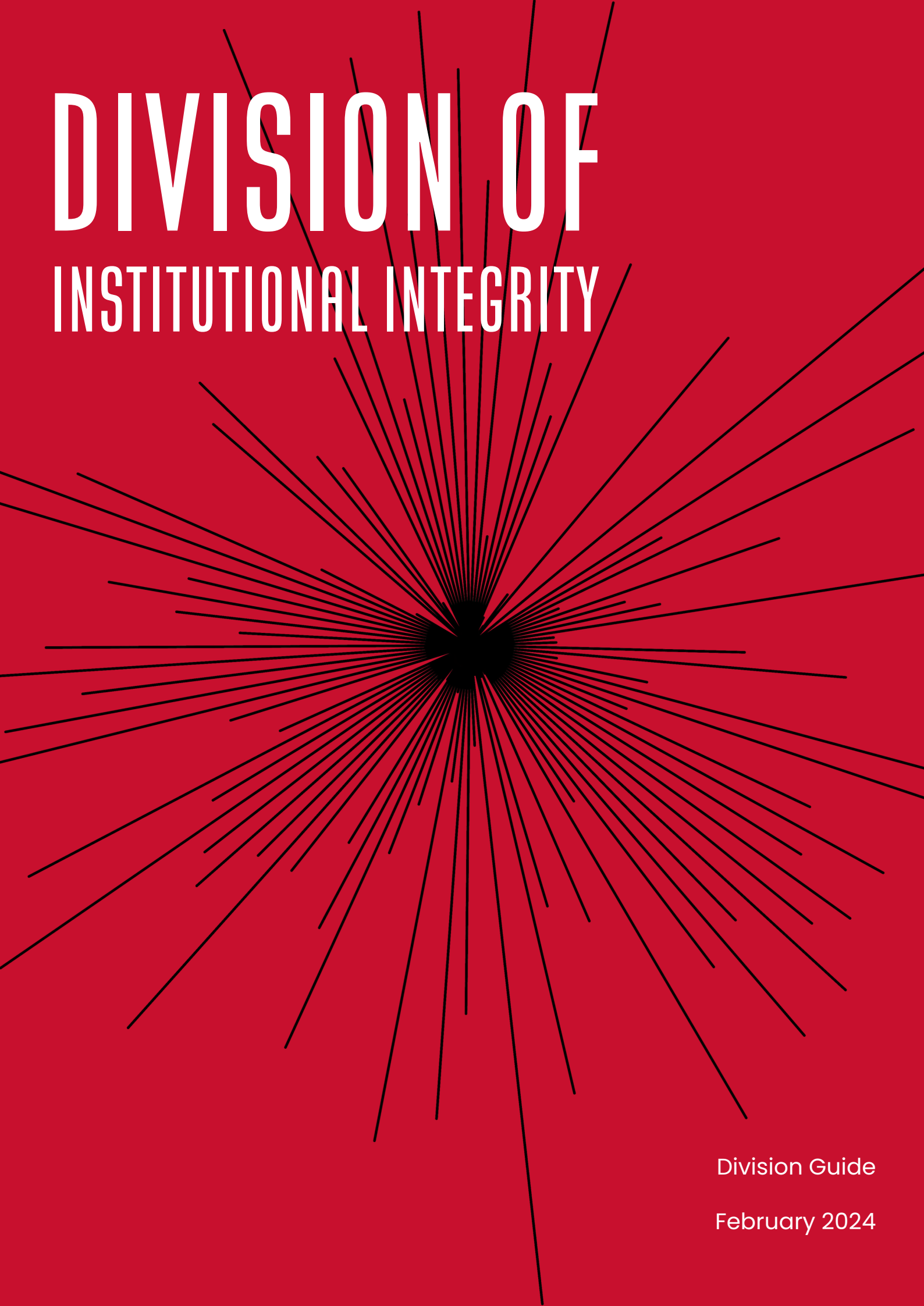


# DIVISION OF INSTITUTIONAL INTEGRITY



Division Guide

February 2024



## Abstract

The Division of Institutional Integrity at Winston-Salem State University ensures excellence, ethical conduct, and responsible governance by overseeing departments dedicated to protecting the University's core objectives through innovative processes and a focus on ethics, compliance, and safety.

### Key Focus Areas:

1. **Ethical Governance:** Upholding high ethical standards in all university operations.
2. **Compliance Assurance:** Ensuring adherence to laws, policies, and procedures.
3. **Risk Management:** Proactively identifying, assessing, and managing risks.
4. **Innovative Solutions:** Promoting creative and responsible approaches.

**Mission:** Enrich the WSSU community by empowering individuals, departments, and organizations to fulfill their missions with integrity, compliance, and confidence in ethical conduct.

**Vision:** Aspires to be a respected and trusted partner, known for innovation, expertise, and unwavering support in navigating University compliance, ethics, and risk management.

### Department Summaries

**Office of Legal Affairs:** Ensures legal integrity and ethical conduct by providing comprehensive legal advice, policy reviews, compliance counseling, contract negotiation, and legal representation.

**Office of Internal Audit:** Contributes to organizational value by conducting risk-based audits, offering objective assurance, providing advice and insight, assessing compliance, and strategically supporting the University's mission.

**Office of Title IX:** Dedicated to fostering a secure, respectful campus by enforcing policies, providing education and training, conducting impartial investigations, leading prevention efforts, and offering support services for Title IX compliance.

**Office of University Compliance & Ethics:** A pivotal force in upholding the institution's commitment to excellence, ethical conduct, and responsible governance. Oversees comprehensive compliance, risk management, ethical conduct promotion, Compliance & Ethics Program Plan creation, targeted training, and collaborative partnerships.

In summary, the Division of Institutional Integrity at WSSU is a multidimensional entity ensuring ethical and compliant operations, risk mitigation, and fostering a culture of integrity across the university. Each office within the division plays a distinct role in upholding these principles and contributing to the overall success and resilience of Winston-Salem State University.

# Division of Institutional Integrity

## 1. Introduction

The Division of Institutional Integrity at Winston-Salem State University was created in 2022 to serve as the guardian of the university's commitment to excellence, ethical conduct, and responsible governance. It oversees various departments dedicated to safeguarding the University's teaching, research, and public service mission. Through their commitment to innovative processes and a strong emphasis on ethics, compliance, and safety, these departments aim to protect and enhance the university's core objectives.

This Division reflects an unparalleled commitment to the coordinated management of a university-wide compliance and risk operation. It incorporates existing campus functions directly addressing compliance and integrity, including the Office of Legal Affairs, the Office of Internal Audit, the Office of Risk & Compliance, and Title IX. This comprehensive approach positions the University to identify, assess, manage, and mitigate risks that may hinder its academic mission or strategic objectives.

Establishing a dedicated division for oversight enables the University to responsibly pursue new opportunities and explore creative solutions to both internal and external challenges, striking a balance between expediency and prudence. The Division's responsibility is to foster a culture of integrity, compliance, and safety throughout the institution, ensuring that the core values of teaching, research, and public service are protected and preserved.

### Key Focus Areas:

1. **Ethical Governance:** The division is dedicated to upholding the highest ethical standards in all aspects of university operations. We guide and support the University community in making decisions aligned with ethical principles and legal obligations.
2. **Compliance Assurance:** Ensuring adherence to federal, state, and local laws, as well as internal policies and procedures, is at the core of our responsibilities. The division provides oversight to safeguard the institution's compliance with legal requirements and mitigate potential risks.
3. **Risk Management:** We proactively identify, assess, and manage risks that could impact the university's academic mission and strategic objectives. By implementing effective risk management strategies, we strive to enhance the resilience and sustainability of the institution.
4. **Innovative Solutions:** The division actively promotes innovative and responsible approaches to address challenges and opportunities. We encourage a mindset that allows the University to explore novel solutions while maintaining a commitment to prudence and responsibility.

## 1.1 Mission

The mission of the Division of Institutional Integrity is to enrich the WSSU community by empowering individuals, departments, and organizations to fulfill their missions with integrity, compliance, and confidence in ethical conduct.

## 1.2 Vision

The Division of Institutional Integrity aspires to be a respected and trusted partner, known for its innovation, expertise, and unwavering support in navigating the complexities of University compliance, ethics, and risk management.

## 2. Office of Legal Affairs

The Office of Legal Affairs at the university plays a pivotal role in providing comprehensive legal support and guidance to various stakeholders. This includes offering timely and accurate legal analysis and counsel on a broad spectrum of matters to the Chancellor, Board of Trustees, administrators, faculty, staff, and students. The office is actively involved in policy review, ensuring that proposed policies align with legal requirements.

Additionally, the Office of Legal Affairs counsels the university on compliance with state and federal laws, aids in contract negotiation and drafting, and represents the institution in legal matters such as litigation and regulatory proceedings. The office also contributes to risk management efforts by identifying and assessing legal risks, and it actively engages in legal education and training programs for university stakeholders. Collaborating with external legal counsel, the office ensures effective representation of the university's legal interests and conducts ongoing legal research to stay abreast of changes in laws and regulations. The Office's proactive legal approach involves anticipating and addressing legal issues before they escalate, thereby contributing to the overall risk management and compliance efforts of Winston-Salem State University.

### Key Responsibilities:

1. **Legal Guidance and Counsel:** We offer timely, accurate, and thorough legal analysis and counsel to the Chancellor, Board of Trustees, administrators, faculty, staff, and students of WSSU. This includes advice on a wide range of legal matters impacting the University.
2. **Policy and Procedure Review:** The Office of Legal Affairs advises the University on the legal implications of proposed and established policies and procedures. We work to ensure that these policies align with legal requirements and the University's strategic objectives.
3. **Compliance Assurance:** We counsel the University to ensure compliance with state and federal laws, as well as administrative regulations. This involves staying current with legal developments that may impact the University and providing proactive guidance to mitigate legal risks.

4. **Contract Negotiation and Drafting:** The office is responsible for drafting, reviewing, and negotiating University contracts, safeguarding the institution's interests while fostering collaborative relationships with external parties.
5. **Legal Representation:** The Office of Legal Affairs represents and manages the University's legal interests in various matters, including litigation, regulatory proceedings, and other legal disputes.

### 3. Office of Internal Audit

The Office of Internal Audit at the university holds a multifaceted role in enhancing and protecting organizational value. Responsibilities include conducting risk-based audits to identify areas of improvement and assess compliance with policies and regulations. Providing objective assurance to senior leadership and the Board of Trustees ensures the effectiveness of internal controls, risk management practices, and governance processes. The office offers proactive advice and recommendations to strengthen internal controls and improve overall administrative and academic functions. Additionally, the Office of Internal Audit ensures compliance assessment with regulatory requirements, ethical standards, and institutional policies. Collaborating strategically with university management, the office aligns audit activities with strategic objectives, identifies opportunities for improvement, and supports the achievement of the university's mission and goals.

#### Key Responsibilities:

1. **Risk-Based Audits:** Conducting comprehensive risk-based audits across various University departments and functions to identify potential areas of improvement, assess compliance with policies and regulations, and enhance overall operational efficiency.
2. **Objective Assurance:** Offering objective and independent assurance to senior leadership and the Board of Trustees regarding the effectiveness of the University's internal controls, risk management practices, and governance processes.
3. **Advice and Insight:** Providing proactive advice and insightful recommendations to University stakeholders to strengthen internal controls, mitigate risks, and improve the overall effectiveness of administrative and academic functions.
4. **Compliance Assessment:** Ensuring adherence to regulatory requirements, ethical standards, and institutional policies by evaluating the University's compliance with applicable laws, regulations, and internal policies.
5. **Strategic Support:** Collaborating with University management to align audit activities with strategic objectives, identifying opportunities for improvement, and supporting the achievement of the University's mission and goals.

#### 4. Office of Title IX

The Office of Title IX at the university is dedicated to fostering a safe and respectful campus environment free from discrimination, harassment, and sexual misconduct.

Responsibilities include enforcing and overseeing the implementation of Title IX policies to align with federal regulations, promoting awareness through educational programs and training initiatives, conducting impartial investigations into complaints, facilitating fair resolutions, and collaborating on proactive prevention programs. The office provides support services and resources for individuals affected by discrimination or misconduct under Title IX while ensuring the university's compliance with Title IX requirements. Overall, the Office of Title IX actively works to ensure a just and impartial educational experience for all members of the university community.

##### **Key Responsibilities:**

1. **Policy Implementation and Oversight:** Enforce and oversee the implementation of Title IX policies to create a campus environment that aligns with federal regulations and prioritizes safety.
2. **Education and Training:** Develop and deliver comprehensive educational programs and training initiatives to raise awareness about Title IX rights, reporting procedures, and individual responsibilities.
3. **Investigation and Resolution:** Conduct impartial and thorough investigations into complaints of discrimination, harassment, sexual misconduct, and retaliation. Facilitate resolution processes that prioritize fairness and the well-being of all parties involved.
4. **Prevention and Outreach:** Collaborate on proactive prevention programs, campaigns, and workshops to cultivate a culture of respect, consent, and bystander intervention within the university community.
5. **Support Services and Compliance:** Provide support and resources for individuals affected by discrimination or misconduct under Title IX while ensuring the university stays compliant with Title IX requirements.

#### 5. Office of University Compliance & Risk

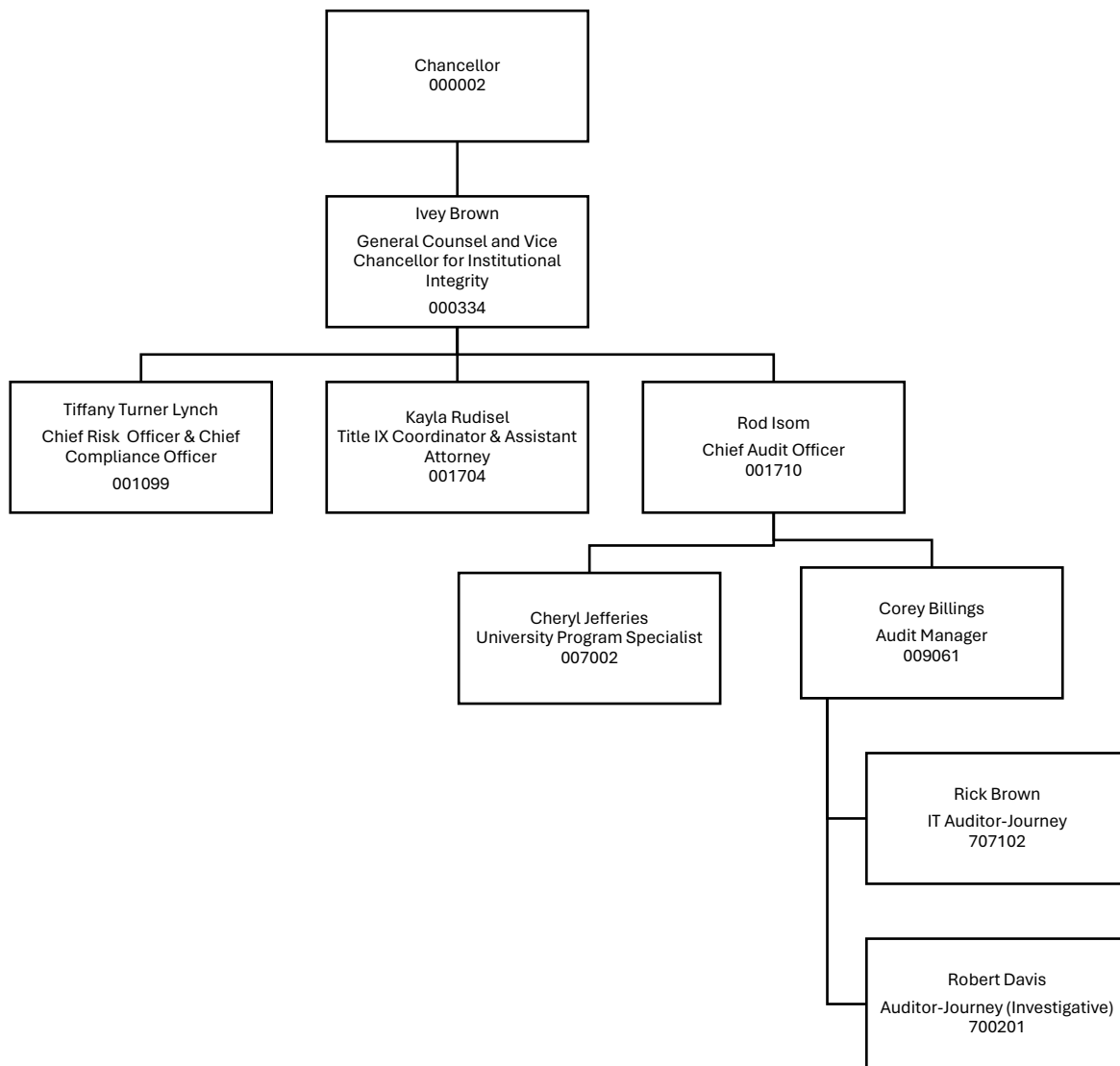
The Office of Compliance and Risk Management at the university plays a pivotal role in proactively identifying, assessing, managing, and mitigating risks while ensuring adherence to legal and regulatory requirements. Responsibilities encompass comprehensive compliance oversight, including regular assessments and corrective action strategies, as well as the systematic identification and management of risks affecting academic missions and strategic objectives. The office actively promotes a culture of ethical conduct and integrity, aligning its efforts with the university's strategic plan. It also leads the creation and management of a University-wide Compliance & Ethics Program Plan, providing a roadmap to embed compliance and ethics into daily operations. Through targeted training

and education, the office empowers university personnel to navigate compliance obligations and ethical considerations effectively. Collaborative partnerships with internal departments and stakeholders ensure a unified approach to addressing institutional challenges and opportunities related to compliance and risk.

### **Key Responsibilities:**

1. **Comprehensive Compliance Oversight:** The office diligently oversees the University's compliance with federal, state, and local laws, as well as internal policies and procedures. This includes regular assessments to identify areas of potential non-compliance and implementing strategies for corrective action.
2. **Risk Identification and Management:** We systematically identify and assess risks that may impact the University's academic mission or strategic objectives. By implementing effective risk management strategies, we strive to minimize potential adverse effects and enhance the overall resilience of the institution.
3. **Ethical Conduct Promotion:** Fostering a culture of ethical conduct is paramount. The office collaboratively works with all University stakeholders to promote ethical behavior, integrity, and a commitment to the highest standards of professional conduct.
4. **Compliance and Ethics Program Planning:** The creation and management of a University-wide Compliance & Ethics Program Plan align with the overall mission and strategic priorities of the University. This plan serves as a roadmap for embedding compliance and ethics into the fabric of Winston-Salem State University, ensuring that these principles are integral to the daily operations and decision-making processes.
5. **Training, Education, and Collaboration:** We provide targeted training and educational programs to empower University personnel with the knowledge and tools necessary to navigate compliance obligations and ethical considerations effectively. Additionally, the office collaborates closely with internal departments, the Office of Legal Affairs, Internal Audit, and other stakeholders to create a cohesive and coordinated approach to compliance and risk management. This collaborative effort ensures a unified front in addressing challenges and opportunities related to institutional compliance and risk.

## Organizational Structure



## Ways to Engage

### Division of Institutional Integrity

[browniv@wssu.edu](mailto:browniv@wssu.edu)

### Legal Affairs

[rudiselka@wssu.edu](mailto:rudiselka@wssu.edu)

[browniv@wssu.edu](mailto:browniv@wssu.edu)

[gencounsel@wssu.edu](mailto:gencounsel@wssu.edu)

[Bookings](#)

### Compliance & Risk

[turnerti@wssu.edu](mailto:turnerti@wssu.edu)

[ocr@wssu.edu](mailto:ocr@wssu.edu)

### Audit

[isomr@wssu.edu](mailto:isomr@wssu.edu)

[internalaudit@wssu.edu](mailto:internalaudit@wssu.edu)

Audit Hotline (336-750-2063)

[Audit Reporting Form](#)

### Title IX

[rudiselka@wssu.edu](mailto:rudiselka@wssu.edu)

[contacttitleix@wssu.edu](mailto:contacttitleix@wssu.edu)

[Title IX Reporting Form](#)



	<b>Misconceptions</b>	<b>Communications and Publications</b>	<b>Governing Documents and Reports</b>
<b>Division</b>		<p>Individual liability &amp; risk discussions with Executive Leadership (monthly)</p> <p>Presentation on liability and risk to Executive Leadership (quarterly)</p>	<p><b>Policies/Regulations</b></p> <p>ERM</p> <p>Regulation on Gov Docs</p> <p><a href="#">400.5-DMCA Compliance and Notification Agent</a></p> <p><a href="#">500.3-Internal Audit Hotline</a></p> <p><a href="#">500.4-Internal Audit Management Control</a></p> <p><a href="#">500.5-Internal Audit Quality Assurance and Improvement Program</a></p> <p><a href="#">600.4-Reporting Misuse of State Property</a></p> <p><a href="#">900.13-Contract &amp; Signature Authority</a></p> <p><b>Reports</b></p> <p>Division Annual Report (June)</p>
<b>Legal Affairs</b>	<p>Since a decision can cause us to be sued, Legal needs to be the decision-maker.</p> <p>Serve as personal legal representatives for individuals in the university community</p>	<p>Ram Rights Newsletter (quarterly) Legal case updates (as needed)</p>	<p><b>Unit Standards Reports</b></p> <p>Litigation report to BoT Annual Report (June)</p> <p>OSA Auditor Letter for financial audit (December)</p>
<b>Title IX</b>	<p>Title IX applies only to discrimination against women.</p> <p>Reporting to Title IX will automatically result in a formal investigation.</p>		<p><b>Unit Standards Reports</b></p> <p>Sexual Misconduct Statistics (bimonthly) Title IX Annual Report</p>
<b>Compliance &amp; Risk</b>	<p>The Office is responsible for managing risks and compliance at the department or division level.</p>	<p>Transmittal Letters –Monthly and as needed.</p> <p>University policy/regulation feedback to ocr@wssu.edu for centralization and distribution to execs (as needed)</p>	<p>(July) <b>Unit Standards Reports</b></p> <p>C&amp;E Program Plan (annual updates)</p> <p>Risk Program Plan (annual updates)</p> <p><b>Reports</b></p> <p>RICAT Risk Register (ongoing maintenance) Risk Summaries (in line with the budget process)</p>

			<p>BoT Updates (quarterly)</p> <p>UNC System Top Risks (annually)</p>
<b>Audit</b>	<p>Audit owns the risk identified and makes operational decisions for management (ex: terminate employees)</p> <p>Audit conduct investigations or reviews on behalf of employees for their benefit actually review based upon risk and assess associated processes to improve operations to better the university)</p>	<p>Audit reports (as needed to the owner of risks)</p> <p>Lunch &amp; Learn trainings (bi-annual)</p> <p>Business students intro to Internal Audit (annually - fall semester)</p> <p>Quarterly risk memo (to Executive Staff )</p>	<p style="text-align: center;"><b>Unit Standards Reports</b></p> <p>Annual Report (September) – Internal</p> <p>ARCC Meeting (Quarterly) – Internal</p> <p>Annual Administrative Audit Assessment (July) – Internal</p> <p>Annual Self-Assessment Maturity Model (SAMM) (July) – External</p> <p>Annual Unit’s Productivity Report (July) – External</p> <p>Annual Audit Plan &amp; Attestation (September) – External</p> <p>Audit Report Attestation (Quarterly) – External</p> <p>Chief Audit Officer Certification Letter (Annually – July) – September) – External</p> <p>BOT – Audit, Risk, &amp; Compliance Committee Certification Letter (Annually – July – September) – External</p> <p>Quality Assessment Review (QAR) (Every 5 Years) – External</p>