Audit and Compliance Committee Meeting

Nov 19, 2020 10:00 AM - 11:30 AM EST

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Board of Trustees
Audit and Compliance Committee
Virtual Meeting
November 19, 2020, 10:00 a.m-11:30 a.m.
(Or Upon Adjournment of previous meeting)

Livestream:
https://ucf.webex.com/ucf/onstage/g.php?MTID=e21363727e6607ec04a25825fc0083a40 Event Password: 2020
Conference call number: 1-408-418-9388, access code: 132 398 1019#

AGENDA

1.	Call to order	Joseph Conte, *Chair, Audit and Compliance Committee*
2.	Roll Call	Margaret Melli, *Executive Assistant of University Compliance, Ethics, and Risk*
3.	Minutes of the August 12, 2020 meeting	Chair Conte
4.	New Business	Chair Conte
	AUDC-1	Compliance and Ethics Program Plan *Rhonda L. Bishop, Vice President for Compliance and Risk*
	INFO-1	University Compliance, Ethics, and Risk 2020 Annual Report *Rhonda L. Bishop*
	INFO-2	2020-21 Compliance and Ethics Work Plan Status of All Activities – July 1, 2020, to September 30, 2020 *Rhonda L. Bishop*
	INFO-3	Compliance, Ethics, and Risk Update *Rhonda L. Bishop*
	INFO-4	University Internal Audit Update *Robert Taft, Chief Audit Executive*
5.	Adjournment	Chair Conte

Board of Trustees
Audit and Compliance Committee Meeting
August 12, 2020
Virtual

MINUTES

CALL TO ORDER

Trustee Joseph Conte, Chair of the Audit and Compliance Committee, called the virtual meeting to order at 10:45 a.m. Vice Chair David Walsh was present. Committee members Joseph Harrington, Michael Okaty, and John Sprouls were present. Chair Seay and Trustee Gaekwad were in attendance.

MINUTES APPROVAL

The minutes from the February 13, 2020, meeting were approved as submitted.

REPORTS
FY21 Audit and Compliance Committee Annual Plan (INFO-1)
Chair Conte introduced the FY21 Audit and Compliance Committee Annual Plan. The plan is a summary of the priorities, purpose, and schedule of the committee.

NEW BUSINESS
University Internal Audit Update (INFO-2)
Robert Taft, Chief Audit Executive, provided the University Internal Audit Department status update. The update included information about ongoing audit projects, department staffing plans, and upcoming projects. Taft also discussed the new agile audit approach to be piloted for COVID-related audit activities. Taft provided an overview on the technology being used to perform the department's work remotely.

Post Investigation Action Plan (AUDC-1)
Rhonda Bishop, Vice President for Compliance and Risk presented the final Post Investigation Action Plan and stated that all recommendations have been completed with one item being moved to the president's goals and objectives. University Compliance, Ethics, and Risk will perform a six-month follow up to ensure that action plans continue to progress as approved. Trustee Walsh made a motion to approve the Post Investigation Action Plan and Trustee Okaty seconded, the motion was approved unanimously.

University Compliance, Ethics, and Risk Charter (AUDC-2)

Bishop provided an overview of the revised University Compliance, Ethics, and Risk Charter. Trustee Harrington made a motion to approve the report and Vice Chair Walsh seconded, the Committee unanimously approved the University Compliance, Ethics, and Risk Charter.

University of Central Florida 2020 Florida Equity Report (AUDC-3)

Nancy Fitzpatrick Myers, Director, Office of Institutional Equity, provided an overview and highlights of the University of Central Florida 2020 Florida Equity Report. Chair Conte called for a motion to approve the report, the University of Central Florida 2020 Florida Equity Report was approved unanimously.

Compliance and Ethics Culture Survey (INFO-3)

Bishop and Erica Salmon Byrne, Executive Vice President, Ethisphere, presented the results of the Compliance and Ethics Culture Survey. The survey was conducted from March 17 through April 27, 2020. Bishop presented trend data from the survey's beginning in 2016.

Due to time constraints there were no discussions on INFO-4 UCF IntegrityLine Report 2019, INFO-5, 2019-20 Compliance and Ethics Work Plan Status of All Activities – July 1, 2019, to June 30, 2020; INFO-6, 2020-21 Compliance and Ethics Annual Work Plan; and INFO-7, Compliance, Ethics, and Risk Update.

ADJOURNMENT

Chair Conte adjourned the Audit and Compliance Committee meeting at 1:05 p.m.

Reviewed by: _____   _____
                              Joseph Conte
                              Chair, Audit and Compliance Committee   Date

Respectfully submitted: _____   _____
                              Janet Owen   Date
                              Associate Corporate Secretary

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UCF BOARD OF TRUSTEES
Agenda Item Summary
Audit and Compliance Committee
November 19, 2020

Title: Compliance and Ethics Program Plan

☐ **Information**   ☐ **Information for upcoming action**   ☒ **Action**

Meeting Date for Upcoming Action: _____

Purpose and Issues to be Considered:
The Program Plan has been revised and is now brought forward for this Committee's review and approval and subsequent review and approval by the Board of Trustees, to be submitted to the BOG in compliance with BOG Regulation 4.003. The Committee should carefully consider the intent and impact of the proposed changes to the Program Plan.

Background Information:
The Compliance and Ethics Program Plan (Program Plan) outlines and documents UCF's Compliance and Ethics Program and communicates roles and responsibilities. As required by Board of Governors (BOG) Regulation 4.003 State University System Compliance and Ethics Programs, the original Program Plan was approved by this Committee on October 11, 2017, approved by the Board of Trustees on October 26, 2017, and provided to the BOG. The Program Plan is intended to be a living document capable of keeping pace with the implementation of an effective compliance and ethics program, the university's mission, goals, and strategic initiatives, and the continually evolving regulatory landscape. It is the responsibility of the vice president for compliance and risk to enact modifications to this document and assure UCF's continued commitment to the highest ethical standards and the adherence to applicable federal, state, and local laws and regulations and university policies and procedures.

Recommended Action:
Approval of the revised Compliance and Ethics Program Plan.

Alternatives to Decision:
The Committee could elect to maintain the Program Plan's current language or propose additional revisions to those proposed by university staff.

Fiscal Impact and Source of Funding:
N/A

Authority for Board of Trustees Action:
N/A

Contract Reviewed/Approved by General Counsel ☐ **N/A** ☒

Committee Chair or Chair of the Board has approved adding this item to the agenda ☒

Submitted by:
Rhonda L. Bishop, Vice President for Compliance and Risk

Supporting Documentation:
Attachment A: Compliance and Ethics Program Plan

Facilitators/Presenters:
Rhonda L. Bishop, Vice President for Compliance and Risk

UNIVERSITY OF CENTRAL FLORIDA

Compliance and Ethics Program Plan

Introduction

UCF is committed to conducting research, instruction, business, and all other activities with the highest ethical standards and in compliance with applicable federal, state, and local laws and regulations. This Compliance and Ethics Program Plan (Plan) outlines and documents UCF's Compliance and Ethics Program (Program) and communicates roles and responsibilities in the Program. UCF's Program is reasonably designed to optimize its effectiveness in preventing or detecting noncompliance, unethical behavior, and criminal conduct. The Program is developed consistent with the Code of Ethics for Public Officers and Employees contained in Part III, Chapter 112, Florida Statutes; other applicable codes of ethics; the Federal Sentencing Guidelines Manual, Chapter 8, Part B, Section 2.1 (Appendix A); and as required by the Florida Board of Governors Regulation 4.003 (Appendix B).

Revisions

The Plan is intended to be a living document capable of keeping pace with the implementation of an effective compliance and ethics program, the university's mission, goals, and strategic initiatives, and the continually evolving regulatory landscape. As required by Board of Governors Regulation 4.003, the Plan and any subsequent changes will be approved by the UCF Board of Trustees and copy of the approved plan shall be provided to the Board of Governors. It is the responsibility of the chief compliance and ethicsvice president for compliance and risk, officer who serves as the chief compliance and ethics officer, to enact modifications to this document and assure UCF's continued commitment to the highest ethical standards and the adherence to applicable federal, state, and local laws and regulations and university policies and procedures.

Approved by the UCF Board of Trustees October 26, 2017

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Appendices

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J. UCF Policy 2-800 Fraud Prevention and Detection

K. UCF Regulation 3.018 Conflict of Interest or Commitment; Outside Activity or
   Employment

L. UCF Policy 4-504.2 Reporting a Potential Conflict of Interest or Conflict of Commitment
in Research

M. UCF BOT – UFF Collective Bargaining Agreement, Article 16

N. Regulation 3.0124 Discipline and Termination for Cause of Non-unit Faculty and A & P
Staff Members

O. Regulation 3.0191 Disciplinary Action – University Support Personnel System

Approved by the UCF Board of Trustees October 26, 2017

Elements of an Effective Compliance Program

The elements of an effective compliance program are based on Chapter 8 of the Federal Sentencing Guidelines and serve as the foundation for Board of Governors Regulation 4.003. These requirements set forth an effective compliance and ethics program for organizations and require not only promoting compliance with laws, but also advancing a culture of ethical conduct. Federal agencies use these guidelines to determine the effectiveness of a compliance and ethics program, and to determine whether the existence of the program will provide safe harbor in the event of noncompliance.

These elements serve as the basis for UCF's Program and provide the objectives of the Program's work plan submitted annually to our Board of Trustees Audit and Compliance Committee. The Program is focused on projects and activities that will mitigate risks to the resources and reputation of UCF, as well as to the careers and professional reputations of its employees. The Plan is divided into eight elements and includes an overview of the projects and activities that have been developed to meet those requirements.

Benefits of a Comprehensive Compliance Program

In response to the Federal Sentencing Guidelines and calls for increased accountability in public service, UCF took a proactive approach in 2011 to hire a chief compliance and ethics officer who was charged with developing an effective compliance and ethics program. In 2016, the Board of Governors approved Regulation 4.003 that requires all state university system schools to hire a chief compliance and ethics officer and implement a program by November 2018. The benefits of UCF's Program are that it:

- demonstrates appropriate stewardship over the resources entrusted to UCF
- commits the university to a culture of ethics and compliance, and to conducting all activities and business with the utmost integrity
- assures the UCF Board of Trustees, president, and senior leadership that programs are in place to conduct university activities in accordance with federal, state, and local laws and regulations, as well as institutional policies and procedures
- provides a mechanism to monitor performance and strengthen business practices
- mitigates fines or penalties that may be imposed on the university in the event of noncompliance.

Element I - Oversight of Compliance and Ethics and Related Activities

The Federal Sentencing Guidelines require that an organization's governing authority be knowledgeable about the content and operation of the compliance and ethics program and that they exercise reasonable oversight with respect to the implementation and effectiveness of the compliance and ethics program. Board of Governors Regulation 4.003 requires that each Board of Trustees assign responsibility for providing governance oversight of the Program to the committee of the board responsible for audit and compliance.

Approved by the UCF Board of Trustees October 26, 2017

UCF Audit and Compliance Committee

The Audit and Compliance Committee is appointed by the UCF Board of Trustees and assists the board in discharging its oversight responsibilities. The committee oversees the following for UCF and its direct support organizations:

- internal control structure
- independence and performance of internal and external audits and corrective actions plans
- integrity of information technology infrastructure and data governance
- independence and effectiveness of the compliance and ethics program
- compliance with applicable laws and regulations
- standards for ethical conduct
- risk identification and mitigation
- internal investigation processes.

The full charge and responsibilities of the committee is communicated in the committee's charter (Appendix C). The committee's charter is reviewed annually, updated as appropriate, and discussed with and approved by our Board of Trustees.

UCF President

The university president serves as the chief executive officer of the university and is responsible for the operation of the university. The president must be knowledgeable about the Program and shall exercise oversight with respect to its implementation and effectiveness. In coordination with the Board of Trustees, the president designates a senior-level administrator the vice president for compliance and risk as the university's chief compliance and ethics officer, and is responsible for ensuring that the chief compliance and ethicsvice president for compliance and risk officer has the independence and objectivity to perform the responsibilities of the position and has the adequate resources and appropriate authority, and that any imposed restriction or barrier that may impede the function of the chief compliance and ethicsvice president for compliance and risk officer is removed.

Vice Presidents and Senior Leadership

Vice presidents and members of the senior leadership team are responsible for fostering a culture of ethical conduct and compliance at UCF and for performing their roles in compliance with all applicable federal and state laws and regulations, as well as the policies and procedures of the university. In addition, all vice presidents and senior leadership team members are responsible for ensuring that any compliance programs under their area of supervision have adequate resources and are appropriately positioned to be effective, that the function of the program is not impeded, and that any imposed barriers to an effective Program are removed.

Vice President for Compliance and Risk, Chief Compliance and Ethics Officer

The vice president for compliance and risk who serves as the chief compliance and ethics officer is assigned the overall responsibility for the compliance and ethics program and is delegated day-

Approved by the UCF Board of Trustees October 26, 2017

to-day operational responsibility. The chief compliance and ethics officer reports functionally to the Audit and Compliance Committee of the Board of Trustees and administratively to the president and to the vice president and executive chief of staff. The chief compliance and ethics officer and staff members have organizational independence and objectivity to perform their responsibilities and all activities of the office free from influence.

The chief compliance and ethics officer oversees the University Compliance, Ethics, and Risk office and is responsible for developing the Program as required by this Plan. The full responsibilities of the chief compliance and ethics officer and office are detailed in the University Compliance, Ethics, and Risk Charter (Appendix D). The charter is reviewed at least every three years for consistency with applicable Board of Governors and university regulations, professional standards, and best practices. The charter is approved by the Board of Trustees and a copy of the approved charter and any subsequent changes are provided to the Board of Governors.

To ensure the Program is effectively developed, the chief compliance and ethics officer is responsible for the following:
- maintaining a professional staff with sufficient size, knowledge, skills, experience, and professional certifications

- utilizing third-party resources as appropriate to supplement the department's efforts

- performing assessments of the program and making appropriate changes and improvements

- routinely communicating to the Board of Trustees Audit and Compliance Committee and president on the effectiveness of the compliance and ethics program

- developing and updating this plan.

University Compliance, Ethics, and Risk Office

The University Compliance, Ethics, and Risk, office led by the vice president for compliance and risk, chief compliance and ethics officer, is charged with implementing and sustaining the Program and the ongoing development of effective policies and procedures, education and training, monitoring, communication, risk assessments, and responding to reported issues. The office partners with responsible university personnel to monitor compliance and ensure appropriate corrective actions when necessary.

Purpose Statement: To provide oversight and guidance to university-wide ethics, compliance, and enterprise risk management activities, and foster a culture that embeds these disciplines in all university functions and activities.

Compliance and Ethics Advisory Committee

The Compliance and Ethics Advisory Committee is comprised of subject matter experts who are responsible for compliance in their respective areas, as well as representatives from the Faculty

Senate and Staff Council, Office of the Provost, Office of the General Counsel, and University Audit. The compliance committee advises the chief compliance and ethics officer on the implementation ~~development~~ of the~~a~~ comprehensive compliance and ethics program and the mitigation of compliance and ethical risks at UCF. In addition, the purpose of the committee is to ensure effective and consistent communication ~~and development of compliance and ethics programs across the university and to ensure~~ and that the elements of the Plan are implemented at all levels of the institution. The committee members are charged with promoting a culture of ethics, accountability, and compliance at UCF.

Compliance Partners

The key to the Program's success is fostering a culture of ethics, compliance, and accountability that weaves compliance into everyday business processes at UCF. To achieve this goal, the Accountability Matrix ~~(Appendix E)~~ identifies the compliance and ethics requirements, the individuals responsible for those areas, and the vice president accountable for compliance and ethical conduct, as well as for ensuring that those areas are appropriately staffed and supported.

These individuals, referred to as *compliance partners*, play an important role in ensuring that the Program is effectively implemented and that risks are mitigated. Each compliance partner has a dotted line of responsibility to the chief compliance and ethics officer. They are required to report any incidents of noncompliance or unethical conduct, external requests related to compliance and ethics activities, or any imposed restriction or barrier to the effectiveness of their function or the Program to University Compliance, Ethics, and Risk ~~the chief compliance and ethics officer~~. The compliance partners annually report the effectiveness of compliance and ethics initiatives within their area of responsibility to ~~the~~ University Compliance, Ethics, and Risk ~~office~~.

Faculty, Staff, and Students

The responsibility for compliance with laws, regulations, policies, procedures, and standards of conduct rests with every member of the UCF community. Through this commitment, each of us is preserving the distinguished reputation of the university, as well as the careers, professional reputations, and future of all of the faculty, staff, and students. This expectation is communicated to employees through the UCF Employee Code of Conduct and to students through *The Golden Rule.*

Exercise Due Diligence to Avoid Delegation of Authority to Unethical Individuals

UCF uses reasonable efforts not to include within the university and affiliated organizations individuals whom UCF knew, or should have known through the exercise of due diligence, to have engaged in conduct inconsistent with an effective compliance and ethics program. As part of these efforts, University Compliance, Ethics, and Risk provides guidance on appropriate disciplinary actions related to noncompliance or unethical conduct and recommends the removal of individuals from Program related roles as appropriate.

In addition, background checks serve as an important part of the selection process at UCF. This type of information is collected as a means of promoting a safe environment for students,

employees, and the public. UCF requires a background check per UCF Policy 3-011 Background Checks on all prospective employees as a condition of employment and follows Equal Employment Opportunity Commission guidelines when evaluating information obtained through the background check process. UCF employs a third-party agency to perform background checks on all final candidates prior to an offer of employment. The type of background check performed is dependent upon job duties assigned to the position and can be one or more of the following:

- Level 1 background checks are performed on final candidates prior to an offer of employment and UCF employs a third party agency. UCF Standard Background Check: Information collected can include an employment history, education, character,finances, and criminal history.
- Consists of criminal history background check inclusive of a search of the following:
   - National Sex Offenders Registry
   - Statewide criminal history background check through the Florida Department of Law Enforcement (FDLE)
   - Local criminal records check through local law enforcement agencies
   - Federal criminal database
   - National criminal history records
   - Social security records available through credit bureaus
   - Driver's license records

- The Level 1 background check: Consists of criminal history background check inclusive of a search of the following:
   - National Sex Offenders Registry
   - Statewide criminal history background check through the FDLE
   - Local criminal records check through local law enforcement agencies collects information from federal criminal, county criminal, national criminal database, Transunion social security trace, driving records, and the National Sex Offender Registry.

- Level 2 background check:s This type of background check areis performed on prospective and current employees where required by law or university policy. Checks conducted in accordance with the State of Florida level 2 standards, including fingerprinting for statewide criminal history records checks through the FDLE and national criminal history records checks through the Federal Bureau of Investigation, and may include local criminal records checks through local law enforcement agencies.

Element II - Standards of Conduct, Policies and Procedures

As part of an effective Program, UCF develops expectations for ethical conduct and compliance through several avenues. Codes of conduct, regulations, and policies and procedures set expectations for ethical conduct and compliance. Additionally, University Compliance, Ethics, and Risk serves as a resource for regulation and policy development and assists UCF faculty and staff in identifying and understanding policies applicable to their roles. The following standards, policies and procedures are core to UCF's effective Program:

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UCF Employee Code of Conduct

The purpose of the UCF Employee Code of Conduct (Appendix F) is to provide one guiding document that serves to communicate expectations and requirements and provides a resource for employees when faced with questions or ethical dilemmas. Embedded in the code are UCF's ethical standards of honesty and integrity, respect, responsibility and accountability, and stewardship, as well as the five tenets of the UCF Creed. Together they communicate the ethical principles and values of the university. The UCF Employee Code of Conduct is part of UCF's comprehensive compliance and ethics program, supported by the UCF Board of Trustees, the president, and senior leadership. All employees are required to follow the UCF Employee Code of Conduct.

UCF Policy 2-001.5 – University Policy Development

UCF Policy 2-001.5 (Appendix G) establishes how university policy is developed, reviewed, approved, and maintained. The chief compliance and ethicsvice president for compliance and risk officer administers the policy and provides guidance on the effective development of policies and procedures. The chief compliance and ethicsvice president for compliance and risk officer also chairs the University Policies and Procedures Committee that is charged with reviewing policies and procedures and providing a recommendation of approval prior to review and approval by the university president. All policies are maintained online in the UCF Policies and Procedures Manual and must be reviewed annually by the responsible authority and every five years by the committee. New and revised policies are communicated to all employees of the university community through thebroadcast email distribution policy listserv.

UCF Policy 2-004 Prohibition of Discrimination, Harassment and Related Interpersonal Violence

UCF Policy 2-004 is administered by the vice president for compliance and risk and outlines the following specifically defined forms of prohibited conduct: discrimination, discriminatory harassment, sexual or gender-based harassment, sexual assault, sexual exploitation, relationship violence, stalking, complicity, and retaliation. Therein, UCF prohibits all students, employees, registered student organizations, direct support organizations' non-student employees), and third-parties affiliated with the university from engaging in "discrimination, as well as discriminatory harassment, sexual assault, sexual exploitation, relationship violence, stalking, sexual or gender-based harassment, complicity in the commission of any act prohibited by this Policy, retaliation against a person for reporting, in good faith, any of these forms of conduct or participating in or being a party to any investigation or proceeding under this Policy." This policy also sets forth UCF's commitment to cultivating a climate where all individuals are well-informed and supported in reporting Prohibited Conduct and providing a fair and impartial process for all parties in the investigation and resolution of such reports.

UCF Policy 2-010 Whistle-blower Determination and Investigation

Approved by the UCF Board of Trustees October 26, 2017

UCF Policy 2-010 is administered by the Chief Audit Executive and communicates the requirement that all potential whistle-blower complaints received by university or DSO employees be reported to University Audit for determination of whistle-blower status. When a whistle-blower investigation is necessary, University Audit is responsible for performing the investigation into the whistle-blower complaint and will refer other claims that do not meet the definition of a whistle-blower complaint to the appropriate department for investigation.

UCF Policy 2-101.1 – University Regulation Development

UCF Policy 2-101.1 (Appendix H) establishes how a university regulation is developed. The policy and process isare administered by the vice president and general counsel in compliance with the procedures adopted by the Board of Governors. The Office of the General Counsel maintains the online regulation library and provides communication to the university community on new and revised regulations through the regulation listserv.

UCF Policy 2-700 – Reporting Misconduct and Protection from Retaliation

UCF Policy 2-700 (Appendix I) is administered by the vice president for compliance and risk, chief compliance and ethics officer, and establishes how and where members of the university community, including companies that conduct business with the university, should report concerns. The policy statement includes three main expectations:

1. All members of the UCF community are expected and encouraged to make good faith reports of suspected misconduct.
2. An employee who knowingly makes a false report or provides false information during an investigation may be subject to disciplinary action up to and including termination.
3. Retaliation against anyone who, in good faith, reports misconduct, or who participates in an investigation of misconduct, is strictly prohibited.

The policy covers the avenues for reporting, including within an employee's department, to central offices, to the University Compliance, Ethics, and Risk office, and through the UCF IntegrityLine (anonymous report line). The policy also covers the requirement to report possible fraud to University Audit and the requirements under Florida statute for reporting child abuse, neglect, and abandonment.

UCF Policy 2-800 - Fraud Prevention and Detection

UCF Policy 2-800 (Appendix J) is administered by the Chief Audit Executive and communicates the requirement that suspected fraud, waste, or abuse be reported and investigated by University Audit. It is the policy of UCF to proactively exercise due diligence in the prevention and detection of fraud and objectively and independently investigate any misuse of university resources, as well as any suspected acts of fraud, theft, corruption, waste, or abuse, and to take appropriate disciplinary or legal action.

Element III – Effective Training and Education

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~~The~~ University Compliance, Ethics, and Risk ~~office~~ and compliance partners are responsible for developing and implementing training and education to support ethical conduct and compliance at UCF. University Compliance, Ethics, and Risk collaborates with compliance partners to assist in the development, evaluation, and delivery of training. All UCF employees are provided training to conduct university business with the highest ethical standards and in compliance with applicable laws, regulations, and policies and procedures.

Creating training modules and identifying need-based education is pivotal to the success of the Program. As part of the Program's core training regarding compliance and ethical conduct, ~~University Compliance, Ethics, and Risk developed and provides~~ the following on-line and in-person training to employees:

UCF Employee Code of Conduct/Speak Up! Whistle-blower training – This course is a combined course of both the UCF Employee Code of Conduct training and the Speak Up! Whistle-blower training. The UCF Employee Code of Conduct is part of UCF's comprehensive compliance and ethics program, supported by the UCF Board of Trustees, the president, and senior leadership. The purpose of the Employee Code of Conduct is to provide one guiding document that highlights many of the laws, regulations, UCF policies, and ethical standards that employees are already expected to follow. It can also serve as a resource for employees when faced with questions or ethical dilemmas. The purpose of the UCF Speak Up! Whistle-blower training is to provide an overview of university policies on reporting misconduct, explain protection from retaliation and whistle-blower protections, and assist employees in understanding their responsibility to report concerns. This training is required to be completed by all newly hired employees within the first week of employment ~~provided to new employees during orientation~~ and is available and promoted to current employees on a regular basis.

UCF Code of Conduct Annual Refresher Training and Certifications – This is an annual 20-minute refresher training required for all non-student employees and contains a brief overview of the purpose of the Code, provides targeted training on three compliance topics that rotate annually, and reminds employee of their duty to report misconduct. At the end of the training, employees are required to certify to their understanding of the Code and their responsibilities.

Ethical Leadership training – This training is encouraged for all employees and provided by University Compliance, Ethics, and Risk through the leadership development program and as requested. The training covers the ethical standards and values of the university and provides a framework for employees to navigate ethical dilemmas and decision-making. Employees who attend learn what it means to be an ethical leader and how leaders impact the culture of the university.

Potential Conflicts – Florida Code of Ethics for Public Officers and Employees training – This training provides an overview of the state's ethics laws, assists employees with identifying prohibited actions or conduct, and communicates the reporting and disclosure requirements of the state and university. This training is required to be completed by all newly hired employees within the first 30 days of employment and is available and promoted to ~~new and~~ current employees on a regular basis.

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Gifts and Honoraria training – This training is based on the state's ethics laws as it relates to employees soliciting and receiving gifts, applicable reporting requirements, and communicates the university's policy and standards. This training is available and promoted to both new and current employees on a regular basis.

Youth Protection training – The Youth Protection Program training is intended to protect all faculty, staff, students, volunteers, and visitors of UCF, UCF DSOs, and third party organizations, as well as the minors they interact with, by providing education on UCF policies, and federal and state reporting requirements when participating in youth related activities. All youth program staff, either UCF affiliated or third party, who work with minors are required to complete this training every two years to remain compliant with university policy, and federal and state laws.

UCF Actions to Prevent and Correct Discrimination – The Office of Institutional Equity is responsible for administering this online training. As required by applicable laws, regulations, and university policies, this course provides employees with information, resources, and rights and obligations of UCF employees on discrimination, harassment, and retaliation. Topics covered include discrimination and discriminatory harassment, the Americans with Disabilities Act and accommodations, interpersonal violence, amorous relationships, retaliation, and reporting duties. This training is required to be completed by all newly hired employees within the first week of employment and is available and promoted to all current employees on a regular basis.

Information Security Awareness Training – This online course is administered by the Information Security Office and promotes the secure and responsible use of the University's network. It helps employees become more skilled at detecting social engineering attacks, learn how to secure their data, and implement security best practices. This course is required to be completed by all newly hired employees within the first 30 days of employment and is available and promoted to all current employees on a regular basis.

SR FERPA Training – This online training is designed to provide important information regarding the Family Educational Rights and Privacy Act (FERPA). This is the United States federal law that protects student records privacy review and disclosure rights. The law guarantees these rights for both current and former UCF students. FERPA affords students certain rights with respect to their education records. The course is administered by the University Registrar's Office and is required to be completed by newly hired employees within the week of employment and must be completed every two years to remain in compliance with federal law.

Fraud Awareness – The purpose of this online University Audit designated course is to promote fraud prevention and awareness across UCF. Completion of this course better prepares employees to recognize potential fraud and determine what actions should be taken when these situations are identified. This training is required for all newly hired employees within the week of employment and is mandatory for current employees who the following scenarios: when employees within a specific college, department, and/or unit are identified as primary contacts for an upcoming audit, when the results of an investigation related to a specific college, department, and/or unit indicate that this training course would be beneficial. The course is also

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promoted on a regular basis to all other current employees who do not meet the indicated scenarios.

~~University Compliance, Ethics, and Risk also provides t~~Targeted versions of the training~~s~~ listed above are also provided to departments and groups, as requested. In addition, training is developed or updated to meet the needs of the Program and to address areas of concern. As part of the Program, ~~the office~~University Compliance, Ethics, and Risk provides training on the Clery Act and federal research compliance requirements in collaboration with compliance partners from the UCF Police Department~~, Office of Institutional Equity,~~ and the Office of Research ~~and Commercialization~~. Compliance partners also develop and administer vital training to employees as part of UCF's effective Program and cover the large amount of ethical and compliance requirements applicable to the university.

Website

In addition, the development and maintenance of the compliance website, which promotes UCF's policies and procedures, is a critical educational resource for university employees. Information on the website includes an overview of the Program, UCF Employee Code of Conduct, policies and procedures, the UCF IntegrityLine report line, UCF *IntegrityStar* newsletter, educational modules and videos, and links for additional resources. The training videos provided on the website and distributed to employees through other channels, cover the topics of retaliation, maintaining a safe and secure workplace, phishing, employment of relatives, responding to workplace violence, respecting others, and avoiding conflicts of interest.

IntegrityStar

The *IntegrityStar* ~~N~~newsletter is the official UCF Compliance and Ethics newsletter that is distributed to all employees three times per year (once per semester). Newsletter articles cover ethics and compliance topics, include articles by compliance partners, highlight new policies and regulations, and list upcoming training opportunities. The newsletter includes a recognition section in which employees are celebrated for demonstrating the values of the university. The newsletter provides guidance to employees and contains educational videos and cartoons that communicate ethical conduct and compliance requirements. Each newsletter provides a link to the IntegrityLine and reminds employees to report suspected misconduct.

Educational Outreach

University Compliance, Ethics, and Risk also educates the university community on ethical and compliance requirements through correspondence such as employee-specific and ~~all-employee emails~~broadcast email distribution, direct mailing to departments or employees, and distribution of the UCF Compliance and Ethics brochure. The brochure provides an overview of the office and Program at UCF and is distributed as part of new employee orientation, outreach events, and national Compliance and Ethics Week activities.

Compliance and Ethics Week

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Annually UCF celebrates national Compliance and Ethics Week through activities promoted and hosted by University Compliance, Ethics, and Risk. As part of the outreach activities, ~~lunch and learn~~ training sessions are either conducted by compliance partners or sent through broadcast email distribution on compliance and ethical hot topics. During the week, the values of the university are celebrated, and the elements of the Program are promoted to all employees.

Compliance and Ethics Training for BOT Members

Board of Trustee members receive training regarding their responsibility and accountability for ethical conduct and compliance with applicable laws, regulations, rules, policies, and procedures as part of the orientation process and as requested by the chair. The ~~chief compliance and ethics~~vice president for compliance and risk ~~officer~~ regularly educates the Board of Trustees Audit and Compliance Committee regarding applicable federal and state compliance requirements and the Program during committee meetings.

Element IV – Effective Lines of Communication

As part of an effective program, organizations are required to have and publicize a system that allows for anonymity or confidentiality, whereby members of the university community can report or seek guidance regarding potential or actual misconduct without the fear of retaliation. All members of the UCF community are expected and encouraged to make good faith reports of suspected misconduct. These expectations are communicated in UCF Policy 2-700, Reporting Misconduct and Protection from Retaliation. The policy includes procedures for when to report and the communication lines that are available for reporting. As part of the options for reporting, the UCF IntegrityLine, the anonymous reporting line, is provided and publicized to all members of the university community.

The UCF IntegrityLine is a secure reporting system administered by an independent third-party, NAVEX Global. The IntegrityLine is available 24 hours a day, 365 days a year, and is located at ucfintegrityline.com, or by calling 1-855-877-6049 toll-free. NAVEX Global uses their case management system, EthicsPoint, to provide an anonymous way for individuals who may be reluctant to report suspected misconduct through university administrative or central offices. The internet portal never identifies a visitor and deletes the internet address so that anonymity is preserved. Callers are not traced or recorded.

IntegrityLine reports are processed by EthicsPoint and sent to ~~the~~ University Compliance, Ethics, and Risk ~~office~~ to address appropriately. All reports are reviewed, investigated, and responded to as discreetly and promptly as possible. Reports received through the UCF IntegrityLine are triaged ~~in a joint meeting~~ between the ~~chief compliance and ethics~~ assistant vice president for compliance and ethics ~~officer~~ and the chief audit executive. Based on the nature of the report, they are either investigated by ~~the~~ University Compliance, Ethics, and Risk ~~office~~, ~~or~~ University Audit, ~~or~~ investigated jointly by both offices, or they may be referred to the appropriate compliance partner for review. When reports are received through the UCF IntegrityLine that involve behavior involving students under the UCF *Golden Rule*, the cases are referred to the Office of Student Rights and Responsibilities. When reports are criminal in nature, the reports are referred to the UCF Police Department.

If employees decide to provide their identity, University Audit will conduct a whistle-blower determination in accordance with UCF Policy 2-010 Whistle-blower Determination and Investigation and will notify the employee of their eligibility for whistle-blower status. Should an employee not be granted whistle-blower status, they are still protected from retaliation under UCF Policy 2-700 – Reporting Misconduct and Protection from Retaliation. ~~every effort is made by the University Compliance, Ethics, and Risk office to keep their identity confidential.~~ The university does not tolerate retaliation and will take all reasonable and necessary actions to protect members of the university community who have filed good faith reports of misconduct. If someone who has filed a report or participated in an investigation feels as if they are experiencing retaliation, they are directed to contact ~~the~~ University Compliance, Ethics, and Risk ~~office~~ immediately. Reports of retaliation are investigated by University Compliance, Ethics, and Risk and include the appropriate compliance partners based on the allegations.

The UCF IntegrityLine is publicized through multiple channels to the university community. The image to the right is the poster that is distributed to all building managers and placed throughout buildings on all UCF campuses. The IntegrityLine logo and link are also placed on all University Compliance, Ethics, and Risk web pages, compliance partner websites, *IntegrityStar* ~~Nn~~ewsletter editions, UCF Employee Code of Conduct, and training modules. In addition, wallet cards are distributed to all new employees during orientation, training sessions, and during outreach events.
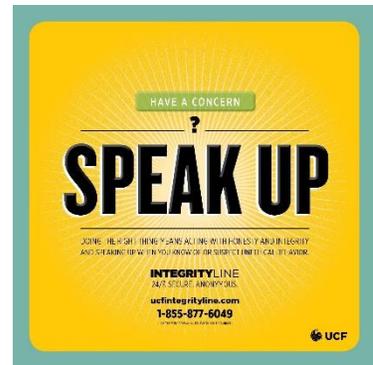
Marketing materials with the IntegrityLine information, such as ear buds, are also distributed to employees during outreach events and training.

Element V – Routine Monitoring, Auditing, and Identification of Risks

To ensure that the Program is followed, routine monitoring, risk assessments, and audits are performed. Through these efforts weaknesses and risks are identified and steps are taken to improve the program, strengthen internal controls, and mitigate the risks of misconduct and noncompliance. To fulfill the requirements of this element, the following activities are included in the Program:

Conflicts of Interest Disclosure

As a state institution and recipient of federal funds, UCF must comply with both state and federal requirements regarding the disclosure and management of conflicts of interest and commitment. Additionally, the university is committed to conducting university business and activities with integrity and has developed policies and procedures to identify, manage, and, when appropriate, remove potential and actual conflicts of interest and commitment. University Compliance, Ethics, and Risk provides oversight and management of the university's conflicts of interest and commitment reporting process. A~~t each committee meeting, nnually~~ the office provides the Board of Trustees Audit and Compliance Committee updates on the ~~a report based on~~ office's monitoring efforts of the disclosure process and policies for the university, UCF direct support

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organizations and component units. Every five years the office conducts a full review of the conflicts of interest and commitment policies and procedures, disclosure process, monitoring efforts, and corrective actions or management plans for the university, UCF direct support organizations, and component units.

Each academic year, a potential conflict of interest and commitment disclosure is required of all faculty, executive staff, post-doctoral employees, and select individuals in university positions of trust, or other employees engaged in the design, conduct, and reporting of research at UCF. Through this process, employees report all outside activities for review and approval in advance of engaging in the outside activity and University Compliance, Ethics, and Risk serves as the final reviewer of all outside activities disclosed through this process. All other employees must submit a report prior to the initiation of any outside activity or employment and when a potential conflict of interest exists. An amended disclosure must be submitted within 30 days of any change in circumstances.

University Compliance, Ethics, and Risks provides training modules, guidance, review and approval of disclosures, reviews and monitors management plans, and performs investigations into conflicts of interest and commitment. The process of disclosing all outside activities for review and approval protects employees from unknowingly violating a state or federal law, and protects the credibility and reputations of employees and the university by providing a transparent system of disclosure, approval, and documentation of outside activities that might otherwise raise concerns of a conflict of interest or commitment. Through this review process, the office is continually assessing risk exposures and taking proactive steps to address those risks before they develop into misconduct. The following regulation and policy communicate the expectations for disclosure and compliance:

UCF Regulation 3.018 Conflict of Interest or Commitment; Outside Activity or Employment (Appendix K) is a longstanding university regulation that outlines the conflict of interest and commitment disclosure process at UCF and includes state and federal reporting requirements.

UCF Policy 4-504.2 Reporting a Potential Conflict of Interest or Conflict of Commitment in Research (Appendix L) communicates the federal disclosure requirements and procedures for faculty and staff who engage in federally funded research.

UCF Policy 2-009 Gifts and Honoraria specifies the procedures for employees to identify allowable gifts and honoraria in compliance with state ethics laws and university standards, as well as communicates the reporting requirements when accepting certain gifts and honoraria. In accordance with Florida Statutes Chapter 112, part III Code of Ethics for Public Officers and Employees, the policy also includes restrictions on soliciting and receiving gifts and honoraria.

Youth Protection Program

The university hosts a variety of academic, recreational, and service programs that engage non-enrolled minors. All youth programs vary significantly, and UCF is committed to providing a safe and healthy environment for all programs associated with the university. The Youth

Protection Program sets forth standards and expectations for providing a safe environment for all minors and to ensure all persons understand how to minimize the threat of child abuse and neglect, recognize the signs of child abuse and neglect, and respond promptly and effectively should child abuse and neglect be observed, suspected, or disclosed. University Compliance, Ethics, and Risk is responsible for overseeing compliance with the university's Youth Protection Program policy requirements, including processing and tracking registrations for applicable campus activities or programs involving non-enrolled minors, tracking mandatory program staff training and background checks in accordance with state law, and ensuring mandatory reporting of any known or suspected child abuse, abandonment or neglect.

UCF Policy 2-005 Youth Protection communicates UCF's expectations for the protection of minors and outlines the required procedures for background screenings, training, and registration of programs involving minor participants.

Department Database Review

University Compliance, Ethics, and Risk tracks inquiries and requests made to the office in a reporting database by topic and location. Annually this data is reviewed and analyzed to identify potential trends or compliance risk areas that could benefit from proactive measures such as training or outreach.

IntegrityLine Case Review

Twice a month University Compliance, Ethics, and Risk reviews open investigations to ensure issues are being addressed in a timely manner, and assesses the reports received for trends of noncompliance or risks. Annually, the office performs an analysis on data for the year and provides a report and overview to the board's Audit and Compliance Committee, president, and vice presidents. In response to trends identified through both the monthly and annual analyses, University Compliance, Ethics, and Risk provides guidance on noncompliance or risks identified and makes changes to the Program, provides targeted training and education, provides targeted communications and guidance, and collaborates with compliance partners to address issues as appropriate.

Risk Assessment

University Compliance, Ethics, and Risk performs an enterprise-wide risk assessment of university activities every three years. This assessment identifies and ranks risks and evaluates the existence of appropriate internal controls to mitigate risks. The assessment, in conjunction with the elements of an effective compliance program, is the basis for the annual compliance work plan. The work plan stipulates development, review, training, monitoring or other activities that University Compliance, Ethics, and Risk will conduct during the year.

External Compliance Requests or Investigations

University Compliance, Ethics, and Risk provides oversight and coordination of external inquiries into compliance with federal and state laws or NCAA requirements and takes

appropriate steps to ensure safe harbor for the university in instances of non-compliance. As part of this responsibility, the office provides guidance to compliance partners, conducts investigations, and provides the university's response as appropriate. Based on the issues that are identified, the office ensures that appropriate changes are made to the Program to support compliance, ethical conduct, and mitigation of risks.

Coordination with Internal Audit

University Audit serves as the university's internal auditor, providing internal audits and reviews, management consulting and advisory services, investigations of fraud and abuse, follow-up of audit recommendations, evaluation of the processes of risk management and governance, and coordination with external auditors. University Compliance, Ethics, and Risk provides guidance to University Audit on compliance-related audits and matters. Based on audit findings, University Compliance, Ethics, and Risk provides guidance, training, or assists departments with policy and procedure development. Fraud or other issues requiring investigation, or an audit identified by University Compliance, Ethics, and Risk, are referred to University Audit for appropriate response. As appropriate, both offices work together to evaluate or investigate misconduct or risks.

External Audits

The UCF Audit and Compliance Committee is assigned oversight responsibility to:

- receive and review audits by the State of Florida Auditor General;

- receive and review audits of the direct support organizations and component units; and

- review and contract with external auditors for special audits or reviews related to the university's affairs and report the results of any such special projects to the board.

Serving as the internal auditor, University Audit provides coordination and guidance to the board and senior leadership for external audits or investigative matters related to fraud, waste, and abuse of resources, and other matters as requested.

Element VI - Respond Promptly to Detected Problems and Undertake Corrective Action

When non-compliance, unethical behavior, or criminal conduct is detected, the university takes the appropriate steps to prevent further similar behavior, including making any necessary modifications to the Program. University Compliance, Ethics, and Risk provides guidance on compliance, ethics, and risk related matters to the university community. The office collaborates with compliance partners and senior leadership to review and resolve compliance and ethics issues, accomplish objectives, and facilitate the resolution of problems. As part of this responsibility, the office performs the following:

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Investigations

~~The~~ University Compliance, Ethics, and Risk ~~office~~ receives allegations of misconduct or noncompliance through multiple channels including direct reports from employees, compliance partners, individuals or entities external to the university, and the UCF IntegrityLine. Allegations of misconduct or noncompliance may also be identified through monitoring and other Program activities. The office initiates, conducts, supervises, coordinates, or refers to other appropriate offices investigations of misconduct or noncompliance, or performs reviews deemed appropriate in accordance with university regulations and policies, state statutes, and federal regulations.

Corrective Actions

When problems are detected, University Compliance, Ethics, and Risk makes the appropriate modifications to the Program and updates the Plan to reflect those changes. When appropriate, the office provides oversight and guidance to compliance partners to make changes to the Program within their area of responsibility. In addition, the office provides recommendations to colleges, departments, or units for corrective actions to resolve and correct issues related to misconduct or noncompliance identified through investigations, monitoring, or other activities.

It is the responsibility of each college, department, or unit's executive officer to implement recommended corrective actions. The office monitors the completion of recommended corrective actions and escalates issues as appropriate to senior leadership, the president, and the board's Audit and Compliance Committee. These efforts serve to ensure that the Program remains effective and that the university is taking steps to prevent the reoccurrence of misconduct, noncompliance, or criminal activity.

Element VII – Enforce and Promote Standards through Appropriate Incentives and Disciplinary Guidelines

The Program is promoted and enforced consistently through the application of appropriate incentives and, when necessary, appropriate disciplinary measures resulting ~~, for example, for~~ from instances such as employees engaging in misconduct or noncompliance and failing to take reasonable steps to prevent or detect misconduct, noncompliance, and criminal conduct. University Compliance, Ethics, and Risk, in consultation with the president and the board's Audit and Compliance Committee, provides guidance and recommendations for appropriate incentives and disciplinary measures to encourage a culture of compliance and ethics. When failures in compliance and ethics are identified, the Program requires that issues are addressed in a timely manner through appropriate measures, including education or disciplinary action.

Employee Performance

Annually, all employees receive performance appraisals. Employees are evaluated on the performance of their duties as communicated through job descriptions, whether they met expected goals and objectives and whether they performed in a manner consistent with UCF

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values.

Incentive Program

University Compliance, Ethics, and Risk implemented a process for identifying and recognizing employees who exemplify the expectations of the Program and the values of the university. Three times per year, employees are recognized in an article in the *IntegrityStar* newsletter. In addition, incentives are offered to employees who participate in the annual Compliance and Ethics Week activities.

Disciplinary Procedures for Employees

~~Additionally,~~ University Compliance, Ethics, and Risk provides guidance to supervisors and members of the senior leadership team on appropriate disciplinary action up to and including termination when misconduct, noncompliance, or criminal conduct is identified. As part of this process, University Compliance, Ethics, and Risk collaborates with Human Resources and General Counsel to ensure that supervisors provide disciplinary action consistently and in compliance with applicable laws, regulations, and policies. It is the responsibility of the supervisor or appropriate senior leader to ensure that disciplinary action is implemented, including criminal charges when appropriate, and that other corrective actions are completed. The following policies communicate the expectations and procedures for disciplinary action:

UCF Board of Trustees – United Faculty of Florida Collective Bargaining Agreement, Article 16 ~~(Appendix M)~~ provides the negotiated policy and procedures for disciplinary action for in-unit faculty.

Regulation 3.0124 Discipline and Termination for Cause of Non-unit Faculty and A & P Staff Members ~~(Appendix N)~~ communicates the policy and procedures for disciplinary action for non-unit faculty and Administrative & Professional employees.

Regulation 3.0191 Disciplinary Action – University Support Personnel System ~~(Appendix O)~~ provides the policy and procedures for disciplinary action for University Support Personnel System employees of the university with regular status.

Element VIII – Measure Compliance Program Effectiveness

The Program is evaluated periodically to assess its effectiveness in promoting a culture of compliance and ethical conduct and for compliance with Chapter 8 of the Federal Sentencing Guidelines and Board of Governors Regulation 4.003. The following are the activities performed to assess the effectiveness of the Program:

Annual Effectiveness Reports

~~Annually~~ University Compliance, Ethics, and Risk provides an annual report on the effectiveness of the Program to the board's Audit and Compliance Committee and the president. To assess the program, compliance partners are required to report annually on their activities and efforts for

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meeting the requirements of the Plan through a survey developed by University Compliance, Ethics, and Risk. These reports, as well as the activities and efforts of the office, are assessed and included in the annual report. Based on this process any identified deficiencies are addressed and appropriate modifications are made to the Plan. As required by Board of Governors Regulation 4.003, any Plan revisions based on the report are approved by the Board of Trustees. A copy of the report and revised Plan is provided to the Board of Governors.

Culture Survey

University Compliance, Ethics, and Risk conducts an anonymous survey every two years to evaluate the compliance and ethics culture at UCF. The results from the initial survey served as a benchmark for future surveys. The survey serves as a mechanism to identify opportunities to strengthen the compliance and ethics culture and to measure the compliance and ethics Program's progress. The survey is distributed by email to all university employees, including hourly, and student employees. The survey includes questions related to an employee's knowledge of the Program, thoughts on the university's culture, view of leadership, how comfortable they are raising concerns, and if they feel protected from retaliation.

Institutional Effectiveness Assessment Process

As part of the university's Institutional Effectiveness Assessment Process, University Compliance, Ethics, and Risk annually develops an assessment plan that targets specific components of the Program to evaluate, measure, and improve. The process includes the annual setting of outcomes and measures, collecting data, reporting results, and developing a new assessment plan to measure the impact of the improvements made to the Program. Using this process allows the office to evaluate Program effectiveness and make improvements as necessary.

Program Effectiveness Review

As required by Board of Governors Regulation 4.003, each university will obtain an external review of the Program's design and effectiveness at least once every five years. The review and any recommendations for improvement will be provided to the university president and Board of Trustees. The assessment will be approved by the Board of Trustees and a copy provided to the Board of Governors. The first review will be conducted within five years of the implementation of Regulation 4.003 and will be performed consistent with guidance from the Board of Governor's Inspector General's office.

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UCF BOARD OF TRUSTEES
Agenda Item Summary
Audit and Compliance Committee
November 19, 2020

Title: University Compliance, Ethics, and Risk 2020 Annual Report

☒ **Information**   ☐ **Information for upcoming action**   ☐ **Action**

Meeting Date for Upcoming Action: _____

Purpose and Issues to be Considered:
Included in this year's annual report is a summary of the compliance and ethics activities performed during fiscal year 2019-20 as part of an effective program. These activities serve to provide a program focused on supporting the university's requirements to meet federal, state, and local laws and Board of Governors regulations. The report further demonstrates the university's unwavering commitment to compliance and ethical conduct. The committee should consider the report as part of their responsibility to provide oversight and direction of the institutional compliance, ethics, and enterprise risk management and insurance programs, and to be knowledgeable of the program with respect to its implementation and effectiveness.

Background Information:
In 2017, University Compliance, Ethics, and Risk began issuing annual reports that encompass the joint efforts of all compliance partners across the university. The annual report provides a comprehensive view of the university-wide compliance and ethics program and the extensive activities achieved across the campus. The reporting of this information serves as part of the assessment process to evaluate the effectiveness of the program, opportunities for improvement, or gaps in the university wide compliance and ethics efforts.

Recommended Action:
N/A

Alternatives to Decision:
N/A

Fiscal Impact and Source of Funding:
N/A

Authority for Board of Trustees Action:
N/A

Contract Reviewed/Approved by General Counsel ☐ **N/A** ☒

Committee Chair or Chair of the Board has approved adding this item to the agenda ☒

Submitted by:
Rhonda L. Bishop, Vice President for Compliance and Risk

Supporting Documentation:
Attachment A: University Compliance, Ethics, and Risk 2020 Annual Report

Facilitators/Presenters:
Rhonda L. Bishop, Vice President for Compliance and Risk

University Compliance, Ethics, and Risk

UNIVERSITY OF CENTRAL FLORIDA
Annual Report 2020

EXECUTIVE SUMMARY

I am pleased to present the University of Central Florida (UCF) Comprehensive Compliance and Ethics Program Report for fiscal year (FY) 2019-20. Since the creation of this report in 2017, the goal has been to provide the UCF Board of Trustees and the State of Florida Board of Governors a comprehensive view of the university-wide compliance and ethics program at UCF and the extensive activities achieved across the campus. The annual report encompasses the joint efforts of all compliance partners across the university and includes a summary of the work performed during 2019-20 to meet various federal and state regulatory and compliance requirements. Building on a solid foundation, the program is modeled and supported by various regulatory drivers, industry best practices, and the key elements of the Federal Sentencing Guidelines. Benefitting from the work of a well-established and trusted compliance partner network along with presidential and Board level support, the program is available to all members of the university community and helps inform decision making across the campus. Highlights herein demonstrate the university-wide compliance and ethics activities and outcomes geared toward maintaining UCF's unwavering efforts to reaffirm a culture of compliance and ethics.

Rhonda L. Bishop
Vice President for Compliance and Risk
Chief Compliance, Ethics, and Risk Officer

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INTRODUCTION

University Compliance, Ethics, and Risk was established in 2011, and was charged with developing and implementing a comprehensive compliance and ethics program based on the established elements of the Federal Sentencing Guidelines, Chapter 8, Part B, Section2.1(b) and the Florida Code of Ethics for Public Officers and Employees contained in Florida Statutes, Chapter 112. Subsequently in 2016, the Florida Board of Governors passed regulation 4.003 State University System Compliance and Ethics Programs, requiring all state universities to establish a compliance program based on the same standards. Since FY 2017-18, UCF's compliance program has met all 19 measured regulatory components. This success has been accomplished by providing a centralized and coordinated oversight of the university's compliance, ethics, and risk mitigation efforts through:

1.   routine regulatory reporting,
2.   promoting a culture of ethics and compliance,
3.   effectively communicating with the campus community,
4.   the ongoing development of effective policies and procedures,
5.   providing training and education,
6.   responding to reported concerns and conducting investigations,
7.   monitoring compliance efforts and conducting risk assessments,
8.   the enforcement and promotion of standards, either through incentives or discipline, and
9.   non-routine regulatory reviews.

These efforts, discussed in further detail within the report, contribute to the purpose of this report to:

1. support the Board in fulfilling its obligation as the university's governing authority by providing the information needed on aspects of the university's compliance and ethics activities. This charge comes from widely accepted governance practices set by the Board of Governors, and more directly from the Federal Sentencing Guidelines,

2. assist with awareness and transparency related to compliance and ethics matters throughout the university, and

3. provide the campus community with relevant and timely information to assist with defining and measuring our culture.

Compliance and Ethics Program Structure

University Compliance, Ethics, and Risk

- UCF Board of Trustees / Audit and Compliance Committee
- University President
- Vice President for Compliance and Risk
- Vice President and Director of Athletics
- University Compliance and Ethics
- Enterprise Risk and Insurance Management
- Environmental Health & Safety
- Athletics Compliance
- Building Code Department
- Office of Institutional Equity
- DSO Governance and Compliance
- Information Security Officer
- Compliance and Ethics Advisory Committee
- Compliance Partners

University Compliance, Ethics, and Risk consists of the following offices: University Compliance and Ethics, Enterprise Risk and Insurance Management, Environmental Health and Safety, Athletics Compliance, the Building Code Department, the Office of Institutional Equity, DSO Governance and Compliance. The vice president for compliance and risk, who serves as the university's chief compliance, ethics, and risk officer, provides oversight and coordination of compliance partners who lead targeted compliance programs across the university, including information security, reserach compliance, healthcare compliance, and export control compliance. The Compliance and Ethics Advisory Committee, established in 2013, is charged with assisting University Compliance, Ethics, and Risk in the development of the comprehensive compliance and ethics program. The advisory committee is chaired by the vice president for compliance and risk and is made up of over 30 members across various departments within the university who collectively contribute to this report on an annual basis.

2019-20 SUCCESS STORIES

As UCF experienced several challenges this year, such as changes in university organizational structure, the transition of leadership, and shifting to remote learning and work environments during the COVID-19 pandemic, compliance and ethics activities at UCF continued to thrive. The following accomplishments highlight the determination and extraordinary work occurring across campus to promote a culture of ethics and compliance at UCF.

University Closure of 86 Recommendations
The university took swift corrective action to resolve reported concerns surrounding the Trevor Colbourn Hall investigation conducted by various state regulatory bodies and developed a post investigation action plan to rectify identified deficiencies that resulted from the investigations. The vice president for compliance and risk was charged by the former interim president with implementing and monitoring the post investigation action plan ensuring the closure of 86 recommendations. As of June 30, 2020, all 86 recommendations were approved for closure and submitted to the UCF Board of Trustees for final approval. One recommendation implemented by University Compliance, Ethics, and Risk included the development and launch of a mandatory UCF Employee Code of Conduct / Speak Up! Whistle-blower training to all 13,480 UCF employees, of which the office achieved 100% employee completion in June 2020. Another key recommendation that was implemented by our compliance partners in UCF Finance and Accounting, was the establishment of policies, procedures, and training, on the appropriate use of funds and financial expenditures. To that end, UCF Policy 3-210 Expenditure of University Funds became effective May 8, 2020, and accompanied Expenditure Guidelines, which provided employees detailed information on the appropriate use of funds in relation to their funding source.

Completion of Outside Activity and Potential Conflict Disclosures
Annually, at the start of each academic year, University Compliance, Ethics, and Risk notifies employees of the requirement to submit an online conflict of interest disclosure pursuant to university regulation UCF-3.018 Conflict of Interest or Commitment; Outside Activity or Employment. This year, 2,950 employees were notified and 2,454 submitted within the deadline achieving an 83% compliance rate with employee submissions prior to the 30-day deadline. As of June 30, 2020, the overall compliance rate for submission was 98%. By the end of the report year, a total of 3,452 disclosures (an increase from 3,072 last FY) and 117 amendments (increase from 115) were submitted. The office serves as a final reviewer for any disclosure with at least one outside activity reported.

This year, the office reviewed 1,194 online disclosures (an increase from 1,139 last year) with potential conflicts identified in 83 requiring a monitoring plan or annual update to a monitoring plan (a decrease from 91 last year). The office also reviews potential conflict of interests outside the online reporting system and those reviews are tracked. This year, the office completed 328 requests for review of potential conflicts and provided guidance to employees and departments (an increase from 296 last year).

How the Process Works...

Employee

Once submitted, the disclosure is "Under Review"

Review Completed

Email is sent to employee when the review is completed.

Completing the Form

- All questions are required.

⊕ Add/Save Response

- Each question can have **MULTIPLE** responses *(See review example)*. To add a response, simply use the "Add/Save Response" button for each.

Save Draft

- You can "Save Draft", and access your form later by going to "Submission Forms > Draft Submissions" in the menu.

Submit

- Once you've completed your form, please "Submit".

To continue a certain activity, a Monitoring Plan, may be requested.

1st Reviewer   **Regulatory Review**   **Administrative Review**

- A review is conducted of EACH response provided to EACH question.
- Reviews can cause the form to go back-and-forth between reviewers and the employee.
- To monitor where your form is in the process, go to "Under Review > Outbound"

Question amet, consectetur adipiscing elit. Aliquam nulla urna, ornare nec pharetra a, pulvinar quis metus, iaculis vel rhoncus iaculis, interdum sed diam. Vestibulum ante ipsum primis in faucibus orci luctus ilia Curae; Nulla sem est, ultrices eget.

Response   Company 1   **Review:**
Self   [R] ○ No Conflict
Managerial Position: Yes   ○ Conflict Identified, Monitoring Plan Required
Time Commitment: 20 Hours Per Week from   ○ Unapproved Conflict
08/08/2012- 08/07/2013   [R] Comments:
Indicate the time(s) of the day, week, or month when this activity occurs: I perform this activity in the evening

Response   Company 2   **Review:**
Self   [R] ○ No Conflict
Managerial Position: No   ○ Conflict Identified, Monitoring Plan Required
Time Commitment: 15 Hours Per Week from   ○ Unapproved Conflict
08/08/2012- 08/07/2013   [R] Comments:
Indicate the time(s) of the day, week, or month when this activity occurs: In the evenings and on weekends.

University Response to COVID-19 Pandemic
In March 2020, with the world on the brink of a pandemic (COVID-19), the university took action and charged the Emerging Issues and Crisis Response Team (EICRT), led by the vice president for compliance and risk, with facilitating the university's response to the pandemic. This included transitioning the university community to a remote learning and working environment for the remainder of the Spring 2020 semester through the end of the Summer 2020 term, in order to protect the health and well-being of all students, faculty, and staff members. The EICRT worked in conjunction with the Emergency Operations Center (EOC) to facilitate this response. The EOC consists of representatives from approximately 30 areas across the university, many of which are compliance partners, who work together to address an incident, including identifying and addressing resource needs, coordinating response efforts, and communicating status updates to leadership and representative areas. In the early stages of the COVID-19 pandemic, UCF Global played a critical role in protecting and informing international students and faculty of the virus and the challenges they may face. In addition, they utilized the resources and intelligence available to make calculated decisions enforcing travel restrictions in areas where the virus was spreading. UCF Global successfully assisted those individuals who were abroad and helped arrange safe travel for the students and faculty to come home. EICRT and its various committees developed the UCF Return to Campus Plan, which was approved by both the UCF Board of Trustees and the Florida Board of Governors. With guidance on health measures from the U.S. Centers for Disease Control (CDC), federal, state, and local agencies, the plan sets expectations for all members of the UCF community to follow while on campus or while engaging in university related activities. Additionally, the university received local and national media coverage on several of our compliance partners' efforts in the planning and execution of safety measures to fight the spread of the virus and prepare the campus for reopening.

Comprehensive Compliance, Ethics, and Risk Report
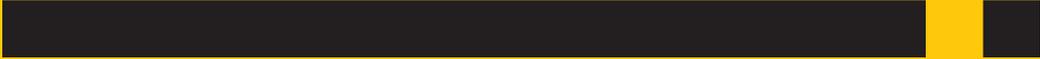
University Compliance, Ethics and Risk is responsible for oversight of the university's comprehensive compliance program, including compliance with the Clery Act and Title IX federal regulations, NCAA regulations, youth protection, and regulations covering our federally funded research activities, conflict of interest reporting, and promoting integrity and compliance throughout the degree granting process. The following compliance offices and partners across the university add to the comprehensive program with specifically targeted compliance:

- Environmental Health and Safety (radiation safety, laser safety, workplace safety, laboratory safety, chemical safety, biological safety, fire safety, air quality, hazardous waste illicit discharges, industrial wastewater, spill prevention, and storage tank compliance),
- Facilities and Safety (operation and maintenance of buildings and assets, to include corrective maintenance work to ensure that every building is safe, functional, and clean; planning, design, bid, permit, construction, and close-out of all renovation, addition, and new construction projects; real estate management, records storage and destruction, and surplus property management; sustainability; and utility and energy services),
- Finance and Accounting (budget analysis and planning, cash and investment management, collection and recording of revenues, disbursement of funds, financial reporting, fixed asset accountability and control, procurement services, student financial services, tax compliance, and DSO compliance with all debt covenants)
- Human Resources (benefits, compensation, employee relations, payroll, employment services and records, and recruitment)
- Information Security Office (cybersecurity, identity and access management, safeguarding information assets, security awareness, security incident response to incidents and breaches that threaten university data)
- College of Medicine Legal Affairs and Special Projects (HIPAA security, UCF Health coding and billing, College of Medicine clinical services compliance and ethics program)
- Office of Export Control (export-controlled technology and restricted research, foreign influence reporting and investigation, U.S. export and sanctions regulation compliance)
- Office of Institutional Equity (discrimination, harassment, and/or retaliation, protection of civil rights, equal opportunity and affirmative action, ADA compliance and accommodations, recruitment and hiring)

- Office of Research Compliance Office (research reporting requirements, research conflict of interest, responsible conduct of research, effort reporting and certification, IRB, facility security, research animal welfare)
- Office of Student Rights and Responsibilities (student conduct, academic integrity, Golden Rule Student Handbook, admission clearance process, dean's certifications, remedial measures for student related Title IX incidents)
- Registrar's Office (FERPA, academic records, enrollment, issuance of diplomas, residency classifications, athletic eligibility, excess hours surcharge, State Authorization Compliance and Reciprocity)
- Student Accessibility Services and Inclusive Education Services (academic accommodations, classroom and campus accessibility for students)
- Student Financial Assistance (student financial aid; federal aid, grants, and work-study assignments, foreign gifts and contracts disclosure)
- Student Health Services (alcohol and other drug prevention and treatment programs, infection prevention/risk management assessments, human and health services regulations)
- UCF Global (SEVIS records, US Visa issuance, English proficiency, immigration-related documentation)
- Undergraduate Admissions (student admission and enrollment)
- UCF Police Department (criminal activity and reporting, emergency operations management, continuity of operations, access control, comprehensive emergency management plan, threat assessments, violence prevention, antiterrorism)

YOUR ROLE:

SPEAK UP

OUR ROLE:
LISTEN AND RESPOND

As part of the oversight process, the university submitted the following routine reports to various regulatory agencies:

- Annual report to the Governor and Legislature on research exemptions granted as required by state statute
- Compliance with inspections on state regulations regarding the university's Biomedical Waste Program and Industrial User Discharge Permit
- Tier II Emergency Industrial Planning and Community Right-to-Know Act report
- Chemical inventory
- Consumer Confidence Report for Potable Water
- Legislative Budget Request for operations
- Annually required continuing disclosure items to EMMA
- Public debt disclosure notifications to bondholders
- Reporting to the Division of Bond Finance and Board of Governors office
- Reporting of financial information to debt rating agencies
- Annual VETS-4212 report
- Reporting of various employee data and payroll data files to State Auditors quarterly
- Annual Workers Compensation Report
- University's Affirmative Action Plan
- Monthly reporting of the number of employee positions posted along with total number of employees to the Florida Department of Economic Opportunity
- Annual OSHA 300A to the Department of Labor
- University's Florida Equity Report
- Annual Security Report Crime Statistics to the US Department of Education
- Biannual Uniform Crime Reporting
- Annual Florida Law Enforcement Analysis of Use of Force
- Annual Review of Bias Based Policing
- Annual Review of Pursuits per Event
- Enrollment reporting to the National Student Loan Data System (NSLDS)
- Infection Prevention/Risk Management Assessment reported to AAAHC per accreditation requirement and when necessary
- NCAA Academic Progress Report
- NCAA Graduation Success Rate Report
- Annual NRA withholding data, and monthly to quarterly reconciliations of NRA payments to the IRS
- Annual report to the Florida Center for Students with Unique Abilities
- Annual report of HIPAA breaches to the US Department of Health

At UCF, each of us is responsible for ensuring that we conduct business consistent with the values of the university creed – integrity, scholarship, community, creativity, excellence – and the UCF Ethical Standards – honesty and integrity, respect, responsibility and accountability, and stewardship. These values require that we conduct ourselves ethically. Ethical conduct goes beyond simple compliance with legal, regulatory and university requirements. Behaving ethically means doing the right thing, even when it's not required. Distinguishing ethical behavior may seem straightforward; however, there will be times when 'doing the right thing' will not be clear in each situation. University Compliance, Ethics, and Risk communicates the university's values, provides guidance on ethical decision making, offers training and awareness to the UCF community, manages conflicts of interests and university ethics policy and procedures, and reinforces expectations through investigating allegations of misconduct.

Compliance partners aide in the promotion of an ethical culture through regular activities such as participation in external compliance related organizations, university committees, workgroups, and collaboratives, effective communications on regulations, policies, procedures, and best practices, and the reporting of misconduct.

Is it legal?

Yes

Does it align with UCF standards, values, regulations, policies, procedures and our Code?

No   **Yes**   **No**

Stop. Don't do it. The action may have serious consequences.

Would I feel comfortable explaining the actions to a colleague? To my supervisor? To my family?

Seek help first. Reach out to someone for guidance.

Yes

Could I defend my actions if they appeared on the morning news?

46

The following university committees exist to support UCF's compliance and ethics efforts and programs. Compliance, Ethics, and Risk staff either chair or serve as members on these committees:

- University Compliance and Ethics Advisory Committee
- Emerging Issues and Crisis Response Team
- University Policies and Procedures Committee
- University Title IX Response Team
- University Title IX Advisory Council
- University Youth Protection Program Committee
- University Diversity and Inclusion Workgroup
- University President Advisory Staff Council
- University Records Management Advisory Committee
- UCF Online Appeals Committee
- Residency Appeals Committee
- Fee Appeals Committee
- Athletics Compliance Committee
- Human Resources Advisory Committee
- International Incident Advisory Team

- University F&S Safety Committee
- University Laboratory Safety Committee
- University Radiation Safety Committee
- University Institutional Biosafety Committee
- UCF Institutional Animal Care and Use Committee
- UCF Institutional Safety Council
- UCF Institutional Biosafety Committee

- Merchant Services Committee for Payment Card Industry Data Security Standards (PCI DSS) Compliance
- Federal Trade Commission's Red Flags Compliance Committee
- University Tax Peer Group
- University Financial Conflict of Interest Committee
- University Security Incident Response Advisory Committee
- Enterprise Directory Governance Committee
- Security Leads Committee
- Security Operations Center Advisory Committee

- University Institutional Review Board
- UCF Health Services HIPAA Collaborative Group
- Student Health Services Ad-Hoc Committee
- University Institutional Safety Council
- UCF Student Health Services Breach Committee
- University College of Medicine Clinical Services Compliance Program Committee
- UCF Student Health Services Patient Advocate Reporting
- University DFSCA Biennial Review Committee
- University Bias Incident Communications Group
- UCF Student Conduct Board
- University Assessment Committee
- USPS Staff Council
- University Leadership Council for Equity, Inclusion and Diversity
- President's Advisory Staff Council
- Golden Rule Review Committee

Building a culture of ethics and compliance requires effectively communicating the university's expectations for all employees to follow, and each employee taking an active role in understanding and promoting an ethical culture. As part of the comprehensive program, University Compliance Ethics, and Risk has developed several communication outlets to promote these expectations. The UCF *IntegrityStar* newsletter, published each semester, is distributed campus-wide to all employees. Each edition focuses on a different compliance topic, and includes articles written by compliance partners. This year's newsletters provided information on speaking up when misconduct is observed or suspected, the Annual IntegrityLine Summary Report, building an ethical culture, export controls and foreign influence, procurement services processes, fraud awareness and prevention, and always includes all university regulations and policies that become effective throughout the respective semester. The office continued administration of the UCF IntegrityLine to include review and tracking of all reports, data compilation, trend review, and reporting. Promotion of the IntegrityLine occurs within the publication of each *IntegrityStar* newsletter, in compliance videos, in the University Compliance, Ethics, and Risk pamphlet, on the University Compliance, Ethics, and Risk website, on the websites of all compliance partners, tabling events, and through distribution of customized IntegrityLine earbuds and wallet cards. Additionally, wallet cards and pamphlets were provided to all new employees during orientation. This year, the office implemented an initiative to confirm that "Speak Up" posters were placed in all employee common areas within buildings as well, and the "Speak Up" online link to the IntegrityLine appeared on all appropriate university webpages. University Compliance, Ethics, and Risk further developed and implemented an annual communication plan to verify placement of the IntegrityLine posters and hyperlink.

Compliance partners also contribute to building an ethical culture by promoting compliance and ethics within their respective areas of expertise through monthly meetings, emails to departmental staff, and sending campus-wide communications on topics such as annually required notices on the Drug Free Campus Schools Act, the Annual Security Report's availability, and FERPA. Many of the compliance partners also issue their own departmental newsletter as well. For example, Student Health Services distributes a HIPAA newsletter on a quarterly basis throughout the year, and the Information Security Office communicates security best practices through the Information Technologies and Resource newsletter. This year due to the pandemic, UCF Global hosted Town Hall events through the Zoom platform to communicate the many changes in immigration compliance to international students and scholars at the university. Additionally, EICRT created a university webpage dedicated to COVID-19 updates as it related to the university activities.

Policies and Procedures

University Compliance, Ethics, and Risk is responsible for managing and maintaining the university's policy manual containing 113 policies, including identifying when new policies are required and distributing campus-wide communications when new or revised policies become effective. The vice president for compliance and risk chairs the University Policies and Procedures Committee, which reviews all policies and makes recommendations to the president for approval. Individual policy owners are required to review university policies annually for updates, and each university policy is reviewed by the committee every five years prior to approval by the president. The University Policies and Procedures Committee reviewed five new policies and 18 existing policies that became effective throughout the year.

This year the office revised UCF Policy 2-700 Reporting Misconduct and Protection from Retaliation to include additional language regarding the Florida whistle-blower statutes and cross-referenced UCF Policy 2-010 Whistle-blower Determination and Investigation. Additionally, language was added to the policy regarding failure to cooperate with an investigation and the prohibition on retaliation language was strengthened.

The office edited the UCF Employee Code of Conduct to include a new president message, made updates to relevant university regulations and policies, and reporting options for employees. The revised UCF Employee Code of Conduct was published in June 2020.

In addition to the university wide policies, many individual departments maintain departmental policies, procedures, and handbooks specific to their areas of compliance that supplement university policies. These departments also provide updates to university regulations for their respective compliance area. The chart below summarizes departmental updates made during this reporting year.

Compliance Office / Partner	Related New or Updated Materials
Academic Service for Student-Athletes	UCF Student-Athlete Handbook
	Standard Operating Procedures Manual
Environmental Health and Safety	Workplace Safety Procedures
Facilities and Safety (F&S)	F&S Employee Code of Conduct
	F&S Return to Work Policy
	F&S KRONOS User Manual
	Master Reporting for Budget and Staffing
	Facilities Planning and Construction Project Manager Manual
	2020-30 Campus Master Plan Update
	e-Builder Workflow Processes
	Standard Operating Procedures – 108
	F&S Policies – 18
	F&S Procedures – 30
	Sustainability Initiatives OPS Position Manual
Finance and Accounting	Board Policy for Operating, Carryforward, and Capital Outlay Budgets
	UCF Investment Policy Manual
	Two University Regulations
Human Resources	Three University Regulations
	Knights Care Leave Share Program
	Employee Relief Fund
	Telecommuting Manual
	Employee Offboarding Guide
College of Medicine Legal Affairs and Special Projects	COM HIPAA Sanctions Policy
	HIPAA Policy Manual
	COM Policy on Policy Development
Office of Student Rights and Responsibilities	Golden Rule Student Handbook
	Twelve University Regulations

Compliance Office / Partner	Related New or Updated Materials
Information Security Office	Standards for Vendor Risk Management
	Secure Handling of UCF Data Agreement
	Mandatory Security Awareness Policy
	HIPAA Security Policies
	Standard Operating Procedures for ERP Sponsored Account Security
	Security Leads Reference Manual
	UCF Security Incident Response Plan Standards
Office of Export Compliance	Export Control Assessment Process and Procedures
	Contract Grant Export Control Assessment
	Visa and Volunteer Assessments
	Foreign Influence Assessment Process
Office of Institutional Equity	Five Service and Emotional Support Animal Policies
	Pregnancy Accommodations and Parental Leave
Office of Research Compliance Office	Service Center Procedure Manual
	Research Conflict of Interest Monitoring Plan
	Research Conflict of Interest Independent Monitor Checklist
	Roles and Responsibility Matrix for NSF/ Arecibo
Procurement Services	Procurement Procedures Manual
	Vehicle Document Signature Authority Guidelines
	Contract Certification Form
Student Health Services	Thirty-four Policies
UCF Global	Online Immigration Check-in Procedures
Undergraduate Admissions	Two University Regulations

Compliance Partner	Related New or Updated Materials
Registrar's Office	Undergraduate and Graduate Catalog
	Residency Reclassification Affidavit
	State Authorization Compliance Reciprocity
	How to Share Restricted Information
	FERPA Resources for Students, Parents, Faculty, and Staff Members
Student Accessibility Services and Inclusive Education Services	Student Accessibility Services Grievance and Fundamental Alteration Assessment Process
	Inclusive Education Services Student Handbook
UCF Police Department	Department General Orders Updated – 55

Training and Education

As part of the comprehensive compliance program, training and educational opportunities contribute to promoting a culture of ethics and compliance at UCF. Training courses are developed to communicate regulatory requirements, and university regulations, policies, and procedures to be followed when faced with specific compliance related matters. During the reporting year, over 68,000 training courses were completed (see chart below for specific compliance training numbers).

Department	Topic	Delivery	No. Trained
University Compliance, Ethics, and Risk	Know the Code (Conflicts of Interest, Gifts and Honoraria, Protecting Personal Information)	Email	56
	UCF Employee Code of Conduct	Online	330
	UCF Code of Conduct/Speak Up! Whistle-blower Training	Online	13,480
	UCF Code of Conduct/Speak Up! Whistle-blower Training for New Hires	Online	1,039
	Potential Conflicts - Florida Code of Ethics for Public Officers and Employees	Online	342
	Potential Conflicts - Florida Code of Ethics for Public Officers and Employees for New Hires	Online	1,055
	Gifts and Honoraria	Online	232
	Youth Protection Training	Online	615
	Ethical Leadership Training for Director Level and Above Positions	In Person	603
Athletics Compliance	NCAA Rules Education for Student-Athletes, Staff, and Boosters	In Person	116
Finance and Accounting	Color of Money Training	In Person	135
Department of Security Management	Milestone video management software training	In Person	20
Environmental Health and Safety	Bloodborne pathogens, aerial lifts, confined spaces, electrical safety, forklift safety, hearing conservation, lock out/tag out, fall protection, driving awareness, CPR/AED, and first aid	Mixed Mode (In Person, Online)	7,011

Department	Topic	Delivery	No. Trained
Human Resources	Hire a Knight-FWS	In Person	16
	Fundamentals of Payroll Practices	In Person	14
	Avoid Payroll Pitfalls	In Person	80
	University Governance	In Person	88
	A Taste of Workplace Civility	In Person	66
	I-9/E-verify Compliance	In Person	81
	Personnel Files/Records Management	In Person	70
	Class & Compensation	In Person	34
	Benefits Program Review	In Person	23
	Kognito At-Risk for Faculty and Staff	Online	4,976
	Return to Campus Operations	Online	4,735
	Payroll Processor & Payroll Authorizer	Online	622
	New Employee Orientation	In Person	603
	Interviewer Certification Workshop	In Person	100
	Leadership Foundation Series	In Person	27
	Supervisory Performance Appraisal	In Person	113
	Supervisory Performance Management	In Person	65
	Fostering a Civil Workplace	In Person	52
	Fundamentals of Payroll Practices with University Audit	In Person	25
	Parental Leave Training	In Person	60
Information Security Office	Information Security Awareness Training for New Hires	Online	982
Integrity & Ethical Development	Academic Integrity	In Person	1,327
	Educational Coaching for Students with Academic Integrity Incidents	In Person	302
	Ethical Decision Making in Graduate School and Beyond	In Person	128
College of Medicine (COM) Legal Affairs and Special Projects	HIPAA	Online	873
	COM Clinical Services Compliance Program Overview	In Person	304
	COM Code of Ethics and Conduct	Online	415
	COM Industry Relations	In Person	106
	Fraud, Waste and Abuse in the Delivery and Payment of Health Care Services	Online	137

Department	Topic	Delivery	No. Trained
Office of Institutional Equity	EEO, Accommodations, and Title IX Trainings	In Person	10,106
Office of Student Rights and Responsibilities	Student Conduct Review Board	In Person	56
	Let's Be Clear Prevention and Outreach	In Person	7,801
	UCF Cares Ambassador	In Person	14
	Student of Concern	In Person	200
Procurement Services	Purchase Requisition Creators/Approvers Unauthorized Procurement Actions	Online	854
	Unauthorized Procurement Actions Violators	Online	21
	General Procurement Training	In Person	29
Registrar's Office	FERPA Training	Online	6,565
Student Accessibility Services and Inclusive Education Services	Disability Barriers Workshops	In Person	106
	Course Redesign Initiative Cohort Meeting	In Person	12
	Communicate with Confidence: Effective Verbal and Non-Verbal Communication Skills	In Person	40
	Testing and Accessibility Services	In Person	25
	Spring Faculty Open House	In Person	30
UCF Global	Federal Immigration Regulations on F/J Visas	In Person	110
	Health and Safety Presentations	In Person	1,300
UCF Police Department	CSA Clery Act Training	In Person	245
TRAINING COURSES COMPLETED FROM JULY 1, 2019 - JUNE 30, 2020			**68,972**

To improve the process for obtaining new hire completion of required onboarding training, this year University Compliance, Ethics, and Risk partnered with HRIS, a unit within Human Resources, to develop a process for notifying newly hired / rehired employees about their required training. This process involves weekly emails that are automatically sent to employees who have (1) not enrolled in the required training(s) or (2) have enrolled but not completed the training. Some courses are required to be completed within the first seven days of the employee's start date, and some are required to be completed within the first 30 days of employment. The communications were paused for several months during the COVID-19 response but resumed in June 2020. Email reminders were sent to newly hired employees for the following required university courses:

1. UCF Employee Code of Conduct/Speak Up! Whistle-blower Training
2. Potential Conflicts: Florida Code of Ethics for Public Officers and Employees
3. Information Security Awareness
4. HR Annual Notices to Employees
5. Kognito at-risk for Faculty and Staff
6. FERPA Training
7. Fraud Awareness 2020
8. UCF Actions to Prevent and Correct Discrimination

In addition to in person training, online, and mixed mode training methods, training and education is also provided through short video training and at tabling events through campus during the year. Annually during Compliance and Ethics week, mini training modules are distributed to all employees via email bursts. This year, "Know the Code" training covered the topics of Conflicts of Interest, Gifts and Honoraria, and Protecting Personal Information.

These events allow the university community many opportunities to learn more about a specific compliance related topic.

Reported Concerns and Investigations

Effective compliance and ethics programs have established processes for responding promptly to detected problems and undertaking corrective actions. When members of the university community become aware of or have reason to suspect university activities and business are not conducted in an honest, ethical, and lawful manner, UCF expects members of the university community to make good faith reports of suspected misconduct.

Employees who are reluctant to report concerns to their direct supervisor are encouraged to use the UCF IntegrityLine, a secure and anonymous reporting system administered by an independent third party.

During this past year, 365 reports were submitted to the UCF IntegrityLine. Reports containing allegations of misconduct were triaged between University Compliance, Ethics, and Risk and University Audit. Based on the nature of the report, it was either investigated by University Compliance, Ethics, and Risk, University Audit, the Office of Institutional Equity, or referred to the appropriate compliance partner for review. One hundred-thirty cases rose to the level of investigation and were closed during the reporting year. Reports made directly to University Compliance, Ethics, and Risk are forwarded to University Audit for whistle-blower determination as well. Of the 14 reports made directly to the office, 10 of those reports were still actively being investigated at the end of the year.

This year we saw a 53.6% increase in the number of cases reported this year to the UCF IntegrityLine from last year.

IntegrityLine Reports Submitted

Year	Reports
2016	71
2017	99
2018	164
2019	194
2020	362
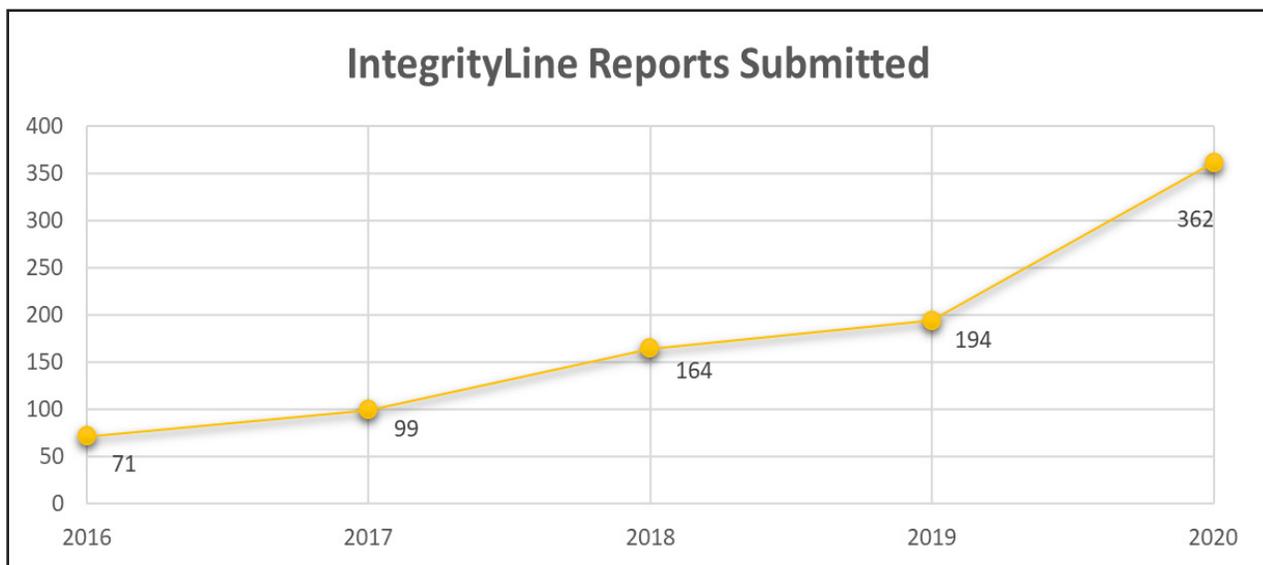
Each calendar year, University Compliance, Ethics, and Risk prepares and issues the UCF IntegrityLine annual report that evaluates the types of concerns reported each year to identify trends that require proactive mitigation. The chart below shows data regarding specific types of reported concerns during the 2019 calendar year.

Issue Type
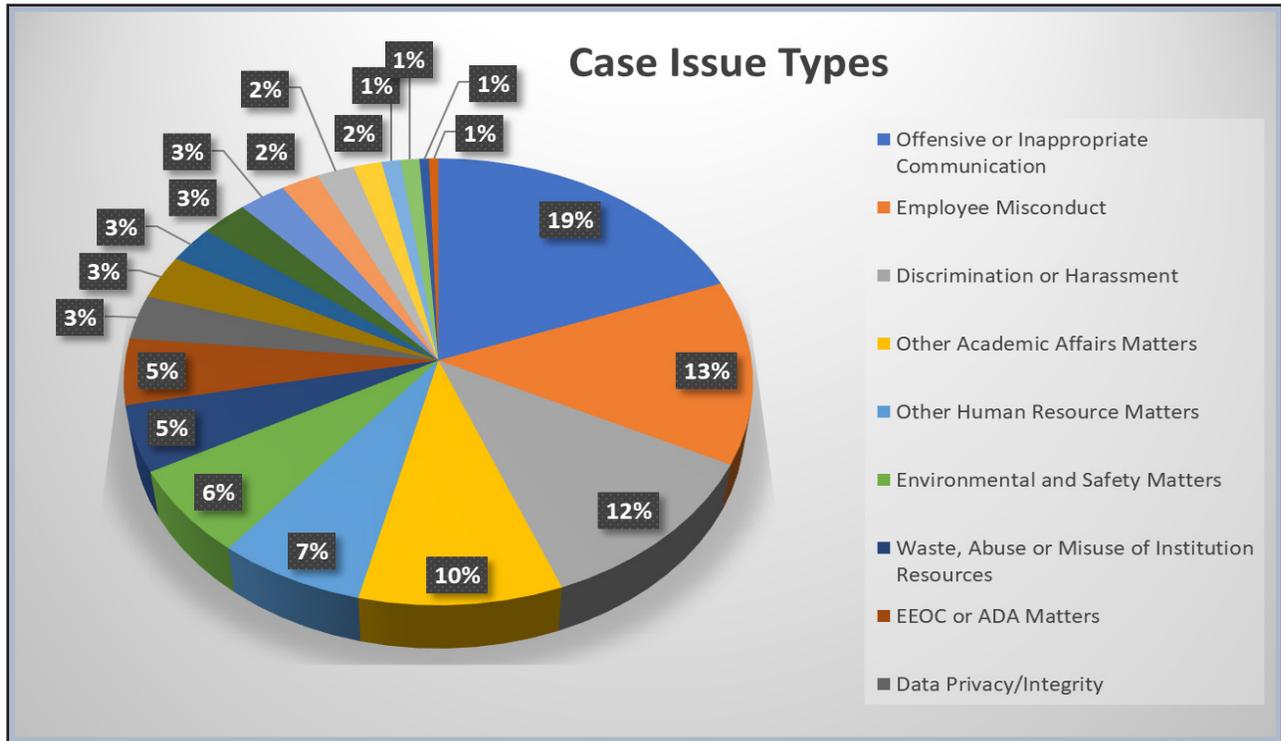
Reports submitted to the UCF IntegrityLine in 2019 spanned a range of 20 issue types. The office identified the highest number of reports in a single-issue type were categorized as Offensive or Inappropriate Communication representing 19% of all reports submitted. This issue type includes concerns related to inflammatory, derogatory, unduly critical or insulting communication and failure to treat one another with respect in accordance with the UCF Ethical Standards outlined in the UCF Employee Code of Conduct.

Closed Cases

University Compliance, Ethics, and Risk closed 181 IntegrityLine cases during the 2019 calendar year. Closed cases include a combination of reports received in 2019 as well as those submitted in a previous year. Below are the outcomes for all cases closed in 2019.
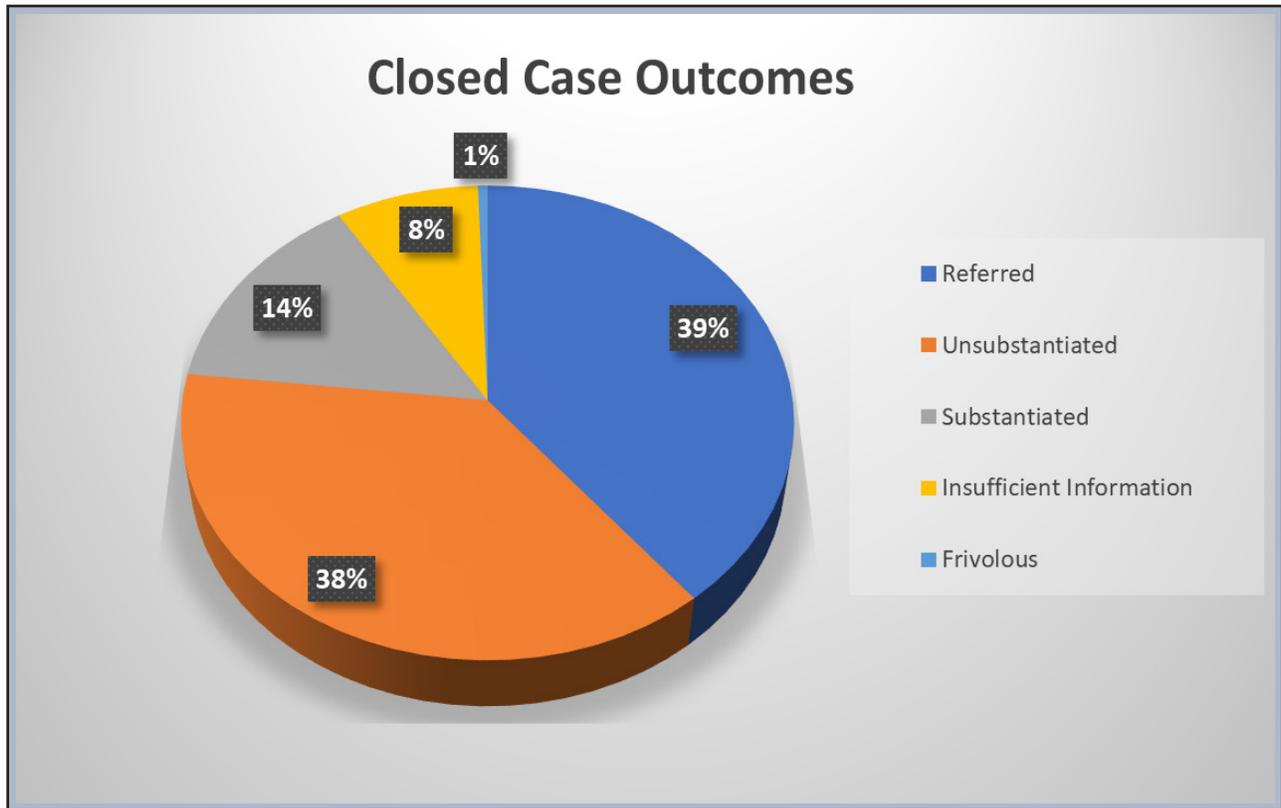
Closed Cases – Investigations with Substantiated and Unsubstantiated Findings

In 2019, a total of 94 cases were closed after an investigation was conducted by University Compliance, Ethics, and Risk, University Audit or the Office of Institutional Equity, with the following outcomes:

> **Substantiated Cases**
> There were 26 investigations with a substantiated finding (representing 14% of all closed cases) where investigations yielded evidence to support the complaint and a finding that misconduct occurred. The substantiated cases spanned a range of topics, with the highest in the categories of Offensive or Inappropriate Communication, Employee Misconduct, and Research Misconduct.

Substantiated Cases by Type

- Offensive or Inappropriate Communication — 27%
- Employee Misconduct — 15%
- Research Misconduct — 11%
- Credentials Misrepresentation — 7%
- Sexual Harassment — 8%
- Data Privacy/Integrity — 4%
(additional segments: 4%, 4%, 4%, 4%, 4%, 4%, 4%, 4%)
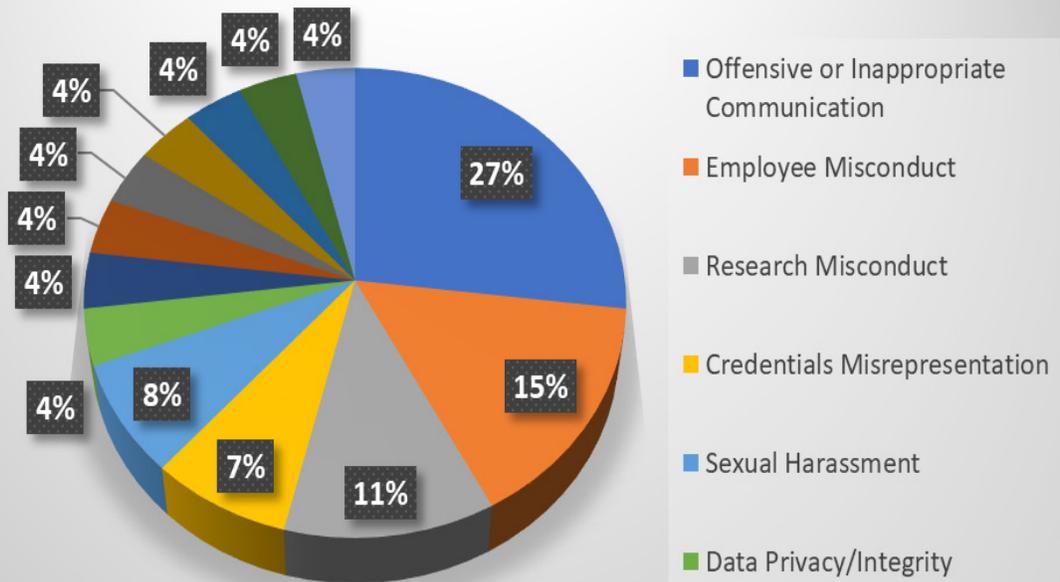
Substantiated Cases – Action Taken
For the 26 investigations that resulted in substantiated findings, the university took the appropriate action. Those actions included policy/process reviews, disciplinary action and termination.

Substantiated Cases - Action Taken

- Discipline — 34.62%
- Policy/Process Review — 34.62%
- Termination — 30.77%

Unsubstantiated Cases

The remaining 68 investigations (38% of closed cases) conducted by University Compliance, Ethics, and Risk, University Audit or the Office of Institutional Equity yielded insufficient or no evidence to support that misconduct occurred and were closed with an unsubstantiated outcome. Despite the unsubstantiated finding, 26 of the cases resulted in recommendations for improvements such as a review in a policy, process, or training due to identified weaknesses.

Closed Cases – Referred, Insufficient Information, Frivolous

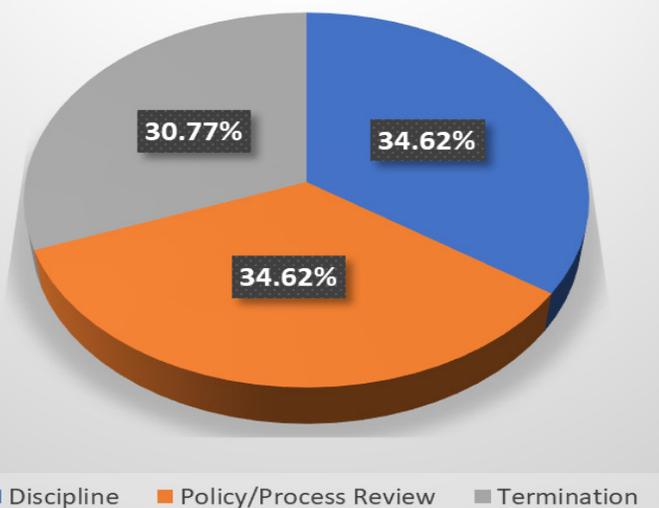Eighty-seven cases were not investigated by University Compliance, Ethics, and Risk, University Audit or the Office of Institutional Equity and were either referred out of the system or to another office, closed due to insufficient information or marked as frivolous.

> **Referred.** A total of 71 cases (39% of all closed cases) were referred as follows:

> » **Fifty-three cases** were referred to the UCF Police Department, Student Conduct, or another college or department to address through the appropriate university process and closed out in the IntegrityLine system. These cases span the range of issues involving student misconduct such as alleged alcohol or drug abuse, grade disputes, and interpersonal conflicts. Once the report is referred to the appropriate office, it is closed in the IntegrityLine system with a message posted back to the complainant.

> » **The remaining 18 cases** were referred to a college or department to conduct an internal investigation and report back their findings. These cases are appropriately reported to the IntegrityLine and are tracked by University Compliance, Ethics, and Risk until closed.

> » Four of the cases investigated internally by a college or department resulted in a **substantiated** finding with the following issue types and actions taken.

Primary Issue	Total	Action Taken
Offensive or Inappropriate Communication	1	Policy / Process Review
Employee Misconduct	1	Policy / Process Review
Environmental and Safety Matters	1	Policy / Process Review
Waste, Abuse or Misuse of Institution Resources	1	Policy / Process Review
Grand Total	4	

The remaining 14 referred cases were **unsubstantiated**. However, all 14 required improvements due to identified weaknesses with 11 policy or process reviews and three reports that required additional training.

Insufficient Information. For 15 cases (8% of all closed cases), questions were posted to the reporter requesting additional information with no response. These cases were closed due to insufficient information.

Frivolous. One test case was submitted to evaluate system functionality, which resulted in removing an unnecessary question. This case was marked as frivolous and closed.

Trends Identified

The highest number of reports submitted to the IntegrityLine in 2019 were categorized as Offensive or Inappropriate Communication with a total of 36 reports, representing 19% of all reports submitted. This issue type involves allegations of non-compliance with the UCF Ethical Standards outlined in the UCF Employee Code of Conduct. These cases often involve allegations of bullying or an employee's continued failure to treat others with respect. In analyzing the IntegrityLine reports since 2016, we have seen a significant increase in the number of reports with this issue type. In 2016, there were 13 cases submitted to the IntegrityLine and in 2019, that number soared to 36, which was a 177% increase in a relatively short period.

In evaluating the case closures in 2019 we identified that the highest number of substantiated cases investigated by University Compliance, Ethics, and Risk, University Audit or the Office of Institutional Equity were also issue type Offensive or Inappropriate Communication. Additionally, a referred case with this issue type that went to a college or department for internal investigation was also substantiated.

In further analyzing the increase in reports and the number of closed cases substantiated with this issue type, we did not identify a pattern or trend in one college or department but have identified opportunities for improving a culture of respect across the institution. Partnering with Human Resources, the office will continue to evaluate the data in comparison to the results of the 2020 Ethical Culture and Compliance Perception Survey. To address this issue in our culture, University Compliance, Ethics, and Risk will partner with Human Resources to evaluate the development of a training and awareness campaign targeted at improving respectful interactions amongst employees. The office will also closely monitor reports received on this issue type through the IntegrityLine and once the training program is developed, provide targeted training for those cases in real time.

Compliance offices / partners conduct investigations internally when reports of concern are made directly to the department if appropriate, and when referred to them by University Compliance, Ethics, and Risk, the Office of Institutional Equity, or University Audit to manage. The below compliance offices / partners reported the following reviews during this report year:

Compliance Office / Partner	Type	Reviewed	Substantiated
Athletics Compliance	NCAA	17	17
Environmental Health and Safety	Other Risk and Safety Matters	23	23
Facilities and Safety Human Resources Department	Attendance, Loafing, and Sleeping on Duty	34	34
	Destruction of University Property	1	1
	Conduct Unbecoming a Public Employee	1	1
	Falsification of Records	2	2
	Insubordination	1	1
	Offensive or Inappropriate Communications	7	7
	Other Risk and Safety Matters	3	3
College of Medicine Legal Affairs and Special Projects	HIPAA Incidents	6	0
Office of Institutional Equity	Discrimination, Harassment & Retaliation Reports	152	29
Office of Research Compliance Office	IRB For-Cause Audits	2	2
Registrar's Office	FERPA	5	3
Student Conduct and Academic Integrity	Academic Misconduct	241	29
	Rules of Conduct (Students and Organizations)	1,071	100
UCF Police Department	Standard of Conduct	10	6
	Impartial Policing	2	0
	Offensive or Inappropriate Communications	1	0
	Discrimination, Harassment & Retaliation Reports	2	1

Compliance Office / Partner	Type	Reviewed	Substantiated
UCF Police Department (continued)	Body Worn Camera	2	1
	Department Vehicles	2	2
	Abuse of Authority	3	O
	Illegal Surveillance and Harassment	1	O
	Use of Force	1	O
Total Compliance Office / Partner Reports Reviewed and Substantiated		**1,592**	**263**

Internal Monitoring of Compliance Efforts and Conducting Risk Assessments

The ability to measure the effectiveness of a compliance program is an integral part of assessing the program's competence. In 2016, University Compliance, Ethics, and Risk began conducting compliance and ethics culture surveys and has repeated surveys every two years to benchmark the results against its prior years' results. The surveys aim to measure employee perceptions of the institution's organizational culture, perceptions regarding misconduct, awareness of the components of the university's compliance and ethics program, employee's view of leadership, and their comfort with reporting misconduct and protection from retaliation.

At the request of the Board of Trustees Audit and Compliance Committee, the 2020 survey was conducted by a third party. In partnership with Ethisphere, a global leader in defining and advancing the standards of ethical business practices and the organization that publishes the World's Most Ethical (WME) Company list, the survey was distributed by email to 13,492 employees during the Spring 2020. We received 2,365 completed surveys for a response rate of 18 percent. The survey was comprised of 92 questions of embedded data, single-select, multiple-select, and open-ended essay question types.

- 84 questions covering employee perceptions of an ethical culture across Ethisphere's Eight Pillars
- 1 question for collecting open-ended comments
- 7 embedded demographic criteria

The Eight Pillars of Ethical Culture Measured

PILLAR 1 | **Awareness of the Program and Resources**
Familiarity with the assets and efforts of the compliance and ethics function.

PILLAR 2 | **Perceptions of the Function**
Perceived quality and effectiveness of the function's efforts in communicating, training and support.

PILLAR 3 | **Observing and Reporting Misconduct**
Comfort in reporting perceived misconduct, the reason for doing so, and potential reporting barriers.

PILLAR 4 | **Pressure**
Strength and source of pressure employees may be experiencing to compromise standards to hit goals.

PILLAR 5 | **Organizational Justice**
Perception of whether the company holds wrongdoers accountable and the awareness of discipline.

PILLAR 6 | **Manager Perceptions**
Perceptions of supervisor's conduct and communication; comfort approaching with concerns.

PILLAR 7 | **Perceptions of Leadership**
Perceptions of the conduct, values, and communications of senior leadership.

PILLAR 8 | **Perceptions of Peers and Environment**
Perceived priorities of coworkers, the values of their organization, and willingness to share opinions.

As there are very few compliance and ethics programs in higher education that conduct surveys of this type, Ethisphere benchmarked UCF's results against similar organizations in size and regulatory scope and included a large portion of companies that have achieved WME status.

Results

Ethisphere placed UCF at an overall 78.6% positive rating across the eight pillars of an ethical culture, compared to an overall 80.5% for the benchmark (1.9% below).
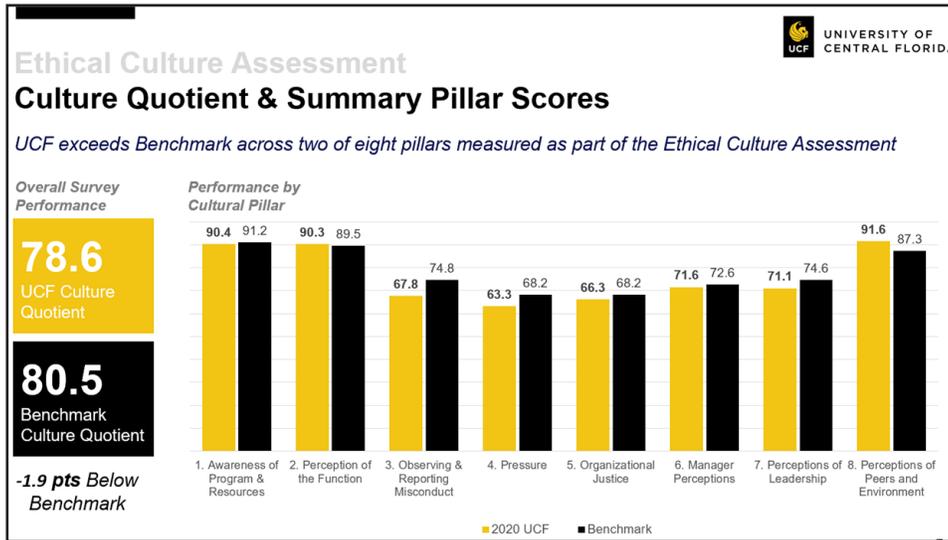
UCF exceeded the Ethisphere benchmark in the following Pillars:

 Pillar 2: Perception of the Function 90.3% (89.5 benchmark)
 Pillar 8: Perceptions of Peers and Environment 1.6% (87.3% benchmark)
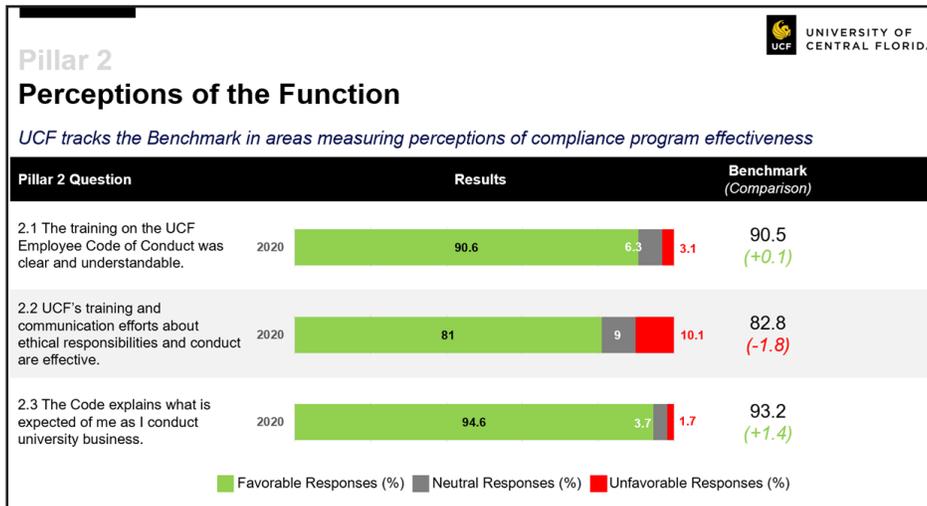
- 95% responded favorably that the Code explains what is expected of employees as they conduct university business, exceeding the Ethisphere benchmark by 1.4%.

Pillar 2

Perceptions of the Function

Policies and non-Code training receive high marks by respondents across UCF

Pillar 2 Question	Results		Benchmark (Comparison)
2.4 UCF's policies and regulations effectively explain what is expected of me as I conduct university business.	2020	93.8 3.5 2.7	90.3 *(+3.5)*
2.5 The training I receive on ethics and compliance topics effectively explains what is expected of me as I conduct university business.	2020	91.6 4.9 3.5	90.9 *(+0.5)*

■ Favorable Responses (%) ■ Neutral Responses (%) ■ Unfavorable Responses (%)

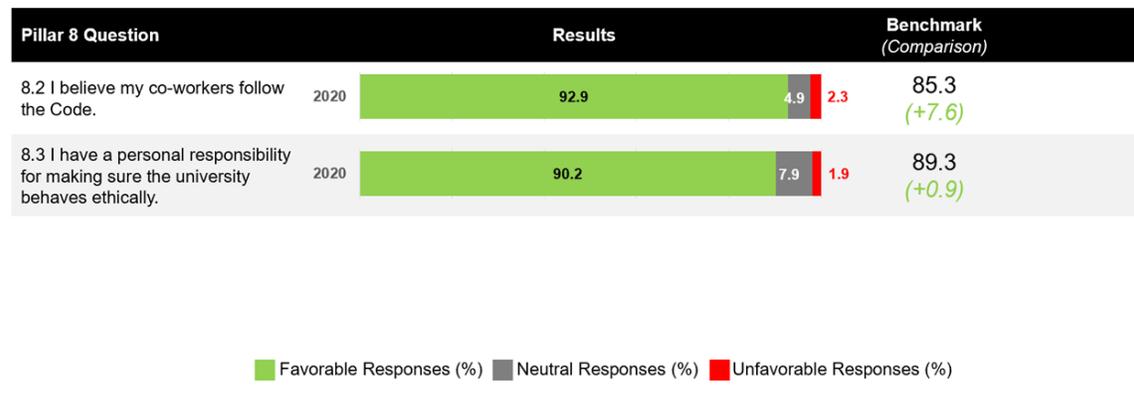- A total of 94% responded favorably that UCF's policies and regulations effectively explain what is expected of employees as they conduct university business, exceeding the Ethisphere benchmark by 3.5%.

Pillar 8

Perceptions of Peers and the Environment

UCF respondents show strong perceptions of co-workers acting with integrity compared to peers

Pillar 8 Question	Results		Benchmark (Comparison)
8.2 I believe my co-workers follow the Code.	2020	92.9 4.9 2.3	85.3 *(+7.6)*
8.3 I have a personal responsibility for making sure the university behaves ethically.	2020	90.2 7.9 1.9	89.3 *(+0.9)*

■ Favorable Responses (%) ■ Neutral Responses (%) ■ Unfavorable Responses (%)

- Almost 93% responded favorably to the belief that their co-workers follow the Code, exceeding the Ethisphere benchmark by 7.6%.
- 90% responded favorably to having a personal responsibility for making sure employees behave ethically, which also exceeded the benchmark by 0.9%.

The results from this 2020 survey were also benchmarked against the initial results from the compliance and ethics culture survey conducted in 2016 and 2018.

Ethical Culture Assessment
UCF Culture Survey Trends

UNIVERSITY OF CENTRAL FLORIDA

How familiar are you with...	2016		2018		Trend	2020		Trend	4YR Trend
	Count	% Familiar	Count	% Familiar	(2018 - 2016)	Count	% Familiar	(2020 - 2018)	(2020 - 2016)
University Compliance, Ethics and Risk office	1,003	47%	1,162	69%	22%	1,885	80%	11%	33%
UCF Creed	1,676	80%	1,410	84%	5%	2,130	91%	7%	11%
UCF's policy for reporting Misconduct and Protection from Retaliation	1,278	61%	1,249	75%	14%	2,129	91%	16%	30%
UCF IntegrityLine for anonymously reporting compliance and ethical concerns	945	45%	1,117	67%	22%	2,067	88%	21%	43%
UCF Employee Code of Conduct	Not applicable		1,450	86%		2,288	97%	11%	11%

% Familiar includes responses of "Very Familiar", "Familiar" or "Somewhat Familiar"

We continue to see a positive trend with significant increases in employee awareness levels. More specifically, the 2020 survey results revealed:

- A 21% increase in awareness of the UCF IntegrityLine from 2018 (overall 43% increase since 2016).
- An 11% increase in employee awareness of the University Compliance, Ethics, and Risk office (overall 33% increase since 2016).
- Employee awareness of UCF's Reporting Misconduct and Protection from Retaliation Policy increased by 16%, with 91% employees reporting familiar with this policy (an overall 30% increase since 2016).
- An impressive 97% (up 11% from 2018) of employees reported that they were familiar with the UCF Employee Code of Conduct.

Ethical Culture Assessment
UCF Culture Survey Trends

To what extent do you agree or disagree with the statement:	2016		2018		Trend (2018 - 2016)	2020		Trend (2020 - 2018)	4YR Trend (2020 - 2016)
	Count	% Agree	Count	% Agree		Count	% Agree		
I know where to find information on UCF policies and procedures.	1,649	78%	1,408	84%	6%	2,195	93%	9%	15%
I know where to find information on UCF regulations.	1,576	75%	1,340	80%	5%	2,139	91%	11%	16%
I believe that most UCF employees demonstrate integrity and ethical behavior.	1,790	85%	1,393	83%	-2%	2,162	92%	9%	7%
I feel comfortable reporting incidents or concerns of noncompliance to my supervisors.	1,457	69%	1,191	71%	2%	1,926	82%	11%	13%
I feel that I would be protected from retaliation if I report a suspected compliance violation to my supervisor.	1,341	64%	1,106	66%	3%	1,814	77%	11%	13%
I feel that I would be protected from retaliation if I report a suspected compliance violation to a central office (e.g. Human Resources, OIE, Procurement, etc.)	1,332	63%	1,103	66%	3%	1,770	76%	10%	13%
I feel that I would be protected from retaliation if I report a suspected compliance violation through UCF IntegrityLine.	1,301	62%	1,128	67%	6%	1,893	80%	13%	18%

% Agree includes responses of "Strongly Agree", "Agree" or "Somewhat Agree"

Additionally, the survey revealed:

- A 9% increase in employees reporting that they knew where to find information on UCF policies and procedures, with a total of 93% familiar (exceeding the Ethisphere benchmark by 1.8%).
- Knowledge on finding information on UCF regulations also increased by 11% since 2018, with 91% reporting familiar.
- 92% of employees stated that they believed that employees demonstrate integrity and ethical behavior, an increase of 9% from 2018.
- A total of 90% responded favorably to being willing to report misconduct if they observed it, which was 2.6% higher than the Ethisphere benchmark.
- Since 2018 there was an 11% increase in employees' favorable responses to being comfortable reporting misconduct to their supervisor (82%) and feeling protected by retaliation when reporting to their supervisor (77%).
- Employees reported a 13% increase in feeling protected from retaliation when using the UCF IntegrityLine, with 80% responding favorably. The favorable responses increased by a total of 18% since 2016.

UCF Culture Survey Trends

UNIVERSITY OF CENTRAL FLORIDA

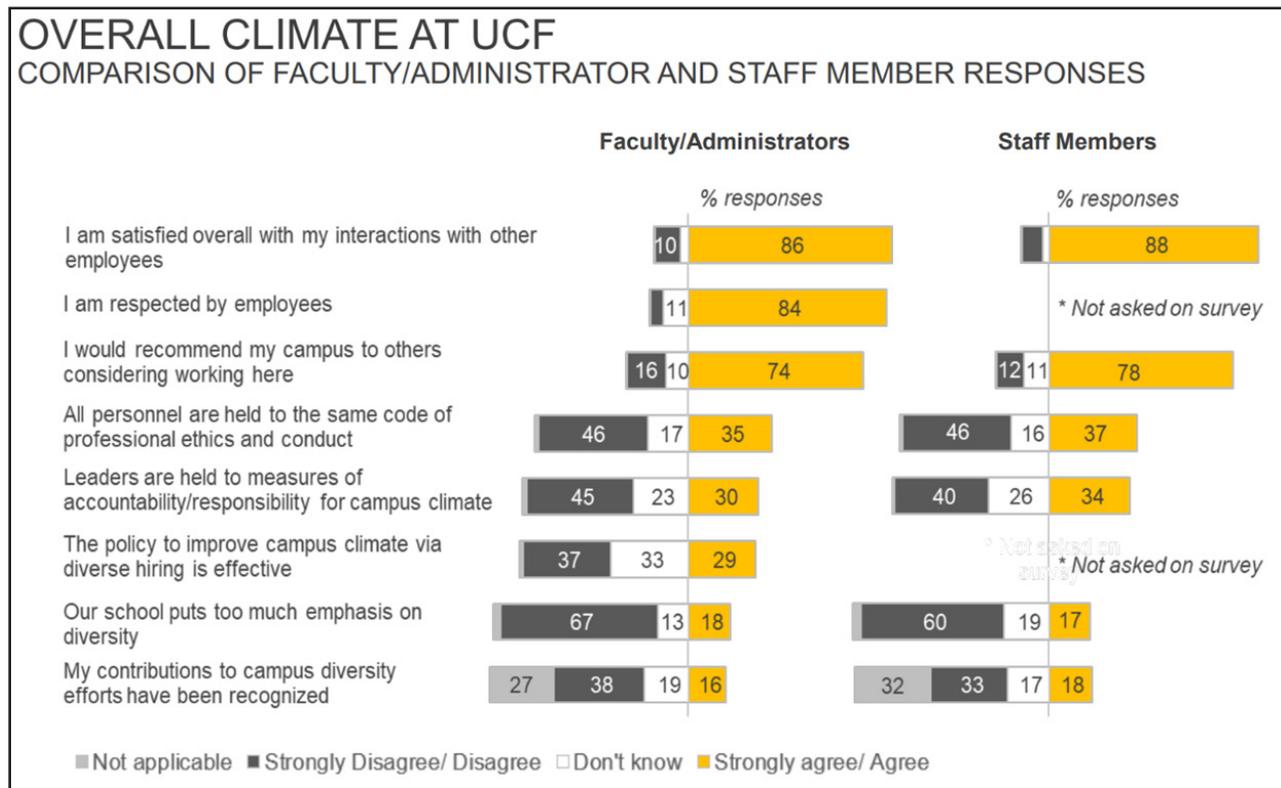| Please indicate a Yes or No response to each item:	2016		2018		Trend (2018 - 2016)	2020		Trend (2020 - 2018)	4YR Trend (2020 - 2016)
	Count	% Yes	Count	% Yes		Count	% Yes		
I have experienced or observed bullying in the workplace by a supervisor within the last 12 months. Workplace bullying is defined as "repeated, deliberate, disrespectful behavior, which harms the target."	331	16%	287	17%	1%	337	14%	-3%	-2%
I have experienced or observed a violation of laws, regulations, or university regulation or policy in my office or department within the last 12 months.	309	15%	283	17%	2%	288	12%	-5%	-3%
I was asked to bend, break, or circumvent laws, regulations, university regulations, or policies during the last 12 months by someone in my department.	100	5%	102	6%	1%	37	2%	-4%	-3%
(2016-2018) If you replied "Yes" to any of the above three questions, did you report your concern? (2020) "Yes" responses to whether they reported the witnessed misconduct and being asked to commit misconduct.	143	14%	156	21%	7%	112	34%	13%	20%
(2016-2018) Was the matter properly resolved? (2020) Total reporting some level of satisfaction	53	41%	54	36%	-5%	61	54%	18%	13%

The trends also identified:

- Employee responses regarding whether they observed unethical behavior or business misconduct at UCF within the last 12 months decreased by 5% since 2018, with a total of 12% responding yes. Although the decrease reflects a positive trend for UCF, it was still 7.3% below the Ethisphere benchmark.
- Responses to the question whether employees were asked to bend, break, or circumvent laws, regulations, or university policies or regulations also decreased by 4% from 2018 with 2% responding yes. A total of 90% stated that they were not asked to bend, break, or circumvent laws, regulations, or university policies or regulations (8% reported being unsure or declined to answer).
- The number of employees reporting that they witnessed and reported the misconduct has increased by 13% since 2018, and overall, by 20% since 2016. However, UCF is still 8.7% below the Ethisphere benchmark in reporting witnessed misconduct.
- Overall satisfaction levels reported by respondents regarding the resolution of reporting misconduct increased by 18% since 2018. However, the Ethisphere benchmark reflects UCF well below the benchmark for each of the reporting mechanisms.

Response to Survey
Based on the UCF trends and Ethisphere benchmark results, the office will focus on increased communications to reinforce the non-retaliation policy, over-communicate closing the loop on the investigations process, and continue to leverage leadership in compliance messaging. The survey will be repeated in 2022.

In 2019-20, the Office of Institutional Equity worked in partnership with other members of the Leadership Council of Equity, Diversity, and Inclusion to select and administer a campus-wide climate survey as well. Therein, questions were included related to discrimination and harassment, along with employees' and students' awareness of reporting options such as OIE. The overall results of the survey can be found in the chart below.

OVERALL CLIMATE AT UCF
COMPARISON OF FACULTY/ADMINISTRATOR AND STAFF MEMBER RESPONSES

	Faculty/Administrators	Staff Members
	% responses	% responses
I am satisfied overall with my interactions with other employees	10 / 86	88
I am respected by employees	11 / 84	* Not asked on survey
I would recommend my campus to others considering working here	16 / 10 / 74	12 / 11 / 78
All personnel are held to the same code of professional ethics and conduct	46 / 17 / 35	46 / 16 / 37
Leaders are held to measures of accountability/responsibility for campus climate	45 / 23 / 30	40 / 26 / 34
The policy to improve campus climate via diverse hiring is effective	37 / 33 / 29	* Not asked on survey
Our school puts too much emphasis on diversity	67 / 13 / 18	60 / 19 / 17
My contributions to campus diversity efforts have been recognized	27 / 38 / 19 / 16	32 / 33 / 17 / 18

■ Not applicable ■ Strongly Disagree/ Disagree ☐ Don't know ■ Strongly agree/ Agree

The Athletics Compliance Office implemented a benchmarking system to more effectively monitor team activities. The office monitored 130 total practices and 107 competitions across all sports. Also, Environmental Health and Safety conducted a detailed examination of the data contained in their management system used for the Laboratory Safety Program. The process resulted in the closeout of open inspections and the updating of laboratories currently used in the Research I Building.

Measuring the effectiveness of the university's comprehensive compliance program not only requires assessments and effectiveness reviews to be conducted by University Compliance, Ethics, and Risk, but also by the university's compliance partners. These reviews are conducted on a regular basis, of which some are highlighted in this report.

Facilities and Safety solicits feedback from campus clients at the end of each project, through a project management survey. The survey is used to evaluate the effectiveness and performance of the project manager and department leadership on each project. Additionally, they work with Environmental Health and Safety to routinely inspect buildings for any safety deficiencies. Capturing these types of deficiencies and correctly prioritizing them facilitates compliance and helps to provide a safe environment.

Our fiscal compliance partners, such as Finance and Accounting, Debt and Revenue Management, and Procurement Services also conduct regular reviews on the management and processes for the expenditure of university funds. These reviews include reviews to ensure compliance with a variety of debt covenants, the auditing of PCards, reviews of formal solicitations for conflicts of interest, and monthly audits of all purchase orders that exceed $10,000 to ensure compliance with competition requirements, procurement methods, and approvals.

Human Resources' Accounting and Operations unit also audits vendor payment contribution submissions prior to sending submission files to external vendors. This assists in confirming the accuracy of information transmitted and that the information complies with state retirement and benefit rates and requirements. Additionally, Student Financial Assistance assessed the effectiveness of the Verification Worksheet - Dynamic Forms. They identified items with high error rates for students that were not required to be verified by the Department of Education. Those students were removed from the Verification Worksheet for the 2020-21 academic year.

The university's health related compliance partners, such as the College of Medicine Legal Affairs and Special Projects department and Student Health Services, perform annual security risk assessments to monitor compliance with HIPAA, conduct quarterly reviews of security access controls conducted on UCF Health systems, execute monthly audits on user access and EHR compliance. Further, Student Health Services undergoes a thorough, on site survey every three years to remain compliant with AAAHC accreditation standards.

The Information Security Office also conducts risk assessments to gauge the effectiveness of compliance with university regulations, policies, procedures, and standard operating procedures pertaining to security of university information. The office continues to assess, report and mitigate compliance issues on internet facing services, which are communicated to various departments to address university IT risks areas. The Offensive Security Team, a unit within the Information Security Office, conducted internal penetration testing of UCF-owned information systems and performed regularly scheduled audits for user account access within information security applications, while encouraging security leads to perform similar audits. The office conducted vulnerability assessments through simulated phishing campaigns, and encouraged and rewarded ethical hackers within the UCF community who identified and responsibly disclosed previously unknown security vulnerabilities. The office distributed a total of 85,815 simulated phishing emails during the reporting period, which produced the following results:

- Average click rate across all campaigns in specified time period: 5%;
- Average report rate via Phish Alert Button in specified time period: 16.1%; and
- Completion rate of voluntary Phishing Fundamentals online training module: 16%.

An impact was seen in December 2019, through the use of a template provided by NIST, which proved to be very effective, and in early 2020, as COVID-19 was emerging and there was a shift to remote work. It is important to note that changes in click-rates between campaigns were affected by several factors, such as:

- recipients' experiences (e.g., training, whether they've received other simulated campaigns, new employees, etc.),
- time of year and the relevance of the phishing templates,
- complexity of the phishing template (i.e., whether the sender information is spoofed to appear to come from a legitimate domain, such as @ucf.edu), and
- content of the message (e.g., enticing detail, urgent issue, or anything that would elicit a strong emotional response).

Acting ethically and complying with federal, state, and university regulations, policies and procedures is an expectation of all members of the university community. The compliance and ethics program is promoted and enforced consistently through the application of appropriate incentives and, when necessary, appropriate disciplinary measures resulting from instances such as employees engaging in misconduct or noncompliance and failing to take reasonable steps to prevent or detect misconduct, noncompliance, and criminal conduct. University Compliance, Ethics, and Risk, in consultation with the president and the Board's Audit and Compliance Committee, provides guidance and recommendations for appropriate incentives and disciplinary measures to encourage a culture of compliance and ethics. When failures in compliance and ethics are identified, the program requires that issues are addressed in a timely manner through appropriate measures, including education or disciplinary action.

Incentives
University Compliance, Ethics, and Risk implemented a process for identifying and recognizing employees who exemplify the expectations of the compliance and ethics program and the values of the university. Three times per year, employees are recognized in an article in the *IntegrityStar* newsletter. In addition, incentives are offered to employees who participate in the annual Compliance and Ethics Week activities. Complimentary to these incentives, Environmental Health and Safety and the UCF Police Department host annual awards ceremonies to promote a culture of ethics, safety, and compliance at the university.

Appropriate Discipline
University Compliance, Ethics, and Risk provides guidance to supervisors and members of the senior leadership team on appropriate disciplinary action up to and including termination when misconduct, noncompliance, or criminal conduct is identified. As part of this process, University Compliance, Ethics, and Risk collaborates with Human Resources, the office of Contract Compliance and Administrator Support, and the Office of the General Counsel to ensure that supervisors provide disciplinary action consistently and in compliance with applicable laws, regulations, and policies. It is the responsibility of the supervisor or appropriate senior leader to ensure that disciplinary action is implemented, including criminal charges when appropriate, and that other corrective actions are completed.

Circumstances of each substantiated case will differ therefore, discipline may range from improvement plans that include remedial training or verbal counseling, to formal discipline such as suspension of duties or termination from employment. The office monitors the completion of recommended corrective actions and escalates issues as appropriate to senior leadership, the president, and the Board's Audit and Compliance Committee. These efforts serve to ensure that the program remains effective and that the university is taking steps to prevent the reoccurrence of misconduct, noncompliance, or criminal activity.

In addition to the actions addressed by University Compliance, Ethics, and Risk, during this report year Procurement Services also implemented new procedures to remove requisition access to PeopleSoft Financials for failure to complete required training. The College of Medicine Legal Affairs and Special Projects department adopted a specific College of Medicine HIPAA Sanctions Policy to outline possible penalties for non-compliance.

Non-routine External Reviews

External Reviews by regulatory agencies are necessary to provide an unbiased review of program policies and procedures, as well as hold organizations accountable to federal and state requirements set forth in laws, policies, and best practices. During the reporting year, University Compliance, Ethics, and Risk assisted with responding to several non-routine external reviews. These included correspondence with the Department of Defense Inspector General regarding a whistle-blower investigation and providing requested materials and information, and collaborating with the Office of Institutional Equity to review and prepare a response to the National Science Foundation (NSF) regarding complaints submitted to the NSF, U.S. Department of Energy, and the National Aeronautics and Space Administration (explained in more detail below).

Most notably, the vice president for compliance and risk, with collaboration from the Office of Research Compliance Office and the Office of Export Control Compliance, provided testimony to the Florida House of Representatives Select Committee on the Integrity of Research Institutions regarding the assessment process, investigations, and response to foreign influence, as well as provided materials in response to the Committee's document requests. The outcome of this review positively reaffirmed the university's commitment to safeguarding intellectual property owned by the university, and intellectual property developed by the university for the U.S. military. University personnel from these areas continue to work regularly with government officials to protect these U.S. assets.

On September 12, 2019, the National Science Foundation (NSF), National Aeronautics and Space Administration (NASA), and the Department of Energy opened an audit related to UCF's compliance with Title IX, the ADA, and Section 504 of the Rehabilitation Act. These agencies requested extensive data from the university dating back to 2015. The Office of Institutional Equity led the effort to review, gather, prepare and produce the requested documents. This audit remains pending, and the agencies anticipate conducting interviews of university personnel during the 2020 Fall semester.

Additionally, On February 7, 2020, the Department of Energy opened a separate compliance review related to UCF's compliance with Title IX, particularly related to the Department of Material Science and Engineering. The Office of Institutional Equity led with reviewing, gathering and preparation of production materials in response to this compliance review.

Other non-routine external reviews conducted this reporting year included the Florida Bureau of Radiation Control, Radiation Machine Program inspection of equipment at the Burnett School of Biomedical Sciences in September 2019, with no violations found. Additionally, the U.S. Department of Homeland Security conducted periodic site visits on H-1B Visas, which resulted in no violations.

UCF BOARD OF TRUSTEES
Agenda Item Summary
Audit and Compliance Committee
November 19, 2020

Title: 2020-21Work Plan - Status of All Activities

☒ **Information**   ☐ **Information for upcoming action**   ☐ **Action**

Meeting Date for Upcoming Action: _____

Purpose and Issues to be Considered:
The 2020-21 Work Plan - Status of All Activities is a summary of the projects and activities completed by University Compliance, Ethics, and Risk (UCER) from July 1, 2020, to September 30, 2020.

Background Information:
Each fall, UCER submits a work plan outlining the office's activities to meet the required elements of an effective compliance and ethics program. The UCF Audit and Compliance Committee Charter provides for oversight and direction of the institutional compliance, ethics, and enterprise risk management and insurance programs, and that committee members be knowledgeable of the program with respect to its implementation and effectiveness.

Recommended Action:
N/A

Alternatives to Decision:
N/A

Fiscal Impact and Source of Funding:
N/A

Authority for Board of Trustees Action:
UCF Audit and Compliance Committee Charter and Board of Governors Regulation 4.003 State University System Compliance and Ethics Programs.

Contract Reviewed/Approved by General Counsel ☐ **N/A** ☒

Committee Chair or Chair of the Board has approved adding this item to the agenda ☒

Submitted by:
Rhonda L. Bishop, Vice President for Compliance and Risk

Supporting Documentation:
Attachment A: 2020-21Work Plan - Status of All Activities

Facilitators/Presenters:
Rhonda L. Bishop, Vice President for Compliance and Risk

University Compliance, Ethics and Risk Office

**2020-21 Work Plan Status
July 1, 2020 – September 30, 2020**

UCF's comprehensive compliance and ethics program was built based on the elements of an effective compliance program set forth in Chapter 8 of the Federal Sentencing Guidelines, and as required by Board of Governors Regulation 4.003 State University System Compliance and Ethics Programs. The Guidelines and Regulation establish the minimum standards for effective programs. Each year, University Compliance, Ethics, and Risk submits an Annual Workplan to the Audit and Compliance Committee of the Board of Trustees detailing the office's efforts that support an effective program. This report contains the activities committed to in the office's 2020-21 Compliance and Ethics Annual Work Plan and includes the status of those activities.

1. **Provide Oversight of Compliance and Ethics and Related Activities**
   Promote accountability among UCF employees for compliance with applicable federal, state, and local laws and regulations, and appoint knowledgeable individuals responsible for developing and implementing a comprehensive compliance and ethics program.

2. **Develop Effective Lines of Communication**
   Create communication pathways that allow the dissemination of education and regulatory information and provide a mechanism for reporting compliance activities or concerns.

3. **Conduct Effective Training and Education**
   Educate the UCF community on its compliance responsibilities and regulatory obligations, and on the university compliance and ethics program.

4. **Revise and Develop Policies and Procedures**
   Revise or develop university regulations along with policies and procedures that reflect UCF's commitment to ethical conduct and compliance with applicable laws and regulations.

5. **Conduct Internal Monitoring and Compliance Reviews**
   Identify and remediate noncompliance through proactive review and monitoring of risk areas.

6. **Respond Promptly to Detected Problems and Undertake Corrective Action**
   Conduct timely investigations of allegations of noncompliance and provide guidance on corrective actions.

7. **Enforce and Promote Standards through Appropriate Incentives and Disciplinary Guidelines**
   Promote the compliance and ethics program and university regulations, policies and procedures, and the consequences of noncompliance.

8. **Measure Compliance Program Effectiveness**
   Evaluate the overall compliance and ethics culture of UCF and the performance of the University Compliance, Ethics, and Risk office.

9. **New Regulations and Special Projects**

2020-21 Compliance and Ethics Work Plan Status
July 1, 2020 – September 30, 2020

1. Provide Oversight of Compliance and Ethics and Related Activities
Coordinate and conduct bi-monthly meetings of the University Compliance and Ethics Advisory Committee
- Developed materials and chaired the Compliance and Ethics Advisory Committee meeting in August.   - Provided highlights on the 2019 IntegrityLine report, the close out of the Post Investigation Action Plan, the campaign for the annual online Code of Conduct training, the online Youth Protection Program registration system, and the 2020 FL Equity Report.
Conduct quarterly meetings with compliance partners and senior leadership
Met with vice presidents, key administrators, and compliance partners to provide updates on compliance and ethics initiatives and discuss any concerns or issues.
Serve on and provide compliance guidance to the Title IX workgroup
Provided guidance and support to the Title IX coordinator and served on and provided compliance guidance to the Title IX workgroup.
Serve as a member of the Security Incident Response Team and provide guidance

- ➢ Served as a member of the Security Incident Response Committee and provided review and guidance associated with federal and state privacy and data breach requirements.
- ➢ Participated in analysis of a vendor data breach incident and provided guidance on written notification sent to donors.

2. Develop Effective Lines of Communication

Prepare and distribute *IntegrityStar*, the compliance and ethics newsletter

- ➢ Developed and issued the July 2020 edition of the *IntegrityStar* highlighting recent communications on diversity, equity, and inclusion at UCF; and a video on Unconscious Bias. Also included information on the return to campus efforts including the article *Armor Up Knights!* which highlights the COVID-19 Return to Campus Policy and Frequently Asked Questions.
  - o Article titled *Accessibility at UCF.*
  - o Article *COVID-19 Related Fraud* in the Audit Unlocked section.
  - o Recognition section highlighted two individuals engaging and empowering others to promote a culture of respect and inclusivity.

Administer and promote the UCF IntegrityLine, reinforce expectations for non-retaliation, and increase communications during and after investigations

- ➢ Continued administration of the UCF IntegrityLine to include review and tracking of all reports, data compilation, trend review, and reporting.
- ➢ Promoted the UCF IntegrityLine in the July 2020 edition of the *IntegrityStar* newsletter; continued promoting efforts in compliance videos; on the University Compliance, Ethics, and Risk website; on the websites of all compliance partners; and virtual tabling events.
- ➢ Revised IntegrityLine Intake Process and Close Out Process to ensure consistency and increased communication touch points during and after investigations.

Coordinate timely responses to regulatory and other external agencies

- ➢ Collaborated with the Office of Institutional Equity and the Office of the General Counsel to review and prepare response to the National Science Foundation (NSF) regarding a request for information.
- ➢ Met with NSF, U.S. Department of Energy (DOE), the Office of Institutional Equity, and the Office of the General Counsel to discuss a review NSF and DOE are conducting.

Maintain and promote the compliance and ethics website

- ➢ Promoted the compliance and ethics website in the University Compliance, Ethics, and Risk pamphlets distributed to all new employees.
- ➢ Updated the website to include the July 2020 edition of the *IntegrityStar* newsletter, updated the organizational chart, and revised the Compliance and Ethics Advisory Committee to include changes to compliance partners and members, and added the Annual Report.
- ➢ Added page links to offices that were moved under the University Compliance, Ethics, and Risk reporting structure.

Disseminate compliance and ethics program information and educational materials in person during new faculty orientation and the benefits fair

- ➢ Provided the UCF Employee Code of Conduct, a Compliance and Ethics webinar, office brochure, and IntegrityLine Speak Up poster through the virtual employee benefits fair.

3. Conduct Effective Training and Education

Track new employee completion of mandatory Code of Conduct and Potential Conflicts – Florida Code of Ethics for Public Officers training

- ➢ Total number of new employees who took the online courses and passed the final quiz:
  - o *Employee Code of Conduct / Speak Up!* = 1,125
  - o *Potential Conflicts – Florida Code of Ethics for Public Officers and Employees* = 1,892

Launch sixth annual Compliance and Ethics Week awareness campaign
➢ Compliance and Ethics Week campaign will occur November 2-6, 2020.
Review and provide guidance on new procedures to be implemented for identifying CSAs to determine necessary training requirements and on online training being developed for new and current CSAs
➢ Reviewed and provided feedback on the new Webcourse that has been developed for annual CSA training. The training is expected to be launched by the end of the calendar year.
Promote Gifts and Honoraria and Potential Conflicts online training modules for current employees and track employee completion

➢ Continue to promote the online training modules to employees.
➢ Total number of existing employees who took the online courses and passed the final quiz:
    o *Gifts and Honoraria* = 7 employees
    o *Potential Conflicts – Florida Code of Ethics for Public Officers and Employees* = 625 employees

Issue annual memo on Vulnerable Persons Act
➢ Annual memo will be prepared and issued in March 2021.
Develop and launch new mandatory annual Code of Conduct training with certifications for non-student employees and monitor compliance for mandatory completion

- ➢ Working with the vendor, Compliance Wave, the office developed a custom annual Code of Conduct training with certifications for all non-student employees and coordinated with the Center for Distributed Learning the loading into Webcourses.
- ➢ An email announcement regarding the training was distributed by the vice president for compliance and risk on September 8, 2020.
- ➢ Faculty and staff were auto enrolled in the course and received emails on September 14, 2020, requesting compliance with the annual training to be completed by October 14, 2020.
- ➢ Automated email reminders scheduled weekly with instructions for employee completion.
- ➢ As of September 30, 2020, there were 4,580 employees who completed the training.

Promote Youth Protection online training module and monitor compliance for mandatory completion

- ➢ Youth Protection training was completed as required by 53 program staff working with minors.

Identify additional opportunities to develop and deliver compliance and ethics training

- ➢ On August 26 provided Ethical Leadership Workshop through Human Resources for 41 employees, 15 employees were on the waitlist.

Issue additional regulatory alerts and updates as appropriate

- ➢ In response to newly passed Florida Statute Section 1012.977, effective July 1, 2020, proposed edits to university regulation UCF-3.018 Conflict of Interest or Commitment; Outside Activity or Employment and University Policy 4-504 Reporting Outside Activities, Financial Interests and Potential Conflicts of Interest or Conflicts of Commitment in Research.

4. Revise and Develop Policies and Procedures

Chair the University Policies and Procedures Committee and provide guidance on policy development

- ➢ Chaired the University Policies and Procedures Committee. Provided coordination of the committee and management of the online Policies and Procedures Manual.
- ➢ Reviewed and edited policies and procedures prior to submission for approval to the committee. Worked directly with departments, provided guidance, and when needed revised 12 policies to improve content and the communication of expectations to the university community.
- ➢ Collaborated with key compliance partners to create three COVID-19 related emergency policies. Policies were signed by the president and distributed to all employees. Multiple updates to these policies were sent to all employees and Spanish versions were posted on the policies website.
- ➢ Worked directly with compliance partners to create and update two emergency policies to adhere to the Department of Education's new Title IX regulations.

Continue to enforce UCF Policy 2-001 University Policy Development, which requires annual policy reviews by department and mandatory five-year reviews by the University Policies and Procedures Committee

- ➢ Continued progress on the five-year review project in compliance with UCF-2-001.5 University Policy Development to ensure that policies continue to be appropriate and current. Out of 38 policies initially identified as overdue, reduced the overdue count to seven as of September 30, 2020.

Serve as members of the HIPAA Collaborative to develop university policies and procedures on HIPAA compliance

- ➢ Served on the UCF Health Sciences HIPAA Collaborative, a university-wide task force involved with the development of a single set of HIPAA Privacy and Security policies for the university. Provided guidance and communicated compliance expectations for development of policies.

5. Conduct Internal Monitoring and Compliance Reviews

Manage university-wide conflict of interest and commitment process; begin migration efforts to a new online reporting system

➤ In preparation for the 2020-21 conflict of interest and disclosure process along with the passing of Florida Statutes Section 1012.977, revised all training modules, the AA-21 Conflict of Interest and Commitment Form, and email communications to reflect the new requirements.

➤ Worked with the Office of Research Compliance Office and the Office of Export Control Compliance to develop the UCF COI Red Flag Review process and accompanying procedures in order to comply with FSS 1012.977.

➤ Implemented communication plan for the 2020-21 conflict of interest and commitment online disclosure process with plans to launch the new disclosure year in October 2020.

➤ Distributed communications, monitored online disclosure submissions, conducted reviews, and worked with faculty and administrators to resolve potential conflicts. Tracked compliance rates and worked with Academic Affairs to address noncompliance.

➤ Conflict of interest reviews outside the online system were tracked in this reporting period (July 1-September 30, 2020) and included 78 requests for review of potential conflicts and guidance provided to employees and departments.

➤ Received and completed 15 reviews of potential conflicts of interest associated with the attendance at conferences or events sponsored by vendors.

Manage university-wide Youth Protection Program; final implementation of new software solution to manage registration Process

➤ At the start of this report period there were few youth programs occurring due to COVID-19; seven programs were converted to virtual platforms prompting changes to requirements that all minor participants submit a signed Online Participant and Parent Code of Conduct form and signed Online Participant Agreement and Waiver of Liability form, as well as the requirement for all program staff to submit to the Program Sponsor a signed Online Program Staff Code of Conduct form.

➤ As of August 24, 2020, in-person youth programs were permitted with limitations under the Emergency Policy on university events and additional requirements for in-person programs to require all minor participants submit a signed Participant Agreement and Waiver of Liability, which was revised to include language pertaining to COVID-19.

Continue compliance partner reporting

➤ Compliance partners provided updates on their program activities during committee meetings and through separate meetings and discussions when significant issues and challenges arose.

➤ Compliance partner annual reports for 2020 were submitted and are being consolidated with the activities of University Compliance, Ethics, and Risk to finalize and publish the 20202 compliance and ethics program annual report in November.

Collaborate with the director of enterprise risk and insurance management to conduct a formal compliance risk assessment

➤ Enterprise risk management (ERM) program is in progress for implementation in early 2021.

Review UCF IntegrityLine and department database for trends and risk areas and address appropriately

➤ In the August Board of Trustees Audit and Compliance Committee, Vice President for Compliance and Risk, Rhonda Bishop, presented the UCF IntegrityLine Report for 2019 and reported an increase of reports of in the category of offensive or inappropriate communication. The office is working with Human Resources to develop training and awareness programs to improve respectful interactions.

➤ Due to the pandemic, the office received an increased spike in COVID-19 related reports totaling 171 cases, and 238 total cases were received during this time, a significant increase from the 53 cases reported around this same time last year.

6. Respond Promptly to Detected Problems and Undertake Corrective Action

Receive and evaluate UCF IntegrityLine reports and allegations of misconduct made directly to the office; conduct investigations

- ➢ Provided administration and oversight of the UCF IntegrityLine to include review and tracking of all reports until completion, data compilation, trend review, and reporting. Received 238 reports through the UCF IntegrityLine alleging misconduct in this reporting period (increase of 185 from last year at this time).
- ➢ Coordinated triage of reports with University Audit and the Office of Institutional Equity. When appropriate, reports were referred to a compliance partner or University Audit for review or investigation. During this time, 104 cases were investigated and closed.
- ➢ Received one allegation of misconduct directly to University Compliance, Ethics, and Risk which is still ongoing and closed one during this time period.

Provide recommendations for corrective actions and improvement of ethical conduct

- ➢ Continued providing recommendations for corrective actions and improvements of ethical conduct to the appropriate authorities following investigations or requests for guidance.

7. Enforce and Promote Standards through Appropriate Incentives and Disciplinary Guidelines
Develop and promote compliance and ethics incentive opportunities
➢ Highlighted in the July 2020 edition of the *IntegrityStar* one faculty member and one staff member for their outstanding efforts in leading change in the area of diversity, equity, and inclusion and empowering others to promote a culture of respect and inclusivity.
Work with Human Resources to develop new employee appraisal templates that include compliance and ethics as a performance Measure
➢ Due to the pending transition to a new ERP system, Human Resources placed a hold on the performance appraisal project.
Promote awareness of UCF regulations, policies and procedures, and regulatory requirements
➢ Highlighted in the July 2020 edition of the *IntegrityStar* six new and revised UCF Policies and 20 new and revised regulations that had been implemented since the April 2020 edition. ➢ Distributed campus email to all employees alerting them of the approval of seven policies which includes multiple updates to seven new or revised policies.
Promote accountability and consistent discipline

- ➢ Following investigations with outcomes of substantiated employee misconduct, provided recommendations for appropriate discipline to ensure accountability and consistency in corrective actions.
- ➢ Continued serving as the point of contact and source for guidance to research compliance related to scientific misconduct, export controls, conflict of interest, and development of policies and procedures.

8. Measure Compliance Program Effectiveness

Develop and issue the University Compliance, Ethics, and Risk Annual Report

- ➢ Compiled and designed the annual report for 2019-20 which included the activities of our compliance partners and programs across the university. The report will be issued in November 2020.

Obtain five-year compliance and ethics program review required under BOG Regulation 4.003

- ➢ Participated in the kick-off call with vendor to commence the five-year program review in August 2020.
- ➢ Received questionnaire for review and provided initial feedback in September.
- ➢ Finalizing response with supporting documentation to be submitted in October.

Develop, measure, and track department process improvement efforts using the university assessment process

- ➢ The 2019-20 results report covering improvement measures related to training and awareness and a culture of compliance and ethics was prepared and reflects improvements from prior year results.
- ➢ The 2020-21 assessment plan was drafted to continue progress on the same measures and includes a new measure from prior year results.

9. New Regulations and Special Projects

Oversee compliance efforts with National Institute of Standards and Technology 800-171 (NIST) federal requirements

➢ Continue to lead the NIST workgroup to move the university forward towards compliance.

Oversee compliance efforts with European Union General Data Protection Regulation (GDPR)

➢ Developed a Data Protection Impact Assessment (DPIA) for university-wide projects where (data) processing is likely to result in a high risk to the rights and freedoms of individuals.

Oversee compliance efforts with the acceptance of CARES Act funding

➢ Compiled the various requirements associated with the acceptance of CARES Act funding into one matrix and coordinated with appropriate compliance partners having oversight for each requirement to provide plan to address each.
➢ Conducted periodic follow up for updates regarding the progress.
➢ Distributed communication to budget directors to determine whether additional funding had been received by separate units and identified two additional funding sources that had not been centrally managed.

Working with Human Resources, evaluate and develop a communication, education, and awareness campaign to address increased reports of offensive or inappropriate communication

➢ Held kick off meeting with Human Resources in July to discuss the project.

UCF BOARD OF TRUSTEES
Agenda Item Summary
Audit and Compliance Committee
November 19, 2020

Title: Compliance, Ethics, and Risk Update

☒ **Information**   ☐ **Information for upcoming action**   ☐ **Action**

Meeting Date for Upcoming Action: _____

Purpose and Issues to be Considered:
The update and any discussion will cover changes in federal or state requirements impacting the university, current or pending external compliance activities, and updates to the committee on key compliance, ethics and risk initiatives at UCF.

Background Information:
The UCF Audit and Compliance Committee Charter provides for oversight and direction of the institutional compliance, ethics, and enterprise risk management and insurance programs, and that committee members be knowledgeable of the program with respect to its implementation and effectiveness. Updates and the opportunity for discussion by committee members are provided to ensure that the elements of an effective program and the committee's charter are met.

Recommended Action:
N/A

Alternatives to Decision:
N/A

Fiscal Impact and Source of Funding:
N/A

Authority for Board of Trustees Action:
N/A

Contract Reviewed/Approved by General Counsel ☐ **N/A** ☒

Committee Chair or Chair of the Board has approved adding this item to the agenda ☒

Submitted by:
Rhonda L. Bishop, Vice President for Compliance and Risk

Supporting Documentation:
N/A

Facilitators/Presenters:
Rhonda L. Bishop, Vice President for Compliance and Risk

UCF BOARD OF TRUSTEES
Agenda Item Summary
Audit and Compliance Committee
November 19, 2020

Title: University Internal Audit Update

☒ **Information**　　　☐ **Information for upcoming action**　　　☐ **Action**

Meeting Date for Upcoming Action: _____

Purpose and Issues to be Considered:
The committee should review the attachment in advance to prepare for any discussion among committee members, UCF's Chief Audit Executive, and other members of UCF management. This discussion may relate to completed activities and proposed future activities of the internal audit function along with management's plans for changes to their objectives, key processes, and related internal control activities.

Background Information:
In accordance with the UCF Audit and Compliance Committee Charter, the committee will meet on a periodic basis to fulfill their oversight responsibilities. The attached document is intended to provide the committee with information regarding the work of University Audit to assist the committee in successfully completing their oversight duties.

Recommended Action:
No recommended actions required.

Alternatives to Decision:
There are no decisions or approvals required related to this attachment.

Fiscal Impact and Source of Funding:
N/A

Authority for Board of Trustees Action:
N/A

Contract Reviewed/Approved by General Counsel ☐ **N/A** ☒

Committee Chair or Chair of the Board has approved adding this item to the agenda ☒

Submitted by:
Robert Taft, Chief Audit Executive

Supporting Documentation:
Attachment A: UCF Internal Audit Update

Facilitators/Presenters:
Robert Taft, Chief Audit Executive

UCF Internal Audit Update

November 19, 2020

Agenda

✔ Project status update

👥 Staffing update

📋 Policy refresher

Recently Completed Projects

- Business Incubator Program audit
- Carryforward expense review
- IMEC contract performance review
- Roth Athletic Center construction project review

Current Projects

Auxiliary Expense Reporting Committee

UCF Health audit

Cares Act funding review

Performance-based Funding

Status report on open audit project recommendations

Upcoming Projects

- UCF Libraries
- Contract and Vendor Management
- Academic Integrity
- Data Center
- Investigations
- "Real time" review of Knight Vision ERP project
- Pentana audit software enhancements

Staffing

- Auditor II search
- Certification exam success
  - Mary Dailey- Certified Fraud Examiner
  - Corey Fischer-Certified Internal Auditor
- Office move to UCF Research Pavilion

Internal Control Policy

- *Initially adopted in September 2015*

- *https://policies.ucf.edu/documents/2-008.pdf*

- *Updated October 2020*

- Definition and examples of internal control

- Roles and responsibilities across the university

- Relevant internal control frameworks

- How to report internal control breakdowns and improvement opportunities

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Whistle-blower Determination and Investigation Policy

- *Effective June 2018*

- ***https://policies.ucf.edu/documents/2-010.pdf***

- Compliance with the Whistle-blower's Act (Sections 112.3187-112.31895, Florida Statutes)

- University Audit is responsible for whistle-blower determination

- Whistle-blower eligibility

- Specific requirements and time deadlines

- Reporting results

- Maintaining confidentiality during and after completion of work

Questions?