

UNC OFFICE OF ETHICS AND POLICY

FY 2021 REPORT

Mission: To promote a culture of transparency and accountability at Carolina.

1. Sustain University Policy and Infrastructure:

Enhance operational transparency and accountability by making University policies publicly accessible and up-to-date.

Sustain University Policy and Infrastructure

- Coordinate timely review of university policy documents
- Convene policy working groups
- Manage university policies and policy platform

2. Assist University Stakeholders with Policy Research:

Empower University stakeholders to generate actionable and effective policies through policy research and consultation.

Assist University Stakeholders with Policy Research

- Benchmark with peer institutions
- Maintain a customer service-oriented mindset
- Coordinate with University stakeholders
- Field on-going and ad hoc research inquiries

3. Address Institutional and Individual Threats to Integrity:

Provide resources that help create an ethical culture enabling everyone to thrive and feel a sense of belonging.

Address Institutional and Individual Threats to Integrity

- Respond to reports received through Carolina Ethics Line to ensure that every situation and concern is properly addressed
- Continue to grow Integrity Advisors and Speak Up Carolina to promote an inclusive and ethical campus culture

4. Anticipate Risks to University Policy and Integrity:

Remain proactive in identifying threats to the University's integrity and ensuring that policies evolve to address emerging issues.

Anticipate Risks to University Policy and Integrity

- Identify, track, research, and analyze risks or threats in higher education
- Conduct environmental scans of current events, researching potential implications for University operations and climate

Sustain University Policy and Infrastructure

Customized electronic platform and strengthened infrastructure to support policy process. Edited 1,041 Policies, Procedures, and Standards in the electronic policy platform.

Published a Policy Equity Audit highlighting issues of accessibility in University policy.

Recruited, trained, and supervised 12 unpaid undergraduate intern analysts.

Distributed monthly reports on overdue policies and policy revisions. Emailed newsletters highlighting IIRM activities, ethics issues, and policy updates.

Held monthly meetings of the pan-University Policy Review Committee.

Assist University Stakeholders with Policy Research

Collaborated with campus units on policy development and updates.

Created reports for University leaders on biometrics, value-based policymaking, protection of minors, and conflicts of interest.

Participated in cross-disciplinary groups with policy implications including Staff Advisory Committee to the Chancellor, Digital Accessibility Liaisons, Enterprise Data Coordinating Committee, Employee Forum, and the University Diversity, Equity, and Inclusion Council.

Address Institutional and Individual Threats to Integrity

Responded to 76 cases in Carolina Ethics Line. Coordinated complex, high risk, and high visibility cases. With Internal Audit, assessed other UNC-Chapel Hill reporting mechanisms and revised hotline policy and procedures.

Celebrated Global Ethics Month with campus speakers, panel presentations, social media campaign, and an Ethics Bowl competition with the Parr Center.

Provided personal and organizational ethics support, trainings, and consultations.

Fostered discussion of shared values and a Carolina ethics statement.

Anticipate Risks to University Policy and Integrity

Assessed integrity challenges and climate in monthly Integrity Advisor meetings.

Partnered with national and global organizations including IFSW, EASWR, university policy associations, ACUPA, benchmark institutions, and NAVEX.

Developed a Risk Framework and assessed University policy documents on dimensions such as reputational, financial, legal, operational, and ethical risks.

Identified and communicated risks with IIRM colleagues, Internal Audit, and University leadership.

Goals for July 1, 2022 – June 30, 2023

Improve the professionalism, timeliness, and responsiveness of Carolina Ethics Line investigations.

Institutionalize risk and equity reviews within the existing University policy process.

Increase University-wide fidelity to the official University policy process.

Reduce the backlog of unreviewed policies.

Refine metrics to track progress of University policy document reviews, revisions, and compliance with the University policy process.

Form a relationship with the UNC System Policy Office to ensure that the Office of Ethics and Policy is the primary conduit for policy updates between the System Office and campus.

Collaborate with Internal Audit and IIRM colleagues on the establishment of a university-wide enterprise risk management (ERM) framework.

Refine statements of ethics, seek targeted and broad input, and utilize October (ethics and compliance month) to advance the Carolina ethics statement initiative.

Elevate ethics and policy initiatives to the newly formed Audit, Compliance, and Risk Management Committee of the UNC-Chapel Hill Board of Trustees. Seek BOT support and influence to improve policy and integrity culture on campus.