

**THE UNIVERSITY OF WEST FLORIDA
NOTICE OF PROPOSED REGULATION ADOPTION**

REGULATION TITLE: UWF/REG-5.040 Reporting and Investigating Suspected Fraudulent or Wrongful Acts and Misconduct.

SUMMARY: Board of Governors Regulation 4.001 University System Processes for Complaints of Waste, Fraud, or Financial Mismanagement requires the University to adopt a regulation regarding allegations of fraud or misconduct. This proposed regulation complies with the requirements established in BOG Regulation 4.001.

AUTHORITY: Board of Governors Regulation 4.001.

NAME OF UNIVERSITY OFFICIAL INITIATING PROPOSED REGULATION

AMENDMENT: Betsy Bowers, Associate Vice President, Internal Auditing and Compliance

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED REGULATION

IS: Lisa Bernau, Assistant General Counsel, gcfrofrontdesk@uwf.edu, Phone (850) 474-3420; Fax (850) 474-2203; Building 10/Rm 114; 11000 University Parkway; Pensacola, FL 32514-5750. Any comments regarding the proposed regulation amendment must be sent in writing to the contact person on or before February 6, 2017.

THE DATE THIS NOTICE WAS POSTED ON THE UWF BOARD OF TRUSTEES

WEBSITE IS: January 20, 2017. THE DATE THIS NOTICED WAS PUBLISHED IN “@UWF”: January 23, 2017.

THE FULL TEXT OF THE PROPOSED AMENDMENT TO THIS REGULATION IS SET FORTH BELOW:

University of West Florida Regulation
UWF/REG-5.040 Reporting and Investigating Suspected Fraudulent or Wrongful Acts and Misconduct.

- (1) The University of West Florida Board of Trustees (the “Board”) designates the University Office of Internal Auditing and Compliance (“IAC”) as the official contact for reporting and investigating suspected fraudulent or wrongful acts and misconduct. University policies will be promulgated to implement this process.
- (2) IAC shall timely notify the Board of Governors, through the State University System Florida Board of Governors Office of Inspector General and Director of Compliance (“OIGC”), of any significant and credible allegation(s) of fraud, waste, mismanagement, misconduct, and other abuses made against the President of the University or a member of the Board. Such allegations will be handled as follows:
 - (a) The Chair of the Board (or the Chair of the Audit and Compliance Committee if the allegations involve the Board Chair), in consultation with the Chair of the Board of Governors, shall review the matter and may ask the OIGC to conduct a preliminary inquiry, in accordance with section 10.2.a of the OIGC charter. If it is determined that an investigation is warranted, the investigation shall take one of the following forms:
 1. The Board will hire an independent outside firm to conduct the investigation with OIGC guidance and monitoring; or
 2. The OIGC will perform the investigation.
 - (b) At the conclusion of such investigation, the report shall be submitted to the subject, who shall have twenty (20) working days from the date of the report to submit a written response. The subject’s response and the investigator’s rebuttal to the response, if any, shall be included in the final report, which shall be presented to the Chair of the Board and the Board of Governor’s Audit and Compliance Committee.
- (3) If any allegation of fraud, waste, mismanagement, misconduct, or other abuses is made against the chief audit executive or chief compliance officer, the Office of General Counsel will serve as the official contact for reporting and investigating such suspected fraudulent or wrongful acts and misconduct. If such allegation is significant and credible, the Office of General Counsel will timely notify the Board of Governors, through the OIGC. The investigation will then be handled as described in paragraph (2) above.

Authority: BOG Reg. 4.001.

History: New _____