-level changes, process changes, and best practices.

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. The ethics function of the Program seeks to ensure: (i) reporting processes are available and made known, (ii) subject-specific policies contain appropriate ethical standards, and (iii) accountability exists.

- No ethics-related issues have been reported within the Compliance program from May 2021 – to April 2022.

Other

- Trainings delivered:
  - Annual Office of General Counsel LEAD UNCW module
  - Distance Education, ADA & FERPA
  - Free Expression (student staff)