Compliance Calendar

Policy 108

1 Introduction

1.1 As an institution of higher education, Appalachian State University is subject to a wide variety of laws and regulations. In order to operate efficiently and effectively so that resources can be allocated to best support its core academic mission, employees throughout the University must be familiar with, and comply with, the laws and regulations applicable to their job responsibilities. This policy establishes a comprehensive, campus-wide compliance calendar that identifies responsibilities and reporting obligations pursuant to federal and State laws and the policies of the Board of Governors of North Carolina, The University of North Carolina General Administration, and the University. Adherence to the compliance calendar will support the University’s broader goals and responsibilities of enterprise risk management.

2 Scope

2.1 This policy applies to all University employees regardless of appointment type. Employees in supervisory positions have a particular responsibility to be familiar with this policy and to ensure that individuals reporting to them are knowledgeable of the compliance requirements applicable to their employment duties.

3 Definitions

3.1 Compliance Calendar

The Appalachian State University Compliance Calendar published at http://generalcounsel.appstate.edu/compliance-calendar, as it may be amended from time to time.

3.2 University

Appalachian State University

4 Policy and Procedure Statements

4.1 Policy to Comply

4.1.1 It is the policy of the University to comply with all laws, regulations, and policies applicable to University operations. The Compliance Calendar identifies the required compliance activity, the positions by title, offices or divisions responsible for each compliance activity, and the frequency and/or date each compliance activity is due. The Compliance Calendar, as defined above and as it may be amended from time to time, is incorporated in this policy as if set forth fully herein.

5 Additional References

5.1 Federal Laws


5.2 North Carolina General Statutes

5.1.2 North Carolina General Statutes (N.C.G.S): §§ 7B-101 and 301; 8-58.20(g); 14-234; 15A-268(a1); 17C; 36E-6; 64.; 74G-4; 90; 96; 104E; 105, 105A; 110; 114; 115; 116, 121, 126; 130A; 132; 135; 138A; 143; 146, 147; 2013 N.C. Sess. Law 360 § 7.18(6).

5.3 UNC Policy Manual and The UNC Code
5.1.3 UNC Policy Manual and The UNC Code
100.1§ 602; 200.1; 300; 300.1.3; 300.2.2[G]; 300.2.2.1[R]; 300.3.1; 300.3.3[G];
300.4.2; 300.5; 300.8.4; 400.1; 400.1.1.1[G]; 400.1.9[G]; 400.1.10[G]; 400.3.4[R]; 500.5; 600.2.1(A)(14); 600.2.5; 600.2.5.2[R];
600.6.3[G]; 600.3.4; 600.4.1.2[G]; 700.1.1, 700.1.1[R]; 700.2[R]; 700.2[R](3); 700.5.1[R]; 700.6.1[R]; 800.5.1; 800.5.1[R];
1000.1.1; 1000.1.3; 1000.1.3.1[G]; 1000.2; 1101; 1100.1(13); 1300.1; 1300.2[R]; 1300.4; 1300.5[G]; UNC Code §§ 301G, 502C.

5.4 Other

5.1.4 Other: NC Budget Manual 5.11; NCAA Division I Manual; SACSCOC Resource Manual for Accreditation; and other
policies, laws or regulations, all as may be amended from time to time.

6 Authority

UNC Policy Manual 1300.7

7 Contact Information

Office of General Counsel (828.262.2751)

8 Original Effective Date

May 23, 2016

9 Revision Dates