



UNIVERSITY OF CENTRAL FLORIDA

# Compliance and Ethics Program Plan

## Introduction

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

## Revisions

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

*Approved by the UCF Board of Trustees December 3, 2020*

## **Table of Contents**

[Elements of an Effective Program](#)

[Benefits of a Comprehensive Compliance Program](#)

[Element I – Oversight of Compliance and Ethics and Related Activities](#)

[Element II – Standards of Conduct, Policies and Procedures](#)

[Element III – Effective Training and Education](#)

[Element IV – Effective Lines of Communication](#)

[Element V – Routine Monitoring, Auditing, and Identification of Risks](#)

[Element VI – Respond Promptly to Detected Problems and Undertake Corrective Action](#)

[Element VII – Enforce and Promote Standards through Appropriate Incentives and Disciplinary Guidelines](#)

[Element VIII – Measure Compliance Program Effectiveness](#)

## **Elements of an Effective Compliance Program**

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

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

## **Benefits of a Comprehensive Compliance Program**

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

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

## **Element I - Oversight of Compliance and Ethics and Related Activities**

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

## **UCF Audit and Compliance Committee**

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

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

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

## **UCF President**

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

## **Vice Presidents and Senior Leadership**

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

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

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

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

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

To ensure the Program is effectively developed, the chief compliance and ethics officer is responsible for the following:

- maintaining a professional staff with sufficient size, knowledge, skills, experience, and professional certifications
- utilizing third-party resources as appropriate to supplement the department's efforts
- performing assessments of the program and making appropriate changes and improvements
- routinely communicating to the Board of Trustees Audit and Compliance Committee and president on the effectiveness of the compliance and ethics program
- developing and updating this plan.

### **University Compliance, Ethics, and Risk**

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

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

### **Compliance and Ethics Advisory Committee**

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

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

### **Compliance Partners**

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

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

### **Faculty, Staff, and Students**

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

### **Exercise Due Diligence to Avoid Delegation of Authority to Unethical Individuals**

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

In addition, background checks serve as an important part of the selection process at UCF. This type of information is collected as a means of promoting a safe environment for students, employees, and the public. UCF requires a background check per [UCF Policy 3-011 Background Checks](#) on all prospective employees as a condition of employment and follows Equal

Employment Opportunity Commission guidelines when evaluating information obtained through the background check process. UCF employs a third-party agency to perform background checks on all final candidates prior to an offer of employment. The type of background check performed is dependent upon job duties assigned to the position and can be one or more of the following:

- UCF Standard Background Check: Consists of criminal history background check inclusive of a search of the following:
  - National Sex Offenders Registry
  - Statewide criminal history background check through the Florida Department of Law Enforcement (FDLE)
  - Local criminal records check through local law enforcement agencies
  - Federal criminal database
  - National criminal history records
  - Social security records available through credit bureaus
  - Driver's license records
  
- The Level 1 background check: Consists of criminal history background check inclusive of a search of the following:
  - National Sex Offenders Registry
  - Statewide criminal history background check through the FDLE
  - Local criminal records check through local law enforcement agencies.
  
- Level 2 background check: This type of background check is performed on prospective and current employees where required by law or university policy. Checks conducted in accordance with the State of Florida level 2 standards, including fingerprinting for statewide criminal history records checks through the FDLE and national criminal history records checks through the Federal Bureau of Investigation, and may include local criminal records checks through local law enforcement agencies.

## **Element II - Standards of Conduct, Policies and Procedures**

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

### **UCF Employee Code of Conduct**

The purpose of the [UCF Employee Code of Conduct](#) is to provide one guiding document that serves to communicate expectations and requirements and provides a resource for employees when faced with questions or ethical dilemmas. Embedded in the code are UCF's ethical standards of honesty and integrity, respect, responsibility and accountability, and stewardship, as well as the five tenets of the UCF Creed. Together they communicate the ethical principles and

values of the university. The UCF Employee Code of Conduct is part of UCF’s comprehensive compliance and ethics program, supported by the UCF Board of Trustees, the president, and senior leadership. All employees are required to follow the UCF Employee Code of Conduct.

### **UCF Policy 2-001 – University Policy Development**

[UCF Policy 2-001](#) establishes how university policy is developed, reviewed, approved, and maintained. The vice president for compliance and risk administers the policy and provides guidance on the effective development of policies and procedures. The vice president for compliance and risk also chairs the University Policies and Procedures Committee that is charged with reviewing policies and procedures and providing a recommendation of approval prior to review and approval by the university president. All policies are maintained online in the UCF Policies and Procedures Manual and must be reviewed annually by the responsible authority and every five years by the committee. New and revised policies are communicated to all employees of the university through broadcast email distribution.

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

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

### **UCF Policy 2-010 Whistle-blower Determination and Investigation**

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

### **UCF Policy 2-101 – University Regulation Development**

[UCF Policy 2-101](#) establishes how a university regulation is developed. The policy and process are administered by the vice president and general counsel in compliance with the procedures

adopted by the Board of Governors. The Office of the General Counsel maintains the online regulation library and provides communication to the university community on new and revised regulations through the regulation listserv.

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

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

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

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

### **UCF Policy 2-800 - Fraud Prevention and Detection**

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

### **Element III – Effective Training and Education**

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

Creating training modules and identifying need-based education is pivotal to the success of the Program. As part of the Program’s core training regarding compliance and ethical conduct, the following on-line and in-person training to employees:

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

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

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

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

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

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

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

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

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

***Fraud Awareness*** – The purpose of this online University Audit designated course is to promote fraud prevention and awareness across UCF. Completion of this course better prepares employees to recognize potential fraud and determine what actions should be taken when these situations are identified. This training is required for all newly hired employees within the week of employment and is mandatory for current employees who the following scenarios: when employees within a specific college, department, and/or unit are identified as primary contacts for an upcoming audit, when the results of an investigation related to a specific college, department, and/or unit indicate that this training course would be beneficial. The course is also promoted on a regular basis to all other current employees who do not meet the indicated scenarios.

Targeted versions of the trainings listed above are also provided to departments and groups, as requested. In addition, training is developed or updated to meet the needs of the Program and to address areas of concern. As part of the Program, University Compliance, Ethics, and Risk provides training on the Clery Act and federal research compliance requirements in collaboration with compliance partners from the UCF Police Department and the Office of Research. Compliance partners also develop and administer vital training to employees as part of UCF’s effective Program and cover the large amount of ethical and compliance requirements applicable to the university.

## **Website**

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

## **IntegrityStar**

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

## **Educational Outreach**

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

## **Compliance and Ethics Week**

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

## **Compliance and Ethics Training for BOT Members**

Board of Trustee members receive training regarding their responsibility and accountability for ethical conduct and compliance with applicable laws, regulations, rules, policies, and procedures as part of the orientation process and as requested by the chair. The vice president for compliance and risk regularly educates the Board of Trustees Audit and Compliance Committee

regarding applicable federal and state compliance requirements and the Program during committee meetings.

## **Element IV – Effective Lines of Communication**

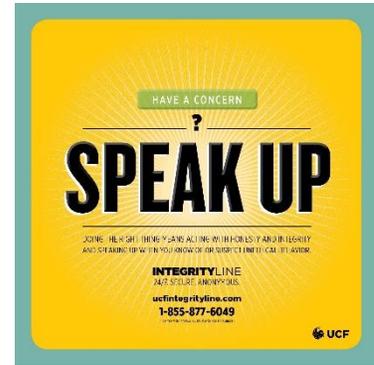
As part of an effective program, organizations are required to have and publicize a system that allows for anonymity or confidentiality, whereby members of the university community can report or seek guidance regarding potential or actual misconduct without the fear of retaliation. All members of the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

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

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

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

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



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

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

### **Conflicts of Interest Disclosure**

As a state institution and recipient of federal funds, UCF must comply with both state and federal requirements regarding the disclosure and management of conflicts of interest and commitment. Additionally, the university is committed to conducting university business and activities with integrity and has developed policies and procedures to identify, manage, and, when appropriate, remove potential and actual conflicts of interest and commitment. University Compliance, Ethics, and Risk provides oversight and management of the university's conflicts of interest and commitment reporting process. At each committee meeting, the office provides the Board of Trustees Audit and Compliance Committee updates on the office's monitoring efforts of the disclosure process and policies for the university, UCF direct support organizations and component units. Every five years the office conducts a full review of the conflicts of interest and commitment policies and procedures, disclosure process, monitoring efforts, and corrective actions or management plans for the university, UCF direct support organizations, and component units.

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

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

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

[UCF Policy 4-504 Reporting a Potential Conflict of Interest or Conflict of Commitment in Research](#) communicates the federal disclosure requirements and procedures for faculty and staff who engage in federally funded research.

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

### **Youth Protection Program**

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

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

## **Department Database Review**

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

## **IntegrityLine Case Review**

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

## **Risk Assessment**

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

## **External Compliance Requests or Investigations**

University Compliance, Ethics, and Risk provides oversight and coordination of external inquiries into compliance with federal and state laws or NCAA requirements and takes appropriate steps to ensure safe harbor for the university in instances of non-compliance. As part of this responsibility, the office provides guidance to compliance partners, conducts investigations, and provides the university's response as appropriate. Based on the issues that are identified, the office ensures that appropriate changes are made to the Program to support compliance, ethical conduct, and mitigation of risks.

## **Coordination with Internal Audit**

University Audit serves as the university's internal auditor, providing internal audits and reviews, management consulting and advisory services, investigations of fraud and abuse, follow-up of audit recommendations, evaluation of the processes of risk management and governance, and coordination with external auditors. University Compliance, Ethics, and Risk provides guidance to University Audit on compliance-related audits and matters. Based on audit findings, University Compliance, Ethics, and Risk provides guidance, training, or assists departments with

policy and procedure development. Fraud or other issues requiring investigation, or an audit identified by University Compliance, Ethics, and Risk, are referred to University Audit for appropriate response. As appropriate, both offices work together to evaluate or investigate misconduct or risks.

### **External Audits**

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

- receive and review audits by the State of Florida Auditor General;
- receive and review audits of the direct support organizations and component units; and
- review and contract with external auditors for special audits or reviews related to the university's affairs and report the results of any such special projects to the board.

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

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

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

#### **Investigations**

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

#### **Corrective Actions**

When problems are detected, University Compliance, Ethics, and Risk makes the appropriate

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

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

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

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

### **Employee Performance**

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

### **Incentive Program**

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

### **Disciplinary Procedures for Employees**

University Compliance, Ethics, and Risk provides guidance to supervisors and members of the senior leadership team on appropriate disciplinary action up to and including termination when misconduct, noncompliance, or criminal conduct is identified. As part of this process, University

Compliance, Ethics, and Risk collaborates with Human Resources and General Counsel to ensure that supervisors provide disciplinary action consistently and in compliance with applicable laws, regulations, and policies. It is the responsibility of the supervisor or appropriate senior leader to ensure that disciplinary action is implemented, including criminal charges when appropriate, and that other corrective actions are completed. The following policies communicate the expectations and procedures for disciplinary action:

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

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

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

## **Element VIII – Measure Compliance Program Effectiveness**

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

### **Annual Effectiveness Reports**

University Compliance, Ethics, and Risk provides an annual report on the effectiveness of the Program to the board's Audit and Compliance Committee and the president. To assess the program, compliance partners are required to report annually on their activities and efforts for meeting the requirements of the Plan through a survey developed by University Compliance, Ethics, and Risk. These reports, as well as the activities and efforts of the office, are assessed and included in the annual report. Based on this process any identified deficiencies are addressed and appropriate modifications are made to the Plan. As required by Board of Governors Regulation 4.003, any Plan revisions based on the report are approved by the Board of Trustees. A copy of the report and revised Plan is provided to the Board of Governors.

### **Culture Survey**

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

comfortable they are raising concerns, and if they feel protected from retaliation.

### **Institutional Effectiveness Assessment Process**

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

### **Program Effectiveness Review**

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