



Office of
Compliance and Ethics
UNIVERSITY *of* WEST FLORIDA



Annual Report

2022-2023

◆ Prepared by: Matthew W. Packard, CCEP
Chief Compliance Officer, Office of Compliance & Ethics ◆

Executive Summary:

The mission of the University of West Florida's ("UWF") Office of Compliance and Ethics' ("OCE") **to establish and maintain a centralized compliance and ethics function and promote a system-wide culture of compliance, integrity, and ethical behavior.**

The OCE strives to achieve this through adherence to the elements of an effective compliance and ethics program, originally set forth in *Chapter 8 § 8B2.1, Effective Compliance and Ethics Programs, of the U.S. Federal Sentencing Guidelines* and enshrined with regulatory authority via the *Florida Board of Governors ("BOG") Regulation 4.003, State University System Compliance and Ethics Programs.*

In recognition of these guiding principles, the OCE annual report is presented within the context of these elements, which UWF defines as the following:

1. Governance & Accountability
2. Policies & Procedures
3. Education & Awareness
4. Auditing, Monitoring, & Risk Assessment
5. Response, Prevention, & Enforcement
6. Incentives & Discipline
7. Measure Program Effectiveness

Special thanks go out to the many individuals who help make OCE's mission a reality. Compliance is a collective effort and none of the following achievements could have been possible without the dedication and effort of countless individuals who dedicate their time, energy, and effort toward helping UWF meet its compliance goals. Go Argos!

Respectfully yours,



Matthew W. Packard, CCEP
Chief Compliance Officer

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The Office of Compliance and Ethics

Program Benefits:

- Proactively protects from financial and reputational harm
- Promotes commitment to the value of integrity
- Facilitates effective risk management and mitigation



Report Highlights:

- 2023 Closed Captioning Campaign
- Updated Risk Rankings
- Updated Policies Section

Report appendices:

- Integrity Helpline Statistics
- OCE's Risk Framework Model
- UWF Risk Heat Map
- Residual Risk Trends

Governance & Oversight

UWF's compliance and ethics function is designed to operate independently and with direct access to UWF leaders. This "top-down" approach ensures that the function has the authority and resources it needs to effectively carry out its mission.

The Chief Compliance Officer (CCO), Matt Packard, CCEP, is responsible for leading the compliance and ethics function. The CCO reports administratively to the UWF President and functionally to the Board of Trustees. This reporting structure gives the CCO the independence and authority to carry out his duties without interference.

The CCO's responsibilities include:

- Developing and implementing UWF's compliance and ethics program
- Providing training and education on compliance and ethics
- Investigating potential compliance violations
- Reporting compliance concerns to the UWF President and Board of Trustees

The CCO's direct access to UWF leaders enables him to quickly escalate concerns to the highest levels, if necessary. This ensures that compliance issues are addressed promptly and effectively.

UWF's commitment to compliance and ethics is evident in its organizational structure and the authority it gives to the CCO. This "top-down" approach ensures that the compliance and ethics function have the resources and authority it needs to effectively carry out its mission.

In addition, OCE relies on Compliance Partners and participation with various committees/ workgroups to increase its operational footprint and incorporate program goals into the wider UWF strategic plan. The following are a sample of the CCO's current committee memberships/ workgroup assignments:

- Risk and Compliance Council, Vice-Chair
- Campus Accessibility Advisory Group (CAAG)
- InfoSys Workgroup
- Extended Cabinet
- FL SUS Compliance and Ethics Consortium, UWF Representative
- UWF Copyright Compliance, UWF DMCA Officer
- Research Support Group
- Hiring Committee, Research Integrity Officer
- Electronic Information and Technology Accessibility (EITA) Advisory Group, Team Lead
- UWF Compliance Accountability Oversight
- SACSCOC Accreditation Workgroups
- PCI DSS Compliance Program, Team Lead
- GDPR Workgroup, UWF GDPR Privacy Officer
- Foreign Influence Workgroup
- Higher Education Opportunity Act (HEOA) Consumer Information Oversight

Closed Captioning

Closed captioning is required by federal regulation for a good reason... it benefits the whole community.

The following statistics help illustrate the impact properly implemented closed captioning can have on both learning outcomes and quality of instruction:

- Regardless of whether they have a disability of any kind, a majority of students use closed captions at least some of the time.
- Roughly 90 percent of all students who use closed captions find them at least moderately helpful for learning.
- Specific ways in which closed captions can aid learning include comprehension, accuracy, engagement, and retention.

Furthermore, a recent USF St Petersburg study suggests a strong link between the use of closed captions and improved faculty evaluations. Specifically, faculty who offered captioning on their material were rated more highly, particularly in four different areas:

- Respect and Concern for the Students
- Facilitation of Learning
- Communication of Ideas and Information
- Overall Rating of the Instructor

“Accessibility is not Optional”



Taking the Guesswork Out of Compliance

Since its inception, the Office of Compliance and Ethics (OCE) has strived to engage with the community by joining workgroups and providing compliance knowledge through active collaboration. This has helped to increase OCE's operational footprint and compliance awareness.

Over the past year, the Chief Compliance Officer (CCO) conducted a top-down review of the university's Compliance Database and Accountability Matrix to ensure its accuracy and distribution of compliance obligations. By developing widely-available resources that simplify compliance, the OCE strives to take the guesswork out of compliance for faculty and staff, so they can focus on preparing the next generation of learners to take on the world.

Policies & Procedures

UWF policies and procedures are designed with intention to address specific risks and regulations. In order to reduce redundant policies and keep existing policies up-to-date, UWF policies are governed by *UWF Policy P-01.03-12.17, University Policy Development and Issuance Process*, which establishes the policy review and renewal procedures.

Over the last year, a monumental effort was spearheaded by a devoted staff in the Office of the General Counsel, to review and update UWF's existing policy library. Although this is still an ongoing process, this year the university updated, revised, or revoked an impressive 19 policies, which included:

1. [Emergency Management](#)
2. [Faculty Qualifications](#)
3. [UWF Server Administration](#)
4. [Export Control](#)
5. [Immunization Requirements](#)
6. [Study Abroad Programs](#)
7. [Authority to Sign Contracts](#)
8. [Contract Review by the Office of the General Counsel](#)
9. [Board Self-Evaluation](#)
10. [Compensation](#)
11. [F-1 and J Visa Status Medical Insurance Requirements](#)
12. [Institutes and Centers](#)

13. [Disposal of University Information Technology Hardware, Software, and Data Storage Devices](#)
14. [Electronic Mail Communications](#)
15. [Administrative Rights to a University Computing Workstation](#)
16. [Code of Conduct Relating to Student Loan Practices](#)
17. [Endpoint Computing Workstations](#)
18. [Facilities and Administrative Costs \(F&A\) on Sponsored Programs](#)
19. [Responding to Allegations of Misconduct in Research](#)

In addition, to UWF's local-level policy activity, an effort is ongoing at the state-level to update the current regulatory library for the Board of Governors. This has resulted in a record number of regulations, *approximately sixty-six (66) at the time of this report*, which have been either updated, revised, or revoked over the last two years alone.

The Board of Governors has publicly stated that the trend is expected to continue. Accordingly, our office will continuously monitor all regulatory changes and strive to keep the university community informed and prepared to address the challenges of a rapidly evolving regulatory environment.

Education & Awareness

As a public institution of higher education, we are responsible for complying with a complex and ever-changing regulatory environment. This environment includes hundreds of rules, regulations, policies, procedures, and statutes from local, state, and federal levels.

Employee education and awareness is essential to maintaining compliance. To this end, the university has established a dedicated system of online education programs and awareness resources.

These resources provide faculty and staff with on-demand training and education throughout the year.

More specifically, OCE has created a number of accountability and awareness tools that make compliance more accessible to our community, including the UWF Compliance Calendar, Accountability Matrix, and Compliance Database. All of which provide up-to-date information on all UWF's reporting requirements and underscore the accountable job roles.

A sample of UWF's essential training offerings include:

- Certified Knowledge Worker Certification
- Anti-Harassment Associate
- FERPA
- New Employee Orientation
- Reporting Abuse
- PCI DSS Credit Card Processor (CCP) Certification
- Ethical Employee Training
- Kognito: At-Risk Training

Auditing, Monitoring & Risk Assessment

As Vice-Chair of the UWF's Risk and Compliance Council, it is the responsibility of the CCO to spearhead the annual system-wide risk assessment and to ensure the consistency and integrity of the collected data. This process involves the coordination of subject matter experts from across the university spectrum to gather and map out UWF's contemporary risk environment, identify and define mitigating controls, and determine their effectiveness.

Below are the "Top Ten" risks as measured by their residual risk rating for FY 2022-23 [Also see Appendix D].

The top ten risks of 2022-2023:

1. Unfunded Mandates from State
2. Professional Liability Claims
3. Employment Recruitment
4. Employment Retention
5. Compression of Wages (Faculty and Staff)
6. Deferred Maintenance

7. Increase in Energy Costs
8. Continued Freeze on Tuition/Fees
9. Challenging Policy-Making Environment toward Higher Education
10. Debt Ceiling and Ability to Draw Title IV Funds

In addition to the Risk Assessment and Risk & Compliance Council activities, the OCE takes Helpline reporting into account when evaluating/monitoring UWF's workplace environment.

Response, Prevention & Enforcement

The UWF Integrity Helpline is a cornerstone of the OCE. First rolled out in summer of 2017, this system helps to facilitate a "speak up" culture by providing employees a safe space to voice concerns or report wrongdoing without any fear of retaliation or retribution.

Since its inception, the Helpline reporting levels have remained below average. During the 2022-23 FY, the Helpline receive approximately 1.25 reports per month, up from 0.6 the previous year. This trend is very likely be attributed to the return to campus and the associated increased person-to-

person interactions that followed. [See Appendix B for more information].

In terms of where the reported cases originated, the majority of cases continue to stem from Human Resources (40%), followed by Regulatory (27%), Academics (13%), Equal Employment Opportunity (13%), and Other (7%).

These trends are largely in line with Higher Education industry, where Human Resources constitute the vast majority of all reported cases. According to the [Navex Global 2022 Hotline Incident Management Benchmarking Report](#), 50% of all global

reporting is associated with HR, Diversity, and Workplace Respect.

Lastly, an important tool in the university's prevention efforts is imparted through proactive hiring practices. UWF's implements stringent screening processes, which maintain that no job finalist will receive an offer of employment without clearing a background screening. Furthermore, those applying for elevated positions of "Special Trust" are required to undergo "Level 2" fingerprint background check.

Incentives & Discipline

To proliferate our cultural values and shared expectations, OCE, collaborates with the Office of General Counsel, Human Resources, and Internal Auditing and Management Consulting to triage employee reporting and properly coordinate any subsequent investigations stemming from the Integrity Helpline.

Depending on the result of the investigation, disciplinary measure may be necessary. UWF's employs specific disciplinary procedures which are explicitly delineated within UWF Policy HR-22.00-4/22, Standards of Conduct. Specifically, the UWF Standards for Disciplinary Action

Table outlines progressive disciplinary actions for a variety of work standards. This method helps ensure disciplinary actions are carried out with consistency and expedience, thus, providing for the fair and equitable treatment of all employees.

Over the next 12 months, OCE plans to work with Human Resources and university leadership in order to develop new methods of incentivizing compliance and ethical behavior, such as incorporating these elements into the performance review process.



Measure Program Effectiveness

To ensure the success of any program, it is essential to strive for continuous improvement. In the case of compliance and ethics programs, this is particularly imperative as the regulatory environment is constantly changing.

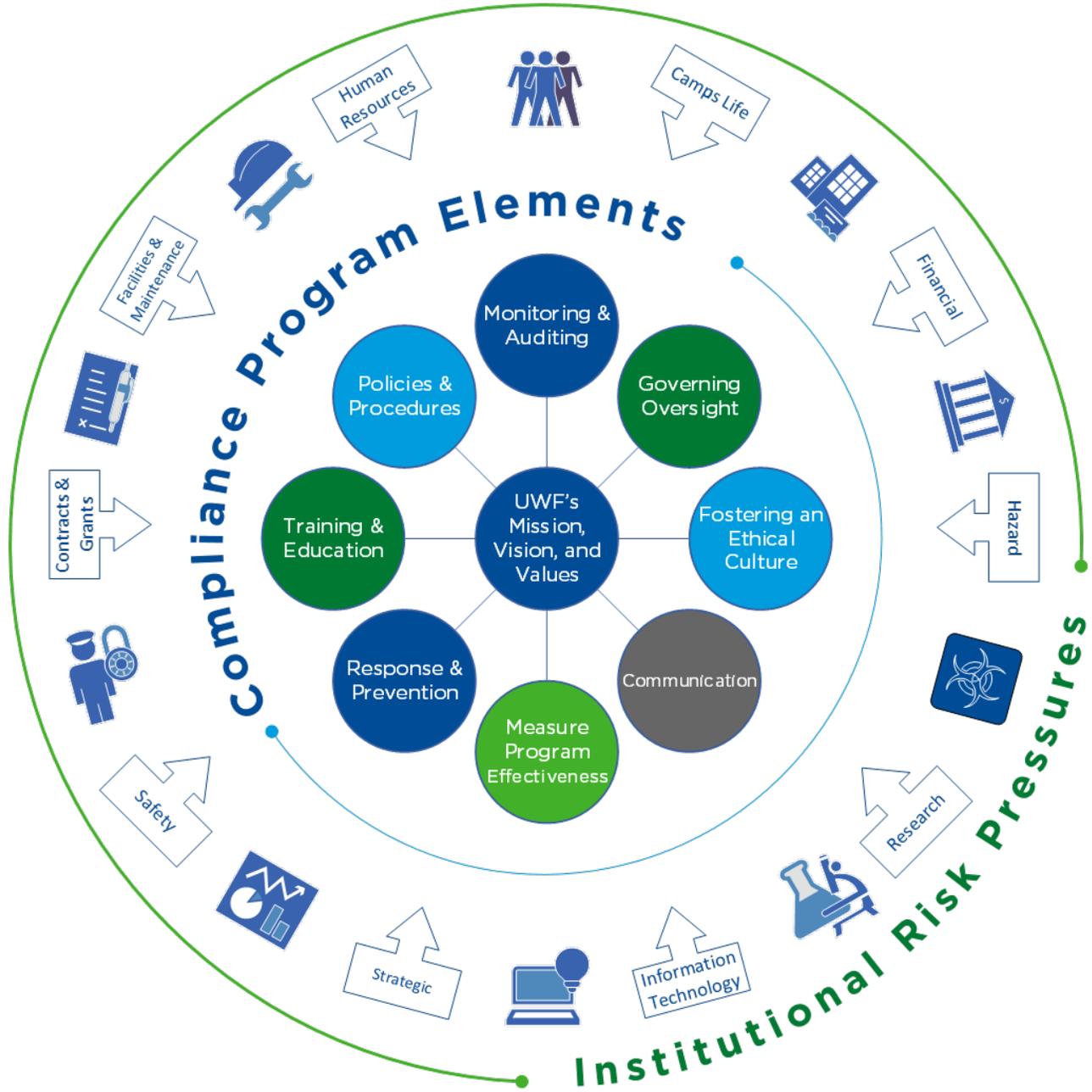
The Office of Compliance and Ethics implements a number of tools and practices to address program effectiveness. These include quarterly reporting to the Board of Trustees Audit and Compliance Committee, biannual meetings with the University President, and the production of an Annual Report and Annual Work Plan, to help ensure the program stays on track and is held accountable to its established goals.

Lastly, to ensure program effectiveness over the long-term, UWF compliance function undergoes a compulsory, external review process every five years that is initiated through the State University System Compliance and Ethics Consortium. Last year, UWF completed its first ever external review, the results of which were largely positive. Most importantly, the review confirmed that OCE is meeting all of the Board of Governors performance goals and regulatory requirements established by *BOG Regulation 4.003, SUS Compliance and Ethics Programs*.

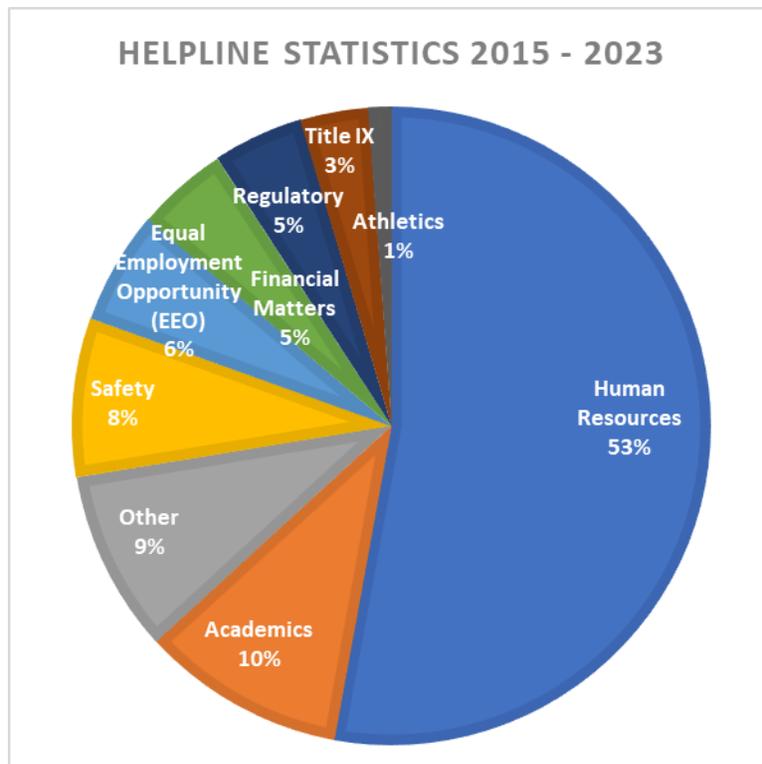
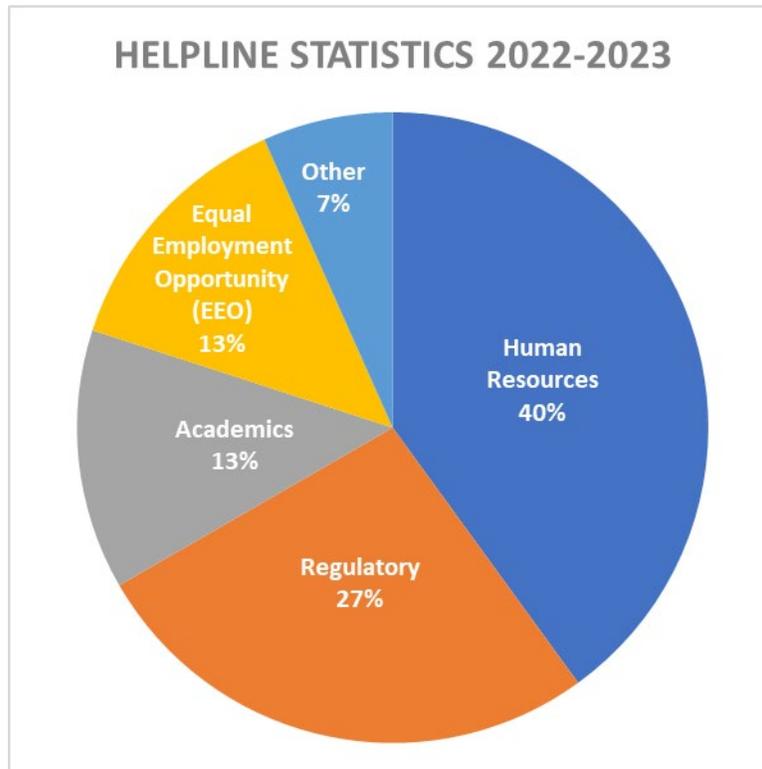


“UWF operates with fairness, respect, and integrity in all matters: Doing the right thing for the right reason.”

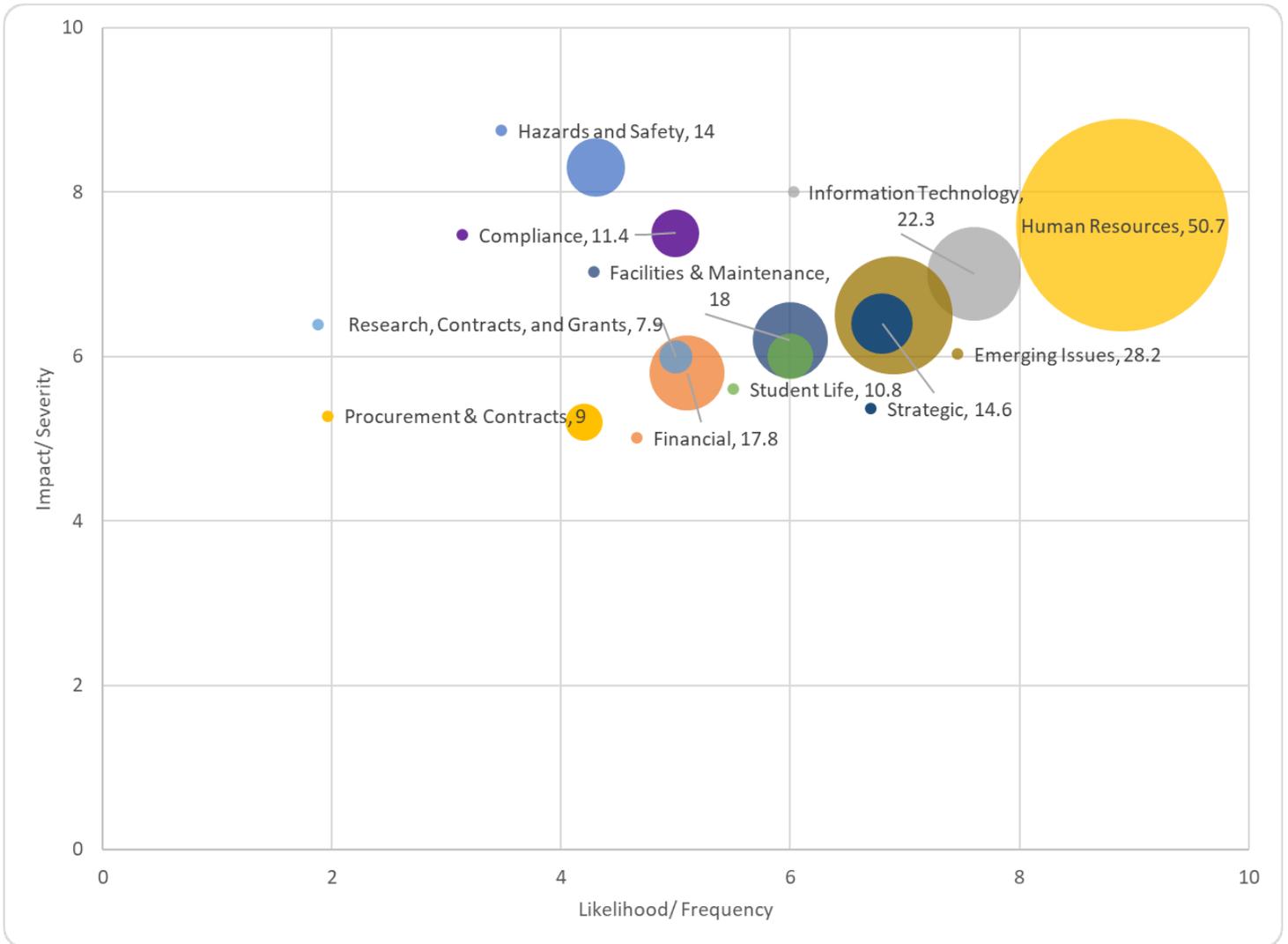
UWF Compliance Risk Framework



UWF Integrity Helpline Statistics

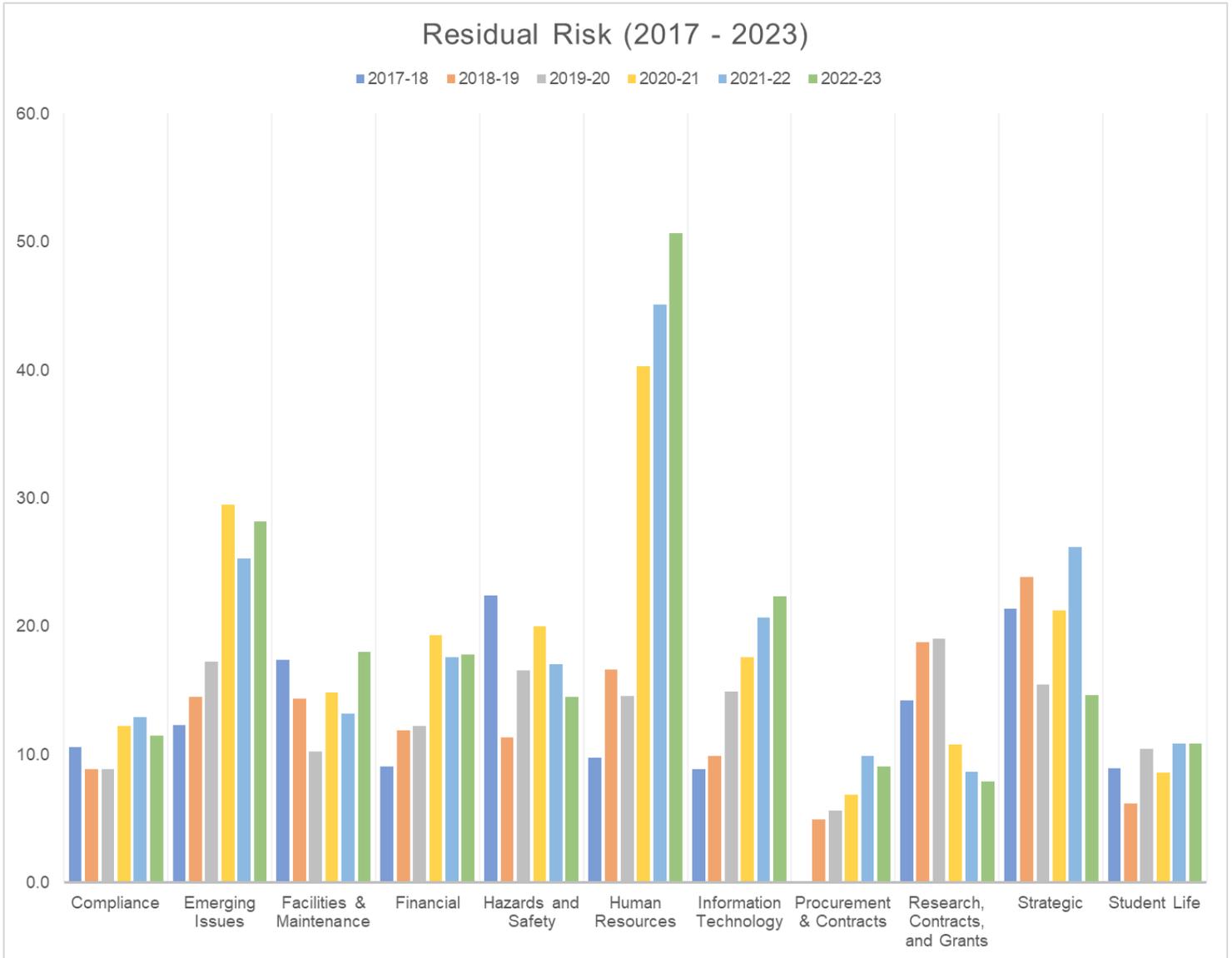


2022-2023 Risk Heat Map¹



¹ Each risk area is plotted on the axis of Likelihood/Frequency and Impact/Severity via a 1 to 10 scale. The relative size of each “bubble” is associated with its overall Residual Risk (i.e., relative risk to the university after the effectiveness of our compensating controls are considered).

Residual Risk Trends²



² The following graph depicts the median residual risk ratings for each UWF risk area over the past six years. The greater the overall residual risk the greater the risk exposure.

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