

Compliance Program and Tools

I. Abstract

This module is a brief overview of the institutional compliance program at Florida International University. It provides a brief outline regarding the program—its history, goals, and tools available in order to promote a culture of ethical conduct and compliance with laws, regulations and policies within the University Community. Faculty, staff and students who work on behalf of Florida International University assume responsibility for conducting themselves within the law and in keeping with the ethical standards of the University, the Board of Governors and the State of Florida.

II. Helpful Contact Information

Office of University
Compliance &
Integrity
PC 429
Ext. 7-2216

III. Rules of the Road

- a. Broadly defined, an institutional compliance program is one that has been reasonably designed, implemented and enforced so that it is generally effective in preventing and detecting violations of law. The program provides evidence of the institution's "due diligence" in seeking to prevent and detect violations of law and to promote a culture that encourages ethical conduct and a commitment to compliance with the law.
- b. In order to be effective, the compliance program must contain certain elements consisting of:
 1. Standards and Procedures
 2. Oversight and Exercise of Due Diligence
 3. Education and Training
 4. Auditing and Monitoring
 5. Reporting
 6. Enforcement and Discipline
 7. Response and Prevention
 8. Risk Assessments
- c. FIU's institutional compliance program has been in existence since 2004. Major accomplishments include creation of a University Policies and Procedures Library, compliance education and training to all new FIU employees during orientation, and extensive education and training in ethics under the State of Florida Code of Ethics for Public Officers and Employees.


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- d. The role of the University Compliance Office is to act as a liaison to strengthen the infrastructure that is in place to address regulatory compliance issues by: answering individual questions, concerns and/or complaints; bringing together working groups to tackle an actual or perceived gap in regulatory compliance; providing education and training in areas of legal high risk; and working in a collaborative fashion with other offices and functions that have day-to-day operational compliance responsibilities.

- e. Compliance Tools Available to the University Community include:
 - i. The University offers an ethics and compliance hotline to report on an anonymous basis any known or suspected act which is a violation of law or University policy. Faculty, staff and students can submit their reports via the Ethical Panther Reporting System, which is available 24 hours, 365 days per year via the Internet at: <http://www.convercent.com/report> or via the toll free number at: 1-844-312-5358. More information about the Ethical Panther Reporting System, including answers to frequently asked questions, is available at: <https://compliance.fiu.edu/hotline.html>

 - ii. Compliance Directory: Available at <http://compliance.fiu.edu/directory.htm>. This Directory identifies personnel by subject matter areas (such as conflicts of interest, grants management, and laboratory safety) who may assist in answering questions or concerns that you may have.

Compliance Directory



Compliance Directory

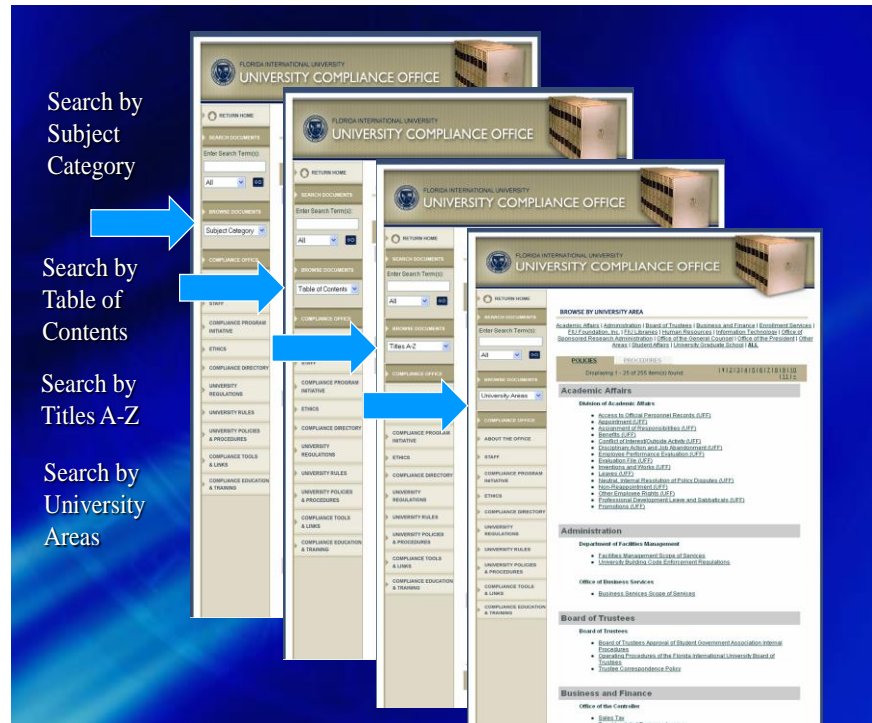
ABCDEFGHIJKLMNOPQRSTUVWXYZ

TOPIC	CONTACT PERSON	TELEPHONE
A		
Ethics	Academic Misconduct Kenneth Johnson, Vice President, Academic Affairs	305-348-2168
Compliance Directory	Rosa L. Jones, Vice President, Student Affairs and Undergraduate Education	305-348-2797
University Regulations	Americans With Disabilities Act Staff	
University Rules	Joann Cuatrecasas-Gomez, Director, Employee and Labor Relations, Human Resources	305-348-2181
University Policies & Procedures	Amanda L. Niguidula, MPA, Interim Director, Disability Resource Center, University Park Student	305-348-3532
Compliance Tools & Links	Athletics Pelle Garcia, Director of Athletics, Intercollegiate Athletics	305-348-2756
Compliance Education & Training	Jane Berg, Senior Associate Athletic Director and Senior Woman Administrator, Intercollegiate Athletics Stephen M. Fain, Faculty Athletic Representative, Professor Emeritus, Honors College Fellow William Shultz, Special Assistant to General Counsel, Athletics Compliance	305-348-2252 305-348-1507 305-348-8394
B		
Biohazardous Waste Generation and Disposal	Jennifer Mearns, Associate Vice President, Risk Management & Environmental Health & Safety	305-348-2921
Biosafety	Tamecca Knowles, Biosafety Officer, Risk Management & Environmental Health & Safety	305-348-3387
Bloodborne Pathogens	Jennifer Mearns, Associate Vice President, Risk Management & Environmental Health & Safety	305-348-2921
Booster Clubs	Joe Velasco, Executive Director, Athletic Association, Intercollegiate Athletics	305-348-9504
Building Codes	John Cal, Associate Vice President, Facilities Management	305-348-4001
C		
Career Services (Internships)	Netta Duarte, Career Consultant, Internships	305-348-4067
Chemical Hygiene	Tamecca Knowles, Biosafety Officer, Risk Management & Environmental Health & Safety	305-348-3387

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- iii. University Policies and Procedures Library: Available at <http://policies.fiu.edu/>.

The online University Policies and Procedures Library allows you to find documents via a word search. It also allows you to search for policies and procedures by Subject Category, Table of Contents, Titles A-Z, and University Areas.



- iv. Regulations: Available at <http://regulations.fiu.edu/>.

Florida International University regulations are found in the University's Board of Trustees' ("BOT") website. These regulations are approved by the BOT and are consistent with regulations promulgated by the State of Florida Board of Governors which oversees the entire State University System.

- v. Compliance Education and Training:
1. Various University offices offer compliance related education and training to the University Community as scheduled or upon the request of faculty members, staff or students.
 2. The following are samples of compliance education and training offered or available through the University Compliance Office:
 - a. Compliance 101: Presentation given to new faculty and staff during orientation. Covers basic obligations of FIU employees as

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public employees, conflict of interest disclosures, restrictions on the ability to solicit or receive personal gifts, privacy concerns including those related to student education records and data security.

- b. Ethics: In collaboration with the Office of the General Counsel, this presentation offers a more in depth review of FIU employees' obligations under the State of Florida Code of Ethics for Public Officers and Employees.
 - c. Export Controls: In collaboration with the Division of Research, this presentation provides an overview of federal laws which regulate the distribution of technology and information for reasons of foreign policy and national security to foreign nationals and foreign countries.
3. Other University offices that offer compliance-related education and training include:
- a. Information Technology Security Office: Please visit <http://security.fiu.edu/>.
 - b. Office of the General Counsel: Please visit <http://generalcounsel.fiu.edu/>.
 - c. Department of Environmental Health and Safety: Please visit <http://www.fiu.edu/~ehs/>.
 - d. Division of Research: Please visit <http://research.fiu.edu/>.