

# Compliance Office North Carolina Central University

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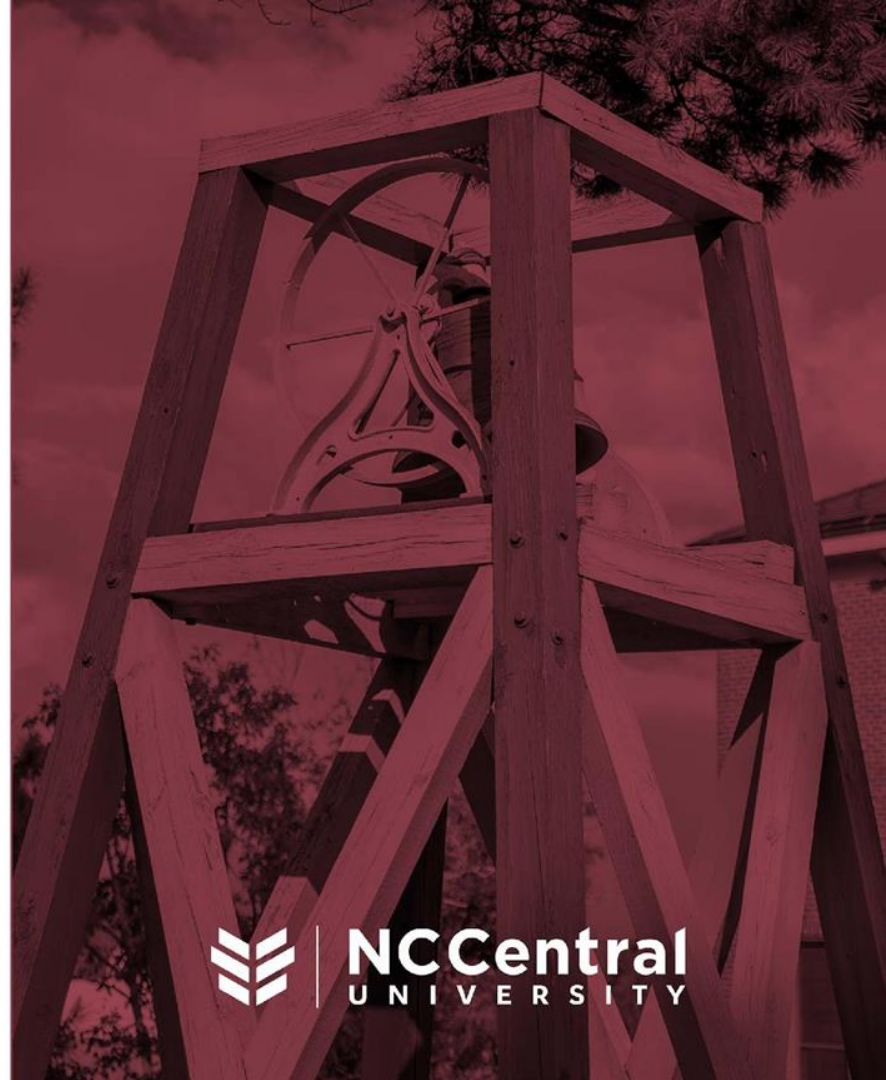
## FY2023-24 Compliance Overview

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# FY2023-24 Review Compliance Program

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- North Carolina Central University (NCCU) has shown commitment to establishing a culture of compliance and ethics in 2022. We know that culture can take 4-6 years to truly take place and we have begun to shift the climate of compliance which can occur within 1-2 years.
- We have been acknowledging our compliance risks this year and now we are ready to work on reducing the impact and the likelihood of that risk occurring at NCCU. We thank you for being apart of the plan to ensure compliance is achieved and maintained at NCCU.



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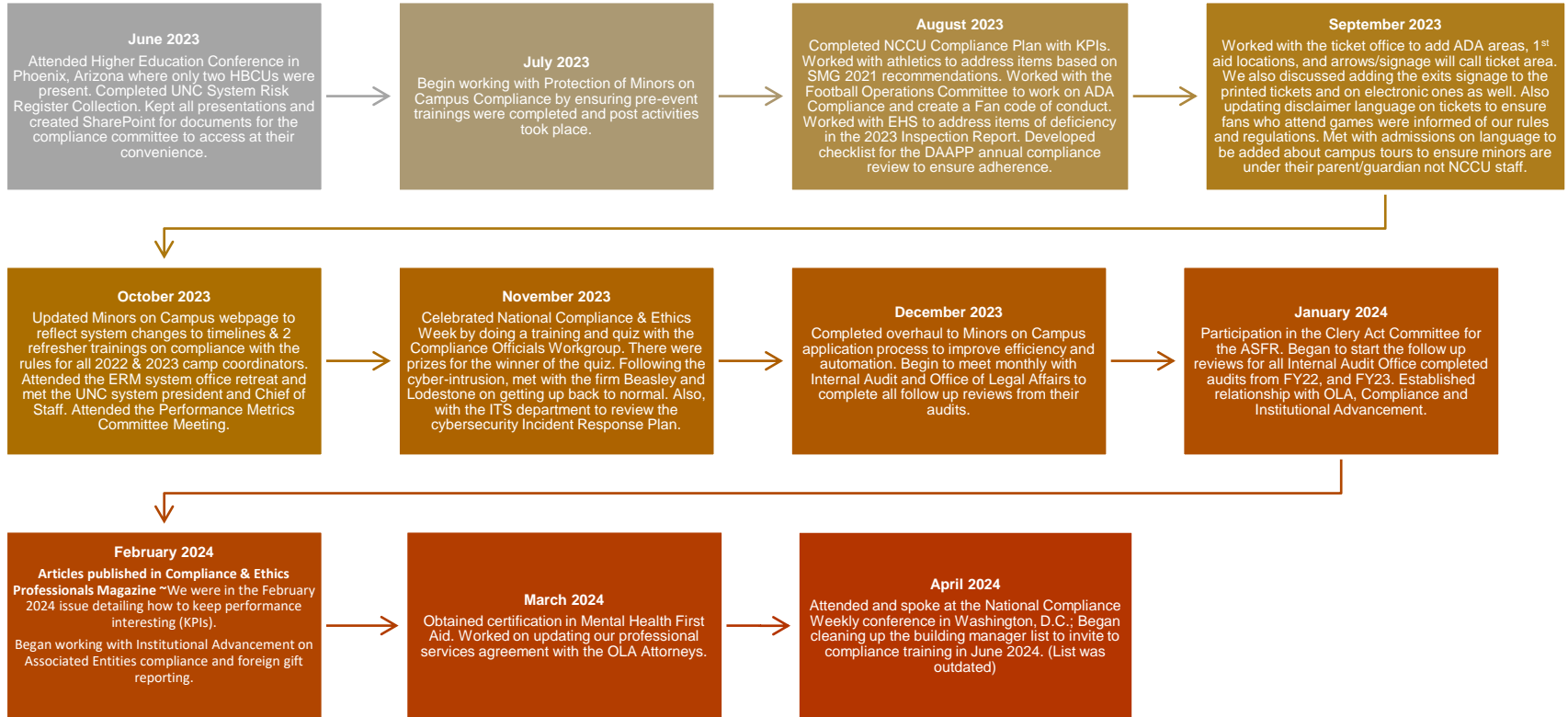
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# Progress on FY2023-24 Objectives

Summary of FY2023-2024 Objectives and Progress Made

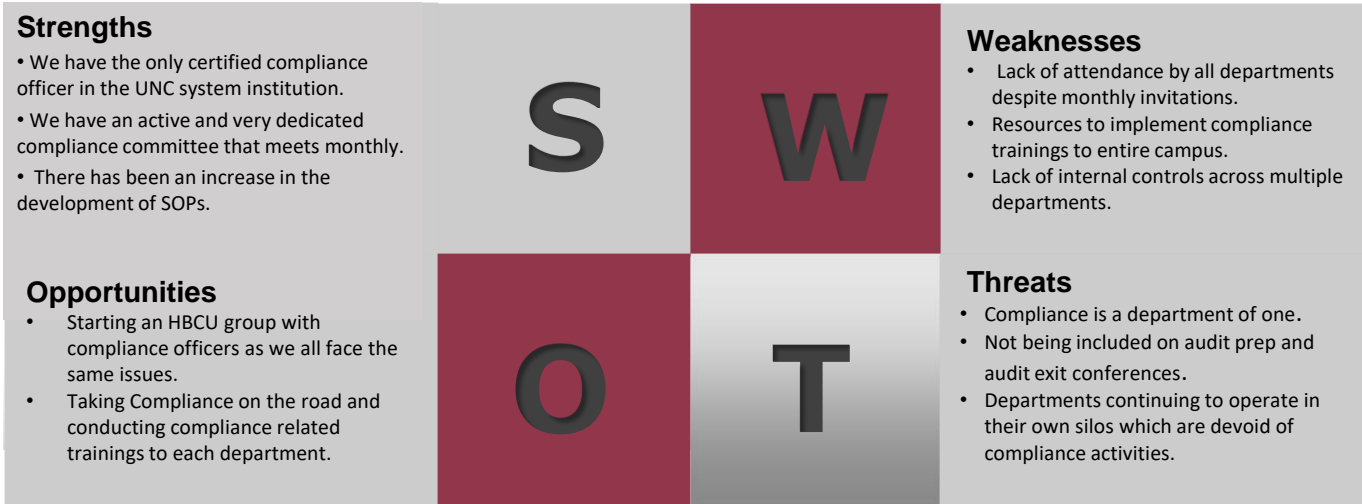
Objective	Initiative to Meet Objective	Results
Establishing a full Compliance Plan & Compliance Officials Workgroup	Develop a full compliance plan based on the university strategic goals and input from the monthly meetings with compliance officials from across the campus.	✓ Plan completed August 2023
Spread knowledge of compliance with the Participation in National Compliance & Ethics Week 2023	Created a two-minute video to be displayed on residential, classroom and cafeteria screens to allow the entire campus to learn about compliance.	✓ Video has been added. We are already planning for November 2024 events across campus.
Tier/Group 2 Collaboration Group	Establish a group to meet with compliance officers from institutions in our Tier and all UNC system institutions.	✓ We meet the 3 <sup>rd</sup> Friday of each month.
Expand collaborative relationships across the entire campus.	To establish a compliance officials' workgroup that meets each 2 <sup>nd</sup> Thursday of the month using in person and virtual attendance.	✓ We are averaging 18-22 each month who attend from various departments including deans, and department leaders.
Obtain Certified Compliance and Ethics Professional status	Thru the Society for Corporate Compliance & Excellence, the compliance manager will be certified as a CCEP.	✓ On March 18 <sup>th</sup> , certification was achieved and the only certified compliance officer in UNC system.

# FY2023-24 Compliance Work Completed



## SWOT ANALYSIS

Compliance Program @ NCCU



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# What's next?

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## **Implementing Full Compliance & Risk Plan**

- Now that we have a full compliance plan and appropriate KPIs to work on, we will begin the work! We will add homework for each department to work on to ensure compliance is being discussed not just with our workgroup but in each department. We will also create mini-workgroups to work with each department on our 2024 risk register. We must begin to mitigate each risks to reduce the likelihood of occurrence as well as causing reputational or financial damage to the agency.

## **Speaking at 2024 Higher Education Compliance Conference in New Orleans, Louisiana.**

- We have been invited to speak on the role of Compliance at HBCUs.

## **Compliance on the Road!**

- The compliance officer will be meeting with every department to ensure that compliance activities are taking place and to provide guidance if no activities are in place.

Discover what's Central to you.



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QUESTIONS?

# Compliance

## North Carolina Central University

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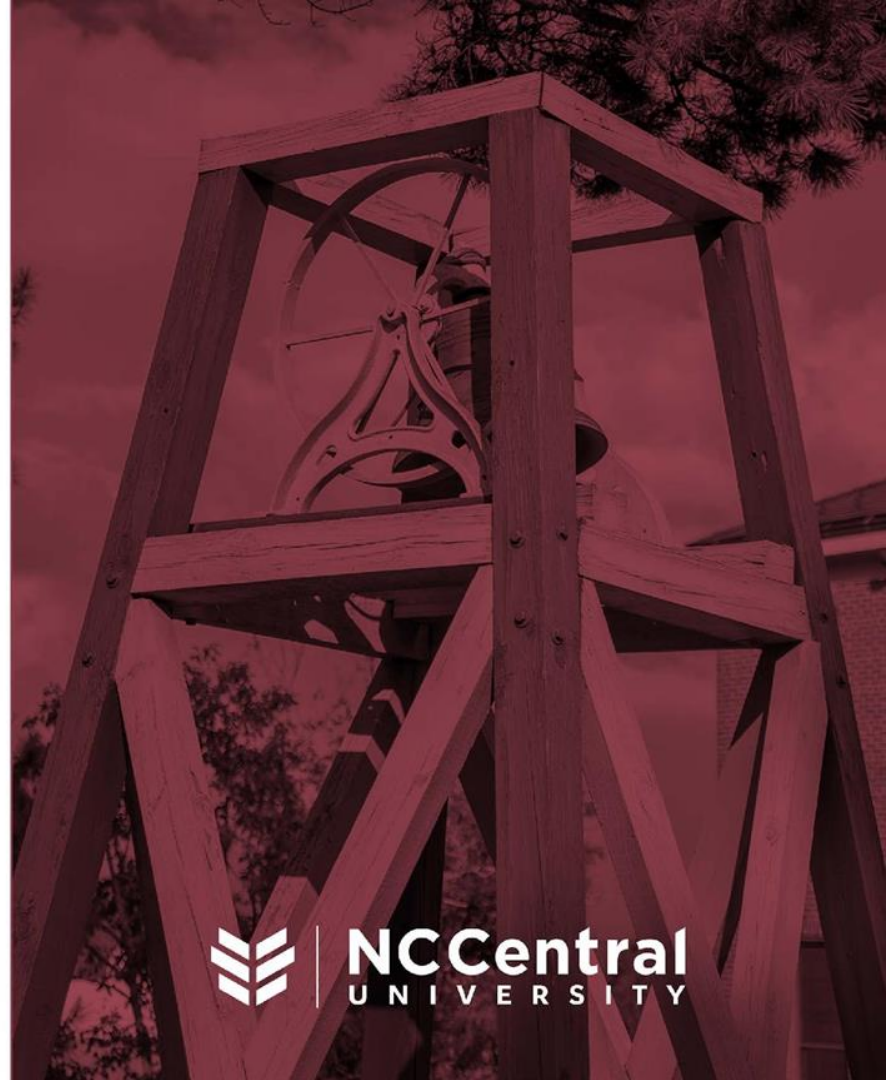
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