EXECUTIVE SUMMARY

In 2017, University Compliance, Ethics, and Risk began issuing annual reports that encompassed 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. Included in this year’s annual report is a summary of the work performed between 2018-19 to meet the various regulatory and compliance requirements and demonstrates the unwavering efforts to reaffirm a culture of compliance and ethics.

Rhonda L. Bishop
Vice President for Compliance and Risk
ABOUT THE OFFICE
HISTORY
In May 2011, the University of Central Florida formed University Compliance, Ethics, and Risk (UCER) and appointed the university’s first Chief Compliance and Ethics Officer charged with developing and implementing a comprehensive compliance and ethics program based on key elements of the Federal Sentencing Guidelines, Chapter 8, Part B, Section 2.1(b) and the Florida Code of Ethics for Public Officers and Employees contained in Florida Statutes, Part III, Chapter 112. The Board of Governors passed Regulation 4.003 State University System Compliance and Ethics Programs, requiring all state universities to have compliance programs built on the same standards. Of the 19 measured regulatory components, UCF was proud to report having all 19 components in place during the 2017-2018 fiscal year.

PURPOSE
The office provides centralized and coordinated oversight of the university’s compliance, ethics, 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. The office also provides oversight and coordination of compliance partners who lead targeted compliance programs across the university. University Compliance, Ethics, and Risk also established the Compliance and Ethics Advisory Committee, and tasked it with assisting in the development of the comprehensive compliance and ethics program.

STRUCTURE

- Board of Trustees
- Audit and Compliance Committee
- Vice President
- President
- Vice President for Compliance and Risk
- University Compliance and Ethics
- Office of Risk Management
- Environmental Health and Safety
- Athletics Compliance
- Compliance and Ethics Advisory Committee
- Compliance Partners
- Vice President and Director of Athletics
May 2011
UCF hired first Chief Compliance and Ethics Officer (CCEO) and formed office of University Compliance, Ethics, and Risk (UCER)

October 2012
CCEO joined BOG Task Force to improve compliance with the Protection of Vulnerable Persons Act

2011-12
External regulatory reviews opened by DOE, NSF, and NCAA – UCER focus on strengthening compliance in research, Clery Act, and athletics

March 2014
Hired Sr. Compliance Analyst

September
Issued Conflict of Interest Gap Analysis; Reporting

March 2015
1st C&E Culture Survey

April
Inaugural edition of the IntegrityStar Newsletter

June
Gifts & Honoraria training launched

November
BOG Regulation 4.003 requiring C&E Programs became effective

February 2016
Hired Compliance Analyst

March
2nd C&E Culture Survey

April
Resignation of CCEO

September
Office of Risk Management moved to UCER

2016

2013

January 2013
CCEO formalized the compliance partner structure (accountability matrix)

April
CCEO became chair of the University Policies and Procedures Committee and began maintaining UCF policy library

June
CCEO founded and chaired Florida SUS Compliance and Ethics Consortium

September
CCEO founded and chaired UCF Compliance and Ethics Advisory Committee; Hired Director of Compliance and Ethics

November
UCER developed and launched office website; UCER began oversight of university-wide Conflict of Interest Program

December
CCEO formed and chaired Biennial Review Committee for compliance with Drug Free Campuses Act

2017

April 2017
Potential Conflicts - Florida Code of Ethics training developed and launched

June
New Gifts & Honoraria Policy and training

October
New Employee Code of Conduct and training

November
1st C&E annual report issued

March 2019
Youth Protection Program with registration, background checks, and training launched

June
Hired Director of Enterprise Risk and Insurance Management
minors. UCF is committed to providing a safe and healthy environment for all programs associated with the university. With the earlier formation of the Youth Protection Program committee, the office set forth to develop 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. The office presented UCF Policy 2-005 Youth Protection to the University Policies and Procedures Committee for recommended approval, which was subsequently signed by the president becoming effective in December 2018. Consequently, the office distributed an inventory survey to 114 individuals, developed a Webcourse training platform and various forms, informed key stakeholders, and provided awareness presentations to impacted departments throughout the university. The UCF Youth Protection Program was officially launched in March 2019. From the time the program was launched to the end of the reporting period, the office successfully processed over 104 program registrations involving over 10,000 minors on campus.

ENVIRONMENTAL HEALTH AND SAFETY

★ Developed and implemented an Animal Exposure Program in compliance with NIH requirements to ensure the safety of students, faculty, and staff members.

★ Developed and implemented an Employee Recognition Program that recognizes line employees and supervisors that excel in the promotion of safe practices and behavior in the conduct of their job duties.

STUDENT ACCESSIBILITY SERVICES and INCLUSIVE EDUCATION SERVICES

★ Inclusive Education Services worked to further its mission to offer UCF students with intellectual disabilities an academic program of study, with a career and professional development focus. Through campus participation, students were given the opportunity to discover and develop their passions and strengths, enhancing their ability to facilitate long-term, paid and fulfilling employment after graduation. In May 2019, UCF graduated 13 Inclusive Education Services students with a professional services certificate. This was the first class of graduates since the program was launched in Fall 2015.
STUDENT HEALTH SERVICES

★ Obtained reaccreditation from AAAHC after an onsite survey in October of 2018. The survey consisted of a rigorous onsite assessment by two AAAHC representatives who reviewed the facilities and all SHS policy and procedures to assure compliance.

UNIVERSITY POLICE DEPARTMENT

★ UCFPD was reaccredited by the Commission for Florida Law Enforcement Accreditation, following a comprehensive assessment by a team of visiting assessors. Also, Cynthia Pugsley, the University Police Department’s Accreditation Coordinator, was recognized and awarded the Accreditation Manager of the Year by the Commission.

![Cynthia Pugsley, UCFPD Accreditation Coordinator, receives Commission for Florida Law Enforcement Accreditation, Accreditation Manager of the Year award; UCF Police Chief Carl Metzger receives the University Police Department reaccreditation certificate.]

UTILITIES AND ENERGY SERVICES

★ The combined heat and power plant passed air compliance testing for the sixth year in a row, with no violations since its inception.

★ The department produced and distributed a Consumer Confidence Report with no water violations for the fourth consecutive reporting year.

★ The university exceeded all Orange County Fire Department maintenance requirements for the fire hydrants on campus.
Comprehensive Compliance, Ethics, and Risk Report

The following is a summary of UCF's comprehensive compliance, ethics, and risk program accomplishments, to include compliance partner reports from July 1, 2018, to June 30, 2019.
**Education and Training.** Educating the UCF community about compliance responsibilities, regulatory obligations, and the university’s compliance and ethics program.

<table>
<thead>
<tr>
<th>Department</th>
<th>Topic</th>
<th>Method</th>
<th>No. Trained</th>
</tr>
</thead>
<tbody>
<tr>
<td>UCER</td>
<td>Know the Code (Fraud, Reporting Violations, University Resources)</td>
<td>Email</td>
<td>90</td>
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<td></td>
<td>UCF Employee Code of Conduct</td>
<td>Webcourse</td>
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<td></td>
<td>Potential Conflicts - Florida Code of Ethics for Public Officers and</td>
<td>Webcourse</td>
<td>555</td>
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<td></td>
<td>Employees</td>
<td></td>
<td></td>
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<td></td>
<td>Gifts and Honoraria</td>
<td>Webcourse</td>
<td>254</td>
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<tr>
<td></td>
<td>Youth Protection Training</td>
<td>Webcourse</td>
<td>736</td>
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<tr>
<td></td>
<td>UCF Gifts and Honoraria policy, Florida Code of Ethics for Public</td>
<td>In Person</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Officers and Employees, and scenarios involving paid travel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DSEM</td>
<td>Milestone video management software training</td>
<td>In Person</td>
<td>100</td>
</tr>
<tr>
<td>EHS</td>
<td>Various topics including bloodborne pathogens, aerial lifts,</td>
<td>In Person</td>
<td>1,041</td>
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<tr>
<td></td>
<td>confined spaces, electrical safety, forklift safety, hearing</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>conservation, lock out/tag out, fall protection, driving</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>awareness, CPR/AED, and first aid</td>
<td></td>
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<tr>
<td>HR</td>
<td>Leadership in Action</td>
<td>In Person</td>
<td>17</td>
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<td></td>
<td>New Employee Orientation</td>
<td>In Person</td>
<td>678</td>
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<tr>
<td></td>
<td>Fundamental Payroll Practices</td>
<td>In Person</td>
<td>30</td>
</tr>
<tr>
<td></td>
<td>PageUP software system training</td>
<td>In Person</td>
<td>300</td>
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<tr>
<td></td>
<td>Interviewer Certification Workshop</td>
<td>In Person</td>
<td>100</td>
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<tr>
<td></td>
<td>I-9/E-verify Compliance</td>
<td>In Person</td>
<td>50</td>
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<tr>
<td></td>
<td>Supervisory Performance Appraisal Workshop</td>
<td>In Person</td>
<td>107</td>
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<td></td>
<td>Performace Management Workshop</td>
<td>In Person</td>
<td>81</td>
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<tr>
<td></td>
<td>FMLA/Workers Compensation</td>
<td>In Person</td>
<td>65</td>
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<td></td>
<td>Supervisory Workshop</td>
<td>In Person</td>
<td>30</td>
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<tr>
<td></td>
<td>Parental Leave Training</td>
<td>In Person</td>
<td>50</td>
</tr>
<tr>
<td>Integrity &amp; Ethical Development</td>
<td>Various outreach programs including workshops on Ethics in Graduate School and Beyond for incoming graduate students through a partnership with Graduate Studies, 26 individual workshop for UCF students associated with College Life Skills such as social media and email etiquette, traps of academic misconduct, how to avoid plagiarism, consequences of academic misconduct, how to ask professors for letters of recommendation, developing personal ethical standards</td>
<td>In Person</td>
<td>7,811</td>
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<tr>
<td>Legal Affairs &amp; Healthcare Compliance COM</td>
<td>HIPPA</td>
<td>Online</td>
<td>613</td>
</tr>
<tr>
<td></td>
<td>COM Code of Ethics and Conduct</td>
<td>In Person</td>
<td>264</td>
</tr>
<tr>
<td></td>
<td>COM Clinical Services Compliance Program Overview</td>
<td>In Person</td>
<td>245</td>
</tr>
<tr>
<td></td>
<td>Fraud, Waste and Abuse in the Delivery and Payment of Health Care</td>
<td>Online</td>
<td>151</td>
</tr>
<tr>
<td></td>
<td>Services</td>
<td></td>
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<tr>
<td></td>
<td>Gifts and Honoraria and COM Industry Relations</td>
<td>In Person</td>
<td>17</td>
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<tr>
<td>OIE</td>
<td>EEO, Accommodations, and Title IX trainings</td>
<td>In Person</td>
<td>650</td>
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<tr>
<td>OSRR</td>
<td>Student Conduct Review Board</td>
<td>In Person</td>
<td>95</td>
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<td></td>
<td>Academic Integrity</td>
<td>Online</td>
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<tr>
<td>SAS &amp; IE</td>
<td>ADA Compliance and Accessibility</td>
<td>In Person</td>
<td>100</td>
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<tr>
<td></td>
<td>Accessibility Communication on an Inclusive and Diverse Campus</td>
<td>In Person</td>
<td>30</td>
</tr>
<tr>
<td></td>
<td>Notetaking Technology for Supplemental Instruction Tutors</td>
<td>In Person</td>
<td>39</td>
</tr>
<tr>
<td></td>
<td>Disability Portrayed in the Media and Digital Media Accessibility</td>
<td>In Person</td>
<td>21</td>
</tr>
<tr>
<td>UCF Global</td>
<td>Federal Immigration Regulations on F/J Visas</td>
<td>In Person</td>
<td>300</td>
</tr>
</tbody>
</table>

**TOTAL INDIVIDUALS TRAINED FROM JULY 1, 2018 - JUNE 30, 2019** 38,852
Data behind the numbers:

**UNIVERSITY COMPLIANCE, ETHICS, AND RISK**

- Provided activities for the annual Compliance and Ethics Week awareness campaign during November 5-9, 2018, including emails with three “Know the Code” trainings on the topics of: Fraud, Reporting Violations, and University Resources, as well as distributed an online photo hunt. Participation in either or both activities allowed employees a chance to win a prize. Awarded 28 prizes to employees who participated and correctly identified the compliance failures and corresponding UCF policy or regulation. Also provided UCF Employee Code of Conduct training during Compliance and Ethics Week by sending an all-employee email with link, as well as in the *IntegrityStar* newsletter.

- Provided mandatory online training for all newly hired employees within 30 days of their start date on the following areas: UCF Employee Code of Conduct, and as of February 2019 Potential Conflicts – Florida Code of Ethics for Public Officers and Employees. Also promoted online Gifts and Honoraria training.

- Prepared and issued the annual Vulnerable Persons Act Memo in March 2019.

- Provided in person training on the UCF Gifts and Honoraria policy, Florida Code of Ethics for Public Officers and Employees, and scenarios involving paid travel to vice presidents, the College of Medicine Enterprise Group, SDES leadership team, and the College of Medicine faculty.

- Provided education and promotion of online training to employees following investigations and in response to questions submitted through the complianceandethics@ucf.edu email account.

- Hosted a table at the New Faculty Orientation and the employee benefits fair to raise awareness of the office and provide education on the UCF IntegrityLine and the conflict of interest and commitment reporting; featured the newly available online UCF Youth Protection training module in our *IntegrityStar* newsletter.

- Distributed University Compliance, Ethics, and Risk pamphlets and IntegrityLine wallet cards to employees during new employee orientation.

- Acquired new compliance training videos which were posted to the office’s training page website; Ethical Leadership and Kids on Compliance.


- Recommended mandatory Gifts & Honoraria Training as well as Potential Conflicts – Florida Code of Ethics training to one college and one administrative department based on identified risks.

- As part of the Youth Protection Program, developed and launched an online Youth Protection training module.

- Issued the annual communication to all faculty and staff members to remind them of the standards of conduct and reporting responsibilities under Florida ethics laws in October 2018.
UNIVERSITY COMPLIANCE, ETHICS, AND RISK (continued)

- Circulated a notice regarding the new BOG Regulation 6.021, Hazing Prohibited to appropriate university departments to coordinate efforts to review and update university policies and regulations.

- Distributed to all compliance partners, the compliance matrix developed by the Higher Education Compliance Alliance containing a summary of key federal laws and regulations governing colleges and universities as a resource to review and evaluate any potential compliance gaps.

FACILITIES OPERATIONS

- The Facilities and Safety (F&S) Code of Professional Conduct, which outlines behaviors required and expected of employees, was distributed to all new employees in their F&S New Employee Orientation, in English and Spanish. Employees acknowledged the contents with their signatures.

FINANCE AND ACCOUNTING

- Developed and facilitated training for the university’s Board of Trustees and deans and vice presidents in relation to budgeting processes and requirements of Board of Governors regulations or applicable statues.

HUMAN RESOURCES

- Learning & Organizational Effectiveness facilitated a Leadership in Action series, which educated campus leaders with university resources that address various topics such as public records, employment laws, university regulations and policies, as well as offered 30 New Employee Orientation (NEO) sessions, where they informed and distributed UCF’s Employee Code of Conduct and the HR Annual Notice Booklet to new employees.

- Payroll Services staff, in conjunction with University Audit, presented a new break-out session at the HR Liaison meeting in November 2018 titled “Avoid the Payroll Pitfalls”. This session addressed topics such as the auditing process, resources, university policies and regulations, interdepartmental business processes, time and leave reporting, pitfalls to avoid, available reports, and record retention. Payroll Services staff also presented a new training as part of the HR Liaison series in September 2018 titled “Fundamental Payroll Practices”. This training focused on payroll-related acronyms and definitions, time and leave reporting and processing, paycheck calculations, available reports, the utilization of employee self-service, resources, and internal departmental/college business processes. Payroll staff also maintained and updated on-line payroll training courses for processors and authorizers. All employees in roles such as entering, or approval of payroll data are mandated to go through training to be granted PeopleSoft security.

- Talent Acquisition provided six training classes to support the roll out of the new applicant tracking system (PageUP) which streamlines and promotes consistency and equity in all hiring and onboarding practices. They also facilitated quarterly Interviewer Certification Workshops. The workshop covers UCF policy, state, and federal regulations outlining free of bias discrimination hiring, state statutes regarding Florida Veteran’s Preference, and UCF’s Employment of Relatives policy.
HUMAN RESOURCES (continued)

- Employee Relations and HR Compliance facilitated 12 Supervisory Performance Appraisal sessions and Learning and Organization effectiveness facilitated four Performance Management sessions awarding 34 participants with a Performance Management Certificate. The Performance Management Certificate acknowledges those that have attended four classes regarding performance appraisals. These sessions support university regulation UCF-3.034, Evaluations, AFSCME Collective Bargaining Agreement, and promote best practices.
- Leave Administration provided five FMLA (Family Medical Leave Act) or Workers Compensation training sessions to HR Liaisons along with four supervisory sessions geared to the UCF Police department. Three Parental Leave training sessions were offered campus wide.

INFORMATION SECURITY OFFICE

- Held an Information Security Conference during the National Cybersecurity Awareness Month in October and held a Data Privacy Day.
- Delivered security awareness presentations at the HR New Employee Orientation.
- Held three workshops to facilitate and meet merchant’s PCI DSS compliance requirements.

INTEGRITY AND ETHICAL DEVELOPMENT

- Conducted training, programs and services for students and faculty members on topics surrounding ethical development and integrity and an online Academic Integrity Module for all incoming students to take regarding academic integrity and ethics.
- Presented training sessions upon request from the UCF community (faculty, Fraternity and Sorority Life, Housing and Residential Life, College of Social Work, College of Business, Nursing Department, Lead Scholars, Student Involvement) on topics related to academic integrity, personal integrity, and professionalism.
- Facilitated 63 outreach programs and offered nine individual workshops on Ethics in Graduate School and Beyond for incoming graduate students through a partnership with Graduate Studies, 26 individual workshop for UCF students associated with College Life Skills such as social media and email etiquette, traps of academic misconduct, how to avoid plagiarism, consequences of academic misconduct, how to ask professors for letters of recommendation, developing personal ethical standards.
- Presented at the 2019 International Center for Academic Integrity in New Orleans, LA on “Creation of a Home Grown Academic Integrity Module”.

LEGAL AFFAIRS AND HEALTHCARE COMPLIANCE – COLLEGE OF MEDICINE

- Provided HIPAA training to senior leadership, faculty and staff members, and Graduate Medical Education program core participants and MD students, and Burnett Biomedical Science students as needed.
- Delivered COM Code of Ethics and Conduct and COM Clinical Services Compliance Program Overview to COM new hires required to review, acknowledge receipt and agree to comply as part of COM New Employee Orientation to each training.
LEGAL AFFAIRS AND HEALTHCARE COMPLIANCE – COLLEGE OF MEDICINE (continued)

• Provided online Fraud, Waste and Abuse in the Delivery and Payment of Health Care Services training required annually to UCF Health providers and staff members, and for COM employees providing administrative, financial, and legal support to UCF Health.

• Delivered in-person training on Gifts and Honoraria and on COM Industry Relations policy provided to COM faculty physicians and staff members.

OFFICE OF INSTITUTIONAL EQUITY

• Led in-person training regarding search guidelines to search committees in 14 various offices and/or departments across campus.

• Facilitated training upon request to nine departments throughout campus.

• Presented directly to students, as well as student staff members and resident assistants within Student Development and Enrollment Services (SDES).

• Developed an in-house Let’s Be Clear online module for incoming undergraduates and graduate students that was launched during 2018-19.

OFFICE OF STUDENT RIGHTS AND RESPONSIBILITIES

• Delivered annual training to the Student Conduct Review Board on compliance with the university student conduct review processes and procedures: 50 students, 20 faculty and 25 staff members.

REGISTRAR’S OFFICE

• Conducted FERPA training for faculty as required every two years, as well as FERPA training for all staff requiring PeopleSoft security to student records, also required every two years.

• Delivered over 25 FERPA training presentations to families attending orientation.

STUDENT HEALTH SERVICES

• Required SHS provider and lab staff to complete a lab proficiency training.

• Provided training to regional campuses on immunization compliance with the Florida Board of Governors requirements and the ACIP and CDC recommendations.
STUDENT ACCESSIBILITY SERVICES and INCLUSIVE EDUCATION SERVICES

- Partnered with the Faculty Center for Teaching and Learning, the Center for Distributed Learning, Office of the Provost, and associate deans and department chairs to provide disability training, resources and regular updates to the UCF faculty.

- Delivered approximately 12 educational programs aimed at faculty and staff members to understand disability rights, digital media training, and barriers to inclusivity and accessibility and how to remove them. Presented on disability rights, “Barriers and You,” which is a Diversity Education (DEU) course that SAS offers once per semester. Seven people attended this session.

- Continued to explore beneficial access resources for faculty with a video providing communication.

- Presented to future higher education leaders about creating accessibility communication in an inclusive and diverse campus environment. During the presentation, presenters discussed basic skills for creating web accessibility, accessible documents, and different software’s students may use at their institutions.

UCF GLOBAL

- Conducted outreach to UCF departments and colleges via email and in-person meetings regarding updated immigration regulations.

- UCF Global International Student and Scholar Services Team hosted several travel signature events to ensure ease of compliance with federal immigration regulations regarding travel for F and J visa holders. Achieved, a 100% completion rate with the online International Student Orientation in WebCourses@UCF which provided information to F-1 and J-1 students on immigration compliance requirements.

- UCF Global regularly hosted a student workshop for the international community with immigration attorneys on the topic of post-graduation employment options.

UNDERGRADUATE ADMISSIONS

- Recruitment team held annual meeting with the Athletics Compliance Office for training on NCAA compliance issues related to recruitment and admission of student-athletes.

- Provided updates throughout the year via email to staff members, including in the UA Recruitment Training Manual.

UNIVERSITY POLICE DEPARTMENT

- Community Partnership Officers conducted multiple events to educate and provide safety awareness to the University of Central Florida community, including SAFE (Self-Defense Awareness & Familiarization Exchange) classes.
**Policy Review and Development.** Ensuring policies and procedures reflect UCF’s commitment to ethical conduct and compliance with applicable laws and regulations.

**UNIVERSITY COMPLIANCE, ETHICS, AND RISK**


- Reviewed and edited policies and procedures prior to submission to the committee. Worked directly with departments, provided guidance, and when needed revised policies to improve content and the communication of expectations to the university community. Reviewed and edited four new policies and 26 existing policies that were approved by the committee and the president. The committee also repealed one policy that had been incorporated into another existing university policy.

- Implemented a new process for announcing approved policies to all employees via email, the message included an invitation to sign up to receive notification when policies are posted and available for comment prior to approval.

- Worked with University IT to develop site analytics on the university policies and procedures website and began tracking site data.

- 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. Six policies were discussed and updated during the year.
DEPARTMENT OF SECURITY AND EMERGENCY MANAGEMENT

• Developed and implemented Unmanned Aerial Vehicle (UAV Drone) request procedure and department-issued cell phone standard operating procedure.

ENVIRONMENTAL HEALTH AND SAFETY

• Updated UCF Policy 3-107 Procurement, Use, and Possession of Hazardous Materials and Regulated Devices and Equipment and UCF Policy 3-100 Building Evacuation, as well as completed the five-year review of UCF Policy 3-122 Campus Safety and Health and submitted the draft revisions to the University Policies and Procedures Committee for review.

• Updated procedures for ensuring participation in the Medical Surveillance Program by researchers and laboratory staff working with animals, as well as updated the Occupational Health Medical Surveillance Program with its partner AdventHealth’s CentraCare to provide medical surveillance services.

FACILITIES OPERATIONS

• Updated or established 14 Standard Operating Procedures (SOPs). The SOPs document and standardize the different processes in AiM, the Computerized Maintenance Management System, or outline job functions that employees are required to follow.

HUMAN RESOURCES

• Updated five university regulations, including Tuition Waiver Benefit Program, Discipline and Termination for Cause of Non-Unit Faculty and Non-Unit A&P Staff Members, Disciplinary Action – University Support Personnel System, Notice of Separation for University Support Personnel System, and Separations from Employment.

• Payroll Services assisted leadership with updates for the following university policies: Salary Overpayment Penalty, Additions to Salary of Exempt Employees for Special Events, and Payment for Relocation.

• Developed and implemented a comprehensive university-wide Background Check policy UCF Policy 3-011.

• Updated the Telecommuting manual and agreement to enhance clarity and support internal program compliance.

• College of Medicine HR Director and HR leadership developed a pilot program for a Fitness for Duty policy.
INFORMATION SECURITY OFFICE

• Enhanced the Vendor Risk Management (VRM) program procedures and processes.
• Collaborated with campus covered entities and HIPAA collaborative committee on various HIPAA security policies.

LEGAL AFFAIRS AND HEALTHCARE COMPLIANCE – COLLEGE OF MEDICINE

• Developing a uniform set of HIPAA Privacy and Security policies for health care units and their supporting departments at the university, including a sanctions policy.
• Developed COM policy on Fraud, Waste and Abuse in the Delivery and Payment of Health Care Services.

OFFICE OF INSTITUTIONAL EQUITY

• Assisted with modifications to Housing and Residence Life’s Emotional Support Animal Policy and related forms.
• Chaired a committee pertaining to the development of university-wide policies or guidelines pertaining to pregnancy accommodations and parental leave.

OFFICE OF STUDENT RIGHTS AND RESPONSIBILITY

• Reviewed and updated the Golden Rule Student Handbook to include updates to the following university regulations: UCF-5.007; UCF-5.008; UCF-5.009; UCF-5.010; UCF-5.011; UCF-5.012; UCF-5.013; UCF-5.015; UCF-5.016.

PROCUREMENT SERVICES

• Created an internal business process for employees’ time reporting and leave requests.
• Published revised versions of procurement guidelines to the university community, including furniture purchases, vehicle leases, and competition requirements to ensure the information is up to date and easily understood by university staff.
• Revised UCF regulation UCF-7.130 to reflect changes to BOG Regulation 18.001.

RESOURCE MANAGEMENT

• Assisted in developing approximately 35 policies and procedures, at both the departmental and university-wide levels, as well as notified all F&S staff throughout the year of any new or revised Facilities & Safety policies and procedures via email.
STUDENT ACCESSIBILITY SERVICES and INCLUSIVE EDUCATION SERVICES
• Developed a new student handbook and distributed to all students, parents and guardians of the 22 Inclusive Education Services students enrolled at UCF. The handbook communicates policies including guardianship, housing expectations, new curriculum, etc.

STUDENT FINANCIAL ASSISTANCE
• Updated two university policies, including UCF Policy 4-012 Collection and Use of Social Security Numbers and UCF Policy 6-001 Financial Assistance for Students.

STUDENT HEALTH SERVICES
• Maintained 25 policies that support the university’s compliance efforts.

UCF GLOBAL
• Updated UCF Policy 2-901 Policy on All Foreign Nationals.
• UCF Global’s Employment & Taxation Unit updated part of the university’s Foreign National Policy by more clearly specifying the requirement of a Prevailing Wage Determination for H-1B sponsorship and the regulatory requirement of providing a return fare home for specific visa sponsorship.

UNIVERSITY POLICE DEPARTMENT
• Revised 41 internal general orders, rescinded a total of eight general orders, implemented two new standard operating procedures, and updated two university policies.
UCF IntegrityLine and Investigations. Responding to detected problems and undertaking corrective action.

UNIVERSITY COMPLIANCE, ETHICS, AND RISK

- 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 194 reports through the UCF IntegrityLine alleging misconduct (an increase of 30 cases from 164 last year).
- 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, 131 cases were investigated and closed.
- Received 19 allegations of misconduct directly to University Compliance, Ethics, and Risk (down six from 25 last year) and when appropriate, conducted investigations and provided recommendations for corrective actions and improvement of ethical conduct. Thirteen of these cases were closed.
- By request, traveled with the Office of Research HR representative to the Arecibo Observatory to conduct interviews regarding reported employee concerns in the Spring of 2019.
- Identified a trend of increased student complaints unrelated to potential employee misconduct submitted through the IntegrityLine; to address the issue the office revised the website landing page by identifying issues which should not be reported to the IntegrityLine.
- Through inquiries made to the office and IntegrityLine cases, identified one college and one university department with lower awareness of the gift and honoraria rules. Worked with the dean and associate vice president in those two areas to initiate mandatory gift and honoraria training for their employees.
- Performed a review of the IntegrityLine program with recommendations for improvements to the BOT Audit and Compliance Committee in April 2019 followed by preparing a report to the full BOT in May 2019.
- Continued administration of the UCF IntegrityLine to include review and tracking of all reports, data compilation, trend review, and reporting, as well as continued providing recommendations for corrective actions and improvements of ethical conduct to the appropriate authorities following investigations or requests for guidance.
- Continued promoting the UCF IntegrityLine in the 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 new employee orientation; and through distribution of customized IntegrityLine earbuds and wallet cards.
UNIVERSITY COMPLIANCE, ETHICS, AND RISK (continued)

• Launched an initiative to confirm Speak Up posters are in all employee common areas within all buildings and Speak Up icons with hyperlinks to the IntegrityLine are on appropriate websites.

• Included a section on the UCF IntegrityLine and reporting misconduct in the Faculty Center’s Teaching at UCF Handbook.

• In the October 2018 IntegrityStar newsletter, recognized all employees who have bravely stepped forward to report real or suspected misconduct either to the UCF IntegrityLine, through direct contact to our office, or through another central administrative office.

LEGAL AFFAIRS AND HEALTHCARE COMPLIANCE – COLLEGE OF MEDICINE

• Assisted with breach investigations and coordination with outside legal counsel.

• Supported HIPAA and other potential breach investigations and provided management and advice.

OFFICE OF STUDENT RIGHTS AND RESPONSIBILITIES

• Coordinated investigations of hazing allegations through hazing response protocol.
**Government Reporting and Regulatory Activities.** Supporting reports and activities related to government and regulatory agencies.

**UNIVERSITY COMPLIANCE, ETHICS, AND RISK**

- Developed and co-chaired with the Information Security Office (ISO) and the Office of General Counsel (GC) a committee formed to address GDPR compliance.

- With GC and ISO, worked with outside legal counsel to develop a compliance manual and privacy notices. The firm delivered GDPR training on September 28 to a wide group of employees identified as having data subject to GDPR.

- Developed and launched a GDPR survey to assist in identifying the legal basis for processing all data subject to the GDPR.

- Reconvened and served on the Biennial Review Committee as part of the university’s compliance with the federal Drug-Free Schools and Communities Act to conduct a review of the Alcohol and Other Drug prevention program to assess program effectiveness and the consistency of policy enforcement.

- Participated in and provided support to the Office of Institutional Equity on Office of Federal Contract Compliance Programs and web accessibility program compliance efforts.

- Working with University Audit, compiled all recommendations made in various internal and external investigative and consulting reports related to inappropriate funding on Trevor Colbourn Hall and other capital projects along with the university’s governance efforts, organizational design, and overall culture to be submitted to the Board of Governors.

- Working with Athletics Compliance and GC, participated in NCAA on-campus interviews.

- In collaboration with GC and HR, met with the Department of Labor for an investigation on-site visit.

- On behalf of the president and Board of Trustees, UCER in partnership with the Research Integrity Compliance Office prepared and submitted the annual report to the Governor and Legislature on research exemptions granted as required by state statute February 2019.
DEBT AND REVENUE MANAGEMENT

• Participated in annual financial and federal audits conducted by the State of Florida Auditor General’s (AG) office. Operational/compliance audits were also performed by the AG at least every three years. The university had participated in a statewide university system internal control review contracted by the Board of Governors, in addition to an internal audit function performed by University Audit.

DEPARTMENT OF SECURITY AND EMERGENCY MANAGEMENT

• DSEM monitored and reviewed the status of the required UCF COOP plans to be accurate and submitted to the state within the annual deadline.

ENVIRONMENTAL HEALTH AND SAFETY

• Completed 418 laboratory inspections in support of OSHA’s Laboratory Standards (29 CFR 1910.1450) and Prudent Practices in the Laboratory Handling and Management of Chemical Hazards.

• Completed the annual audit of the UCF broad scope radiation license 4187-1.

• Biomedical Waste and X-ray Programs were found to be in compliance with state regulations after inspections by the Florida Department of Health.

• Industrial User Discharge Permit was found to be in compliance with permit conditions after inspection by the City of Orlando.

• Procured the inspections of 4,348 fire extinguishers, conducted 66 fire drills, issued 88 hot work permits, and corrected 167 violations noted by the State Fire Marshal.

• Conducted a university-wide inventory of all high-powered lasers to ensure compliance with state rules and regulations.

• Applied for, and was issued, a new radioactive materials license from the Nuclear Regulatory Commission for the use of special nuclear material, as well as secured the approval the use of radioactive materials at the Arecibo Observatory in Puerto Rico from the Nuclear Regulatory Commission.

• Facilitated the inspections and servicing of 171 automated external defibrillators and 1,724 first aid cabinets, conducted 72 respirator fit tests and 189 building inspections.

• EHS continued reviews of leases for incubator facilities and tenants to ensure code and environmental compliance.

FINANCE AND ACCOUNTING

• Budget, Planning and Analysis also conducted the annual review of salaries, to ensure compliance with Florida Statutes 1012.975; 1012.976 relating to salary caps.

• Merchant Services monitored and reviewed the annual Self-Assessment Questionnaire for all departments processing credit cards in order to maintain PCI DSS compliance.
HUMAN RESOURCES

• Employee Relations & HR Compliance collaborated and partnered with campus leaders on required federal and state labor law posters.

• The FMLA ADA university committee work group concluded this fiscal year resulting in improved internal procedures to address the overlap of FMLA/Workers Compensation/ADA.

LEGAL AFFAIRS AND HEALTHCARE COMPLIANCE – COLLEGE OF MEDICINE

• Directed and supported the periodic COM HIPAA security audits, as well as the UCF Health coding and billing audits all conducted by external consultants and University Audit.

• Conducted annual check of Center for Medicare and Medicaid Services’ Open Payments database containing information on payments, if any, made by pharmaceutical companies to COM physicians.

• Assisted with HIPAA incidents, management, and investigations.

OFFICE OF INSTITUTIONAL EQUITY

• Collaborated with an external resource, Berkshire Associates, and Human Resources to prepare annual affirmative action plans for the university in compliance with OFCCP regulations.

STUDENT ACCESSIBILITY SERVICES and INCLUSIVE EDUCATION SERVICES

• University Audit conducted an internal review to gauge Section 508 compliance by UCF affiliated websites.

STUDENT FINANCIAL ASSISTANCE

• Participated in a state audit review in which there was one finding for the Finance and Accounting department. The finding was the late return of funds for uncashed checks. We worked with Finance and Accounting and added robo-calls to the process to ensure students are aware to either cash the check sent to them or contact Finance and Accounting and request a new check to be generated. This response resolved the audit finding.
**STUDENT HEALTH CENTER**

- Participated in the annual security risk assessment, conducted by a third party, which assessed the physical, technical, and administrative structure of the organization.

- Participated in internal audits for HIPAA to include: quarterly access and authorization audits, quarterly user access audits, and weekly provider sign-offs required by the state.

- In preparation of the AAAHC accreditation on-site survey conducted every three years, SHS participated in on-going self-evaluation including defined policies and procedures, peer review and education to continuously improve its care and services.

- Monitored all clinical staff as required by appointment and reappointment policy, to include completion of attestation form, AMA, National Practitioner data bank, ADA, and licensure verification.

- As per the requirement by DCF accreditation, conducted Level 2 Background check on all pharmacy, lab, AOD and administrator staff (or similar titled persons) who were responsible for day-to-day operations of the facility.

**UCF GLOBAL**

- Maintained frequent communication with government agencies including the Student and Exchange Visitor Program, the U.S. Department of State, U.S. Customs and Border Protection, and U.S. Citizenship and Immigration Services to ensure compliance with all federal immigration regulations relating to F and J visa holders.

- International Student and Scholar Services (ISSS) executed regular SEVIS and PeopleSoft reports ensuring students were in good immigration standing.

- SEVP field representatives visited UCF Global to review procedures.

- H-1B visa site visits were conducted periodically by the USCIS/Department of Homeland Security.
UNIVERSITY POLICE DEPARTMENT

• Submitted the new Victim’s Rights Pamphlet to the Governor’s office for approval.
• Participated in a Criminal Justice Information System (CJIS) audit, which was conducted by the Florida Department of Law Enforcement.
• Policies and procedures were reviewed by the Commission on Florida Law Enforcement Accreditation as part of the reaccreditation process.

UTILITIES AND ENERGY SERVICES

• UES continued to trend data from the Combined Heat and Power Plant’s operator station to ensure exhaust gas temperatures and flow rates for emissions were within permit parameters. This data is submitted annually to Orange County’s Department of Environmental Protection to support UCF’s air permit documentation and compliance testing. A quarterly environmental meeting was held to review regulatory requirements to verify all systems were maintained at or better than the federal, state, and local requirements.
• In accordance with the Underground Facility Damage Prevention and Safety Act, Chapter 556, Florida Statutes, UES completed and closed over 2,000 Sunshine 811 ticket requests, with no “missed” or “hit” facilities that were marked with the appropriate coloring coding.
• Produced the 2018 EPA-required Consumer Confidence Report (CCR) for potable water.
• Continued to maintain the St. Johns River Water Management District (SJRWMD) Consumptive Use Permit below the permit’s threshold of 256.5 million gallons per year.
Compliance and Ethics Program Development. Developing and sustaining an effective compliance and ethics culture.

The following committees exist to support UCF’s compliance and ethics efforts and programs. Compliance partners and UCER staff either chair or serve as members these committees.

- University Compliance and Ethics Advisory Committee
- University Policies and Procedures Committee
- University Title IX Workgroup
- 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
- 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 Committee
- University Institutional Review Board
- UCF Health Services HIPAA Collaborative Group
- 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

UNIVERSITY COMPLIANCE, ETHICS, AND RISK

- Developed and launched the university’s new Youth Protection Program in March 2019, including a university policy, online training module, in-person presentations, webpage dedicated to youth protection, and standardized forms for use by programs involving youth participants. Processed 104 registrations from March 2019 thru July 2019.

- Met with vice presidents, key administrators, and compliance partners to provide updates on compliance and ethics initiatives and respond to any concerns or issues.

- Chaired three University Compliance and Ethics Advisory Committee Meetings and outlined the requirements for an effective compliance and ethics program and compliance partner responsibilities, provided updates on compliance accountability awareness Code of Conduct, Culture Survey results, BOT Audit and Compliance Committee meetings, Compliance and Ethics Week awareness campaigns, and the launch of the youth protection and background check policies.

- Continued to serve on the Security Incident and Response Team and provided review and guidance associated with federal and state privacy and data breach requirements.
UNIVERSITY COMPLIANCE, ETHICS, AND RISK (continued)

• Developed and disseminated two editions of the compliance and ethics newsletter, *IntegrityStar*.

October 2018
Featured a comparative report on the results of the second culture survey, benchmarking the results against the 2016 survey. Announced UCF’s new whistle-blower policy with a related article.

March 2019
Announced the university’s new Youth Protection Program and youth protection policy, as well as UCF’s new background check policy. Featured an article on ethics authored by two UCF faculty members.

ACADEMIC SERVICES FOR STUDENT ATHLETES

• It’s Cool to Know the Rules! participation in bi-weekly staff meetings with a representative from UCFAA Compliance.

DEBT AND REVENUE MANAGEMENT

• Oversight of the university’s compliance regarding debt covenants to ensure that certain activities were or were not carried out on behalf of the university, along with contract compliance with university business partners.

• Managed financials for several of the university’s direct service organizations (DSO’s), including UCF Convocation Corporation, UCF Finance Corporation, UCF Limbitless Solutions, and UCF Stadium Corporation, and worked closely with the university’s contracted financial advisers ensuring that appropriate and sound debt management practices were in accordance with the guidelines of both the university’s Board of Trustees and the State of Florida’s Board of Governors.

• Participated in monthly meetings hosted by Financial Support Services (FSS) where users were informed of any policy and procedure updates or new compliance requirements relating to Finance & Accounting.

DEPARTMENT OF SECURITY AND EMERGENCY MANAGEMENT

• Chaired the Continuity of Operations Space Planning and Allocations Committee.

• Utilized monthly staff meetings to communicate compliance and ethics topics to the department.

ENVIRONMENTAL HEALTH AND SAFETY

ENVIRONMENTAL HEALTH AND SAFETY (continued)

- Promoted awareness of EHS-related compliance programs through outreach events: Faculty Center for Teaching and Learning new faculty orientation, faculty meetings, Human Resources Benefits Fair, KnightShare Expo, New Employee Orientation.
- Published promotional handouts/EHS bookmarks to promote awareness of EHS-related compliance programs

FACILITIES OPERATIONS

- Communicated compliance and ethics topics through email, staff meetings, and training sessions, providing the information in English and Spanish when able.
- Held mandatory daily “huddle” team meetings and weekly meetings for senior management, as well an annual mandatory all-staff meeting.
- Weekly and monthly key performance indicators were reported to team members, as well as executive leadership, ensuring code compliance for required life safety inspections.

FINANCE AND ACCOUNTING

- Financial Support Services (FSS) hosted monthly meetings where users were informed of any policy and procedure updates or new compliance requirements relating to the Finance and Accounting Department. The Budget, Planning and Administration office also led monthly budget directors meetings to discuss any item of interest that could impact departmental operations.

HUMAN RESOURCES

- Leadership team maintained effective compliance oversight for employment laws, AFSCME and PBA collective bargaining agreements, university regulations and university policies, as well as provided research and support to partner with offices across campus (i.e. Office of the General Counsel, University Audit, Office of Institutional Equity, University Compliance, Ethics, and Risk).
- Updated the HR website with instructions on processing of background checks and presented the university’s policy and process changes during an HR liaison meeting. Coordinated State of Florida Level 2 background checks to comply with the university’s Youth Protection Program.
- Talent Acquisition director served as a search manager for various search committees to support and ensure compliance with university, state, and federal hiring guidelines.
- HR Accounting participated in monthly Financial Focus Group facilitated by Finance & Accounting to disseminate information regarding university financial procedures and compliance updates to state or federal legislation that have a direct impact on UCF and our processes.
- Benefits department facilitated distribution of the 403(b) Notice of Eligibility memos to 12,997 UCF employees during the first quarter in 2019 and restated the plan in the new required volume submitter template. Benefits created an automated communication generator message that went to all employees who are receiving 401(a) Special Pay Plan.
HUMAN RESOURCES (continued)

- Employee Relations & HR Compliance in conjunction with HRIS electronically distributed the 2019 HR Annual Notices to 13,171 employees. The HR Annual Notice contains information for all employees such as the President’s Statement Regarding Equal Opportunity and Affirmative Action, Notice of Drug-Free Schools and Drug-Free Workplace policy, 403(b) Plan Notice of Retirement Eligibility, Eligibility for Overtime Compensation, Earned Income Tax Credit, Public Service Loan Forgiveness Program, Information Security for Faculty & Staff, FDLE – Florida Sexual Offenders and Predators Notification, and university contact information.

INFORMATION SECURITY OFFICE

- Information Technology & Resources (IT&R) distributed four editions of its newsletter to all employees, including articles on topics such as the university’s phishing campaign, PCI compliance, the university’s vendor risk management program, IT security standards and campus cybersecurity, and published the results of the 2018-19 IT support satisfaction and expectations survey.

- Provided NIST 800-171 briefings to all affected departments.

INTEGRITY AND ETHICAL DEVELOPMENT

- Served as a member of the professional organization International Center for Academic Integrity (ICAI) and as Co-Administrator for University Turn-It-In (preventing plagiarism) Account.

LEGAL AFFAIRS AND HEALTHCARE COMPLIANCE – COLLEGE OF MEDICINE

- Served as the COM HIPAA Privacy Officer.

- Led and supported the Health Sciences HIPAA collaborative efforts to develop uniform set of HIPAA Privacy and Security policies for relevant component parts of the university, as well as the COM HIPAA Security Officer.

- Chaired the COM Industry Relations Committee and the COM Clinical Services Compliance Program. Served on the COM Industry Relations Committee.

- Promoted compliance during UCF Health physician and staff meetings.

- Developed and maintained for the Clinical Services Compliance Program a listing of compliance resources on the COM SharePoint site, which is accessible by all COM employees.

- Communicated available resources for compliance and ethics topics, to include issues regarding gift and honoraria acceptance.

- Provided guidance and advised the office of the vice president for Health Affairs and College of Medicine leadership (Medical College Enterprise) and coordinated with Office of Research and COM leadership regarding research compliance, fraud and abuse involving arrangements with health care providers and health care industry vendor relations, HIPAA and state privacy laws, and any potential breaches.
OFFICE OF INSTITUTIONAL EQUITY

• Revised and updated office website to provide clarity on OIE’s role and processes, and efficiency in accessing appropriate forms and materials.

• Worked with campus partners to review accessibility across campus, particularly regarding website accessibility, and to develop an implementation plan for compliance with the Americans with Disabilities Act (ADA), Section 504 and Section 508.

• Collaborated with campus partners to conduct an in-depth review of the university’s search and hiring processes to assess improvements to increase efficiency, recruitment efforts and diversification of applicant pools.

• In partnership with HR and the Office of the Provost and Academic Affairs partnered to improve the search process to ensure equal opportunity for employment, compliance with regulations and guidance from the Office of Federal Contract Compliance Programs (OFCCP), and that specifically identified, traditionally underrepresented groups are aware of employment opportunities and actively encouraged to pursue them.

• Developed standard request forms for obtaining public accommodations and accommodations based on pregnancy, pregnancy-related conditions, and/or childbirth.

OFFICE OF STUDENT RIGHTS AND RESPONSIBILITIES

• Reviewed the student conduct review process and confirmed that Rules of Conduct were in compliance with Board of Governors student discipline section. Provided oversight for assembly, dissemination and continuing education to faculty and staff members and students for the Golden Rule Student Handbook and UCF Creed.

• Staff continued to serve on the medical withdrawal committee to review petitions for students who were seeking to lift their medical hold and return to UCF; leadership served as the advisor to the Golden Rule Review Committee, a committee of students established for the purpose of responding to the changing needs of the student body regarding the policies, procedures, and regulations for students.

• Provided oversight for compliance with the admission clearance process, which involves the review of applicants seeking admission to UCF with a prior criminal background or educational disciplinary history. Also provided oversight for compliance with the discipline clearance process for students seeking admission into a graduate program, studying abroad, applying to the bar, having a background check completed for employment with the federal government, or transferring to another institution, etc.

• Disseminated annual updates and access to the UCF Golden Rule Student Handbook to all students, faculty and staff members.

PROCUREMENT SERVICES

• Instituted a process for informing leadership of unauthorized procurement actions (UPAs) committed within their departments/colleges and offered training.

• Met with University Compliance, Ethics, and Risk, University Audit, Office of the General Counsel, Office of the Provost, and Office of the President to discuss UPAs to propose a plan to decrease the number of incidents.
REGISTRAR’S OFFICE

• Distributed the FERPA Annual Notification to Students.
• Assumed responsibility for the NCAA Graduation Success Report.
• Implemented a new athletic eligibility tracking template that will enable a more seamless compilation of APR data, GSR data, and will allow the advisors and compliance personnel to be aware of the status of student-athletes. This was developed after the Registrar’s Office assumed responsibility for NCAA Graduation Success Report.

STUDENT ACCESSIBILITY SERVICES and INCLUSIVE EDUCATION SERVICES

• Hosted campus partner meetings to discuss web accessibility, extended time for testing policy classroom materials accessibility and accommodations, University policy for emotional support animals and service animals, facility accessibility, parking, policy for parenting/pregnant students and employees, Downtown Campus, guardianship for students in IES, etc.
• Communicated with the SDES Leadership Council, deans, department chairs, Office of the Provost and Office of the President on student accessibility.
• Directly communicated with approximately 500 faculty members each semester regarding academic accommodations for the nearly 2,800 students connected with the office.
• Provided several resources through a robust website to the UCF community regarding access, accommodations, ADA Compliance, etc.
• Established SAS faculty liaisons through the various UCF colleges.
• Hired two faculty fellows to enhance collaborations between SAS and faculty in 2019 through various projects.
• Audited the digital accessibility of new student orientation.

STUDENT HEALTH SERVICES

• SHS required employees, upon hire and annually during performance reviews, to complete training for HIPAA and risk management; sign a SHS Confidentiality Agreement, SHS Code of Conduct Agreement, and SHS Security Agreement.
• Monitored the following areas and developed annual reports as part of the SHS Performance Improvement Plan: Electronic Medical Record (EMR) confidentiality, breach determination and documentation, incident reports.

UCF GLOBAL

• Leadership team met regularly to discuss compliance matters; Employment and Taxation unit regularly held meetings to discuss I-9 regulations and processes related to payroll sign-ins.
• Worked closely with UCF PD and SDES units to resolve urgent situations involving international students.
UCF GLOBAL (continued)

• Improved UCF Global forms and website to include updated immigration compliance information for students, including implementation of an online “STEM Extension Application Form” and WebCourse@UCF to provide clear instructions to improve efficiency, transparency, and compliance with immigration regulations.

• Employment and Taxation unit improved options for international suppliers to provide supplier ID documents.

UNIVERSITY POLICE DEPARTMENT

• Improved communications with Student Conduct by criminal investigators attending student conduct partnership meetings, as well as met with University Audit to establish lines of communication.

UNDERGRADUATE ADMISSIONS

• Served as representatives of the University Admissions and Standards Committee, University Residency Appeal Committee, and UCF Online Appeals Committee.

• The Senior Assistant Director responsible for Athletics focused primarily on the admission of student-athletes from NCAA initial eligibility determination through enrollment. This position was responsible for ensuring all university policies and procedures were followed in the admission and enrollment of student-athletes.

• Recruitment team held annual meeting with the Athletics Compliance Office for training on NCAA compliance issues related to recruitment and admission of student-athletes. Provided updates throughout the year via email to staff, including in the UA Recruitment Training Manual.

UTILITIES AND ENERGY SERVICES

• Staff serve as members of the following outside organizations: the American Society of Heating, Ventilation and Refrigeration Engineers (ASHRAE), the International District Energy Association (IDEA), the U.S. Green Building Council (USGBC) Central Florida Chapter, the Association of Energy Engineers, the Project Management Institute (PMI), the Florida Water Pollution Control Operations Association, and Sunshine 811.

• Staff maintained certification as a Certified Cross Connection Control tester, and licensed “A” water and wastewater operator in Florida.

• Staff completed the Drinking Water Treatment and Distribution Systems Operator course through the California Water Board California, in preparation for the “C” level licensed water treatment plant operator test for Florida, as well as distribute the Consumer Confidence Report (CCR) on water quality to the UCF campus community, in compliance with FDEP requirements.

• Developed the utility concurrency measures and web-portal application in accordance with Florida State Statue 163.3180 and developed the draft Campus Utility Service Level Disclosure document in accordance with Florida State Statue 163.3180.
TARGETED COMPLIANCE RISK AREAS
Clery, VAWA, and Title IX Compliance.

UNIVERSITY COMPLIANCE, ETHICS, AND RISK

• Collaborated with the university’s Clery compliance specialist to develop online Campus Security Authority (CSA) training in Webcourses@UCF and coordinated training efforts with the university Clery compliance specialist.

• Transitioned all future CSA training to UCF Police Department with assistance from UCER when needed.

• Reviewed the 2018-19 Annual Security Report prior to its publication campus wide.

• Collaborated with the Office of Institutional Equity (OIE) and the Research Compliance Office to develop a process for compliance with new NSF reporting requirements on Title IX cases.

• Served on hiring committees for new compliance positions within the OIE.

• Provided guidance and support to the Title IX coordinator and served on and provided compliance guidance to the Title IX workgroup.

OFFICE OF INSTITUTIONAL EQUITY

• Chaired the university’s Title IX Advisory Council, meeting on a quarterly basis.

• Distributed multiple communications regarding compliance with the nondiscrimination laws and regulations, such as the community’s rights and obligations under these laws and regulations found on OIE’s website and UCF’s Let’s Be Clear website.

• Delivered in-person training highlighting UCF’s Let’s Be Clear Campaign and informing employees of the UCF Policy 2-004 Prohibition of Discrimination, Harassment and Related Interpersonal Violence. Multiple colleges, departments and offices trained with a total of approximately 500 employees participating. This included OIE presenting at New Faculty Orientation and to UCFAA football staff.

• Trained the newly designated team of Title IX Liaisons.

• Continued to promote the Title IX campus-wide campaign initiative, Let’s Be Clear, including expanded confidential reporting options and stream-lined Title IX reports.

• Met with Student Development and Enrollment staff on a regular basis to discuss procedures and lines of communication regarding student respondent Title IX investigations.

• Completed implementation of all recommendations made in the University Audit report issued on December 15, 2016, pertaining to the university’s Title IX compliance program. As of October 2, 2018, all nine recommendations set forth in the report had been fully implemented. Implementation included the transition of student-respondent Title IX investigations from the Office of Student Rights and Responsibilities (OSRR) to OIE and the creation and launch of the university’s first campus-wide Title IX awareness campaign (Let’s Be Clear).
OFFICE OF STUDENT RIGHTS AND RESPONSIBILITIES

• Distributed information to complainants and respondents involved in Title IX related cases on interim measures, appropriate resources and process involved for Title IX incidents.

• Communicated to students regarding resources, reporting options and prevention and outreach efforts related to interpersonal violence and Title IX issues.

• With OIE, led Title IX trainings and prevention and outreach for student organizations and student leaders to over 25,000 students.

UNIVERSITY POLICE DEPARTMENT

• Conducted in person Clery Act training for university CSAs campus wide, to include Athletics staff, as well as Housing and Residence Life staff members.

• Developed, published, and distributed the 2018-19 Annual Security Report. Reported annual crime statistics to the Federal Department of Education prior to the reporting deadline.
Conflict of Interest and Commitment. Ensuring compliance with state and federal requirements on disclosing and managing conflicts of interest and commitment.

UNIVERSITY COMPLIANCE, ETHICS, AND RISK

• Revised seven training modules to reflect updates from the previous year and provided to faculty and staff members as an online resource.

• Implemented a communication plan for the 2018-19 conflict of interest and commitment online disclosure process and launched the new disclosure year on August 13, 2018.

• Distributed several communications, monitored online disclosure submissions, conducted reviews, and worked with faculty and administrators to resolve potential conflicts, as well as tracked compliance rates and worked with Academic Affairs to address noncompliance.

• Notified 2,778 employees by email to submit an online disclosure and 2,438 submitted within the deadline achieving an 88 percent compliance rate with employee submissions within the deadline. This was a significant decrease in the 30-day compliance rate in 2017-18 (98.4%), which was directly attributed to the increase in workload and decrease in staff within UCER during the report year.

• Received and processed a total of 3,072 disclosures and 115 amendments. For any disclosure with at least one outside activity reported, UCER served as the final review. There were 1,139 online disclosures for the office to review (a slight increase from the 1,116 last year), with potential conflicts identified in 91 disclosures requiring a monitoring plan or annual update (a decrease from 121 last year).

• Completed 332 online reviews for the employment of relatives (an increase of 50 from 282 last year).

• Tracked 296 requests outside of the online system, that were reviewed for potential conflicts and provided guidance to employees and departments (an increase of 149 from 147 last year).

• Received and completed 167 reviews of potential conflicts of interest associated with the attendance at conferences or events sponsored by vendors (an increase of 34 requests from 133 last year).

• Provided additional support to employees who met the state definition of a reporting individual to include coordinating efforts with HR to identify and notify reporting individuals of their mandatory filing requirements and monitoring the delinquent list posted on the Commission on Ethics’ website to prevent employees from accruing fines.
Research Compliance. Supporting the university’s research compliance program.

UNIVERSITY COMPLIANCE, ETHICS, AND RISK

• 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.

• Led NIST compliance meetings to bring the committee to an agreement on the final path forward; turned the project over to the executive sponsor and responsible authority, vice president of research, in collaboration with the Research Compliance Office.

• Reviewed and provided feedback on 17 research exemption requests prior to coordinating with the provost, president, and Board Chair of the Board of Trustees for approval as required by state statute.

OFFICE OF EXPORT CONTROL

• Updated its forms and processes to simplify and better communicate the export control compliance review process for contract and grants staff.

• Provided training to faculty and students for research projects requiring a Technology Control Plan or data management plan as required under the EAR/ITAR.

• Conducted one-on-one training to faculty members requiring enhanced export control awareness and provided export control refresher training to existing and newly-hired contract and grant staff members.

• Renewed the Florida State University System software subscription to Visual Compliance for export control and restricted party screening for 10 participating universities.

RESEARCH INTEGRITY COMPLIANCE OFFICE

• Conducted bi-weekly compliance staff meetings and weekly meetings on tasks and special projects.

• Created a system where automated emails would be sent to investigators when proposals were submitted, and sponsored programs’ central and departmental administers were copied when investigators had not completed the required COI CITI training.

• Prepared an annual report on the Human Research Protection Program (HRPP)-Investigator Quality Improvement Assessments process.

• Promoted compliance training for university departmental and unit administrators for compliance updates/changes as needed at the monthly EXCIT meeting.

• Provided departmental outreach and one-on-one training with new effort coordinators regarding time and effort reporting.

• Delivered presentations on research misconduct at the New Faculty ORC Series Workshop, and a Responsible Conduct of Research presentation was given at the OR New Faculty Workshop Series. The office also provided a Financial Compliance: Effort Reporting presentation during new faculty orientation.
Athletics Compliance. Providing oversight and management of the athletics compliance program.

ATHLETICS COMPLIANCE OFFICE

• Self-reported 20 Secondary Level III violations and one major violation Level I/II to the NCAA. A healthy reporting range for a university the size of UCF is 15-25 Secondary Level III violations to be self-reported annually.

• The NCAA released a final report issuing penalties for the Major Level II-Mitigated Violation to include a one-year probation period, a $5,000 fine, a two percent scholarship reduction, and recruiting restrictions. All penalties were agreed upon by both the NCAA and the university. UCF also separated employment with the head and assistant coaches for the particular sport prior to self-reporting to the NCAA.

• Hosted weekly meetings with the Registrar’s Office and Undergraduate Admissions to discuss NCAA Eligibility. Undergraduate Admission assisted with the admission of student-athletes from NCAA initial eligibility determination through enrollment, ensuring all university policies and procedures were followed.

• Implemented several additional mechanisms to better educate student-athletes, coaches, staff members, and boosters. Held Town Hall meetings for UCFAA staff, as well as worked to provide updates on hot topics and issues with the NCAA including Major Infractions via staff emails. In total, 58 coaches, student-athletes and UCFAA staff members attended these education sessions.

• Implemented education efforts with football student-athlete parents in the form of UCF parent tailgates, during which office staff members were available for guidance and provided reminders of NCAA legislation.

• Provided booster brochures to season ticket holders in the sport of men’s basketball and football.

• Attended 56 practices, approved 8 waivers, and attended 95 competitions. Compliance staff members also increased its presence on social media via Twitter, launching a “Tip Tuesday” initiative and providing relevant reminders.

REGISTRAR’S OFFICE

• Responsible for completion of the University’s Academic Progress Report (APR) for NCAA athletics, as well as the Graduate Success Rate report for athletics.