

## WHAT'S NEW

### Join us for Corporate Compliance & Ethics Events in November!

*Corporate Compliance & Ethics Week* is celebrated nationally in November with the purpose of shining a spotlight on the importance of compliance and ethics. At UF, we celebrate this event in collaboration with UF Health Compliance Services during the entire month of November. UF Health Compliance Services is planning to host multiple events throughout campus with activities, prizes, games and more. UF Compliance and Ethics will complement these activities by launching a Professional Ethics Series via Zoom where we will be discussing a variety of issues related to professional ethics and how this topic relates to our work at UF/UF Health. For more information on all the events in November, check out page 2. We hope to see you there!

### Office Updates

The Compliance and Ethics team is growing! We want to welcome Brandon Sykes to the Privacy team as a Privacy Specialist. Additionally, we are excited to announce that the Conflict of Interest Team is now housed under UFCE! The Compliance Gazette will feature a regular article called the **COI Chronicles**, check it out on page 3!

### Thank you

Finally, we want to thank Assistant Counsel Amy Quillen from the UF Office of the Vice President and General Counsel for her amazing and informative Learn Over Lunch webinar on Florida's Public Records and Sunshine Law!

## Gazette Highlights

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## ***Celebrating Our Values: Professional Ethics Series***

All UF and UF Health staff and faculty are invited to join the UFCE Learn over Lunch bunch as we explore a variety of issues related to professional ethics and how this topic relates to our collective work at UF.

The idea for the series began as UFCE was planning events for Compliance and Ethics Week (November 5 -11). We soon realized this topic is too broad to be addressed in just one session. So, the series spends four consecutive weeks examining professional ethics from different lenses (discussed below). Join us for just one session or all four. We look forward to having you join in the conversation!

- Our series begins on *Tuesday October 24* with Dr. Anna Peterson, who will start out our month-long conversation by helping us understand the definition and importance of professional ethics.
- On the following two *Tuesdays, October 31* and *November 7*, Dr. Brian Ray, will walk us through the thirteen ethical dilemmas<sup>[1]</sup> individuals face in the workplace as well as the moral courage required to address these dilemmas if you or the employees you supervise ever face them.
- Finally, on *Wednesday, November 15*, Instructional Professor Bill McElroy and a panel of experts will review with us four vignettes featuring ethical scenarios that any employee might face in the workplace and how those situations might be handled. Included among the panel will be Dr. Ray and UF's Chief Compliance, Ethics & Privacy Officer, Terra DuBois.

To register for any/all of the first three sessions in this series, click [here](#).

To register for the November 15 panel discussion, click [here](#).

[1] As identified by authors Brad Agle, Aaron Miller, and Bill O'Rourke in The Business Ethics Field Guide.



# Compliance & Privacy Awareness Month

UF Health Compliance Services will be celebrating Compliance & Privacy Awareness Month beginning November 1st. Our team is committed to providing employees the education and resources necessary to comply with applicable laws and regulations. The activities planned for Compliance Awareness Month to help educate employees about compliance, privacy, and business ethics. Throughout the month of November, UF Health Compliance Services will be hosting a variety of activities to promote compliance awareness across UF Health, including a UF Health Compliance & Privacy Awareness Survey. The survey helps measure organizational awareness and effectiveness of the UF Health Compliance Program.

Please complete the UF Health Compliance & Privacy Awareness Survey using this [link](#).

We would also love to see you at one of our onsite events listed below to play games and win prizes:

### **Gainesville Campus**

- Monday, Nov. 6– UF Health Shands Professional Park – 9AM-12PM
- Tuesday, Nov. 7– UF Health Shands 1329 Building Lobby – 11AM-2PM
- Wednesday, Nov. 8– UF Health Shands Cancer Hospital Terrace Market Café – 11AM-2PM
- Thursday, Nov. 9– UF Health Homecare – 9AM-10AM

### **Jacksonville Campus**

- Monday, November 6th- The Towers Lobby – 11AM-2PM
- Tuesday, November 7th – North Campus Bed Tower Lobby- 11AM-2PM
- Wednesday, November 8th- The LRC Atrium– 11AM-2PM
- Thursday, November 9th- The Clinical Center East Expansion (near gold elevators) – 11AM-2PM

### **Central Florida Health Campus**

- Tuesday, November 14– UF Health Leesburg Hospital Cafeteria – 11AM-2PM
- Thursday, November 16– UF Health The Villages Cafeteria – 11AM-2PM

### **UF Health Flagler Campus**

- Wednesday, November 29 – Osceola Conference Room – 11AM-1PM

Please contact us at 352-627-9050 if you would like for UF Health Compliance Services to present to your department.

We encourage all employees to participate in Compliance Awareness Month activities. Your feedback is very important to us!

# COI CHRONICLES

## Disclosure “Material Changes” Guidance Document (New)

The [UF COI Policy](#) requires that employees update their outside activity/financial interest disclosures when there has been a material change to what they previously disclosed. This resource provides examples of and guidance regarding what is considered a material change.

## Inside Activity Decision Tree COTA Inside Activity Decision Tree (New)

Are you uncertain if an activity should be disclosed in UFOLIO? This resource guides you through steps to determine if something is an “inside activity” that is part of an employee’s UF job duties. Inside activities should not be disclosed in UFOLIO; reportable outside activities must be disclosed and approved in advance.

## UFOLIO Quick Start Guide (Updated)

This improved and updated resource provides step-by-step instructions for submitting disclosures in UFOLIO, as well as a few useful tips.

## UFOLIO Functionality FAQ

Do you need help figuring out how to do something in UFOLIO? Check out this guide with common UFOLIO functionality questions. Please note, there are two versions of this guide: this screen version is not ideal for printing, but has images and screenshots which are easy to follow.

## Reportable Outside Activities and Interests Disclosure Guide

This chart describes the categories of activities/interests to disclose with illustrative examples and exceptions for each category.

### Helpful information:

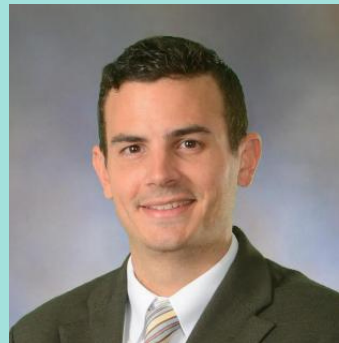
- All UF employees are required to disclose and receive prior approval for reportable outside activities and financial interests, even if you don’t have access to UFOLIO. You will simply use the [fillable PDF form](#) instead of the UFOLIO system.
- If you’re reviewing PDF disclosure forms, please check out our handy [PDF Form Reviewer Guide](#).
- If your chair and dean’s office consider an activity to be part of your role as a UF employee, you generally don’t need to disclose that activity to the COI Program, even if you’re being reasonably compensated. (For example, receiving an honorarium for speaking at a conference or other educational institution, or serving as an associate editor of an academic journal.) If in doubt, check out our Inside Activity Decision Tree linked above!
- Are you a UF employee who owns a small business and wants to do business with UF? Stay tuned in early 2024 for a joint presentation between the Small Business & Supplier Diversity team and the COI Program to discuss legal restrictions and allowability of these types of arrangements.

## Meet the COI Team!



The UF COI Program champions a culture of transparency, accountability, and shared responsibility in identifying and managing conflicts of interest. Through university-wide education, guidance and oversight, the UF COI Program endeavors to uphold integrity, objectivity, and the highest ethical standards in stewardship of the public trust.

**Counterclockwise starting top left:**  
Elizabeth Lynch, Acting Director and UFOLIO Administrator; David Altman, JD, Analyst; John Ciminillo, JD, Analyst



# FOR THE RECORD

By Sara Kiszka, University Records Manager

As a public institution, UF faculty and staff must abide by federal and state laws which govern the retention of records, regardless of format, that are created, received, or maintained during the course of University business. Chapter 119 (Public Records) and Chapter 1B-24.001 (Public Records Scheduling and Disposition) outline the management of public records in Florida.

We determine how long to retain records by consulting record retention schedules. A retention schedule describes a type of record, or a group of related records, and identifies the minimum amount of time they should be retained. The University of Florida abides by many different types of retention schedules: those created by the State of Florida (GS1-SL, GS4, GS5, etc.), those created by the federal government, and those created uniquely for the University of Florida (UF). If you would like to browse the most commonly used retention schedules for yourself, you can search [here](#).

Prior to disposing of any original paper or electronic records, you are required by Florida law to submit a Records Disposition Request form to the University Records Manager for approval. For more information on how to complete and submit the form, please visit the [Records Management website](#).

Record disposition doesn't always equal destruction! Records with a permanent retention or those identified as having archival value should be assessed for inclusion into the [University of Florida Archives](#). To discover what types of records and other items the UF Archives may be interested in acquiring, [view some examples here](#) or contact [archives@uflib.ufl.edu](mailto:archives@uflib.ufl.edu) for more information.

Although this is a quick introduction, there is much more that goes into the maintenance of a record. In addition to retaining and disposing of records promptly and appropriately, you should also ensure you are storing records securely and only providing access to approved individuals. For more information on how to classify the records you work with, please see Information Security's [Data Classification Policy](#) and Integrated Risk Management's [UF Data Guide](#).

If you have any other questions regarding records management, please contact [lib-recordmanagement@uflib.ufl.edu](mailto:lib-recordmanagement@uflib.ufl.edu) or call 273-2678 for further assistance.

## Further Resources:

*Records Management Website*

<https://records.uflib.ufl.edu/>

*Records Management at the University of  
Florida Training Module*

<https://records.uflib.ufl.edu/training-resources/>

*State of Florida Retention Schedules*

<https://dos.myflorida.com/library-archives/records-management/general-records-schedules/>

Test Your  
Knowledge

Think you know about records retention requirements?

Test your knowledge:

<https://compliance.ufl.edu/integrity-toolbox/compliance-gazette/test-yourself/records-retention-requirements/>

# COMPLIANCE Superstars

If you know someone you would like to nominate as a future Compliance Superstar, please feel free to submit your nomination using our [Compliance and Ethics Superstar Nomination Form](#).

## John Beuttenmuller

Over the last several years, John has assisted on the foreign gifts and contracts report. John always helps think through complex issues, is prompt in his reporting, and does everything he can to ensure an accurate and timely report. John is a valuable member of the greater UF compliance team, and we are fortunate to work him.

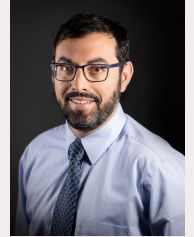


**John Beuttenmuller**  
Executive Director at Florida  
Foundation Seed Producers, Inc.  
UF IFAS

Congratulations John!

## Jonathan Orsini

Jonathan has done tremendous work in figuring out the impact to the university of the Third-Party Servicers Guidance from the U.S. Department of Education. Jonathan is always there and willing to jump in any time we ask and we're proud to have him as a member of the greater UF compliance and ethics team.



**Jonathan Orsini**  
Director of Self-Funded  
Programs  
Office of Distance Learning

Congratulations Jonathan!

## Making \$ense From Dollars

Colleges, units, and departments across the University bustle with day-to-day activities in support of our mission to advance teaching, research and scholarship to shape a better future for generations to come. Underlying all these innovations constitutes people, places, and things that are resourced and leveraged to propel this mission—and one type of evidence of all these activities and operations is the financial data that is captured.

Financial data provides insights, transparency, and accountability for decision-making, resource allocation, and overall institutional success. At the departmental level, standard monthly financial reports or “MFRs” have historically been utilized to get a financial snapshot of activities and operations from prior months. However, this reporting format has been found to lack the ability to view financial data more dynamically, across cost centers, or periods of time.

Campus has continued to voice the need to enhance the ease of extracting quality financial data supports to support resource optimization, compliance functions, and operational oversight.

In response to this demand, the Comprehensive Financial Reporting Suite was created to allow users a more robust reporting option with a diverse set of optional prompt values that can be run across cost centers.

There are currently 6 reports in the suite which can be scheduled and sent directly to your inbox based on the values and prompts you want to see.

- Available and Projected Balances
- Budget Transaction Detail
- Open Encumbrance
- Payroll Reconciliation
- Projected Payroll
- Transaction Detail

For more information on how to access and run these reports visit the “Report Specific” section within [UFHR's Enterprise Analytics Toolkit page](#).