

Compliance

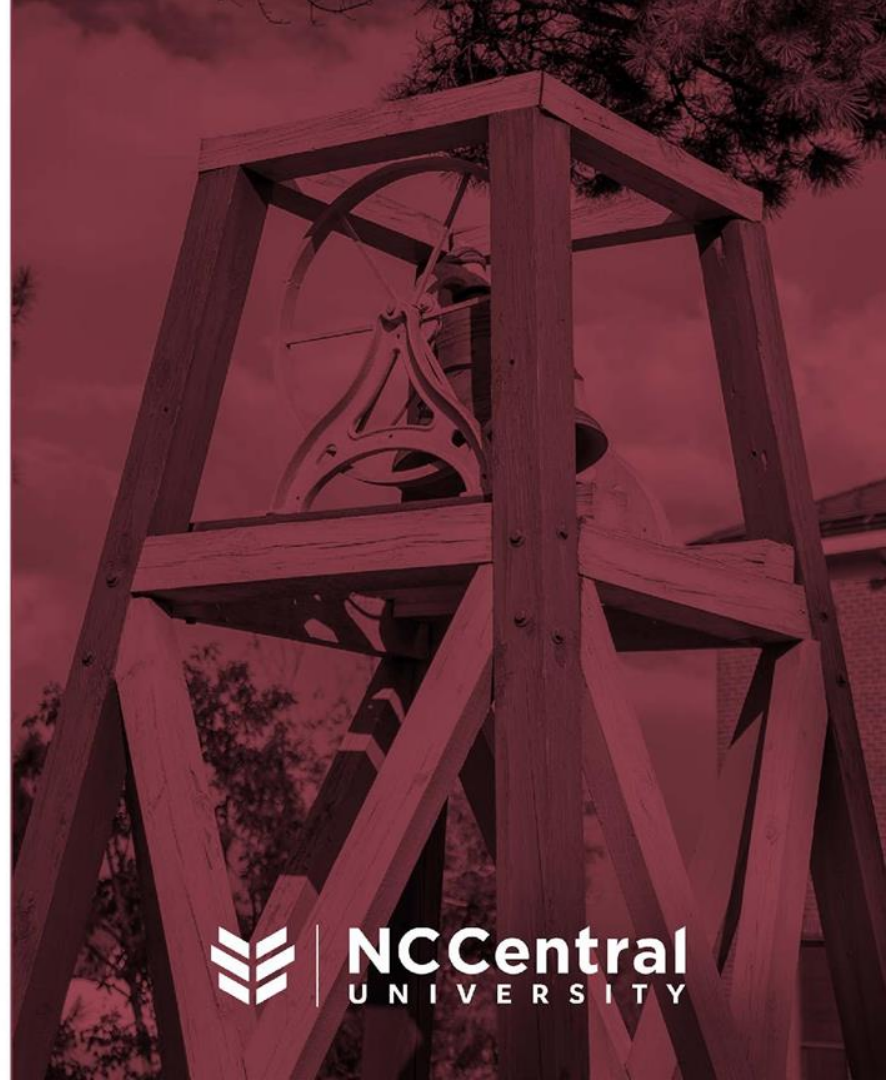
North Carolina Central University

Spring 2023

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She/her/hers
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Compliance Mission

North Carolina Central University (NCCU) is committed to creating and sustaining a university-wide culture of compliance and ethical conduct. Compliance means not only abiding by the applicable laws, regulations, policies, and ethical values in the performance of obligations and duties, but also having various polices, practices, and procedures in place which support the coordination, management, and monitoring of these established standards.



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NCCU Eagle Eye Compliance

- While most humans have 20/20 vision, eagles are blessed with an astounding 20/5 vision. That means that what looks **sharp and clear to us at 5 feet** is just as clear to an **eagle from 20 feet away**.
- At NCCU, our compliance program has to not just look at the current compliance landscape but to look ahead at the compliance forecast of what is on the horizon. If we ensure the quality of the services we render are exceptional, no amount of audit or scrutiny will affect us. We will welcome reviews from outside regulators and auditors because we have established the Eagle Eye standard.
- ***Remember: “We are what we repeatedly do. Excellence, then, is not an act, but a habit.”***



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Compliance has been working . . .

Compliance Officials Working Group Established

Initial Meeting in February 2023 with all university staff who have compliance related duties. We continue to meet the 2nd Thursday of each month

Joined University Enterprise Risk Manager Compliance Group

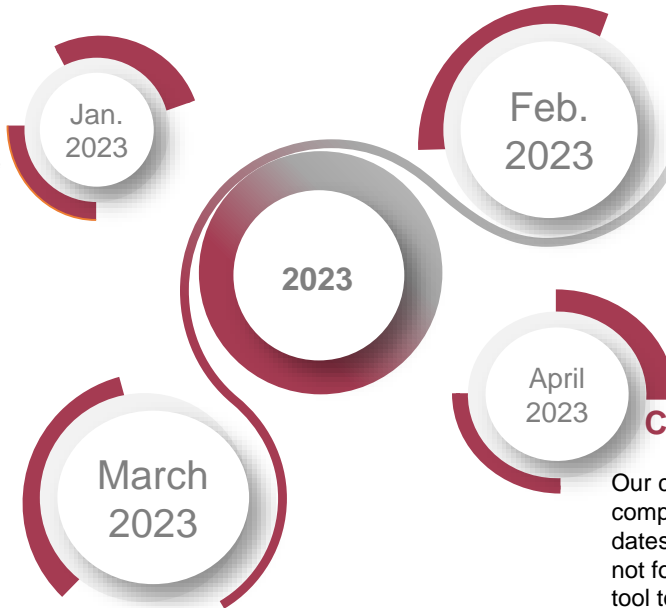
Each month this group meets to address risk(s) that all UNC System colleges/universities face. This group also address compliance related areas that affect risk and safety.

Eagle Eye Compliance Program Webpage

We have created an official Eagle Eye Compliance Program. We are establishing a University compliance plan that aligns with the NCCU Strategic Plan.

Compliance Calendar & Matrix Created

Our compliance calendar keeps track of all the compliance items for your department, their due dates and the associated information so you will not forget any crucial deadlines. You can use a tool to cross-reference each area — our compliance matrix.



What will change?



Division of Accountability

Point of Contact

Level 3

Tasked with developing subject matter content and reviewing and improving compliance efforts.

Compliance Manager

Level 2

Communicates expectations and helps to establish evaluations of university employees on their compliance efforts.

Responsible Official

Level 1

Ensures supervisors establish compliance expectations for employees



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What's Next?

Establishing a full Compliance Plan

- In a university setting, compliance is less about regulating individual behavior; instead compliance is more about understanding applicable regulatory requirements that apply to university activities as an institution and ensuring we meet them. We need one document that guides NCCU and maintains compliance university-wide.

Participation in National Compliance & Ethics Week 2023 (Nov. 5-11)

- Corporate Compliance & Ethics Week® began in 2005 to shine a spotlight on the importance of compliance and ethics. The core principles of the week are awareness, recognition, and reinforcement.

Tier (Group) 2 Collaboration Group

- NCCU along with Appalachian State, UNC-Wilmington, and Western Carolina University have a group that will meet quarterly to address compliance related matters that affect our group specifically. We will share resources and practices that have been successful at our respective universities.



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SOCIETY LAW EXPENDITURE REGULATORY INTELLIGENCE

ASSURANCE ADMINISTRATION QUALITY

AGENCY transparency secure condition

OPERATION COMPANY REGULATORY

REGULATION STRATEGY TEACHING PROCESS

work business REGULATE STANDARD

PROCESS TEACHING SOCIETY LAW LAW

COMPLIANCE

REVIEW AGENCY regulatory LAW PROHIBITIVE EXPENDITURE

CONDITION work REGULATE QUALITY

ADMINISTRATION review INTELLIGENCE

BUSINESS STANDARD STRATEGY

WORK LAW PROHIBITIVE COMPANY

ASSURANCE

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