

Adopted: December 15, 2017

Amended: December 4, 2020 (substantive); December 7, 2023 (administrative)

COMPLIANCE AND ETHICS OFFICE CHARTER

Mission and Purpose

The mission of the University of Florida Compliance and Ethics (UFCE) office is to protect and promote the institutional integrity of the University of Florida and serve as a resource to all employees in matters of ethical conduct and compliance with the law. UFCE provides oversight and guidance on enterprise-wide compliance activities and fosters a culture that embeds the importance of compliant conduct in all university functions. The compliance program is designed to help fulfill the fiduciary and oversight responsibilities of the University of Florida Board of Trustees, Audit and Compliance Committee. UFCE proactively collaborates with faculty and staff, including identified compliance partners across the enterprise, to further its mission and purpose.

Authority

UFCE has the authority to monitor, review or investigate all areas of the University including its Direct Support Organizations, Centers and Institutes, and Affiliated Entities. In order to meet its responsibilities and maintain independence, UFCE has unrestricted timely access to all institutional activities, records, data, personnel, property, and other information in possession or control of the University, including information reported to the University Hotline. Any documents and information reviewed or collected by UFCE will be handled in compliance with applicable laws, regulations, and University policies and procedures.

Reporting Structure and Independence

The Chief Compliance Officer reports functionally to the University of Florida Board of Trustees and administratively to the University President or designee. This reporting structure promotes independence and objectivity in the performance of the responsibilities of the Chief Compliance Officer function. The Chief Compliance Officer has organizational independence, and all activities of the office are to remain free from influence.

Responsibility and Duties

Compliance Program

UFCE is responsible for implementing an enterprise-wide compliance program that coordinates activities that promote ethical conduct and maximize compliance with applicable laws, regulations, policies and procedures. To carry out this responsibility, UFCE shall perform the following duties:

- Establish a program plan that promotes compliance with applicable laws, regulations, and University policies and regulations. This plan and any subsequent changes shall be approved by the Board of Trustees and a copy provided to the Board of Governors.
- Foster strong stewardship and management accountability at all levels with the highest standards of honesty and integrity.
- Coordinate general compliance training to employees, faculty, and board members.
- Provide multiple points of contact to address concerns of potential non-compliance or unethical behavior including an avenue for anonymous reporting and appropriately address concerns.
- Conduct monitoring activities, reviews and risk assessments to help identify risks and assist in managing issues identified.
- Provide continuous assessments of the effectiveness of the compliance program.
- Provide compliance advisory services and guidance to management, faculty, and staff.
- Evaluate emerging compliance trends in higher education and implement best practices.
- Coordinate awareness initiatives to ensure that the University community is aware of the compliance program, the compliance hotline, and whistleblower protection policies.
- Investigate, as necessary, any potential allegation of misconduct in coordination with University Human Resources, General Counsel, Internal Audit and other offices, as appropriate.
- Promote and enforce the program, in consultation with the President or designee and Board of Trustees, consistently through appropriate incentives and disciplinary measures to encourage a culture of compliance and ethics. Failures in compliance or ethics shall be addressed through appropriate measures, including education or disciplinary action.
- Submit final reports to appropriate action officials.

Chief Compliance Officer

The Chief Compliance Officer shall:

- Have adequate resources and appropriate authority.
- Maintain a professional staff with sufficient knowledge, skills, and experience to ensure an effective compliance program.
- Utilize approved third-party resources, as appropriate, to supplement the program's efforts.
- Communicate routinely to the President or designee, Audit and Compliance Committee, and Board of Trustees regarding program activities.
- Conduct and report on compliance activities and inquiries free of actual or perceived impairment to the independence of the Chief Compliance Officer.
- Notify the President or designee of any unresolved restriction or barrier imposed by any individual on the scope of any inquiry, or the failure to provide access to necessary information or people for the purposes of such inquiry. In such circumstances, the Chief Compliance Officer shall request the President's or designee's assistance in remedying the restrictions. If the matter is not resolved, the Chief Compliance Officer shall notify the Board of Trustees or Board of Governors, as appropriate and required in Board of Governors Regulation 4.003.
- Notify the Board of Trustees and the Board of Governors of any significant issues of noncompliance.
- Report at least annually on the effectiveness of the program. Any program plan revisions, based on the Chief Compliance Officer's report, shall be approved by the Board of Trustees and provided to the Board of Governors.

- Provide an external review of the program’s design and effectiveness at least once every five years to the President and Board of Trustees, with a copy to the Board of Governors.

Professional Standards

UFCE adheres to the Florida Code of Ethics for Public Officers and Employees contained in Part III, Chapter 112, Florida Statutes; the Federal Sentencing Guidelines Manual, Chapter 8, Part B, Section 2.1(b); and the Code of Professional Ethics for Compliance and Ethics Professionals.

Charter Review and Approval

The Compliance and Ethics Office Charter shall be approved by the UF Board of Trustees and reviewed at least every three years for consistency with applicable regulations, professional standards, and best practices. A copy of the approved charter and any subsequent changes shall be provided to the Board of Governors.