


NC STATE UNIVERSITY

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MEMORANDUM

TO: Warwick Arden
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Marc Hoit
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FROM: W. Randolph Woodson 
Chancellor

SUBJECT: University Compliance Steering Committee

DATE: August 2, 2013

Integrity in our work and compliance with applicable laws and regulations are critical to our success as a major research institution. It is therefore imperative that the university maintain an effective organizational compliance and ethics program. In order to provide executive leadership and oversight of this program, I am forming the University Compliance Steering Committee (UCSC) and appointing each of you as a UCSC member. My office will schedule your first meeting in the near future, at which time I will further discuss your charge.

The UCSC's mission is to promote excellence in our compliance efforts to assure compliance with our legal, regulatory, and ethical responsibilities. The UCSC is responsible for approving the university's ethics, compliance, and training priorities and has oversight responsibility for the University's compliance efforts, including fulfillment of these priorities. The UCSC will also serve as the primary point of contact for the administration on organizational compliance matters with the Audit, Risk Management and Finance Committee of the Board of Trustees.

The primary locus of compliance with applicable laws and regulations is in the academic and administrative units throughout the University, where the authority for policy development and the responsibility for implementation of compliance reside. A Compliance Officials Working Group (COWG) comprised of those officials with executive responsibility for key compliance areas and other appropriate officials should therefore also be formed. The UCSC should identify and appoint the members of the COWG as one of its first actions.

The UCSC should serve as an open avenue of communication on compliance issues among senior management and with the various university Compliance Officials. The UCSC should meet at least quarterly to review, discuss and provide direction regarding:

- a. the university's compliance environment and the substantive compliance initiatives for which the university's academic and administrative units are responsible;
- b. the priorities of the major units involved in compliance;
- c. the activities of the university's Compliance Officials and the COWG;
- d. any significant compliance issues and related corrective action plans;
- e. notices issued by regulators or other reports of alleged compliance violations, including;
- f. reports to any compliance hot line maintained by the university, and any related investigations;
- g. proposed new and revised compliance policies, rules, or regulations.

Deputy General Counsel Mike Poterala, supported by the Office of General Counsel, will serve as staff to the UCSC and Chair of the COWG.