



**Board of Trustees
University of Central Florida
Audit, Operations Review, Compliance, and Ethics Committee
Millican Hall, 3rd floor, President's Boardroom
September 14, 2016
3:00 p.m.
Call-in number: 800-442-5794 Code: 463796**

Agenda

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| I. CALL TO ORDER | Beverly Seay <i>Chair; Audit, Operations Review, Compliance, and Ethics Committee</i> |
| II. ROLL CALL | Margaret Melli <i>Executive Administrative Assistant of University Compliance, Ethics, and Risk</i> |
| III. MEETING MINUTES | |
| <ul style="list-style-type: none">• Approval of the February 24, 2016, Audit, Operations Review, Compliance, and Ethics Committee meeting minutes | Chair Seay |
| IV. NEW BUSINESS | Chair Seay |
| <ul style="list-style-type: none">• Presentation of Audit Plan (INFO-1) | Robert Taft <i>Chief Audit Executive</i> |
| <ul style="list-style-type: none">• Update on Auditor General's audit results | Robert Taft |
| <ul style="list-style-type: none">• University Compliance, Ethics, and Risk program update<ul style="list-style-type: none">- 2015-16 Work Plan Status of All Activities (INFO-2)- 2016-17 Compliance and Ethics Annual Work Plan (INFO-3)- 2016 Compliance and Ethics Culture Survey (INFO-4) | Rhonda L. Bishop <i>Chief Compliance and Ethics Officer</i> |

- Athletics Compliance Program Update

Rhonda L. Bishop

V. CLOSING COMMENTS

Chair Seay



Board of Trustees
Audit, Operations Review, Compliance, and Ethics Committee Meeting
President's Boardroom Millican Hall, 3rd Floor
February 24, 2016

MINUTES

CALL TO ORDER

Trustee Seay, chair of the Audit, Operations Review, Compliance, and Ethics Committee, called the meeting to order at 11:00 a.m. Committee members Keith Koons, John Sprouls, and Bill Yeargin attended by telephone. Trustees Marcos Marchena and Ray Gilley attended by telephone.

MINUTES APPROVAL

Seay called for approval of the October 28, 2015, Audit, Operations Review, Compliance, and Ethics Committee meeting minutes, which were approved as written.

NEW BUSINESS

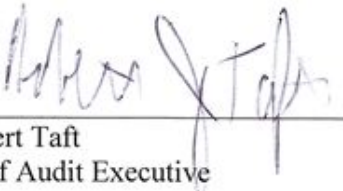
Acceptance of the Board of Governors' Performance-based Funding Data Integrity Certification Audit Report (AUDC-1)

Robert Taft, Chief Audit Executive, provided an outline of the Board of Governors' Performance-based Funding Data Integrity Certification Audit Report and the process involved for acceptance. The report was accepted by the Committee.

Approval of the Performance-based Data Integrity Certification Form (AUDC-2)

Taft gave an update on the Performance-based Data Integrity Certification Form Audit Plan. The plan was approved by the Committee.

Chair Seay adjourned the Audit, Operations Review, Compliance, and Ethics Committee meeting at 11:06 a.m.

Respectfully submitted: 
Robert Taft
Chief Audit Executive

8/25/2016
Date

Respectfully submitted: 
Rhonda L. Bishop
Chief Compliance and Ethics Officer

8/25/2016
Date

ITEM: INFO-1

**University of Central Florida
Board of Trustees
Audit, Operations Review, Compliance, and Ethics Committee**

SUBJECT: UCF Audit Plan

DATE: September 14, 2016

PROPOSED COMMITTEE ACTION

Information only.

BACKGROUND INFORMATION

Supporting documentation: Attachment A: UCF Audit Plan

Prepared by: Robert Taft, Chief Audit Executive

Submitted by: Robert Taft, Chief Audit Executive

Attachment A

1

UCF Audit Plan Update

SEPTEMBER 2016

Agenda

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1. Audits completed since October 2015 meeting
2. Audits in progress
3. Next scheduled audits
4. Other activities

Completed Audits since Last Update

3

| Audit # | Audit Name | Number of Recommendations |
|---------|--|---------------------------|
| 325 | Distance Learning Fees | 0 |
| 328 | College of Medicine | 15 |
| 329 | University Marketing | 3 |
| 331 | National Consortium for Academics and Sports | 6 |
| 332 | Board of Governors' Data Integrity Certification: Performance Based Funding | 0 |
| 333 | Office of Research and Commercialization: Research Overhead Allocation and Distribution | 5 |

Audits In Progress

4

| Audit # | Audit Name | Auditor In Charge | Target Completion Date |
|---------|---|-------------------|------------------------|
| 334 | Office of Research and Commercialization: Subrecipient Monitoring | V. Morton | September 2016 |
| 335 | Title IX Compliance | C. Price | October 2016 |
| 336 | Payroll Processes | V. Sharp | September 2016 |
| 337 | PCI DSS Vendor Management Strategy | A. Glover | October 2016 |

Audit Selection Process

5

Risk-based methodology incorporating key selection factors:

- 1) impact on major university initiatives or strategic plan
- 2) high visibility and reputation risk
- 3) first time audits or length-of-time since last audit
- 4) required compliance audits or significant regulatory changes
- 5) requests from management, Board of Governors, or Board of Trustees
- 6) re-audits of poor performers
- 7) niche audits
- 8) process complexity
- 9) potential for fraud risk
- 10) significant changes in management or organizational structure
- 11) potential for consolidation or cost savings opportunities

Upcoming Audits

6

| Cycle # | Audit Name | Why on Plan | Auditor In Charge |
|---------|--|---|-------------------------|
| 1 | UCF Athletics, Direct Support Organization | Strategic initiative, first time audit | C. Price |
| 1 | Facilities: vendor bidding and selection process | Process complexity, potential for fraud risk | V. Morton |
| 1 | Board of Governors' Data Integrity Certification | Required audit (<i>in progress</i>) | K. Mitchell V. Sharp |
| 2 | College of Optics and Photonics | Niche audit, re-audit of poor performers | V. Sharp |
| 2 | HIPAA/HITECH (non IT activities) | First time audit, high visibility, and reputation risk | C. Price |
| 2 | Research Grant Proposal Process | Strategic initiative, process complexity | V. Morton |
| 3 | Insurance and Risk Management | First time audit, potential for consolidation or cost savings opportunities | V. Sharp |
| 3 | Environmental Health and Safety | Management request, changes in management structure | C. Price |
| 3 | Sole source purchasing | First time audit, impact on major university initiatives or strategic plan | V. Morton |

IT Audit Activities

7

- ▶ Adam Glover hired as Senior IT Auditor in March 2016
- ▶ Assisted with Microsoft Active Directory and End User Identity Management consulting project including writing internal report and eventual tracking of identified issues for follow-up
- ▶ Extensive participation in UCF IT centralization transition process
- ▶ Assists other auditors with IT related issues and background information

Planned IT Audits

8

- ▶ Assist with UCFAA operational audit and HIPAA/HITECH compliance audit
- ▶ NIST 800-33 gap analysis review (*Underlying Technical Models for Information Technology Security*)
- ▶ NIST 800-171 gap analysis review (*Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations*)

Audit Watch List

9

- a) Library Services
- b) Budget Development and Monitoring Processes
- c) Downtown Campus
- d) Research: technology transfer and intellectual property
- e) Technology Fee Program
- f) UCF Health
- g) Undergraduate research initiatives
- h) Academic Advising processes: personnel and technology
- i) UCF Strategic Plan implementation process
- j) Export Control compliance
- k) Direct Connect and transfer student experience
- l) Americans with Disabilities Act compliance

Investigations

10

- ▶ 17 investigations completed since October 2015 meeting with 87 recommendations
- ▶ 28 active investigations
- ▶ *Common themes include:*
 - a) time card and attendance fraud
 - b) misuse of university resources
 - c) inappropriate system and data access
- ▶ Update of internal Investigation Guidelines

Management Advisory Services

11

Projects

- a) Microsoft Active Directory and End User Identity Management
- b) Performance Unit Plan Data Certification
- c) Purchasing Card issuance and Background Checks
- d) Use of Amazon Prime accounts
- e) Consulting Expenses

Database

- ▶ 410 items logged in our Management Advisory Services database this year (418 in the prior year)

Upcoming Initiatives

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- ▶ Purchase and implementation of Audit Management Software package
- ▶ Incorporate updated third-party Enterprise Risk Management internal control framework into audit approach once revised version is released
- ▶ Use of industry standard framework for IT Audit work
- ▶ Begin preparing for Institute of Internal Auditors' External Quality Assessment requirement
- ▶ Fraud Risk Assessment project
- ▶ Adjust department procedures to reflect proposed Board of Governors standards
 - Chief Audit Executive standards
 - Complaint Handling and Investigations

ITEM: INFO-2

**University of Central Florida
Board of Trustees
Audit, Operations Review, Compliance, and Ethics Committee**

SUBJECT: 2015-16 Work Plan Status of All Activities

DATE: September 14, 2016

PROPOSED COMMITTEE ACTION

Information only.

BACKGROUND INFORMATION

Supporting documentation: Attachment B: 2015-16 Work Plan Status of All Activities

Prepared by: Rhonda L. Bishop, Chief Compliance and Ethics Officer

Submitted by: Rhonda L. Bishop, Chief Compliance and Ethics Officer

Attachment B



**2015-16 Work Plan
Status of All Activities**

UCF's comprehensive compliance and ethics program is based on the elements of an effective compliance program set forth in Chapter 8 of the Federal Sentencing Guidelines. 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.

1. 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, regulatory obligations, and 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

**2015-16 Compliance and Ethics Work Plan
Status of All Activities**

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| 1. Oversight of Compliance and Ethics and Related Activities |
| Coordinate and conduct bi-monthly meetings of the University Compliance and Ethics Advisory Committee |
| <ul style="list-style-type: none">➤ Chaired the Compliance and Ethics Advisory Committee.➤ Provided coordination of bi-monthly meetings and communicated compliance, ethics, and risk management initiatives, discussed issues and new compliance requirements, and obtained input from members regarding development of the university's comprehensive compliance and ethics program. |
| Conduct quarterly meetings with compliance partners and senior leadership |
| <ul style="list-style-type: none">➤ Conducted meetings with vice presidents, key administrators, and compliance partners across campus to communicate compliance, ethics, and risk management initiatives, address any issues or concerns, and build relationships. |
| Serve on and provide compliance guidance to the Title IX workgroup |
| <ul style="list-style-type: none">➤ Provided guidance and support to the Equal Opportunity and Affirmative Action director and Title IX coordinator.➤ Served on and provided compliance guidance to the Title IX workgroup. |
| Serve as a member of the Security Incident Response Team and provide guidance |
| <ul style="list-style-type: none">➤ Served as a member of the Security Incident Response Committee and provided review and guidance associated with privacy compliance requirements and data breaches. |

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| 2. Develop Effective Lines of Communication |
| Prepare and distribute <i>IntegrityStar</i>, the compliance and ethics newsletter |
| <ul style="list-style-type: none"> ➤ Developed the first edition of the online newsletter to include short training videos, articles on compliance and ethics, announcements on new or revised policies and regulations, training opportunities, and other related information. ➤ Distributed the first edition to all employees in April 2016. ➤ Drafted the summer edition and developed a communication plan for distribution once a semester. |
| Administer and promote the UCF IntegrityLine |
| <ul style="list-style-type: none"> ➤ Provided administration and oversight of the UCF IntegrityLine to include review and tracking of all reports until completion, data compilation, and trend review and reporting. ➤ Promoted the UCF IntegrityLine in the <i>IntegrityStar</i> newsletter; in compliance videos; in the Compliance, Ethics, and Risk pamphlet; on the Compliance, Ethics, and Risk website; on the websites of all compliance partners; and through distribution of custom IntegrityLine earbuds and wallet cards. ➤ Provided UCF IntegrityLine wallet cards to all new employees during orientation. ➤ Hung additional posters throughout common areas as we identified new locations. |
| Distribute compliance brief videos |
| <ul style="list-style-type: none"> ➤ Purchased rights to several compliance videos on topics such as conflict of interest and retaliation, and posted them on the office's website. ➤ Distributed conflict of interest training video to all employees through the April edition of the <i>IntegrityStar</i> newsletter. |
| Maintain and promote the compliance and ethics website |
| <ul style="list-style-type: none"> ➤ Updated the University Compliance, Ethics, and Risk website to include the <i>IntegrityStar</i> newsletter, updated the conflict of interest page, posted additional resources, and revised the compliance matrix to include changes to compliance partners. ➤ Promoted the website in the Compliance, Ethics, and Risk pamphlets distributed to all new employees and faculty. |

3. Conduct Effective Training and Education

Provide training on ethical leadership and avoiding conflicts of interest to the Student Government Association, Leadership Enhancement Program, and Supervisory Skills Series program

- Developed and conducted ethics training for the Supervisory Skills Series hosted by Human Resources and the Leadership Enhancement Program hosted by the Office of Diversity and Inclusion.
- Provided training on ethical leadership at the Student Government Association Executive Cabinet Retreat.

Conduct Clery Act compliance training and develop an online module

- Developed and conducted Clery Act training for Housing and Residence Life.
- Provided overview of the Clery Act to the president and vice presidents.
- Reviewed and edited the Annual Security Report to ensure compliance with new federal requirements.
- Conducted a review of organizational charts and job descriptions to identify employees meeting the definition of Campus Security Authority under the Clery Act.

Launch annual Compliance and Ethics week awareness campaign

- Scheduled activities to raise awareness on compliance and ethics and the role of the office during the first week of November 2015.
- Conducted meet and greets in colleges, departments, and administrative units across campus.
- Developed and launched an online scavenger hunt to encourage employees to learn more about the office and compliance at UCF.
- Awarded three UCF gift baskets and 12 customized UCF padfolios to employees across campus.

Develop an online ethics training module

- Developed an online training based on the office's in-person ethics training to reach a wider group of employees.

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| <p>Develop an online gift and honoraria training module</p> |
| <ul style="list-style-type: none"> ➤ Developed an online training titled, <i>Gifts and Honoraria 2016</i>, to provide guidance to employees on the gifts and honoraria requirements contained in the state ethics laws. ➤ Distributed the training to several compliance partners for their review and feedback. ➤ Finalized and launched the training in June 2016. |
| <p>Issue annual memo on Vulnerable Persons Act</p> |
| <ul style="list-style-type: none"> ➤ Issued the annual memo to communicate the requirements of the Vulnerable Persons Act to mandatory reporters and provided guidance on compliance in March 2016. |
| <p>Identify additional opportunities to develop and deliver compliance and ethics training</p> |
| <ul style="list-style-type: none"> ➤ Hosted tables at existing events to raise awareness of the office and provide education on the UCF IntegrityLine, conflict of interest and commitment reporting, and our <i>IntegrityStar</i> newsletter. ➤ Hosted a table at the New Faculty Orientation in August 2015 and the employee benefits fair in October 2015. ➤ Developed University Compliance, Ethics, and Risk pamphlets for new faculty and new employees. The pamphlet is provided to all new faculty and employees during their respective orientations and includes the office’s contact details and compliance and ethics related information. ➤ Provided research compliance training at the College of Optics & Photonics Retreat. ➤ Facilitated a conflict of interest discussion at the College of Arts and Humanities dean’s meeting. |
| <p>Issue additional regulatory alerts and updates as appropriate</p> |
| <ul style="list-style-type: none"> ➤ Issued an annual communication to all faculty and staff to remind them of the standards of conduct and reporting responsibilities under Florida ethics laws. |

4. Revise and Develop Policies and Procedures

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

- Served as chair of the University Policies and Procedures Committee and provided coordination of the committee and management of the online Policies and Procedures Manual.
- Reviewed policies and procedures prior to submission for approval to the committee. To improve university policies and compliance, worked directly with departments and provided guidance and recommendations to improve content.
- Implemented a new process for the review of new and revised university policies.

Update UCF Policy 2-001.4 University Policy Development and maintain the policy library

- Updated and issued UCF Policy 2-001.4 University Policy Development to include procedures for public review and comments by the university community.
- Published 16 policies for president's approval and uploaded into the Policies & Procedures website.

Draft a university-wide Code of Conduct

- Researched and developed a draft UCF Code of Conduct that will summarize the compliance and ethics program, expectations for ethical behavior, and the most important UCF policies and regulations in a reader friendly format to help educate employees on their responsibilities.

Draft a gift and honoraria policy

- Performed research of state statutes and developed a draft university Gifts and Honoraria policy to improve awareness on the state ethics requirements.
- Distributed the draft to compliance partners for their review and response.
- Submitted the final draft through the UCF Policies and Procedures Committee process.

5. Conduct Internal Monitoring and Compliance Reviews

Manage university-wide conflict of interest and commitment processes

- Oversaw the implementation of improvement efforts recommended in the conflict of interest and commitment compliance review, including the formal launch of the research Financial Conflict of Interest Committee and expansion of online reporting to all employees serving in director level and above positions.
- Implemented a detailed communication plan for the 2015-16 conflict of interest and commitment online disclosure process that included guidance, training, and response to non-compliance.
- Provided training and consistent communication to departmental conflict of interest coordinators throughout the disclosure process.
- Reviewed 999 online disclosures (an increase from 804 last year) and identified 60 disclosures requiring additional review (twice the number from last year) with some requiring the implementation of a monitoring plan.
- Maintained an above 94 percent compliance rate with the 30-day requirement to submit an online disclosure and an 81 percent compliance rate with the 60-day requirement for review of disclosures despite adding more than 400 employees to the online disclosure requirement.
- Reviewed 77 online disclosures of employment of relatives for conflicts of interest and identified three unmanaged conflicts (a drop from 13 last year) for additional review and corrective action.
- Conducted 96 reviews of potential conflicts of interest and provided guidance to employees and departments.
- Reviewed state research exemption requests submitted to the office prior to sending to the provost, president, and chair of the board of trustees for approval as required by state statute.
- Received and completed 68 reviews of potential conflicts of interest associated with the attendance at conferences or events sponsored by vendors, three times the number of reviews performed from last year. Responded to vendor requests for approval by the chief compliance and ethics officer of reduced or free conference fees, meals, or items provided by the vendor.

Implement compliance partner reporting

- Developed and distributed a compliance partner annual report template to all compliance partners.
- Reviewed and provided feedback to ensure all compliance and ethics activities were considered.
- Consolidated compliance partner's reports with the activities of University Compliance, Ethics, and Risk to develop a university-wide compliance and ethics annual report.

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| Review UCF IntegrityLine and department database for trends, risk areas, and address appropriately |
| <ul style="list-style-type: none"> ➤ Reviewed UCF IntegrityLine reports and database entries to identify trends and addressed those trends as appropriate. |
| 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 and conduct investigations |
| <ul style="list-style-type: none"> ➤ Provided administration and oversight of the UCF IntegrityLine to include review and tracking of all reports until completion, data compilation, and trend review and reporting. ➤ Received 71 reports of misconduct through the UCF IntegrityLine. Coordinated triage of reports with University Audit and the Equal Opportunity and Affirmative Action office. When appropriate, reports were referred to a compliance partner or audit for review or investigation. <ul style="list-style-type: none"> ○ As of June 30, 2016, 48 reports were closed and 23 were under review. ➤ Received eight allegations of misconduct directly to University Compliance, Ethics, and Risk and when appropriate conducted an investigation and provided recommendations for corrective actions and improvement of ethical conduct. |
| Provide recommendations for corrective actions and improvement of ethical conduct |
| <ul style="list-style-type: none"> ➤ Provided recommendations for corrective actions and improvements of ethical conduct to the appropriate authorities. |
| 7. Enforce and Promote Standards through Appropriate Incentives and Disciplinary Guidelines |
| Develop and promote compliance and ethics incentive opportunities |
| <ul style="list-style-type: none"> ➤ Offered incentives to employees for participation in Compliance and Ethics week activities. ➤ Created a section in the <i>IntegrityStar</i> newsletter to recognize employees for their outstanding efforts in compliance and ethics. Recognized the first employee in the April edition. |

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| Promote awareness of UCF regulations, policies and procedures, and regulatory requirements |
| <ul style="list-style-type: none"> ➤ Developed a section in the <i>IntegrityStar</i> newsletter to highlight all new and revised UCF policies and regulations in each edition. ➤ Featured policies and regulations throughout <i>IntegrityStar</i> articles. ➤ Supported the research office in establishing the Financial Conflict of Interest Committee and provided training to the committee on its role. ➤ Worked with the research office to facilitate the review and signature required for state exemptions by the provost, president, and chair of the board of trustees. |
| Promote accountability and consistent discipline |
| <ul style="list-style-type: none"> ➤ Recommended to the appropriate authorities consistent discipline that ensured accountability following investigations with outcomes of substantiated employee misconduct. ➤ Supported the chair of the UCF Institutional Biosafety Committee to address issues of non-compliance on two occasions in accordance with its charter. ➤ Served as a point of contact and source for guidance to research compliance on issues related to scientific misconduct, export controls, conflict of interests, and development of policies and procedures. |
| 8. Measure Compliance Program Effectiveness |
| Develop and issue the University Compliance, Ethics, and Risk Annual Report |
| <ul style="list-style-type: none"> ➤ Annual reports were submitted by all compliance partners and consolidated with the activities of University Compliance, Ethics, and Risk. ➤ Reviewed reports to identify gaps in effectiveness. |
| Develop a Compliance and Ethics Culture Survey |
| <ul style="list-style-type: none"> ➤ Developed and launched the first UCF Compliance and Ethics Culture Survey. ➤ Worked with the Office of Operational Excellence and Assessment Support to analyze the survey results. ➤ Created a final report and reviewed results to identify strengths and areas for improvements. |

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

- Developed outcomes and measures to support the continuous improvement of several processes including the conflict of interest and commitment disclosure process, UCF IntegrityLine reporting, and the involvement of compliance partners in developing the comprehensive compliance and ethic program.

ITEM: INFO-3

**University of Central Florida
Board of Trustees
Audit, Operations Review, Compliance, and Ethics Committee**

SUBJECT: 2016-17 Compliance and Ethics Annual Work Plan

DATE: September 14, 2016

PROPOSED COMMITTEE ACTION

Information only.

BACKGROUND INFORMATION

Supporting documentation: Attachment C: 2016-17 Compliance and Ethics Annual Work Plan

Prepared by: Rhonda L. Bishop, Chief Compliance and Ethics Officer

Submitted by: Rhonda L. Bishop, Chief Compliance and Ethics Officer

Attachment C



Compliance and Ethics Annual Work Plan

University Compliance, Ethics, and Risk provides centralized and coordinated oversight of UCF’s ethics, compliance, and risk mitigation efforts through the ongoing development of effective policies and procedures, education and training, monitoring, communication, risk assessment, and response to reported issues as required by Chapter 8 of the Federal Sentencing Guidelines. These guidelines set forth the requirements of an effective compliance and ethics program for organizations and require not only promoting compliance with laws, but also promoting a culture of ethical conduct. The compliance and ethics program is focused on projects that will mitigate risks to the resources and reputation of the UCF as well as the careers and professional reputations of its employees.

The following work plan lists the required elements and the activities that will be conducted from July 1, 2016, to June 30, 2017.

| 1. 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 | Coordinate and conduct bi-monthly meetings of the University Compliance and Ethics Advisory Committee |
| | Conduct quarterly meetings with compliance partners and senior leadership |
| | Serve on and provide compliance guidance to the Title IX workgroup |
| | Serve as a member of the Security Incident Response Team and provide guidance |
| 2. Develop Effective Lines of Communication | |
| Create communication pathways which allow the dissemination of education and regulatory information and provide a mechanism for reporting compliance activities or concerns | Prepare and distribute <i>IntegrityStar</i> , the compliance and ethics newsletter |
| | Administer and promote the UCF IntegrityLine |
| | Distribute compliance brief videos |
| | Maintain and promote the compliance and ethics website |

| 3. Conduct Effective Training and Education | |
|--|--|
| Educate the UCF community on its compliance responsibilities, regulatory obligations, and the university compliance and ethics program | Provide training on ethical leadership and avoiding conflicts of interest to the Student Government Association, Leadership Enhancement program, and Supervisory Skills Series program |
| | Conduct Clery Act compliance training and launch an online module |
| | Launch second annual Compliance and Ethics week awareness campaign |
| | Launch an online ethics training module |
| | Develop an online training module for state employees covering state ethics law requirements |
| | Issue annual memo on Vulnerable Persons Act |
| | Identify additional opportunities to develop and deliver compliance and ethics training |
| | Issue additional regulatory alerts and updates as appropriate |
| 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 | Chair the University Policies and Procedures Committee and provide guidance on policy development |
| | Implement a university-wide code of conduct |
| | Implement a gift and honoraria policy |
| 5. Conduct Internal Monitoring and Compliance Reviews | |
| Identify and remediate noncompliance through proactive review and monitoring of risk areas | Manage university-wide conflict of interest and commitment processes |
| | Continue compliance partner reporting |
| | Review UCF IntegrityLine and department database for trends, risk areas, and address appropriately |

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| 6. Respond Promptly to Detected Problems and Undertake Corrective Action | |
| Conduct timely investigations of allegations of noncompliance and provide guidance on corrective actions | Receive and evaluate UCF IntegrityLine reports and allegations of misconduct made directly to the office and conduct investigations |
| | Provide recommendations for corrective actions and improvement of ethical conduct |
| 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 | Develop and promote compliance and ethics incentive opportunities |
| | Promote awareness of UCF regulations, policies and procedures, and regulatory requirements |
| | Promote accountability and consistent discipline |
| 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 | Develop and issue the University Compliance, Ethics, and Risk Annual Report |
| | Interpret Compliance and Ethics Culture Survey results and implement action plan to address weaknesses |
| | Develop, measure, and track department process improvement efforts using the university assessment process |
| | |

ITEM: INFO-4

**University of Central Florida
Board of Trustees
Audit, Operations Review, Compliance, and Ethics Committee**

SUBJECT: 2016 Compliance and Ethics Culture Survey

DATE: September 14, 2016

PROPOSED COMMITTEE ACTION

Information only.

BACKGROUND INFORMATION

Supporting documentation: Attachment D: 2016 Compliance and Ethics Culture Survey

Prepared by: Rhonda L. Bishop, Chief Compliance and Ethics Officer

Submitted by: Rhonda L. Bishop, Chief Compliance and Ethics Officer

Attachment D



2016 Compliance and Ethics Culture Survey

Background

From March 16 to April 6, 2016, University Compliance, Ethics, and Risk conducted an anonymous survey to evaluate the current compliance and ethics culture at UCF. The results from this initial survey will be used as a benchmark for future surveys that will be conducted annually. 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 was distributed by email to all university employees, including hourly, and student employees with email addresses. Of the 7,276 university employees, 2,137 employees (29.4%) responded. The following summary highlights key responses. The survey results and a selection of the respondent's comments are attached.

Strengths

The survey revealed a high familiarity with the UCF Creed (80%) and the majority of respondents felt that employees (85%) and employees in leadership positions (78%) at UCF demonstrate integrity and ethical behavior. Furthermore, the majority of employees reported knowing where to find information on UCF policies and procedures (78%) and UCF regulations (75%).

As part of this survey, we wanted to assess whether employees felt comfortable raising concerns through various channels available at the university. The majority of employees (70%) felt comfortable reporting incidents or concerns to their supervisor. When asked if they felt protected from retaliation when reporting to their supervisor the majority agreed, but with a slight reduction (64%).

Employees were asked if they had experienced or observed bullying in the workplace within the last 12 months. The majority (84%) reported no. Additionally, employees were asked whether they experienced or observed a violation of laws, regulations, or university policies or regulations within the last 12 months. The majority (85%) reported no, and a greater majority (95%) reported not having been asked to bend, break, or circumvent laws, regulations, or university policies or regulations.

Opportunities

The survey results showed a lower familiarity with University Compliance, Ethics, and Risk (52%) and the UCF IntegrityLine (55%). Of the employees who experienced bullying; observed a violation of laws, regulations, or university policies or regulations; or were asked to bend, break, or circumvent laws, regulations, or university policies or regulations, the majority (71%) did not report the concern. Of those who commented on why they did not report their concerns, the vast majority cited a lack of faith that anything would be done. Some employees expressed optimism that this will change, now that they know about our office and the UCF IntegrityLine. We have listed a sample of those responses in the attached survey detail.

Responses to Survey

Prior to releasing this survey, University Compliance, Ethics, and Risk developed a communication plan to increase awareness on compliance and ethics requirements, University Compliance, Ethics, and Risk, and the UCF IntegrityLine. These survey results further support the need for additional employee training and communication on these topics and increased interactions with our office. Preparations for the *IntegrityStar* newsletter were already in progress; however, the first edition was not distributed at the time of the survey. We expect that the newsletter and survey will play a key role in increasing awareness and interaction with our office going forward.

Also included in our communication plan is our office's first online web course training, *Gifts and Honoraria 2016*. This is the first of several web courses that we will develop and launch in the next year. The next course will cover the requirements of state employees under the state ethics laws.

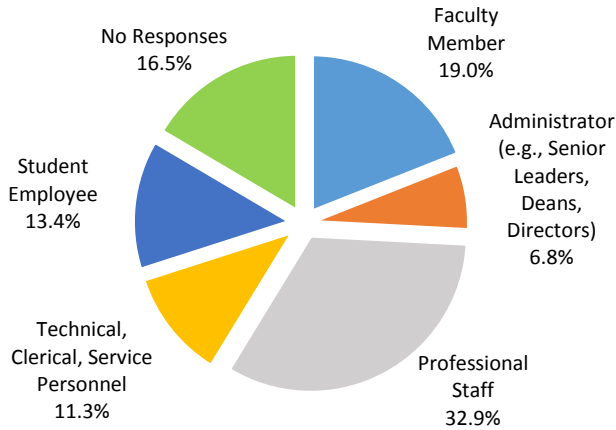
We also have annual awareness events in our communication plan, including hosting tables at the new faculty orientation in August and the employee benefits fair in October. All new employees now receive an informative pamphlet about our office with contact details and UCF IntegrityLine wallet cards. We plan to continue the annual Compliance and Ethics week activities that occur the first week of November.

Additional projects in progress include implementing a UCF Code of Conduct with an interactive online training tool. The code will include an overview of the comprehensive compliance and ethics program at UCF. Training on the Code of Conduct will be mandatory for all new hires.

We will continue to implement communications and training during fiscal year 2016-17 to raise awareness of University Compliance, Ethics, and Risk, the UCF IntegrityLine, and compliance and ethics topics.

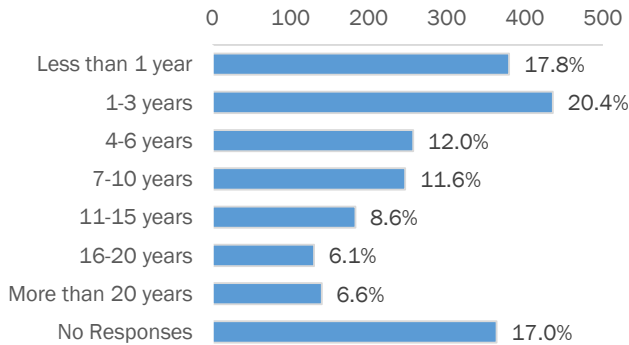
Summary of Responses

1. The following describes my job title or job duties:



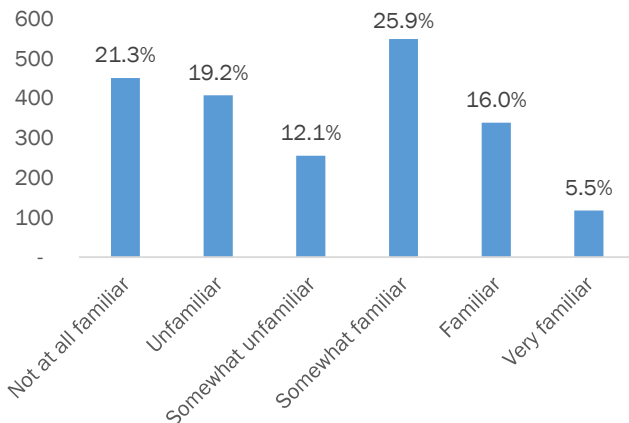
| The following describes my job title or job duties. | Count | Percent |
|--|--------------|-------------|
| Faculty Member | 406 | 19.0% |
| Administrator (e.g., Senior Leaders, Deans, Directors) | 146 | 6.8% |
| Professional Staff | 703 | 32.9% |
| Technical, Clerical, Service Personnel | 242 | 11.3% |
| Student Employee | 287 | 13.4% |
| No Responses | 353 | 16.5% |
| Total | 2,137 | 100% |

2. How long have you been employed by UCF?



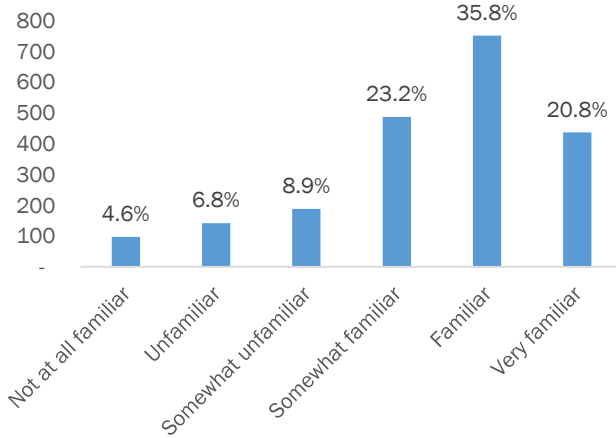
| How long have you been employed at UCF? | Count | Percent |
|---|--------------|-------------|
| Less than 1 year | 380 | 17.8% |
| 1-3 years | 436 | 20.4% |
| 4-6 years | 257 | 12.0% |
| 7-10 years | 247 | 11.6% |
| 11-15 years | 183 | 8.6% |
| 16-20 years | 130 | 6.1% |
| More than 20 years | 140 | 6.6% |
| No Responses | 364 | 17.0% |
| Total | 2,137 | 100% |

3. How familiar are you with the University Compliance, Ethics, and Risk office?



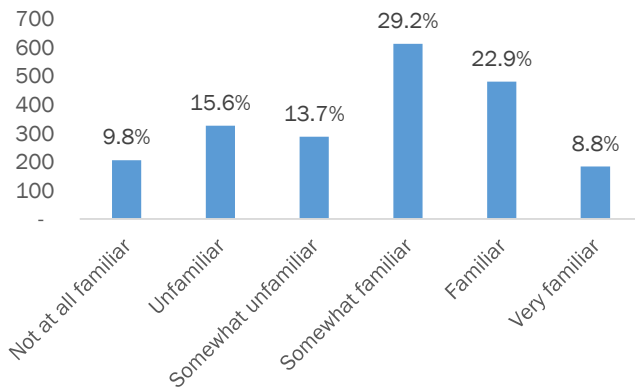
| How familiar are you with the University Compliance, Ethics, and Risk office? | Count | Percent |
|---|--------------|-------------|
| Not at all familiar | 450 | 21.3% |
| Unfamiliar | 407 | 19.2% |
| Somewhat unfamiliar | 255 | 12.1% |
| Somewhat familiar | 548 | 25.9% |
| Familiar | 338 | 16.0% |
| Very familiar | 117 | 5.5% |
| Total | 2,115 | 100% |

4. How familiar are you with the UCF Creed?



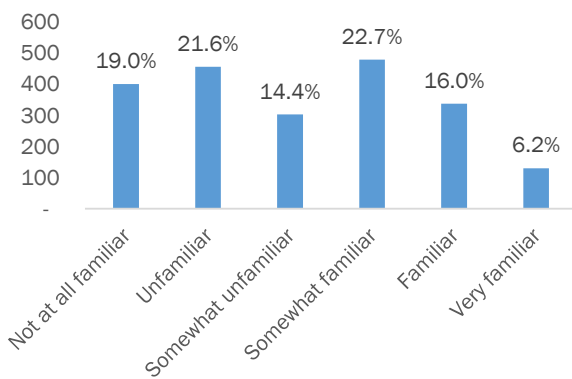
| How familiar are you with the UCF Creed? | Count | Percent |
|--|--------------|-------------|
| Not at all familiar | 97 | 4.6% |
| Unfamiliar | 142 | 6.8% |
| Somewhat unfamiliar | 188 | 8.9% |
| Somewhat familiar | 487 | 23.2% |
| Familiar | 752 | 35.8% |
| Very familiar | 437 | 20.8% |
| Total | 2,103 | 100% |

5. How familiar are you with UCF’s policy for Reporting Misconduct and Protection from Retaliation?



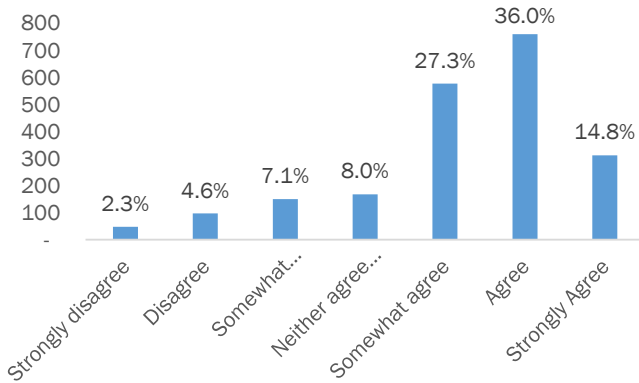
| How familiar are you with UCF’s policy for reporting Misconduct and Protection from Retaliation? | Count | Percent |
|--|--------------|-------------|
| Not at all familiar | 206 | 9.8% |
| Unfamiliar | 327 | 15.6% |
| Somewhat unfamiliar | 288 | 13.7% |
| Somewhat familiar | 613 | 29.2% |
| Familiar | 481 | 22.9% |
| Very familiar | 184 | 8.8% |
| Total | 2,099 | 100% |

6. How familiar are you with the UCF IntegrityLine for anonymously reporting compliance and ethical concerns?



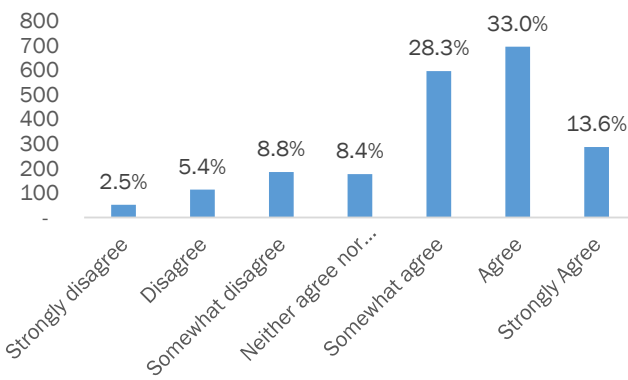
| How familiar are you with the UCF IntegrityLine for anonymously reporting compliance and ethical concerns? | Count | Percent |
|--|--------------|-------------|
| Not at all familiar | 400 | 19.0% |
| Unfamiliar | 455 | 21.6% |
| Somewhat unfamiliar | 302 | 14.4% |
| Somewhat familiar | 478 | 22.7% |
| Familiar | 337 | 16.0% |
| Very familiar | 130 | 6.2% |
| Total | 2,102 | 100% |

7. I know where to find information on UCF policies and procedures.



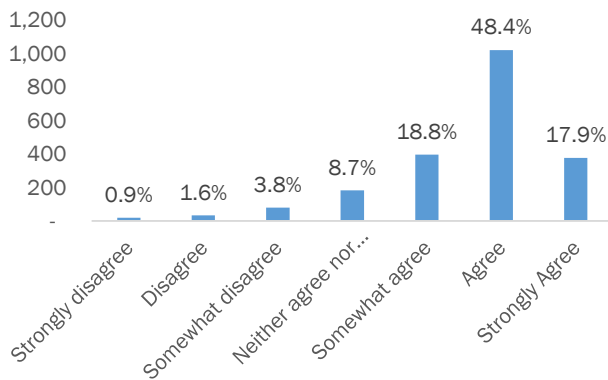
| I know where to find information on UCF policies and procedures. | Count | Percent |
|--|--------------|-------------|
| Strongly disagree | 48 | 2.3% |
| Disagree | 97 | 4.6% |
| Somewhat disagree | 150 | 7.1% |
| Neither agree nor disagree | 168 | 8.0% |
| Somewhat agree | 577 | 27.3% |
| Agree | 760 | 36.0% |
| Strongly agree | 312 | 14.8% |
| Total | 2,112 | 100% |

8. I know where to find information on UCF regulations.



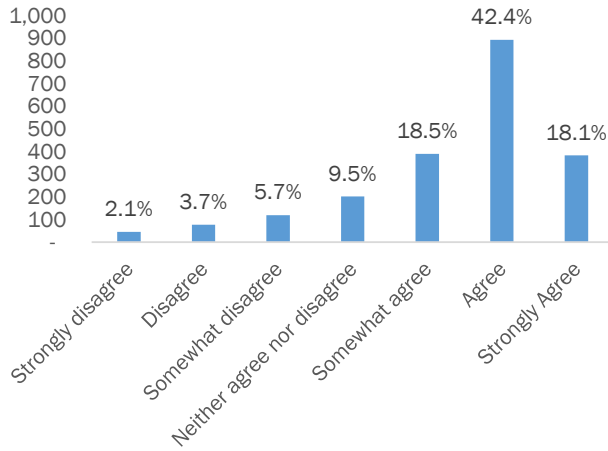
| I know where to find information on UCF regulations. | Count | Percent |
|--|--------------|-------------|
| Strongly disagree | 52 | 2.5% |
| Disagree | 114 | 5.4% |
| Somewhat disagree | 185 | 8.8% |
| Neither agree nor disagree | 176 | 8.4% |
| Somewhat agree | 595 | 28.3% |
| Agree | 694 | 33.0% |
| Strongly agree | 287 | 13.6% |
| Total | 2,103 | 100% |

9. I believe that most UCF employees demonstrate integrity and ethical behavior.



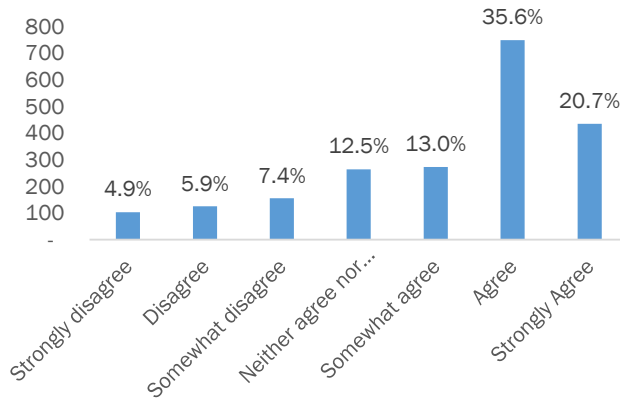
| I believe that most UCF employees demonstrate integrity and ethical behavior. | Count | Percent |
|---|--------------|-------------|
| Strongly disagree | 19 | 0.9% |
| Disagree | 34 | 1.6% |
| Somewhat disagree | 79 | 3.8% |
| Neither agree nor disagree | 183 | 8.7% |
| Somewhat agree | 396 | 18.8% |
| Agree | 1,018 | 48.4% |
| Strongly agree | 376 | 17.9% |
| Total | 2,105 | 100% |

10. I believe that most employees in leadership positions at UCF demonstrate integrity and ethical behavior.



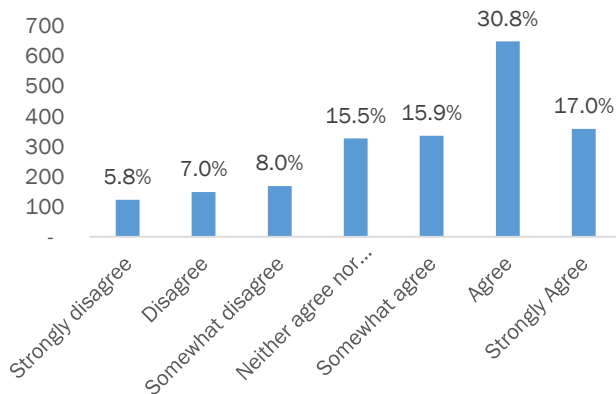
| I believe that most employees in leadership positions at UCF demonstrate integrity and ethical behavior. | Count | Percent |
|--|--------------|-------------|
| Strongly disagree | 45 | 2.1% |
| Disagree | 77 | 3.7% |
| Somewhat disagree | 119 | 5.7% |
| Neither agree nor disagree | 201 | 9.5% |
| Somewhat agree | 389 | 18.5% |
| Agree | 892 | 42.4% |
| Strongly agree | 382 | 18.1% |
| Total | 2,105 | 100% |

11. I feel comfortable reporting incidents or concerns of noncompliance to my supervisors.



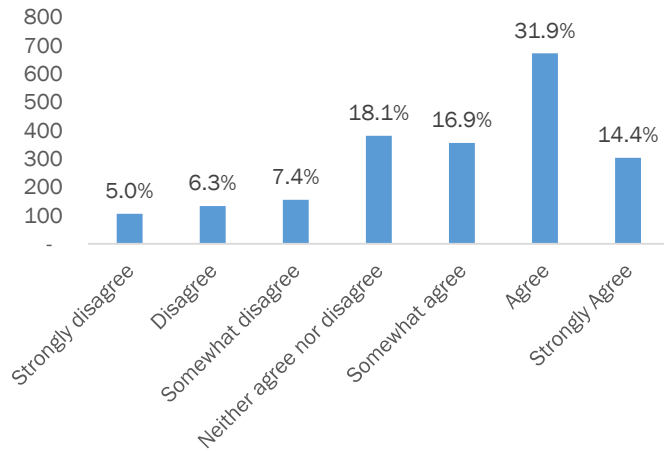
| I feel comfortable reporting incidents or concerns of noncompliance to my supervisors. | Count | Percent |
|--|--------------|-------------|
| Strongly disagree | 103 | 4.9% |
| Disagree | 125 | 5.9% |
| Somewhat disagree | 155 | 7.4% |
| Neither agree nor disagree | 264 | 12.5% |
| Somewhat agree | 273 | 13.0% |
| Agree | 749 | 35.6% |
| Strongly agree | 435 | 20.7% |
| Total | 2,104 | 100% |

12. I feel that I would be protected from retaliation if I report a suspected compliance violation to my supervisor.



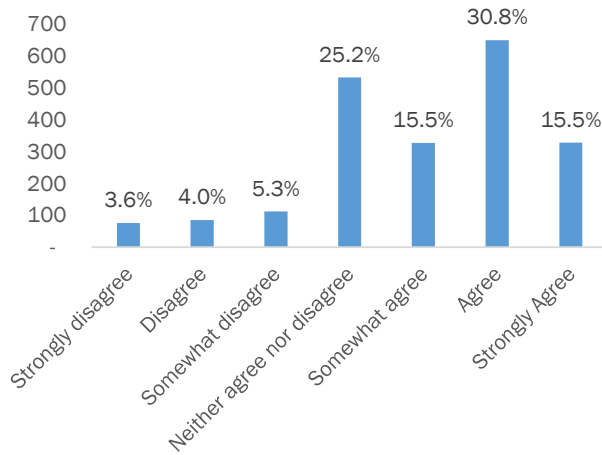
| I feel that I would be protected from retaliation if I report a suspected compliance violation to my supervisor. | Count | Percent |
|--|--------------|-------------|
| Strongly disagree | 123 | 5.8% |
| Disagree | 148 | 7.0% |
| Somewhat disagree | 168 | 8.0% |
| Neither agree nor disagree | 326 | 15.5% |
| Somewhat agree | 335 | 15.9% |
| Agree | 648 | 30.8% |
| Strongly agree | 358 | 17.0% |
| Total | 2,106 | 100% |

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, EO/AA, Purchasing, etc.)



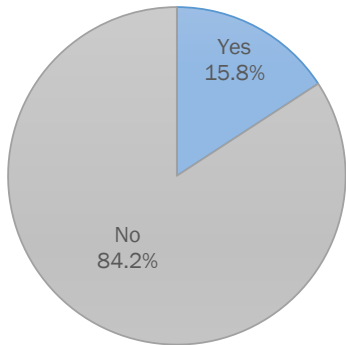
| I feel that I would be protected from retaliation if I report a suspected compliance violation to a central office (e.g., Human Resources, EO/AA, Purchasing, etc.) | Count | Percent |
|---|--------------|-------------|
| Strongly disagree | 106 | 5.0% |
| Disagree | 133 | 6.3% |
| Somewhat disagree | 155 | 7.4% |
| Neither agree nor disagree | 381 | 18.1% |
| Somewhat agree | 356 | 16.9% |
| Agree | 672 | 31.9% |
| Strongly agree | 304 | 14.4% |
| Total | 2,107 | 100% |

14. I feel that I would be protected from retaliation if I report a suspected compliance violation through the UCF IntegrityLine.



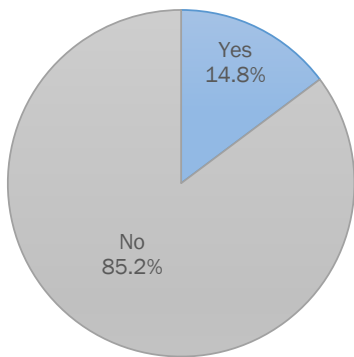
| I feel that I would be protected from retaliation if I report a suspected compliance violation through the UCF IntegrityLine. | Count | Percent |
|---|--------------|-------------|
| Strongly disagree | 76 | 3.6% |
| Disagree | 85 | 4.0% |
| Somewhat disagree | 112 | 5.3% |
| Neither agree nor disagree | 531 | 25.2% |
| Somewhat agree | 326 | 15.5% |
| Agree | 648 | 30.8% |
| Strongly agree | 327 | 15.5% |
| Total | 2,105 | 100% |

15. I have experienced or observed bullying in the workplace by a supervisor within the last 12 months.



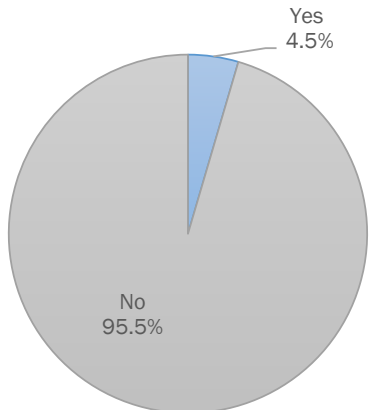
| I have experienced or observed bullying in the workplace by a supervisor within the last 12 months. Workplace bullying is defined as "repeated, deliberate, disrespectful behavior, which harms the target." | Count | Percent |
|--|--------------|-------------|
| Yes | 331 | 15.8% |
| No | 1,763 | 84.2% |
| Total | 2,094 | 100% |

16. I have experienced or observed a violation of laws, regulations, or university regulations or policies in my office or department within the last 12 months.



| I have experienced or observed a violation of laws, regulations, or university regulations or policies in my office or department within the last 12 months. | Count | Percent |
|--|--------------|-------------|
| Yes | 309 | 14.8% |
| No | 1,783 | 85.2% |
| Total | 2,092 | 100% |

17. I was asked to bend, break, or circumvent laws, regulations, university policies or regulations during the last 12 months by someone in my department.



| I was asked to bend, break, or circumvent laws, regulations, university regulations, or policies during the last 12 months by someone in my department. | Count | Percent |
|---|--------------|-------------|
| Yes | 95 | 4.5% |
| No | 1,997 | 95.5% |
| Total | 2,092 | 100% |

Selected written responses for why an employee provided a negative response to, "If you replied 'yes' to any of the above three questions, did you report your concern?"

| Response |
|---|
| Nothing is ever done. Faculty protect faculty. |
| Management is protected no matter what |
| First reported - was told to get along. Nothing was done to resolve the conflict. "This is not 6th grade. Get over it." Yelling, shouting and bullying staff is apparently tolerated. |
| I did but because the person responsible is deemed "untouchable" by the college and HR, nothing will be done. I talked with my super and she brought the concern to our dean, but no disciplinary action was taken. |
| I went to HR to speak to someone "off the record" but it was suggested unless others from the department who were involved stepped forward it is a tough battle especially since it concerned my supervisor. |
| Reported concern of staff member bullying. Not much can be done as it is political. Person in key role at college. |

Selected written responses for “Do you have any comments or concerns about compliance and ethics at UCF?”

| Compliments/Criticisms | Open Issues/Concerns |
|---|--|
| <p>I have recently observed one situation in which ethical breaches were reported by staff through University Compliance, Ethics, and Risk in which the whistle blower was fully protected and had as good an experience as possible. That is encouraging. The word on the street, however, is that people in violation of university ethics will receive at most a slap on the wrist because publicity would hurt the reputation of the university. I am not a cynical person and it pains me to say this, but that is the general impression I get. I will say that if I were aware of major ethical misconduct I would report it regardless. But, in so doing I would anticipate that I might lose if not my job, my reputation.</p> | <p>Although we have rules in place, many of our faculty and administrators do not feel that they apply to them. Reported abuse of sick leave and annual leave, for example, results in nothing being done to change behavior. Senior administrators do not seem concerned, and get huge bonuses when their workers and faculty do not. Although UCF claims to be concerned about ethics, and I think most faculty and administrators are, there are problems with allowing faculty to "work" from home, not report sick leave, date students/peers, etc. Administrators tend to look the other way, or say that there is nothing that can be done about it because of the way the faculty contract is bargained.</p> |
| <p>I believe the UCF Creed is spot on!</p> | <p>do more to protect the USPS staff</p> |
| <p>Yes - there is been talk of issues when going to conferences on what we can and can't do with respect to meetings outside the conference. It would be nice to have a written policy for different job classifications as to what is allowed and what is not allowed. There seems to be a difference across campus</p> | <p>I believe when a married faculty member has sexual relationship with a graduate student that no matter if the student considers it consensual or not, it's a total violation of policy. This type of relationship is about power and whether the student believes there's a violation or not, it is. I'm sick of seeing this type of violation not be dealt with.</p> |
| <p>I do not feel this is an issue in my unit; however, additional compliance training is probably a good idea, as mine was limited.</p> | <p>I have informed my supervisors unethical behavior however nothing has been done or discussed in meetings. I need this job so I keep quiet.</p> |
| <p>Thank you for taking care of us :)</p> | <p>Our department needs to a refresher on timesheet ethics</p> |
| <p>Would like to see regular communiques from this department on topics of interest</p> <p>I think it would be helpful if those in top non-academic leadership positions (i.e. associate VPs, senior VPs) led public discussions within their units about the resources available to ensure all UCF employees are acting ethically and with integrity.</p> | <p>Compliance and ethics BEGINS at the top. Leaders should set an example and sometimes, that is not always the case.</p> <p>Those who are the most unethical protect each other; when will the university begin to address unethical behavior at this university? The unethical behavior is institutionalized and rewarded.</p> |

| Compliments/Criticisms | Open Issues/Concerns |
|---|--|
| <p>If not already, this should be a topic discussed in New Employee Orientation. Employees need to know where to go to get help w/o fear of reprisal. I experienced what I would call bullying from my supervisor (for 2 weeks would not look at me, talk to me, minimal email) and although I reported it to someone higher in the organization, nothing happened until I found myself surprised by a meeting with my boss and HR. I felt intimidated and fearful for my job. No employee should have to experience that. (And I'm considered a high performer.)</p> | <p>I STRONGLY believe that UCF has taken an extreme policy on compliance and ethics issues in multiple scenarios. These positions are actually preventing faculty from performing the obligations they have from outside federal grants. I believe all changes to compliance and ethics policies should be examined and commented on by the faculty before they become policy.</p> |
| <p>In general I find most of this kind of information difficult to find on UCF websites</p> | <p>Will the problem really be resolved if I report it? Will my boss really never find out that I reported something that they did which I thought was 'wrong' in terms of following policy or stretching the rules?</p> |
| <p>Why do we not have mandatory online training in COI, Harassment, or other Ethics and Integrity issues?</p> | <p>Ethics may exist at some levels, but it is left to departments to implement. If that is not done, employees bear the brunt of it and are left with no recourse. Several calls to HR have given no other information other than, "UCF is not required..."</p> |
| <p>They need to do more training.</p> | <p>Protect people, not institutions!</p> |
| <p>There was no protection from retaliation, and reporting my concerns ended up creating a hostile work environment and I no longer feel safe giving my opinion or stating my concerns</p> | <p>I know people who have experienced retaliation after filing an EEOC complaint. People should be told up front that nothing they say is confidential and everything will be shared with the person the complaint is about.</p> |
| <p>Cronyism from the President's office, through the Provost's office, down to the Dean's has made it such that no Office of Ethics and Compliance can be effective.</p> | <p>While I answered "Yes" to the earlier questions about getting around UCF regulations, the specific instances were very small, highly unlikely to cause harm. I am concerned about HR in my division, the person in charge seems to be very particular about what they put in writing, and they make arbitrary decisions that are not in the best interests of the departments "served."</p> |
| <p>More communication. More web based on demand resources, videos, etc</p> | <p>Some of the compliance stances at UCF are out of line with other SUS institutions in Florida. Our rules are unnecessarily tougher than the other institutions, including FSU and UF.</p> |

| | |
|---|---|
| <p>This survey, while well intentioned, will do nothing as the culture at UCF rewards those in power who gleefully violate rules. UCF previously was a great place to work. Now, I dread coming to work every day. I doubt you will do anything about this after reading this response.</p> | <p>Retaliation is very easily camouflaged. Unfortunately for "victims" of bullies, it's hard to work in the environment but they cannot move on because of "bad" recommendations". Bullies sometimes like to keep their prey within arm's length or give them notice of non-renewal of contract (A&P).</p> |
| <p>I reported the incident anonymously and nothing was done. The bad behavior lasted for 15 months before HR finally stepped in. It was a horrifying experience. I know and understand this system, but I do not believe that it works.</p> | <p>I have experienced bullying by a co-worker who was in a higher position. I reported it through the supervisory chain, but the supervisor did not want to get involved. This is something that should be addressed college-wide (not just bullying by supervisors, but bullying in the workplace), as I have seen it often since I have worked here.</p> |
| <p>Good Survey! C&E could be better coordinated with other compliance entities at UCF. There could be a "coordination center" I think most deans and chairs are highly ethical, but not the VPs.</p> | <p>Many Chairs, Deans and Directors are never disciplined.</p> |
| <p>I feel that as a relatively 'new' university, we do not have to fight decades or generations of unethical behavior that is often sexist or racist.</p> | <p>Climate is too non-permissive AND punitive which reduces the likelihood that minor violations/potential problems get reported, addressed, or prevented. It is impossible for a faculty member to know all aspects of compliance, yet if the faculty member is a PI, it appears that he/she will be the one "holding the bag" if anything goes wrong.</p> |
| <p>Since I was unaware about the integrity line, would like to see communications improve on this and similar subjects.</p> | <p>I wish the term confidentiality will be used in the actual context of the meaning. I don't believe this is the case at UCF. I believe retaliation happens very often and no one is here to protect the subordinates as long as the immediate supervisor is protected by higher supervisors/faculty. UCF has had a culture of not helping their employees including HR. It would be wonderful if this office will work with the professional staff to ensure that retaliation is not tolerated as well as passive aggressive behavior as well as bullying</p> |

| | |
|---|--|
| <p>UCF is an excellent environment in which to live, learn, and work. For the most part, folks here operate, serve, and engage in this community with ethics, integrity, and respect. There have been, however, only a few that have abridged their privilege, opportunity, and responsibility as faculty, staff, and administrators to the harm of others.</p> | <p>There are a number of departments with a very high turnover. I wish those departments would get looked at. The year I left my previous department 6 other people also left. I went to HR to express my concerns and nothing was done, I was listened to and sent on my way. It seems like university policies are setup to protect the university at large and not the people that actual do the work and keep the place going. It's sad that a university who upholds students the UCF Creed has such a double standard and do not hold the upper management to the same standards. Many people don't report anything because historically, nothings happens. Hopefully, the efforts of this office will create a change in the institutional culture.</p> |
| <p>I believe that although reporting an ethical concern is possible and available through multiple channels, ultimately, nothing comes of such investigations. At the very least, it has been my experience that no remedies are taken (disciplinary or otherwise). One cannot trust a system that has not shown itself to 'work.'</p> | <p>I find the treatment of adjuncts to be highly unethical in terms of overusing them, not compensating them, not bringing them back without explanation, and their overall lack of training/orientation.</p> |
| <p>Wish it was more transparent and information was more readily available and easy to find online.</p> | <p>I had been told by my AVP that he "signs my checks, and I am do to what he says "even though it is a violation of UCF Policy or Regulation. Furthermore, our HR protects management, not the employee. In turn, the employee gets in trouble with management for talking to HR. This cycle has been years in the making. I applaud the efforts of the Compliance and Ethics team and hope to see positive changes to restore the positive work environment at UCF.</p> |