



CHARLOTTE SCHOOL *of* LAW

**THE COMPLIANCE CERTIFICATE PROGRAM
AT THE
CHARLOTTE SCHOOL OF LAW**

**Student Rights
and Responsibilities Manual
(Student Catalog)**

**Vol. 1
Effective May 1, 2015**

Statement of Mission, Values, Goals and Objectives

The Charlotte School of Law is a mission-driven provider of legal and other professional education. The School seeks to unlock its students' potential by enabling them to advance their careers through high-quality, practical education, with a focus on achieving positive student outcomes.

The Compliance Certificate Program

Mission: The Compliance Certificate Program will exemplify the mission of the School by enabling students to enhance their professional growth through the Certified Compliance and Ethics Professional certification.

Values: The values of the Compliance Certificate Program include:

Practice-Readiness: The Program should offer a practical education that will prepare students to add immediate value to the organizations in which they will work.

Accessibility: The Program should be accessible to a diverse range of students in order to enhance the career development of a variety of people and groups. All aspects of the Program, including admissions, scheduling, educational formats, and tuition, should contribute to accessibility.

Educational Quality: The Program should emphasize quality of instruction. Among the indications of quality are: students' success on the CCEP exam, student evaluations of faculty and courses, administrative evaluation of faculty and courses, faculty experience and credentials, and feedback from compliance professionals who encounter our students in practice.

Continual Improvement: The Charlotte School of Law will strive continually to improve the quality of Program instruction and the overall student experience. Those responsible will, on a regular basis, review faculty performance, student evaluations of faculty, faculty and Board feedback, and other sources of information to determine how the program can evolve and improve over time. Changes will be implemented in a regular and thoughtful manner for the benefit of the Program and its students.

Goals: The principal goals of the Compliance Certificate Program are:

Leading Student Outcomes: Students who complete the Program should succeed on the CCEP exam at a rate equal to or greater than that of all exam takers.

Promotion of the CCEP Credential: Through its market outreach, the influence of its faculty and Advisory Board, and its provision of high-quality education, the Program seeks to raise professional and public awareness of the value of the CCEP as a credential for new and experienced compliance professionals.

An Industry-Standard Program: The Program will strive to become recognized as setting the standard for educational quality and positive student outcomes within the compliance industry.

Objectives: The Program's Objectives must advance the Program's Goals, reflect its Values, and lead it to achieve its Mission. Objectives include:

Advisory Board: The Program will attract, retain and utilize leading figures in education and compliance to serve on its Advisory Board. The Board will advise and consult the Law School on matters of program strategy and operations. The Board will also seek to connect the Program to the broader compliance industry.

Eminent Faculty: The Program will attract and retain faculty who are highly accomplished both as compliance practitioners and as teachers. Faculty will particularly be valued to the extent they place student enrichment at the center of their Program activities.

A Positive Student Experience: The Program will conduct continual assessment and improvement to ensure that students have a positive experience. Key emphases will include: the quality of instruction, the ease of student interaction with faculty and other Program personnel, timely responses to questions about academic and administrative matters, and the clear communication of Program guidelines and standards.

THE CHARLOTTE SCHOOL OF LAW AND THE COMPLIANCE CERTIFICATE PROGRAM

1.0 Accreditation and Approvals

The Charlotte School of Law is fully accredited by the American Bar Association. The School of Law is also licensed to operate in the State of North Carolina by the Board of Governors for the University of North Carolina System. The School of Law has sought accreditation for the Compliance Certificate Program from the Compliance Certification Board. The School of law has also sought acquiescence for the Program from the American Bar Association. The School has also applied for licensure to the North Carolina State Board of Community Colleges. The North Carolina State Board of Community Colleges is not an accrediting agency.

2.0 School Governance

2.0.1 School Board of Directors

The Board of Directors is the governing body of CharlotteLaw. The Board exercises all of the powers, rights and privileges appertaining to the company. The primary function of the Board is policy making and general oversight of the executive and management operations of

CharlotteLaw. It formulates and establishes the general, educational, and financial policies as it deems necessary, appropriate, and convenient for the proper development and management of CharlotteLaw in pursuit of its established purposes. The Board delegates such of its authority as it deems proper and convenient to the President, the Dean/Chief Academic Officer, the Faculty and other offices, officials and groups, provided that the Board always reserves to itself the final and ultimate power and authority to act at any time on any and all matters essential to the

proper functioning of CharlotteLaw. The Board, *inter alia*, approves the conferral of degrees, the elevation of faculty to tenure and extended term contract status, and promotions in rank.

2.0.2 School Board of Visitors

CharlotteLaw's Board of Advisors is composed of individuals with significant professional backgrounds, including backgrounds in law and legal education. Each member of the Board of Advisors has been appointed because of his/her expertise and experience in areas relating to the academic program and/or the legal profession, as well as his/her representation of a cross-section of the local community. Accordingly, great weight and deference are given to the recommendations of the Board of Advisors. With respect to appointments, promotion, tenure and other forms of security of position, there is a strong presumption by the Board of Directors in favor of the recommendation of the Dean and faculty and the Board of Advisors. The primary responsibility of the Board of Advisors is to make recommendations to the CharlotteLaw Board of Directors on academic policy, standards, and processes.

2.0.3 School Administration.

The administration of Charlotte School of Law is focused through a structure that dedicates the energies of all participants to a culture of collaboration and teamwork. Guiding each individual's contributions to the success of that cultural framework is his/her commitment to primary responsibility for a portfolio of duties and responsibilities.

2.0.3.1 President.

The President is the chief executive officer of CharlotteLaw and is responsible to the governing boards for the execution of governing board policies and the general oversight and superintendence of corporate operations. The President is primarily responsible for ensuring that the corporate mission, vision, and objectives are achieved, that corporate finances and assets are sufficient to support corporate purposes, and that the assets of CharlotteLaw are properly secured.

2.0.3.2 Dean/Chief Academic Officer.

Appointed by the Board of Directors, with the advice, consultation, and recommendation of the faculty, the Dean/Chief Academic Officer (Dean) is the chief academic and administrative officer of CharlotteLaw. The Dean's responsibility is to provide leadership that will support the Mission Pillars and achieve the objectives of the *Regional Center of Excellence Plan*.

2.0.3.3 ~ Associate Dean for Academic Services and Faculty Development.

The Associate Dean for Academic Services and Faculty Development reports to the Dean and is responsible for the academic services for students and faculty and the operations that deliver those services. He or she provides leadership to the academic team and supports the Dean in the administration of a stimulating legal education program through the work of an Assistant

Dean for Academic Services and Operations, an Assistant Dean for Academic Affairs, and the Registrar.

2.1 Communication

Communication between the Office of Professional Education and students participating in the Certificate program will generally go through the student's school email address or D2L. Please make every attempt to check your school email address regularly. Communication to students must be delivered through CSL channels (email, D2L, class, etc.).

2.2 Academic Schedule

The schedule of course offerings is posted on orgsync and included below as Addendum C. The asynchronous course schedule is designed to be mindful of students' work, family, and other obligations while also allowing students to attend all classes. Faculty will provide student support, responses to student questions, and feedback on student assignments throughout the program.

2.3 Syllabus

The syllabus serves as a valuable way to introduce students to the course. The syllabus will be posted at least two weeks before the course starts and should be made available on D2L.

2.4 Textbooks

The book list will be made available through the Office of Professional Education website, as well as the instructor's syllabus posted on D2L.

3.1 Matriculation

3.1.1 Reservation of Rights

Charlotte School of Law reserves the right to deny admission, services, continued enrollment and re-enrollment to any applicants, students or other persons whose personal history, medical history, background, or behavior indicates that their presence in School facilities, programs, or activities, or use of School services would endanger themselves, the health, safety, welfare, well-being or property of Charlotte School of Law, its employees, students, guests, or others, or would interfere with the orderly performance and conduct or Charlotte School of Law's or affiliated agencies' functions.

3.1.2 Registration/Courses

The courses required to compete the Certificate Program are as follows:

- Introduction to the U.S. Legal System (for non-lawyers and non-J.D. students)
 - Course Description:
 - This course is designed to provide the students with a basic understanding of the American legal system.
 - Course Objectives:
 - onComprehend the American court system and the roles of the federal and state governments
 - Compare and contrast the differences between American law in the areas of civil procedure, tort law, and contract law
 - Recognize the role of administrative agencies with federal administrative law
- Introduction to Corporations (for non-lawyers and non-JD. Students)

- Course Description:
 - The purpose of this course is to provide students with a basic understanding of the legal environment in which corporations are created and operate.
- Course Objectives:
 - Learn how to create a corporation
 - Understand how corporations are governed
 - Understand how corporations interact with external stakeholders
- Designing and Implementing a Compliance Program
 - Course Description:
 - This course covers the law and practice of designing and implementing an effective corporate compliance and ethics program. It focuses upon the development of compliance and ethics policies, procedures, and practices within an organization that are designed to prevent and detect wrongdoing and to foster an ethical atmosphere.
 - Course Objectives:
 - List the elements of an effective compliance program
 - Outline the responsibilities of a board in an effective compliance program
 - Design an exit interview to capture potential compliance risks
 - Design an employee survey to assess attitudes toward compliance
- Compliance Communication, Education, and Training
 - Course Description:
 - Students will learn how to set up organizational communication and training processes designed to educate employees and agents about the organization's values and legal responsibilities
 - Course Objectives:
 - Given a corporate scenario:
 - Write four realistic examples of ethical dilemmas faced by employees
 - Find at least three sources of gaming and simulations to use in compliance communication and training
 - Develop a role-playing scenario (at least three pages)
 - Develop an annual compliance plan for one group of employees
- Auditing and Monitoring
 - Course Description:
 - The purpose of this course is to cover the implementation of auditing and monitoring processes within an organization. Topics include the establishment of reporting systems, maintenance of confidentiality, analysis of audit reports, and procedures for evaluating the effectiveness of compliance policies and procedures on an ongoing basis.
 - Course Objectives:
 - Describe how a particular company might publicize the reporting system to employees, vendors, and third parties.
 - Create an audit compliance list for a particular company in a particular industry
 - Write five questions to be included in an exit interview that relate to compliance and ethics
- Investigation and Response
 - Course Description:

- This course covers the process for investigating potential violations of an organization’s compliance policy and the implementation of disciplinary procedures.
 - Course Objectives:
 - Create hypothetical violations in a particular area of a company and then help formulate responses so that responsibility is taken
 - Describe the greatest obstacles to assuring the development of effective corrective action plans
 - Develop a plan for handling a government inspection
- Risk Assessment
 - Course Description:
 - Students will learn risk assessment methodologies, the means of establishing risk assessment processes within the organization, and prioritization of risks.
 - Course Objectives:
 - Identify risks in particular areas of companies
 - Identify how these risks can be minimized
 - Create plans to implement ways to reduce risks in this area of the company function

3.1.2.1 Course Load

After the first three courses, which may be taken concurrently, students may take no more than two courses in the Certificate Program at any one time.

3.1.2.2 Prerequisites for all students

The first three courses, Introduction to the U.S. Legal System, Introduction to Corporations, and Designing and Implementing a Compliance Program, are prerequisites for every other course in the program. A grade of at least 80 percent in these three courses is required before students may take any other course in the program.

3.1.2.2.5 Course Credit for Lawyers and J.D. students

As second or third-year law students and graduates of J.D. programs will have already covered the material, any Compliance Certificate Program student who is either a J.D. student or a graduate of a J.D. program will receive credit for the following two courses without having to take them:

- Introduction to the U.S. Legal System and
- Introduction to Corporations

3.1.2.4 Withdrawing From a Course

All students must obtain written approval to withdraw from a course once the course has begun. A Withdrawal Form is available on orgsync.

3.1.2.5 Rules for Students Repeating a Course

A student who receives an “F” in any Certificate course is required to repeat that course during the next time in which that course is offered. See course schedule posted online, and reproduced below as Addendum C. A student may choose to retake a course in which he or she did not receive an F. A student must pay for any course that is being repeated by credit hour prior to the first day of that repeated course. Both the original grade earned originally and the grade earned

on repetition shall be reported on the transcript and both grades will be computed as part of the student's cumulative average.

4.5 Law Library

As a Certificate student, you will have access to many online resources through the Charlotte School of Law Library. A list will be shared with students upon orientation, and students will have access to the library site on orgsync.

4.8 D2L

The Charlotte School of Law's Desire2Learn (D2L) course website is designed to give students a dynamic online learning experience. Students will receive notice to their Charlotte School of Law email accounts of a D2L orientation which will familiarize them with the basics of navigating this platform.

4.10 Blackboard Collaborate

Blackboard Collaborate offers a more collaborative, interactive, and mobile learning experience. Professors will use this space for online support sessions for students.

Access: <http://www.blackboard.com/Platforms/Collaborate/Overview.aspx>

4.11 Use of Technology Resources

School technology resources are to be used to advance the School's mission. Students may use these resources for purposes related to their studies or research, or other School-sanctioned activities. The School encourages the use of technology resources for these primary activities. These resources include, but are not limited to, hardware (including telephones, computers, and traditional media equipment) either owned or leased by the School, software, and consulting time (and expertise) of the staff of Information Technology Services or other School technology support staff, and School network facilities. Unless approved in advance by the Dean, use of School technology resources for commercial purposes is prohibited.

The use of technology resources provided by the School for purposes not directly related to the primary activities indicated in the previous paragraph should be considered as secondary activities (i.e. personal or otherwise.) Should such secondary activities in any way interfere with primary activities, they may be terminated immediately.

Many of the School's technology resources are shared among the entire School community. The use of these may not violate law or the rights of others. Prohibited activities include, but are not limited to:

- Activities that violate copyright or other intellectual property rights of others.
- Activities that could be considered as harassing, libelous or obscene.
- Activities that violate School policies.
- Activities that violate local, state or federal laws.
- Unauthorized use of computer accounts.
- Impersonating other individuals.
- Attempts to explore or exploit security provisions, either at the School or elsewhere.
- Activities that invade the right to privacy of others.
- Destruction or alteration of data belonging to others.
- Creating, using or distributing computer viruses or other computer parasites.

Publishing anonymous information through the use of School technology resources that violates any of the foregoing provisions is strictly prohibited. All publications must contain the electronic

mail address of the person making the information available. For example, active information such as e-mail must contain the e-mail address of the sender in the FROM: field. Passive information, such as that found on the internet, must contain the e-mail address of the author, owner or sponsor at the bottom of the page.

4.12 Attendance

The Certificate Program's asynchronous course schedule accommodates students' other life obligations, allowing students to attend class at a time convenient for them. Because the schedule is so accommodating, no absence from class is permitted. A student may not pass a course without attending every class period on the educational portal and participating in all mandatory discussion and assignment activities as set forth in the course syllabus.

If a student violates the attendance policy, he or she will fail that course and will have to repeat the course for an additional fee in order to complete the program successfully.

5.1.5 Leaves of Absence

For good cause shown, a student may obtain a leave of absence for up to one calendar year from their original start date. To obtain a Leave of Absence, a student must submit a Leave of Absence Form. The student must also satisfy or make arrangements to satisfy all obligations owed to the Charlotte School of Law prior to the request being granted. A Leave of Absence Form is available on orgsync.

5.1.6 Withdrawal from Charlotte School of Law

A student considering withdrawing from the Compliance Certificate Program must submit a completed official withdrawal form through orgsync. Administration will review the request. The student must also satisfy or make arrangements to satisfy all obligations owed to Charlotte School of Law prior to the request being granted.

5.1.7 Tuition

Tuition will be \$10,800 for the program. For J.D. students or graduates of J.D. programs, tuition for the program will be \$9,000, as these students have met the requirements for Introduction to the U.S. Legal System and Introduction to Corporations. Tuition does not include the cost of books or the cost of fees for online exams.

5.1.7.1 Payment of Tuition

Half of the tuition for the program is due before the second of the start of the Program. Tuition and fees may be satisfied in one of two ways; payment in full or Financial Aid. Students are advised to check their student account statements and / or check with the Accounting Manager in the Finance Office. Payments may be made via personal check, cash or official check to the Finance office. Through the campus Portal, students may also make payments online by debit or credit card. Questions regarding payment arrangements and options should be directed to the Office of Student Accounts (cslfinance@charlottelaw.edu).

5.1.8 Refunds

A student who withdraws before beginning the program of coursework to earn the Certificate will be refunded 100 percent of the tuition paid by that student for the program. Refunds shall be made no later than thirty days after Charlotte School of Law receives written notice of withdrawal. If the school cancels the program, the student will be refunded 100 percent of tuition paid. Refund money will be returned in the form of a check.

5.1.8.1 Partial Refunds

A student who withdraws within the first twenty-five percent of the coursework necessary to complete the program will receive a refund of seventy-five percent of tuition paid. Refunds shall be made no later than thirty days after Charlotte School of Law receives written notice of withdrawal. Refund money will be returned in the form of a check. A student who withdraws after enrollment in twenty-five percent of the coursework necessary to complete the program will not receive a refund of tuition paid for that class.

5.1.11 International Students

If Charlotte School of Law determines that a TOEFL score is required, the applicant must contact the Educational Testing Service to request that his or her official TOEFL scores be sent to LSAC's Credential Assembly Service to be included with the application materials. (LSAC's TOEFL code for the Credential Assembly Service is 0058.) The applicant's score will be included in the foreign credential evaluation document that will be included in the applicant's LSAC Credential Assembly Service Law School Report. To use the service, applicants log into their LSAC online account and follow the instructions for registration. Applicants must print out and promptly send a transcript request form to each foreign institution attended, and allow ample time to receive and translate foreign transcripts. Questions about the Credential Assembly Service should be directed to LSAC at 215.968.1001 or LSACINFO@LSAC.org.

6.0 Finances

Half of the program tuition is due before the second day of the start of the program. Tuition and fees may be satisfied in one of two ways; payment in full or Financial Aid. Students are advised to check their student account statements and / or check with the Accounting Manager in the Finance Office. Payments may be made via personal check, cash or official check to the Finance office. Through the campus Portal, students may also make payments online by debit or credit card.

6.1 Qualitative Component

Students must maintain a cumulative grade point average of 80 percent (3.0 GPA) in order to graduate the Certificate Program.

6.2 Quantitative Component

Maximum timeframe. Students must complete the Compliance Certificate Program coursework within the six-week session for the course. Students may file an Academic Extension Form (available on orgsync) to extend the completion through the first year from their original start date. Unless a leave of absence has been requested and approved, the maximum time period within which a student must complete the requirements for a Certificate is one calendar year. Students must take at least one Certificate course in a calendar year to remain active. If a student is unable to take even one course during a calendar year, the student must submit a Leave of Absence form through orgsync for approval by the Administration.

6.3 Student Religious Observation

Charlotte School of Law respects students' observance of their major religious holidays. Any denial of a request for absence to observe a religious holiday must be sent to the Office of Professional Education. A student may appeal this denial to the Director of the Office of Professional Education. Faculty shall give students the opportunity, whenever possible, to make up any missed academic assignments or tests within a reasonable time when the student is

participating in a religious observance. Students should make arrangements to make up missed assignments or tests in advance of the specific holiday.

7.0 Grading

Faculty will post all grades through MyCampus Portal within 48 hours of an assignment due date and post a final grade within 72 hours of the final class meeting. Students will be made aware of their performance/grades on assignments, quizzes, and exams as they progress through the course.

7.1 Grade Scale

Grading System. The grading scale for all courses is as follows:

Grading Scale (%)	
90-100	A
80 - 89	B
70 - 79	C
60 - 69	D
0 - 59	F

7.1.2 Finality of Grades and Grade Disputes

All grades will be considered final. The Office of Professional Education however, will change a grade if there has been a mathematical or clerical error in calculating the student's grade. In such an event, the faculty member shall request grade change and provide evidence to substantiate change to the Administration. If a student believes a grade has been motivated by prejudice or given arbitrarily, the student shall first try to resolve the issue through direct communication with the faculty member. If the issue cannot be resolved through this communication, the student may submit a petition to the Assistant Dean for Academic Affairs by email at Academics@Charlottelaw.edu

The petition should include:

- (a) a recitation of the steps that the student took to resolve the matter through communication with the professor;
- (b) a recitation that the appeal is timely because it is brought within thirty days of the award of the grade by the faculty member; and
- (c) any and all grounds for claiming that the award of the grade was motivated by prejudice or given arbitrarily.

All grade appeals must be brought within thirty days of the award of the grade by the faculty member.

The Assistant Dean for Academic Affairs will conduct an informal investigation and inform the student of the decision within ten business days of receiving the petition. Should the student disagree with the outcome of the informal investigation, the student may appeal the decision by the time specified in the Assistant Dean's decision letter. Appeal should be made to the Associate Dean of Academic Services and Faculty Development at CDavidson@Charlottelaw.edu, who will conduct a formal investigation and render a decision within ten business days of receipt of notice of the appeal.

7.1.3 Anonymous Grading Policy

Certain quizzes, tests, examinations, or other projects which are assigned to all students for in-class performance on an identical basis shall be graded anonymously. However, nothing stated above shall negate the professor's right to grade performance in courses or parts thereof on a

non-anonymous basis where such non-anonymous evaluation is necessary to foster learning, feedback or other academic values.

7.1.4 Incomplete Grades

Grades of “I” (Incomplete) may be expunged by taking an examination or completing other unfulfilled course requirements within such time as may be fixed by the instructor or the Administration, as applicable, but in no event later than the next time the course at issue is offered. A student with an unresolved Incomplete grade when the course is offered again must enroll in the course and pay to repeat the course before the first day that that course is offered again. At that point, the Incomplete in the student’s earlier attempt at the course will be removed from the transcript and replaced by the student’s grade in the course upon the next attempt.

7.1.5 Repeated Courses

A student may, as a matter of right, repeat any course from which he or she withdrew or which he or she dropped. A student who receives a grade of “F,” or “W,” in a required course must repeat the course the next time the course is offered. A student may opt to repeat a course for which the student received a grade higher than an F. In all other cases, a student shall be required to pay for any repeated course by credit hours prior to the first day of the course. In the case of repetition of a course, both the original grade earned and the grade earned on repetition shall be reported on the transcript and computed as part of the student’s cumulative average.

8.0 Assessment and Progression

8.1 Examinations

8.2 Absences from Examinations

A student may obtain an excused absence from a final examination only from the Director of the Office of Professional Education. The Director will rarely excuse an absence from an examination and, in any case, excuses will only be granted for demonstrable good cause presented in advance of the examination for which the excuse is sought. Requests for excused absences must be submitted in writing, setting forth the reasons for the request. Requests should be submitted as soon as practicable under the circumstances. A student whose absence is excused by the Associate Dean for Academic Services and Faculty Development will receive a grade of Incomplete “I” for the course. A student who, without prior approval from the Associate Dean for Academic Services and Faculty Development, is absent from a final examination will receive an “F” for the course.

8.3 Late Arrival for Exams

A student who begins an examination late will be permitted to take it without excuse, but the time for completing the examination will not be extended beyond that specified for completion by those students who began on time.

8.4 Final Examination Schedule Conflicts

A student may request that a scheduled final exam be rescheduled under the following circumstances: (a) two examinations are scheduled at the same time; (b) students with more than one exam within a 24 hour period may request to move the start time of the exams to allow for additional study time. Please note that exams must be taken on the date scheduled; (c) students with three consecutive days of exams may request to move the date of one of the exams; or (d) a verified religious observance. Rescheduled examinations will be marked and

grades will be rendered in the normal course. The Administration, or his/her designee, may reschedule a final examination, midterm examination, or assessment for good cause to an appropriate time in his/her discretion.

All requests for rescheduled examinations for one of the four reasons set forth in the preceding paragraph must be in writing and presented to the Administration with any supporting documentation. All such requests must be made at least two (2) weeks prior to the beginning of the examination period.

Once a student begins any examination, a student must complete the examination at that time and may not request rescheduling.

8.5. Extensions of Time for Exams

b. In the event that a student desires to defer an examination beyond the regularly scheduled period, the Faculty member shall refer the student to the Office of Professional Education. When the Director grants a deferral, he/she will inform the Faculty member involved, file a petition for an Incomplete, and the completed grade should be an "I" grade. If the Director of Professional Education does not grant a deferral, the Faculty shall complete the grade sheet by reporting an "F" for failure to satisfy course requirements. A Faculty member should check with the Director of Professional Education before assigning an "F" to a student from whom no final examination was received.

8.5.1 Extensions of Time for Assignments

Where a work product other than an examination is required for a course, the instructor may, in his or her discretion, grant an extension of time for the completion of such work. Such extensions may be for such periods as the instructor shall determine, but in no event may the instructor permit the work product to be completed later than two weeks after the scheduled due date of the work product. When an extension of time is granted under this rule, the extended due date for the work should be communicated to the student in writing. An instructor may, in his or her discretion, reduce the grade of a student who is granted an extension under this rule. If the work is not completed before the extended time limit has expired, the grade of "F" will be awarded for the late work. Extensions are not granted lightly.

8.6 Retention of Exams

The Office of Professional Education retains final examinations pursuant to procedures established by the Director. Students may not keep copies of their final examination. Examinations are the property of the Office of Professional Education, not of the individual Faculty member.

9.0 Reinstatement or Readmission after Dismissal

9.1 Eligibility to Petition for Reinstatement

If a student is dismissed for failure to complete the program in two calendar years, the student may file a petition for reinstatement no later than three months after dismissal from the program. A reinstatement that is granted will be effective no earlier than the beginning of the next time a core course is begins to be offered after reinstatement. The terms and timing of a reinstatement shall be within the sole discretion of the Office of Professional Education. The petition must be in writing, stating the reasons that may warrant reinstatement.

9.2 Content of Petition

A student who seeks reinstatement must demonstrate with specificity through his or her petition that, based on the totality of the circumstances, the student's record contains sufficient indicia of success in completing the Certificate Program. The office of Professional Education will consider

the following information in determining the totality of the circumstances: (a) if there were extraordinary circumstances that led to the student's inability to complete the program timely; (b) whether those extraordinary circumstances are still present; (c) whether the student has a detailed plan for success if the student is reinstated; and (d) the student's Cumulative grade point average. A student should address each of these factors in the petition. Students should provide supporting documentation for factual statements, when possible. All documentation and supporting evidence of extraordinary circumstances and other factual statements in the petition must be provided by the deadline for submitting petitions in order to be considered.

"Extraordinary circumstance" is defined to include those circumstances which are not of the student's making that caused the student's deficient academic performance, such as: 1) serious or prolonged illness or injury of the student or of the student's spouse or dependent; 2) admittance to a hospital; 3) death in the student's immediate family (i.e., grand-parents, parents, siblings, spouses and children); 4) extended jury duty or required court appearance; and 5) birth of a child during the relevant semester and 6) other extraordinary circumstances as determined by the Office of Professional Education.

9.3 Action on Petitions

The Office of Professional Education shall act on all petitions for reinstatement in a timely fashion. Students will be notified in writing of the decision.

10.0 Graduation/Degree Requirements

Graduation is conditioned upon:

- a. Attaining a cumulative grade point average of at least 80 in all required courses;
- b. Satisfying all financial obligations and the completion of all final semester graduation requirements including completion of the Graduation Application and Financial Aid online exit interview.

11.0 Honor Code

Charlotte School of Law expects its students to adhere to high standards of behavior during their legal education, and to avoid even the appearance of impropriety.

The Honor Code is based on the fundamental principles of mutual trust and respect. Each student who enrolls in the Certificate Program affirms, by the student's acceptance of a position in the community, this commitment to integrity, trust and respect. Each student is presumed not to have violated this commitment unless and until proven otherwise.

A violation of one or more of the following principles constitutes a violation of the Charlotte School of Law Honor Code.

11.1 Principle One: Every student shall perform all work in academic matters honestly

To do otherwise constitutes "Academic Dishonesty." Academic Dishonesty means any conduct in any course or educational activity by a student that violates any of the following standards:

11.2 Unfair Advantage

No student may engage in any activity that gains or is intended to gain an unfair advantage in any law school activity or academic matter, either on behalf of the student personally or for another. An unfair advantage is one that is not generally available to all students.

For example, a student is expected to act honestly after an exam, before final grades are issued, and shall not reveal an examination number or the contents of an examination answer to a professor or try to seek favor from a professor in any other unauthorized way.

11.3 Plagiarism

All academic work, whether curricular and co-curricular, must be the original work of the student. Plagiarism is forbidden. Plagiarism is the appropriation of any other person's work without acknowledgment in one's own work, which is offered for any academic purpose. The following are examples of plagiarism, but not an exhaustive list of situations in which plagiarism can occur.

1. To use someone else's words without unambiguous acknowledgment.
2. To paraphrase someone else's words without unambiguous acknowledgment.
3. To use someone else's ideas without unambiguous acknowledgment.

11.4 Unauthorized Assistance

A student may not provide or receive unauthorized assistance in the taking of examinations, tests, or quizzes or in the preparation of any other performance requirements of a course or educational activity. Such restrictions shall include, but not be limited to, the following practices or activities:

1. The use of any unauthorized material in the taking of an examination, test or quiz or in the preparation of course assignments.
2. The solicitation or use of a proxy test taker or the taking of a text, examination or quiz or the preparation or presentation of a course assignment or requirement;
3. Obtaining or providing assistance to another person or group of persons without the instructor's express prior permission during an examination, test or quiz;
4. The submission or presentation of a falsified excuse for an absence from a course requirement, examination, test or quiz either directly or through another source;
5. The presentation of false identification or credentials in order to gain admission to a course, examination, test or related activity.

11.5 Misrepresentation

No student shall provide false or misleading information to or in response to any request for information from Charlotte School of Law or any of its faculty members, educational affiliates, regulatory or professional organizations.

11.6 Principle Two: Every student shall act professionally, respectfully, and with integrity

This principle applies in dealings with Charlotte School of Law and members of the academic community, and in dealings with community and professional organizations that approve, supervise or regulate the students' performance of activities that are a part of or related to the educational or other programs of Charlotte School of Law. Students are required to cooperate with and show respect for members of the academic community, including administrators, faculty, staff and fellow students. To do otherwise constitutes "Unprofessional Conduct" and, in severe circumstances, will constitute an Honor Code violation. Unprofessional includes any act by a student that violates any rules of conduct promulgated by Charlotte School of Law, ethical standards promulgated by Charlotte School of Law or the legal profession.

Examples of such conduct include, but are not limited to:

1. Unprofessional behavior during class.
2. Failure to observe (abide by) any library regulations.
3. Physically or verbally abusive conduct toward faculty, staff, visitors, or other students.

4. Unauthorized use of, interference with, or damage or destruction to property of Charlotte School of Law or a member of the academic community.

11.7 Principle Three: Every student shall protect the integrity of the Honor Code and other School policies

Students are therefore required to provide information, identification, statements or reports when requested to do so by School officials. These officials have the right to request such information from students at any time, including but not limited to, instances when they believe a violation of School policies, the Honor Code or applicable federal, state or local laws or ordinances may be implicated by conduct of the student or information that the students holds. Further, students shall not hinder, delay, provide false information, or otherwise obstruct School officials in the performance of their official duties. Students who fail to provide assistance to School officials as noted above, who provide false information, or who otherwise hinder, delay or obstruct School staff in the performance of their duties violate the Honor Code. They may be required to leave School premises, or other premises where School activities are taking place, be detained for further investigation, or detained for referral to security or law enforcement personnel. Specific examples of Honor Code violations include, but are not limited to, the following:

1. Knowingly failing to report a violation of the Code by another student.
2. Knowingly making a false report of a violation of the Code by another student, knowingly making a false or materially incomplete report, or giving false or materially incomplete testimony in an investigation or proceeding under the Code.
3. Falsifying, destroying, or placing beyond the reach of an officer acting under the Code any documents, testimony, or other evidence material to an investigation or other process under the Code.
4. Without reasonable excuse, failing to appear as a witness or to testify when called upon under the Code.
5. Breaching a duty of confidentiality under the Code.
6. Failing to immediately notify Charlotte School of Law of any federal, state or local charges or offenses that occurred after you were admitted to the law school.

12.0 Sanctions

Upon a finding of responsibility under the Honor Code, one or more of the following sanctions may be imposed. Depending on the circumstances, a finding of Honor Code violation may be noted in the internal records of the School or on the transcript of the responsible student:

- a. Denial of credit for a course.
- b. Downward disciplinary grade adjustment for an assignment or course.
- c. Restriction of School privileges.
- d. Notation or reprimand.
- f. Disciplinary probation or warning.
- g. Compensatory damages or restitution to the School or other appropriate entity.
- h. Suspension from the Program.
- i. Expulsion from the Program.

12.1 Disciplinary Process

The disciplinary process should be as informal as possible. The primary objective is to determine the truth and then, if necessary, to impose an appropriate sanction. These procedures will apply to the investigation and adjudication of alleged violations of the Honor Code.

13.0 Continuing Responsibility to Report

Every Certificate Program Student has a continuing responsibility to report any and all instances of arrest and or violations of federal, state or local laws (not including minor traffic violations), throughout their matriculation in the program. Any incident or violation must be reported to the Office of Professional Education within ten business days of the arrest or violation. A failure to report this information is a violation of the Honor Code.

14.0 Colleague Respect

14.1 Sexual Harassment/Assault

Charlotte School of Law is dedicated to maintaining an academic environment free of discrimination, exploitation or coercion. Discrimination in any form frustrates individual achievement, undermines a comfortable learning climate, and affects the integrity of Charlotte School of Law. In the interest of promoting an academic environment in which people are free to work and learn without fear of sexual harassment, Charlotte School of Law prohibits sexual harassment.

This policy also seeks to further understanding in the Charlotte School of Law community of the types of behavior that may constitute discriminatory sexual harassment and to make available to persons aggrieved by such harassment both informal and formal procedures for resolution of complaints. These procedures supplement those provided by state and federal law and are in no way intended to discourage their use. This policy also reflects conscious and difficult choices concerning coverage, procedures, and academic freedom.

14.2 Scope

Professional relationships among faculty, staff, and students are central to the educational mission of Charlotte School of Law. These relationships must be protected against impropriety, as well as the appearance of impropriety. Those who work within this community are entrusted with unique responsibilities, including, but not limited to, guiding the educational and professional development of each student, evaluating student performance and assigning grades, providing job recommendations, mentoring, and counseling. Minimally, romantic or sexual relationships between faculty and staff with students create the appearance of undue advantage. Faculty and staff must recognize that in relationships with students or subordinates, there is always an element of power. Abuse of such power, or the appearance of such abuse, diminishes the trust and respect essential to the openness and freedom from constraint that an academic community requires. In this regard, it is essential that Charlotte School of Law articulate standards of conduct for students in their dealings with faculty, staff, and other students.

Students are required, as a condition of their enrollment at or participation in activities of School, to abide by this policy statement and prohibitions against sexual misconduct contained in the Student Conduct Code. Students have the right to be free from sexual harassment during the pursuit of their educational and social activities at School.

Clubs, associations, and other organizations (and their members) affiliated with or partaking of the benefits, services or privileges afforded by Charlotte School of Law are required to abide by this policy in the conduct of their School-related programs and activities.

Charlotte School of Law has established policies and procedures to respond to student complaints of sexual harassment against faculty and staff members, as well as faculty and staff members' complaints against co-workers or students. This is designed to assure all members of the Charlotte School of Law community that complaints will be addressed fairly and expeditiously. It also prohibits any member of Charlotte School of Law community from discriminating or retaliating

15.0 Unprofessional and/or Disruptive Class Conduct

If a student engages in conduct in the classroom or in the course of any other educational activity of Charlotte School of Law that is unprofessional, disruptive or otherwise unreasonably interferes with the orderly educational processes, the faculty member is authorized to take any or all of the following actions:

1. Require the student to immediately cease the unprofessional and/or disruptive behavior.
2. Require that the student leave the class or educational activity setting.
3. Dismiss the class or educational activity. A report of the incident must immediately be submitted to the office of the Dean of Students.
4. Refuse to readmit the student to the class or educational activity until a meeting is held between the student, the faculty member and the Dean of Students or another representative of the Dean's office to address the student's conduct and the student is authorized to return to class or permitted to participate in the educational activity.
5. If the student persists in disrupting or interfering with the educational activity, the faculty member may permanently dismiss the student from the class or educational activity. In such a case, the faculty member shall refer the matter to the Dean of Students to bring appropriate charges against the student for an Honor Code violation.

16.0 Non-Discrimination Policy

Charlotte School of Law is committed to a policy that prohibits unlawful discrimination against members of the academic community, including current or prospective students, on the basis of race, color, gender, age, non-disqualifying disability, religion or creed, national or ethnic origin, marital status or sexual orientation, or any other legally protected characteristic. Charlotte School of Law does not unlawfully discriminate in administration of its educational policies, admissions policies, scholarship and loan programs, and other school-administered programs.

17.0 Non-Academic Grievances

Grievances **not** covered by this section:

- (a) Grade disputes and other academic grievances should be resolved through the process outlined in section 7.1.2, above.
- (b) Issues of sexual harassment or discrimination should be referred to Michael Farley, Associate Dean for Student Engagement at MFarley@CharlotteLaw.edu or Beth Koback, Assistant Dean for Academic Affairs at BKoback@CharlotteLaw.edu

In fostering open communication between students and faculty, students are encouraged to discuss any concerns or grievances concerning non-academic matters directly with the faculty or other student(s) involved. The student should bring unresolved non-academic matters to the attention the Associate Dean for Student Engagement. Contact information and other important guidance regarding non-academic disputes is found in Addendum D to this handbook.

18.0 Student Records Privacy

Charlotte School of Law maintains an educational record for each student who is or has been enrolled in the Certificate Program. In accordance with the Family Educational Rights and Privacy Act of 1974, as amended, (hereafter "Act") the following student rights are covered by the Act and afforded to all eligible students:

- a. The right to inspect and review information contained in the student's educational records.
- b. The right to request amendment of the contents of the student's educational records if believed to be inaccurate, misleading, or otherwise in violation of the student's privacy or other rights.

- c. The right to prevent disclosure without consent, with certain exceptions, of personally identifiable information from the student's educational records.
- d. The right to secure a copy of Charlotte School of Law's record privacy policy.
- e. The right to file complaints with the U.S. Department of Education concerning alleged failures by Charlotte School of Law to comply with the provisions of the Act.

Each of these rights, with any limitations or exceptions, is explained in Charlotte School of Law's policy statements on the school website.

18.1 Directory Information

Charlotte School of Law may provide Directory Information in accordance with the provisions of the Act without the written consent of an eligible student unless it is requested in writing that such information not be disclosed. "Directory Information" is the student's name, address, telephone number, date and place of birth, major field of study, dates of attendance, degrees and awards received, the most recent previous educational institution attended by this student, and other similar information.

Current eligible students may prohibit general disclosure of this Directory Information by notifying the Associate/Assistant Dean for Student Services in writing, within ten calendar days after the first scheduled class day of each course offering. See course schedule online, reproduced below as Addendum C. Charlotte School of Law will honor the request for one calendar year only; therefore, the student must file the request on an annual basis. The student should carefully consider the consequences of any decision to withhold any category of Directory Information. Regardless of the effect upon a student, Charlotte School of Law assumes no liability that may arise out of its compliance with a request that such information be withheld. It will be assumed that the failure on the part of a student to request the withholding of Directory Information indicates the student's consent to disclosure.

Any questions concerning the student's rights and responsibilities under the Family Educational Rights and Privacy Act should be referred to the Office of Professional Education.

18.2 G.P.A. Release

Charlotte School of Law will provide GPA information only to students or graduates under the following circumstances: the student or graduate requests the information, in person, and provides either a student ID or photo driver's license to verify his or her identity; or, he or she mails or faxes a written, signed, and notarized request for the information with a photocopy of his or her student ID to the Registrar. Charlotte School of Law will not, under any circumstances, release GPA information over the telephone.

19.0 Students with Disabilities

CharlotteLaw is committed to a policy of providing its students with equal opportunity without discrimination on the basis of handicap or disability. CharlotteLaw provides reasonable accommodations for disabled students, including learning disabled students and those with health and physical impairments, in compliance with the Americans with Disabilities Act of 1990 ("ADA"), and Section 504 of the Rehabilitation Act of 1973 ("the Rehabilitation Act"). These accommodations are generally oriented to classroom and/or examination settings.

Students must request accommodations in writing, to the Assistant Dean for Academic Services, preferably before the course for which accommodations are sought begins. Students must use the "Request for Disability Accommodations" form, available from the Registrar and on the

Registrar's orgsync page, to request all accommodations. In order to receive accommodations, students must submit appropriate medical, psychological, or educational documentation to substantiate their needs. Confidentiality of records is maintained.

Each student request will be assessed individually and appropriate and reasonable accommodations determined. For more information concerning specific accommodations available and documentation guidelines, contact the Assistant Dean for Academic Services. Students who request accommodations because of a learning disability are required to provide written documentation that meets the Seven Essential Elements of Quality Disability as stated on our website. The Seven Essential Elements are:

1. the credentials of the evaluator(s);
2. a diagnostic statement identifying the disability;
3. a description of the diagnostic methodology used;
4. a description of the current functional limitations;
5. a description of the expected progression or stability of the disability;
6. a description of current and past accommodations, services and/or medications; and
7. recommendations for accommodations, adaptive devices, assistive services, compensatory strategies, or collateral support services.

Charlotte School of Law keeps all information pertaining to a student's disability confidential and discloses such information only to the extent necessary to provide accommodation for the student. Where it is deemed appropriate by the Associate Deans for Students and/or Academics, a qualified professional may be retained by CharlotteLaw to determine the appropriate accommodation for a disability.

The Associate Dean for Academics makes the final approval of all requests for special accommodations made by a student, including additional time for test-taking and related matters. When applicable, instructors are notified and provided with direction on the accommodations needed for the student to be successful.

20.0 Financial Aid

Students with financial aid problems should first contact the Director of Financial Aid. If this does not resolve the problem, students should then contact the Associate Dean for Business and Finance. Billing questions should be directed to the Finance Office.

21.0 Copyright Compliance

All students are required as a condition of their enrollment and access to Charlotte School of Law facilities to conduct their activities on behalf of Charlotte School of Law, including but not limited to any photo-reproduction, research or writing activities, in such a fashion so as to meet and comply with all the requirements of the United States copyright laws and regulations (Title 17 U.S.C.).

21.1 Use of Charlotte School of Law Intellectual Property

Charlotte School of Law has developed and operates unique educational programs and services based upon discoveries, research and know-how, and utilizing methods, techniques, designs, devices, proprietary, confidential and trade secret information which are unique to Charlotte School of Law. In performing services and conducting business with clinic clients, Charlotte School of Law regularly is given access to the trade secret and confidential information under condition that Charlotte School of Law, its employees, students and agents will not improperly disclose those trade secrets or confidential information to others (hereinafter collectively referred to, along with any additions or modifications thereto, as "Protected Information"). Students are given access to some or all of the Protected Information from time to time in the course of their pursuit of educational activities under the auspices of Charlotte School of Law.

Each and every student, by enrolling at Charlotte School of Law, covenants and agrees that he or she will not, without the prior consent of Charlotte School of Law, disclose, directly or indirectly, to any unauthorized person or entity, or convert to his or her own advantage or the advantage of another, at any time during his or her matriculation or thereafter, any of the Protected Information or any other confidential or trade secret information of Charlotte School of Law that a student acquires or that comes to the attention of a student through any means or in any manner whatsoever.

No student or student organization may use the logos, images, name, insignia, lists of names of students, alumni, benefactors, or any other commercial rights of Charlotte School of Law for any purpose without the prior written consent of the Dean or his designee.

Addendum A: Program Courses

Introduction to the U.S. Legal System: Students will learn the core principles of the U.S. legal system. The course will include introductory content on the U.S. Constitution, federalism, the federal and state court systems, civil procedure, contract and tort law, the common law system, and federal administrative law. *J.D. Students and licensed attorneys need not take this course. This course is foundational for non-attorneys, and is not intended to deliver CCB content. Prerequisite for courses in modules 2 and 3.*

Introduction to Corporations: This course will provide a broad survey of corporations law and includes topics such as the formation of corporations, corporate governance, shareholder rights, and basic financial and accounting concepts. *J.D. Students and licensed attorneys need not take this course. This course is foundational for non-attorneys, and is not intended to deliver CCB content. Prerequisite for courses in modules 2 and 3.*

Designing and Implementing a Compliance Program: This course covers the law and practice of designing and implementing an effective corporate compliance and ethics program. It focuses upon the development of compliance and ethics policies, procedures, and practices within an organization that designed to prevent and detect wrongdoing and to foster an ethical corporate culture. *A grade of 80 percent in this course is a prerequisite for all of the other courses in the program.*

Compliance Communication, Education and Training: Students will learn how to set up organizational communication and training processes designed to educate employees and agents about the organization's values and legal responsibilities. The course will contain case studies of corporate compliance training programs and will identify best practices.

Auditing and Monitoring: The purpose of this course is to cover the implementation of auditing and monitoring processes within an organization. Topics include the establishment of reporting systems, maintenance of confidentiality, analysis of audit reports, and procedures for evaluating the effectiveness of compliance policies and procedures on an ongoing basis.

Investigation and Response: This course covers the process for investigating potential violations of an organizations compliance policy and the implementation of disciplinary procedures.

Risk Assessment Methodologies: Students will learn risk assessment methodologies, the means of establishing risk assessment processes within the organization, and prioritization of risks. The course will be taught with emphasis on case studies and established best practices.

Addendum B: Program Faculty

Susan Rowe -- Introduction to the U.S. Legal System

H. Beau Baez -- Introduction to Corporations

Beth Colling -- Risk Assessment Methodologies; Compliance Communication, Education, and Training

Kevin Anderson -- Designing and Implementing a Compliance Program

TBD [Faculty to be Hired] -- Auditing and Monitoring

Peter Anderson -- Investigation and Response

Addendum C: Course Calendar (2015-2016)

No course assignments will be due on the following legal holidays recognized by Charlotte School of Law:

New Year's Day

Birthday of Martin Luther King, Jr.

Memorial Day

Independence Day

Labor Day

Thanksgiving Day

Christmas Day

Corporate Compliance Schedule of Course Offerings

	Beginning	Ending (exam)	Professor
Course 1: Introduction to the U.S. Legal System	July 6, 2015	July 17, 2015 (7/20-23)	Susan Rowe
Course 2: Introduction to Corporations	July 20, 2015	August 14, 2015 (8/19)	Beau Baez
Course 3: Designing and Implementing a Compliance Program	July 6, 2015	August 14, 2015 (8/20)	Kevin Anderson
Course 4: Compliance Communication, Education, and Training	August 24, 2015	October 2, 2015 (10/6)	Beth Colling
Course 5: Risk Assessment Methodologies	August 24, 2015	October 2, 2015 (10/7)	Pete Anderson
Course 6: Investigation and Response	October 12, 2015	November 20 (11/24)	Beth Colling
Course 7: Auditing and Monitoring Compliance Systems	October 12, 2015	November 20 (11/25)	
Course 1: Introduction to the U.S. Legal System	August 24, 2015	September 4, 2015 (9/7-9)	Susan Rowe
Course 2: Introduction to Corporations	September 7, 2015	October 2, 2015 (10/7)	Beau Baez
Course 3: Designing and Implementing a Compliance Program	August 24, 2015	October 2, 2015 (10/8)	Kevin Anderson
Course 4: Compliance Communication, Education, and Training	October 12, 2015	November 20 (11/24)	
Course 5: Risk Assessment Methodologies	October 12, 2015	November 20 (11/25)	Pete Anderson
Course 6: Investigation and Response	November 30, 2015	January 8, 2016 (1/12)	Beth Colling
Course 7: Auditing and Monitoring Compliance Systems	November 30, 2015	January 8, 2016 (1/13)	Beth Colling
Course 1: Introduction to the U.S. Legal System	October 12, 2015	October 23, 2015 (10/26-29)	Susan Rowe
Course 2: Introduction to Corporations	October 26, 2015	November 20 (11/24)	Beau Baez
Course 3: Designing and Implementing a Compliance Program	October 12, 2015	November 20 (11/25)	Kevin Anderson
Course 4: Compliance Communication, Education, and Training	November 30, 2015	January 8, 2016 (1/12)	

Course 5: Risk Assessment Methodologies	November 30, 2015	January 8, 2016 (1/13)	Pete Anderson
Course 6: Investigation and Response	January 18, 2016	February 26, 2016 (3/1)	Beth Colling
Course 7: Auditing and Monitoring Compliance Systems	January 18, 2016	February 26, 2016 (3/2)	Beth Colling
Course 1: Introduction to the U.S. Legal System	November 30, 2015	December 11, 2015 (12-14-16)	Susan Rowe
Course 2: Introduction to Corporations	December 14, 2015	January 8, 2016 (1/13)	Beau Baez
Course 3: Designing and Implementing a Compliance Program	November 30, 2015	January 8, 2016 (1/14)	Kevin Anderson
Course 4: Compliance Communication, Education, and Training	January 18, 2016	February 26, 2016 (3/1)	Beth Colling
Course 5: Risk Assessment Methodologies	January 18, 2016	February 26, 2016 (3/2)	Pete Anderson
Course 6: Investigation and Response	March 7, 2016	April 15, 2016 (4/19)	Beth Colling
Course 7: Auditing and Monitoring Compliance Systems	March 7, 2016	April 15, 2016 (4/20)	
Course 1: Introduction to the U.S. Legal System	January 18, 2016	January 29, 2016 (2/1-3)	Susan Rowe
Course 2: Introduction to Corporations	February 1, 2016	February 26, 2016 (3/2)	Beau Baez
Course 3: Designing and Implementing a Compliance Program	January 18, 2016	February 26, 2016 (3/3)	Kevin Anderson
Course 4: Compliance Communication, Education, and Training	March 7, 2016	April 15, 2016 (4/19)	Beth Colling
Course 5: Risk Assessment Methodologies	March 7, 2016	April 15, 2016 (4/20)	Pete Anderson
Course 6: Investigation and Response	April 25, 2016	June 3, 2016 (6/7)	Beth Colling
Course 7: Auditing and Monitoring Compliance Systems	April 25, 2016	June 3, 2016 (6/8)	
Course 1: Introduction to the U.S. Legal System	March 7, 2016	March 18, 2016 (3/21-23)	Susan Rowe
Course 2: Introduction to Corporations	March 21, 2016	April 15, 2016 (4/20)	Beau Baez
Course 3: Designing and Implementing a Compliance Program	March 7, 2016	April 15, 2016 (4/21)	Kevin Anderson

Course 4: Compliance Communication, Education, and Training	April 25, 2016	June 3 (6/7)	Beth Colling
Course 5: Risk Assessment Methodologies	April 25, 2016	June 3 (6/8)	Pete Anderson
Course 6: Investigation and Response	June 6, 2016	July 15, 2016 (7/19)	Beth Colling
Course 7: Auditing and Monitoring Compliance Systems	June 6, 2016	July 15, 2016 (7/20)	

Addendum D: Anti-Discrimination Policy and Title IX

I ~ Charlotte School of Law Anti-Discrimination Policy.

Charlotte School of Law provides and will continue to provide equality of opportunity in legal education for all students with respect to applicants for admission, enrolled students, and graduates, without discrimination, segregation, or harassment on the grounds of race, color, religion, national origin, sex, age, handicap or disability, sexual orientation, gender identity, gender expression or veteran status.

The Assistant Dean for Academic Services serves as the designated Disability Officer for Section 504 of the Rehabilitation Act and Title III of the ADA. The Associate Dean for Student Engagement serves as the designated coordinator for Title IX grievances as well as the individual whom students may contact to obtain procedures on how to file non-academic grievances alleging discrimination under federal, state, or local law. The Assistant Dean for Academic Affairs is also the designated Deputy Title IX Coordinator. The contact information for the Disability Officer and the Title IX Coordinator(s) are listed below:

Disability Officer

Traci Fleury, Assistant Dean for Academic Services
 201 South College Street Suite 400, Charlotte, NC 28244
 Phone (704) 971-8538
 Email tfleury@charlottelaw.edu

Title IX Coordinator

Michael Farley, Associate Dean for Student Engagement
 201 South College Street Suite 400, Charlotte, NC 28244
 Phone (704) 971-2117
 Email mfarley@charlottelaw.edu

Deputy Title IX Coordinator

Beth Koback, Assistant Dean for Academic Affairs
 201 South College Street Suite 400, Charlotte, NC 28244
 Phone (704) 971-2121
 Email bkoback@charlottelaw.edu

Applicability. This policy applies to allegations arising from conduct by students, faculty, employees, administrators, and outside third parties who have contact with students, employees, or faculty. Violations covered by this policy may include allegations of discrimination based on race, color, and national origin, sexual orientation or preference, sex/gender, Title IX sexual harassment, sexual discrimination, sexual violence, and disability (Section 504 and Title III of the ADA), including failure to accommodate.

Duty to Timely Report Complaints Received. Any Charlotte School of Law employee, including faculty, managers, supervisors, and administrators shall notify the Associate Dean for Student Engagement, the Assistant Dean for Academic Affairs, the Assistant Dean for Academic Services, or the Human Resources Department within one (1) business day of any violation of the policy of which they become aware.

Limitations of Time to Report for Internal Investigation. Although there is no jurisdictional statute of limitations for the time to report alleged incidents or violations, all reports should be made within sixty (60) days after the alleged violation unless good cause exists to support a delay, and in any event no later than 180 days of the most recent alleged violation. Prompt reporting enables CharlotteLaw to investigate the facts, determine the issues, and provide an appropriate remedy or action. While CharlotteLaw shall respond as best it can to reports of violations of this policy after 180 days of the most recent alleged violation, the amount of time that has passed since the alleged conduct occurred will be taken into consideration and CharlotteLaw may decline to investigate.

II ~ Notice of Non-Discrimination Section 504 of the Rehabilitation Act of 1973 & Title III of the Americans with Disabilities Act.

Charlotte School of Law does not discriminate in admission or access to or treatment or employment in any of its programs or activities. CharlotteLaw has adopted an internal grievance procedure providing for prompt and equitable resolution of complaints alleging any action prohibited by the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) of the U.S. Department of Education regulations implementing the Act. Section 504 prohibits discrimination on the basis of disability in any program or activity receiving Federal financial assistance. 90

The Assistant Dean for Academic Services has been designated as the Disability Officer to oversee, coordinate, and implement the efforts of CharlotteLaw to comply with Section 504 and Title III. Any person who believes he or she has been subjected to discrimination on the basis of disability may file a grievance under the procedure described in the Anti-Discrimination Policy or the Student Rights and Responsibilities Manual. It is against the law for Charlotte School of Law to retaliate against anyone who files a grievance or cooperates in the investigation of a grievance.

The Section 504 and Title III grievance procedure is explained in the Anti-Discrimination Policy and the Student Rights and Responsibilities Manual, both of which can be found on the Charlotte Law website at http://www.charlottelaw.edu/sites/default/files/community/1_16_14_SRRM.pdf.

The Anti-Discrimination Policy is also published in the Student Rights and Responsibilities Manual, the Faculty Handbook, and the Employee Handbook and is available in hard copy upon request from the Disability Officer or the Human Resources Department. Please review the Anti-Discrimination Policy and related procedures available in those documents carefully. Any questions should be referred to the Assistant Dean for Academic Services or the Human Resources Department.

The Disability Officer's contact information is:

Traci Fleury, Assistant Dean for Academic Services
201 South College Street Suite 400, Charlotte, NC 28244
Phone (704) 971-8538
Email tfleury@charlottelaw.edu

Title IX procedures are handled separately and can also be found described in the Student Rights and Responsibilities Manual, the Faculty Handbook, the Employee Handbook, on the Charlotte School of Law website, and in hard copy upon request from the CharlotteLaw Title IX Coordinators.

The contact information for the Title IX Coordinators is:

Title IX Coordinator

Michael Farley, Associate Dean for Student Engagement
201 South College Street Suite 400, Charlotte, NC 28244
Phone (704) 971-2117
Email mfarley@charlottelaw.edu

Deputy Title IX Coordinator

Beth Koback, Assistant Dean for Academic Affairs
201 South College Street Suite 400, Charlotte, NC 28244
Phone (704) 971-2121
Email bkoback@charlottelaw.edu

III ~ Notice of Non-Discrimination Title IX & Sexual Violence.

Charlotte School of Law does not discriminate on the basis of sex in our educational program or activities. CharlotteLaw has adopted an internal grievance procedure providing for prompt and equitable resolution of complaints alleging any action prohibited by Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681 & 34 C.F.R. Part 106. Title IX prohibits discrimination on the basis of sex in any educational program or activity receiving Federal financial assistance. The Associate Dean for Student Engagement has been designated as the Title IX Coordinator to oversee, coordinate, and implement the efforts of Charlotte School of Law to comply with Title IX. Any person who believes he or she has been subjected to discrimination on the basis of sex may file a grievance under the Title IX grievance procedure. It is against the law for Charlotte School of Law to retaliate against anyone who files a grievance or cooperates in the investigation of a grievance. The Title IX procedure is described in the Student Rights and Responsibilities Manual and is available on the Charlotte School of Law website at

http://www.charlottelaw.edu/sites/default/files/community/1_16_14_SRRM.pdf.

Reference to the procedure is also made in the Anti-Discrimination Policy which is published in the Student Rights and Responsibilities Manual, the Faculty Handbook, the Employee Handbook, and can be obtained in hard copy upon request from the Associate Dean for Student Engagement or the Human Resources Department. Please review the policy and procedures described in those documents carefully. Any questions should be referred to the Associate Dean for Student Engagement or the Human Resources Department.

The contact information for the Title IX Coordinators is:

Title IX Coordinator

Michael Farley, Associate Dean for Student Engagement
201 South College Street Suite 400, Charlotte, NC 28244
Phone (704) 971-2117

Email mfarley@charlottelaw.edu

Deputy Title IX Coordinator

Beth Koback, Assistant Dean for Academic Affairs
201 South College Street Suite 400, Charlotte, NC 28244
Phone (704) 971-2121

Email bkoback@charlottelaw.edu

Section 504 and Title III procedures are handled separately and can also be found described in the Student Rights and Responsibilities Manual, the Faculty Handbook, the Employee Handbook, on the Charlotte School of Law website, and in hard copy upon request from the Assistant Dean for Academic Services who has been designated as the Disability Officer. The Disability Officer's contact information is: 92

Traci Fleury, Assistant Dean for Academic Services
201 South College Street Suite 400, Charlotte, NC 28244
Phone (704) 971-8538
Email tfleury@charlottelaw.edu

IV ~ Notice for Directory Information.

The Family Educational Rights and Privacy Act [FERPA] is a federal law that requires that Charlotte School of Law, with certain exceptions, obtain written consent from a student prior to the disclosure of personally identifiable information from educational records. However, the school may disclose appropriately designated “directory information” without written consent, unless the student has advised CharlotteLaw to the contrary in accordance with school procedures. The primary purpose of directory information is to allow the school to include this type of information from your educational records in certain publications.

Directory information, which is information that is generally not considered harmful or an invasion of privacy if released, can also be disclosed to outside organizations without prior written consent. Outside organizations include, but are not limited to, student and alumni organizations. If a student does not want the school to disclose directory information from their educational records without prior written consent must notify the school in writing.

Charlotte School of Law has designated the following student information as directory information:

- Student’s name
- Student’s address, email, and campus network (IP) address
- Student’s telephone number
- Student’s date and place of birth
- Student’s major field of study
- Degree(s) sought
- Honors and Awards
- Dates of attendance
- Degrees awarded and received
- Enrollment status including full-time or part-time and class level (i.e. 1L, 2L, 3L, 4L)
- Participation in officially recognized school activities such as moot court, law review, etc.

Students may refer to the Notice for Directory Information for additional information located on the CharlottteLaw website. Students may also contact the Registrar’s Office with other questions or concerns about student directory information. 93

V ~ Family Educational Rights and Privacy Act [FERPA].

The Family Educational Rights and Privacy Act [FERPA] affords eligible students with certain rights with respect to their educational records.

These rights include:

- The right to inspect and review the student's educational record within 45 days after the day Charlotte School of Law receives a request for access. A student should submit to the Registrar's Office a written request that identifies the record(s) the student wishes to inspect. The Registrar's Office will make arrangements for access and notify the student of the time and place where the records may be inspected. If the Registrar's Office does not maintain the records, they will advise the student of the correct official to whom the request should be addressed.
- The right to request the modification or amendment of the student's educational records that the student believes to be inaccurate, misleading, or otherwise in violation of the student's privacy rights under FERPA. A student who wishes to ask the school to amend or change a record should write the Registrar's Office clearly identifying the part of the record the students would like changed and including a reason why it should be changed. If the school decides not to change or amend the record as requested, the student will be notified in writing of the decision and the student's right to a hearing regarding the request for modifications or amendments. Additional information regarding hearing procedures will be provided to the student when notified of the right to a hearing.
- The right to provide written consent before the school discloses personally identifiable information from the student's educational record, except to the extent that FERPA authorizes disclosure without written consent. The school discloses educational records without a student's prior written consent under the FERPA exception for disclosure to school officials with legitimate educational interests. A school official is a person employed by the institution in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health care, counseling, job placement, and financial aid); or a student serving on an official committee such as disciplinary or grievance roles. A school official may also include a volunteer or contractor outside of the school who performs an institutional service or functions for which the school would otherwise use its own employees and who is under the direct control of the school with respect to use and maintenance of personally identifiable information from educational records such as an attorney, auditor, or collection agent; any other person determined by the Registrar, the Associate Dean for Academics and Faculty Development, the Associate Dean for Student Engagement, the Dean, or President to have a need to know the information in order to perform his or her administrative tasks, to provide a service or benefit for a student, or to fulfill a legitimate educational interest of the school. A school official has a legitimate educational interest if the official needs to review an educational record in order to fulfill his or her professional responsibilities for the school. Upon request, the school also discloses educational records without consent to officials of another school in which a student seeks or intends to enroll.
- The right to file a complaint with the U.S. Department of Education concerning alleged failure by the school to comply with the requirements of FERPA. The name and address

of the office responsible for FERPA administration is Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue SW, Washington DC 20202.

FERPA permits the disclosure of personally identifiable information from students' educational records without consent if the disclosure meeting certain conditions found in §99.31 of the FERPA regulations. Except for disclosures to school officials, disclosures related to some judicial orders or lawfully issued subpoenas, disclosures of "Directory Information", and disclosures to the student, §99.31 of the FERPA regulations requires the school to record the disclosure. Eligible students have a right to inspect and review the record of disclosures.

The school may disclose personally identifiable information from a student's educational records without obtaining prior written consent to:

- other school officials, including teachers, within the school whom the school has determined to have legitimate educational interests. This includes contractors, consultants, volunteers, or other parties to whom the school has outsourced institutional services or functions, provided that the conditions listed in §99.31(a)(1)(i)(B)(1) - (a)(1)(i)(B)(2) are met.
- officials of another school where the student seeks or intends to enroll, or where the student is already enrolled if the disclosure is for purposes related to the student's enrollment or transfer, subject to the requirements of §99.34. (§99.31(a)(2)).
- authorized representatives of the U.S. Comptroller General, the U.S. Attorney General, the U.S. Secretary of Education, or state and local educational authorities such as a state post-secondary authority responsible for supervising the university's state-supported educational program. Disclosures under this provision may be made, subject to the requirements of §99.35 in connection with an audit or evaluation with Federal legal requirements that relate to those programs. These entities may make further disclosures of personally identifiable information to outside entities that are designated by them as their authorized representatives to conduct any audit, evaluation, enforcement, or compliance activity on their behalf (§§99.31(a)(3) and 99.35).
- in connection with financial aid for which the student has applied or which the student has received, if the information is necessary to determine eligibility for such aid, determine the amount of the aid, determine any conditions of the aid, or enforce the terms and conditions of the aid (§99.31(a)(4)).
- to organizations conducting studies for or on behalf of the school in order to: (a) develop, validate, or administer predictive tests; (b) administer student aid programs; or (c) improve instruction (§99.31(a)(6)).
- to accrediting organizations to carry out their accrediting functions ((§99.31(a)(7)).
- to parents of an eligible student if the student is a dependent for IRS tax purposes (§99.31(a)(8)).
- to comply with a judicial order or lawfully issued subpoena (§99.31(a)(9)).
- to appropriate officials in connection with a health or safety emergency subject to §99.36. (§99.31(a)(10)).
- information the school has designated "Directory Information" under § 99.37 (§99.31(a)(11)).
- to a victim of an alleged perpetrator of a crime of violence or a non-forcible sex offense subject to the requirements of §99.39. The disclosure may only include the final results

of the disciplinary proceeding with respect to that alleged crime or offense regardless of the finding (§99.31(a)(13)).

to the general public, the final results of a disciplinary proceeding subject to the requirements of §99.39 if the school determined the student is an alleged perpetrator of a crime of violence or non-forcible sex offense, and the student has committed a violation of the school's rules or policies with respect to the allegation made against him or her (§99.31(a)(14)).

to parents of a student regarding the student's violation of any Federal, State, or local law or of any rule or policy of the school governing the use of possession of alcohol or a controlled substance if the school determines the student committed a disciplinary violation and the student is under the age of 21 (§99.31(a)(15)).