



FLORIDA A&M UNIVERSITY
OFFICE OF COMPLIANCE
AND ETHICS

Board of Trustees Report

February 2025



OFFICE ACTIVITIES



The Office of Compliance and Ethics (OCE) continues to work with compliance partners across the University on initiatives to assist in identifying and mitigating compliance risks across the institution. Since the December meeting, we have continued our work, teaming up with University divisions and units to provide compliance and ethics education, investigate and report misconduct, conduct compliance risk assessment, and gather feedback regarding our efforts.

HIGHLIGHTS

- FAMU Fundamentals 2025
- Investigations
- Key Initiatives
 - Risk Monitoring
 - Enterprise Compliance Committee



FAMU Fundamentals 2025

Why Mandatory University Compliance Training?

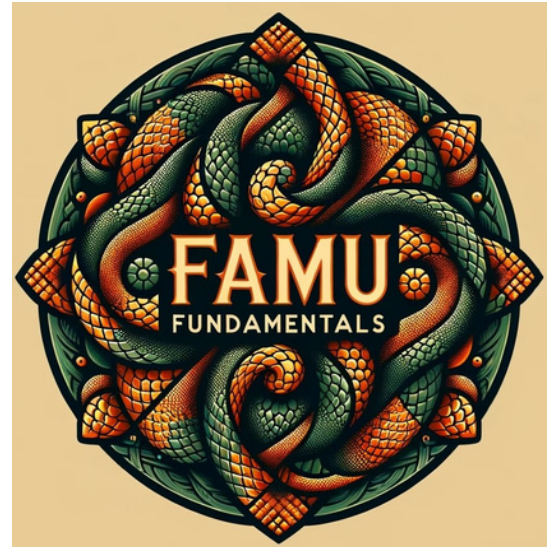
Board of Governors' Regulation 4.003 requires all universities to establish and implement an effective compliance and ethics program. Compliance training is a key requirement of such a program. Per the regulation:

“University employees and board of trustees’ members shall receive training regarding their responsibility and accountability for ethical conduct and compliance with applicable laws, regulations, rules, policies, and procedures.”

OCE appreciates the full support of the University Board of Trustees and the President’s Senior Leadership Team in the implementation of mandatory training for all University employees. OCE continues to partner with the School of Journalism & Graphic Communication to produce several of the modules.

The Modules for 2025 include:

- Compliance and Ethics
- Cybersecurity
- Discrimination and Harassment
- Emergency Management
- Clery and Active Shooter
- Audit
- Policy Management



A targeted training will again be provided for research and research support positions focused on Foreign Influence.

Remaining timeline highlights:

January-February 2025: Production and implementation on the identified learning platform.

March 1-31, 2025: Mandatory training window opens for all employees and select student employees.

OCE will report completion to University managers and senior leadership throughout the training period, with a final report in April 2025.

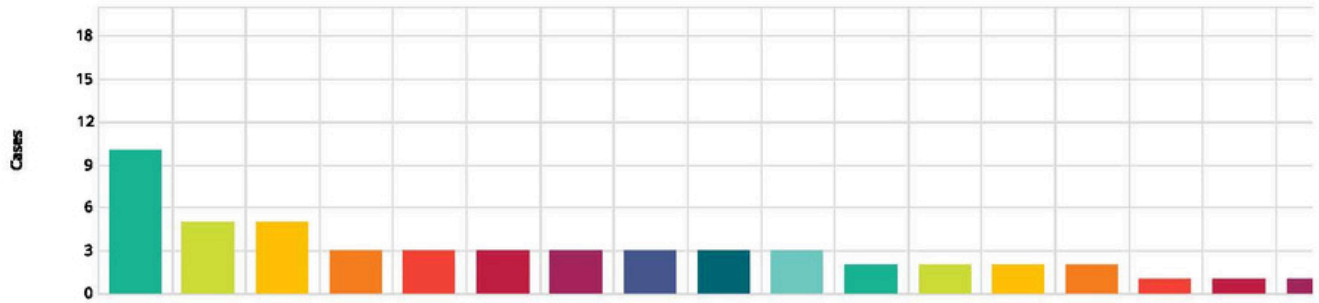
Investigations

1/31/25, 10:46 PM

EthicsPoint Incident Management

Summary - Issue Type January 2025

Date Range 07/01/2024 - 01/31/2025



Issue	Count (%)
Employee Misconduct	10 (18.87%)
Academic Misconduct	5 (9.43%)
Conflict of Interest	5 (9.43%)
Accounting and Auditing Matters	3 (5.66%)
Disclosure of Confidential Information	3 (5.66%)
Discrimination	3 (5.66%)
Fraud	3 (5.66%)
General Concern	3 (5.66%)
Sexual Harassment	3 (5.66%)
Waste, Abuse or Misuse of Institution Resources	3 (5.66%)
Corporate Policy or Conduct Violation	2 (3.77%)
Student Safety	2 (3.77%)
Time Abuse	2 (3.77%)
Workplace Retaliation or Retribution	2 (3.77%)
Data Privacy Violation	1 (1.89%)
Misrepresentation of Information	1 (1.89%)
Violence or Threat	1 (1.89%)
Workplace Harassment	1 (1.89%)
Total	53

OCE manages the University's Compliance and Ethics Hotline. We intake concerns of misconduct for referral to other University enforcement offices or for investigation by OCE. Since July 1, the hotline has logged 53 complaints. Open investigations in OCE include allegations of misconduct due to conflicts of interest, retaliation, and employee misconduct. Across enforcement offices*, 24 complaints have been closed, 29 are in process.

*Includes the Offices of Compliance and Ethics, HR, EOP, and the Division of Audit

Key Initiatives

Compliance Focus: 24-25 Compliance Risk Assessment

Area	Issue	Risk Level	Status
Administration	Administrative Leave	Medium-High	Compliance Focus: (Compliance Review)
Administration	Conflict of Interest	Medium	Compliance Focus: (Compliance Review Process Implementation)
Governance	Training	Medium	Compliance Focus: (Additional Training Opportunities)
Research	Foreign Gift Reporting	Medium-High	Compliance Focus: (Reporting overdue, established process effectiveness review)
Compliance	Retaliation	Medium	Compliance Focus: (Follow up related to retaliation through micro-learning and FAMU Fundamentals)
Academic Affairs	HB 7	Medium-High	Compliance Focus: (Track legislative and judiciary actions)
Research	Foreign Influence	Medium-High	Compliance Focus: (compliance reviews and recommendations)

Key Initiatives

Compliance Focus: 24-25 Compliance Risk Assessment (continued)

Area	Issue	Risk Level	Status
Research/ITS	Research Security and Compliance	Medium-High	Compliance Focus: (Assist ITS in NIST 800-171; centralized cloud solution for research data)
ITS/ Administration	Data Privacy	Medium-High	Compliance Focus: Development of privacy program; compliance reviews incorporated into the program.
Regulatory	Federal Directives	Medium-High	Compliance Focus: Monitor for changing regulatory landscape and assist compliance partners assess University position.
Athletics	APR	High	Compliance Focus: Latest APR submission and relief requests, review with coaches and administration, and improvement plan implementation.
Athletics	NCAA and Title IX compliance	Medium	Compliance Focus: Monitor and assist in the achievement of equity goals and reporting (USDOE Equity in Athletics Data Analysis and Florida report). Enhance Title IX and Athletics Compliance coordination.

OCE Spotlight: New Employees and Initiatives

MEET THE TEAM

RUOXU LI

Program Manager, Research Compliance



The Office of Compliance and Ethics is pleased to welcome a new team member who will enhance our compliance operations and contribute to our institution's commitment to integrity and ethical conduct! Ruoxu joins us from Florida State University, where she served as a Senior Auditor with extensive experience in compliance, operational audits, and risk management. Her work included audits in research compliance, faculty conflicts of interest, and foreign influence risks, as well as the development of a university-wide risk register. Ruoxu's skills and experience make her an invaluable addition to our team.



Certification Achievement: We are proud to announce that Miranda Washington, Compliance Coordinator, has successfully obtained her Certified Compliance & Ethics Professional (CCEP) certification. This achievement demonstrates her dedication to advancing compliance knowledge and reinforcing our institution's commitment to ethical best practices.

Privacy Week 2025: The Office of Compliance and Ethics hosted Privacy Week (January 27-31), an initiative focused on raising awareness of data protection, cybersecurity best practices, and personal privacy rights. This event featured interactive activities and resources to ensure that faculty, staff, and students were well-informed about their privacy responsibilities.



WHAT'S NEXT



Implementation of
External Review
Recommendations

Focus areas include:

- Increased resources to achieve additional efficiencies in program goals.
- Enhanced monitoring of compliance risk.

Implementation of
FAMU
Fundamentals 2025

Rollout of communications
and training modules for
University community.



Risk Assessment
Review

Update evaluations of emerging risks,
changes in risk levels, and key mitigation
actions.