



FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES AUDIT AND COMPLIANCE COMMITTEE

FIU, Modesto A. Maidique Campus, Graham Center Ballrooms

Livestream: <http://webcast.fiu.edu/>

**Thursday, December 7, 2023
9:00 AM**

Chair: Chanel T. Rowe

Vice Chair: Alan Gonzalez

Members: Noël C. Barengo, Francis A. Hondal, Natasha Lowell, Yaffa Popack, Alexander P. Sutton

AGENDA

- | | |
|-----------------------------------------------------------------------------------|---------------------------|
| 1. Call to Order and Chair's Remarks | Chanel T. Rowe |
| 2. Approval of Minutes | Chanel T. Rowe |
| 3. Discussion Items <i>(No Action Required)</i> | |
| 3.1 Office of Internal Audit Status Report | Trevor L. Williams |
| 3.2 Office of University Compliance and Integrity Quarterly Report | Jennifer LaPorta |
| 4. Reports <i>(For Information Only)</i> | |
| 4.1 Plans for Implementing Civil Discourse Recommendations, Interim Update | Jennifer LaPorta |
| 4.2 Update to Annual Report of Foreign Travel to Countries of Concern | Jennifer LaPorta |
| 5. New Business | Chanel T. Rowe |
| 5.1 Office of Internal Audit Discussion of Audit Processes | |
| 6. Concluding Remarks and Adjournment | Chanel T. Rowe |

The next Audit and Compliance Committee Meeting is scheduled for February 29, 2024

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Meeting Book - 12-07-2023 - FIU Board of Trustees Audit and Compliance Committee Meeting

1. Call to Order and Chair's Remarks

Chanel T. Rowe

2. Approval of Minutes

Chanel T. Rowe

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3. Discussion Items (No Action Required)

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5. New Business

Chanel T. Rowe

5.1 Office of Internal Audit Discussion of Audit Processes

6. Concluding Remarks and Adjournment

Chanel T. Rowe

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December 7, 2023

Subject: Approval of Minutes of Meeting held September 14, 2023

Proposed Committee Action:

Approval of Minutes of the Audit and Compliance Committee meeting held on September 14, 2023.

Background Information:

Committee members will review and approve the Minutes of the Audit and Compliance Committee meeting held on September 14, 2023.

Supporting Documentation:

Minutes: Audit and Compliance Committee meeting, September 14, 2023

Facilitator/Presenter:

Chanel T. Rowe, *Chair, Audit and Compliance Committee*

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Audit and Compliance Committee
September 14, 2023
FIU, Modesto A. Maidique Campus, Tamiami Hall, Multipurpose Room

MINUTES

1. Call to Order and Chair's Remarks

The Florida International University Board of Trustees' Audit and Compliance Committee meeting was called to order by Committee Chair Chanel T. Rowe at 8:01 AM on Thursday, September 14, 2023.

General Counsel Carlos B. Castillo conducted roll call of the Audit and Compliance Committee members and verified a quorum. Present were Trustees Chanel T. Rowe, *Chair (Zoom)*; Alan Gonzalez, *Vice Chair*; Noël C. Barengo; Francis A. Hondal; and Alexander P. Sutton.

Trustee Natasha Lowell was excused.

The following Board members were also in attendance: Board Chair Roger Tovar, Board Vice Chair Carlos A. Duarte, and Trustee Marc D. Sarnoff.

Committee Chair Rowe recognized that according to the *Wall Street Journal's* Americas Best Colleges 2024 rankings, FIU is the fourth-ranked public university. She congratulated the University's faculty, administration, and students.

Committee Chair Rowe welcomed all Trustees and members of the University administration. She also welcomed the University community and general public accessing the meeting via the University's webcast.

Committee Chair Rowe also welcomed Faculty Senate Chair and faculty Trustee, Noël C. Barengo.

2. Approval of Minutes

Committee Chair Rowe asked if there were any additions or corrections to the minutes of the Audit and Compliance Committee meeting held on June 15, 2023. Hearing none, a motion was made and unanimously passed to approve the minutes of the Audit and Compliance Committee meeting held on June 15, 2023.

3. Discussion Items

3.1 Office of Internal Audit Status Report

Chief Audit Executive Mr. Trevor L. Williams presented the Office of Internal Audit Status Report. He indicated that since the Committee last met, the Office of Internal Audit (OIA) completed an audit of facilities assessments and deferred maintenance and reviewed FIU's Facilities processes to

ensure that the University has existing controls that are adequate and provide reasonable assurance that facilities assessments and deferred maintenance are adequately scheduled, performed, monitored, and communicated. He explained that the audit scope covered fiscal year 2021-22 and added that within said year, OIA identified 44 total deferred maintenance projects whose total costs was approximately \$13M. Mr. Williams pointed out that said \$13M was a sub-amount of the total \$95.8M that Facilities expended for major and minor projects during the audit period. He noted that overall, OIA concluded that Facilities has established internal controls and processes for the areas in scope and has excelled in their management of some of said areas, including the permitting of deferred maintenance projects, managing service contracts, and approving project expenses. He commented that OIA identified areas for process improvement and offered seven (7) recommendations, including: developing comprehensive written departmental procedures for the existing Life Cycle Asset Management function to address key processes; ensuring that preventive maintenance is automatically scheduled for all critical life safety assets and that the completion of preventive maintenance is timely documented within the Maximo system; implementing a robust Construction Project Management System that encompasses all key processes; and formalizing the process for reconciling Facilities' internal reports to the General Ledger.

Mr. Williams indicated that there are currently seven (7) audits in various stages of completion. He reported that of the 73 recommendations that were due for implementation during the six (6) months ended June 30, 2023, 58 or 79% were completed, 10 or 14% were partially implemented, and 5 or 7% were pending some form of implementation. He added that since June 30, 2023, three (3) recommendations that were in varying stages of completion have been completed, increasing the total of percent completed recommendations to 84%. He recognized the commitment that management is putting forth in being responsive to the audit recommendations and efforts in implementing said corrective actions.

Mr. Williams mentioned that OIA receives complaints of alleged wrongdoing, including suspected fraud, waste, and abuse. He added that since OIA's last report to the Committee, three (3) such complaints were received. He noted that OIA has initiated an evaluation of the significance and credibility of said complaints. Mr. Williams indicated that, in addition, OIA closed out five (5) other investigations that were ongoing at the time of the last update to the Committee in June. He pointed out that OIA is currently assisting the Athletics Department by providing advisory services to assist in their procurement card reconciliation and management processes.

3.2 Office of University Compliance and Integrity Quarterly Report

Chief Compliance and Privacy Officer Ms. Jennifer LaPorta presented the Office of University Compliance and Integrity quarterly report. She pointed out that FIU and the Office of Compliance has responded to the federal government's issuance of new export control and research security regulations as well as State of Florida legislation and new regulations guidance from the Florida Board of Governors (BOG) intended to strengthen foreign influence prevention. She noted that developing foreign influence controls, screening, and monitoring foreign influence workflows continues to be a priority for the Compliance office. She commented on a significant increase in the number of related activities and transactions which require both foreign influence prevention and export compliance reviews, as compared with the FY 2021-2022 time-period. Ms. LaPorta added that said workflows include screening related to all foreign travel, international visitors and delegations, foreign scholar

visa candidates, international shipments, and parties to international agreements. She commented on working with and supporting other units who have independently, or as a result of new foreign influence requirements, adopted or expanded visual compliance screening within their areas. She remarked on a 40% increase in total visual compliance screenings from FY 2020-21 to FY 2022-23. She pointed out that the Office of Compliance conducted 1,042 searches, including the screening of affiliations related to the individual parties and entities that the Office screens.

Ms. LaPorta stated that the Office of Compliance manages a centralized international shipping review process that is designed to systematically and timely address export licensing requirements while ensuring that routine shipping transactions occur without delay. She noted that the shipping review process addresses the broader scope of export licensing requirements to all international destinations with a transaction focus that includes exports pursuant to sponsored research and international faculty collaborations. Ms. LaPorta indicated that in FY 2022-23, an 86% increase was experienced in shipping review forms that required a substantive export control review to determine restrictions and licensing requirements. She pointed out that the Office of Compliance screens and approves all proposed international travel plans for faculty and staff throughout the University and provides individualized guidance to travelers regarding risk mitigation measures depending upon the foreign destination and planned activities of the traveler. She referred to a 117% increase in international travel screening in FY 2022-23 from the prior fiscal year, including a 98% increase in travel requiring a more in-depth substantive review by the Office of Compliance.

Ms. LaPorta indicated that, consistent with FIU's commitment to meeting best practice standards in policy administration, the Office of Compliance made significant updates and changes to the University policy framework, which is the governing document setting forth the endorsed, systematic approach for the development, review, and approval of University policies. She added that in FY 2022-23 the Office of Compliance consulted with policy owners during various stages of the policy development process and ushered 13 new or significantly revised policies. She stated that the Office of Compliance also assisted in the drafting and development of two new regulations. Ms. LaPorta commented that in FY 2022-23, the Office of Compliance acquired and used specialized software to begin the development of FIU customized training. She noted that, leveraging said software, the Office of Compliance designed, developed, and issued seven (7) new, customized compliance trainings to educate the University community. She pointed out that the University-wide average completion for said trainings was 99.5%. She stated that a total of 21,251 trainings were completed in FY 2022-23, a 202% increase from the prior fiscal year. Ms. LaPorta commented that the University's executive leadership maintained a completion rate of 100% for assigned trainings during the reporting period. She explained that the compliance requirements matrix creates an auditable record of over 107 required state, federal, and BOG submissions, allows Compliance to escalate to leadership if a required submission is overdue, and provides a support and resource for those with said responsibilities. She noted that throughout the 2022-23 FY, the Office of Compliance engaged with business partners to oversee the timely completion of said requirements with a verified completion rate of 100%.

Ms. LaPorta indicated that the Office of Compliance continued the administration of the FIU Ethical Panther Hotline, which included 103 new reports compared to 76 in FY 2021-22 and represented a 36% increase in reporting. She added that the Office of Compliance coordinated the triage of reports

by the Hotline Reports Review Committee, consisting of the Chief Compliance Officer, the Senior Vice President for Human Resources, and the Chief Audit Executive. She noted that the Hotline Reports Review Committee is tasked with reviewing all reports to determine the University's immediate and initial response, potential whistleblower status of the reporter, and what other University personnel, if any, must be involved in the investigation and the ultimate resolution of each report. Ms. LaPorta noted that the Office the Registrar, Office of Employee and Labor Relations, and Office of Civil Rights Compliance and Accessibility review, investigate, and resolve the majority of reports. She pointed out that, of the 103 new reports received during FY 2022-23, 19 reporters chose to use the call center, 48 reporters used the web form, and 36 reports were filed "by proxy", or reported via an alternate means and entered by a Compliance professional. She added that the vast majority of reporters, 73%, using the Ethical Panther Hotline chose to report anonymously. She noted that, to date, 84 cases were investigated and closed and 19 remain in review.

Board Chair Roger Tovar referred to the three (3) offices [i.e., Office the Registrar, Office of Employee and Labor Relations, and Office of Civil Rights Compliance and Accessibility] where the majority of reports are handled and inquired as to any possible trends. In response to Board Chair Tovar, Ms. LaPorta mentioned that reporters may report on a matter of concern that is not a policy violation and added that the multitude of said reports are resolved without a formal discipline being meted out. Board Chair Tovar requested that Provost and Executive Vice President Elizabeth M. Bejar ensure that the University is addressing any issues that have been identified as a result of said reports.

4. Reports *(For Information Only)*

There were no questions from the Committee members in terms of the annual reports included as part of the agenda materials.

5. New Business

5.1 Senior Management Discussion of Audit Processes

Committee Chair Rowe noted that, as is stipulated in the Audit and Compliance Committee Charter, the Committee must meet with the Office of Internal Audit and senior management, separately, to discuss the audit process. She further noted that because this meeting is conducted in the Sunshine, no one present or accessing the meeting via the webcast was required to exit the meeting during the discussion with senior management. She added that this was strictly voluntary. The Committee met with senior management. University President Kenneth A. Jessell commented on the positive working relationship with the Office of Internal Audit. He commended the Office of Internal Audit on the development of the annual audit plan and the thoroughness of the audit reports. President Jessell stated that Mr. Williams is highly regarded within the State University System. Senior Vice President for Human Resources El pagnier K. Hudson and Chief Financial Officer and Senior Vice President for Finance and Administration Aime Martinez also commented on the positive and collaborative relationship.

6. Concluding Remarks and Adjournment

With no other business, Committee Chair Chanel T. Rowe adjourned the meeting of the Florida International University Board of Trustees Audit and Compliance Committee on Thursday, September 14, 2023, at 8:33 AM.



Office of Internal Audit

FLORIDA INTERNATIONAL UNIVERSITY



BOARD OF TRUSTEES

December 7, 2023



Office of Internal Audit

Date: December 7, 2023

To: Board of Trustees Audit and Compliance Committee Members

From: Trevor L. Williams, Chief Audit Executive

A blue ink signature of Trevor L. Williams is written over the name in the 'From' field.

Subject: OFFICE OF INTERNAL AUDIT STATUS REPORT

I am pleased to provide you with our quarterly update on the status of our Office's activities. Since our last update to the Board of Trustees Audit and Compliance Committee on September 14, 2023, we have completed the following projects:

Projects **Completed**

Audit of Natural Disaster Preparedness and Response

We have completed an audit of the Natural Disaster Preparedness and Response function for the period of July 1, 2022, through April 30, 2023, and assessed the current practices the Department of Emergency Management (DEM) employed in managing the function through September 2023. The DEM has primary responsibility for overseeing and implementing the University's Comprehensive Emergency Management Plan (CEMP) and is supported by many different departments that have a role in the process, including, but not limited to, the Department of Environmental Health and Safety (EH&S) and Facilities Management, whose roles were specifically evaluated as part of this audit.

During the audit we reviewed the controls related to natural disaster preparedness and response at FIU, specifically related to hurricanes, tornadoes, and naturally caused fires. Our objectives were to ensure that controls are adequate and effective, conform to leading practices for disaster management, and are aligned with University policies and procedures, applicable laws, rules, and regulations.

In summary, we concluded that the DEM has established internal controls and processes for the areas in scope and has excelled in their management of most of these areas, including the creation and management of the CEMP, receiving full accreditation of their Emergency Management Accreditation Program, reviewing and testing of University-wide Continuity of Operations Plans, and training and awareness for natural disaster preparedness and response. Even so, we identified two areas for process improvement. Specifically, in EH&S, better documentation of fire extinguisher inspections and servicing is needed, and for the DEM, the timeliness of tornado alerts deserves consideration. We offered six recommendations to address the issues identified in the audit. Management has agreed to implement all recommendations offered.

Audit of Payments to Separated Employees

We have completed an audit of Payments to Separated Employees for the period of January 1, 2022, through December 31, 2022.

Florida Statute, FIU Regulation, and FIU policies govern the separation from employment process. The governing documents provide limitations on the amount and types of payments an employee may receive at separation. During the audit, we determined whether policies and procedures that outline processes, practices, and employee responsibilities are in place and in compliance with applicable laws and regulations; and verified the accuracy and timeliness of payments made to separated employees. Importantly, the audit noted that while specific units within the Department of Human Resources hold administrative oversight, the Supervisors and Department Heads of other departments have a critical role in ensuring the accuracy and timeliness of the separation process. Failure on the part of those other departments to exercise due diligence in carrying out their responsibilities related to the process could adversely impact the accuracy and timeliness of payments to separated employees.

In summary, we concluded that the University has established internal controls and processes related to the payments made to separated employees but noted instances of noncompliance and opportunities for improvement. We offered 17 recommendations to address the issues identified in the audit. Management has agreed to implement all recommendations offered.

Work in Progress

The following ongoing audits are in various stages of completion:

| <u>Ongoing Audits</u> | |
|-------------------------------------------------------|-----------------------|
| Audits | Status |
| Data Breach of Protected Information | Fieldwork in progress |
| Digital Brand Management | Fieldwork in progress |
| Food Network South Beach Wine & Food Festival | Drafting report |
| Panther Tech | Drafting report |
| Performance Based Funding Metrics Data Integrity 2023 | Fieldwork in progress |
| Student Housing | Planning |
| Continuous Auditing | Fieldwork in progress |

Adjustment to the Annual Audit Plan

The FY2023-2024 Audit Plan has been adjusted to terminate the planned audit of NCAA Football Attendance Certification because the NCAA Division I Council, at its October 4, 2023, meeting eliminated the home football game attendance requirements for FBS (Football Bowl Subdivision) schools, effective immediately. As such, we are providing the Audit and Compliance Committee with this update to the Audit Plan.

Investigation and Consulting Activities

Investigations

The Office of Internal Audit receives complaints and reports of alleged wrongdoing, including suspected fraud, waste, and abuse. Since our last quarterly report to the Audit and Compliance Committee, we have received three (3) such reports and have initiated an evaluation of their significance and credibility. Pursuant to governing regulations, we will inform the appropriate individuals about those complaints the Chief Audit Executive (CAE) deemed to be significant and credible.

Consulting

Our office continues to provide management advisory services and support to other University units through the OIA staff's participation in workgroups and advising on

process improvement efforts. To add value to the University, the OIA has provided management advisory services in the following areas:

- Athletics' P-Card reconciliation process improvement
- Support to Athletics in determining the amount owed to FIU from a former employee for misuse of the department's P-Card
- Pre-issuance review of Auxiliary Enterprise & Development's revised Auxiliary Operating Guidelines
- Ongoing development of a cost-effective fire extinguishers inspection and servicing management tool for EH&S

Professional Development

New Professional Standards

We perform our work to be in conformance with the professional standards for internal auditing issued by The Institute of Internal Auditors (IIA), principally, and with other applicable professional standards. Recently, The IIA announced that after analyzing the almost 19,000 comments received about the exposure draft of the revised standards, they expect to publish the final version of the new Global Internal Audit Standards in January 2024. The new Standards is significantly different from the 2017 version, and has a domain—Governing the Internal Audit Function (Domain III of V)—that outlines the board's responsibilities for the internal audit function. The board's responsibilities are summed up in the following three principles, which are further disaggregated into nine separate standards:

1. **Authorized by the Board** – The board establishes, approves, and supports the authority, role, and responsibilities of the internal audit function.
2. **Positioned Independently** – The board establishes and protects the internal audit function's independence.
3. **Overseen by the Board** – The board oversees the internal audit function to ensure the function's effectiveness.

The issuance of the new Standards may necessitate revisions of the OIA and Audit and Compliance Committee Charters, pending a review of said Standards. The Board of Trustees will be advised of the need for any of such revisions.

Training

Our staff members continue to take advantage of professional development opportunities that are available to them by completing training in IT controls, cybersecurity awareness, artificial intelligence, fraud, and regulatory environment,

among others. On September 24 – 28, 2023, four members of our staff attended the AuditCon Annual Conference hosted by the Association of College and University Auditors. On November 13 – 14, 2023, members of our staff also attended a two-day virtual training on various Florida regulatory subjects hosted by the Florida Chapter of the Association of Inspectors General. Being conscious of our responsibility to be an example, our staff members have completed the University's mandatory compliance trainings that are applicable to them.

Other Matters

Quality Assurance and Improvement Program (QAIP)

As part of our ongoing QAIP, our office is currently undergoing a periodic internal quality assessment. This assessment will help us identify any opportunities for improvement in our processes and operations. To the extent such opportunities are identified, we will implement any needed corrective actions. Also, we will communicate the results of the assessment to the Board of Trustees through the Audit and Compliance Committee.

Quality Assurance Review

The CAE was invited to participate on a Quality Assurance Review (QAR) team formulated to evaluate the internal audit function of the University of South Florida for conformance with professional standards and best practices for internal auditing. In addition, the CAE led a QAR team in evaluating the internal audit function of the University of Central Florida for conformance with professional standards and best practices for internal auditing.

Staffing

Through competitive selection processes, Mr. Saturnino Germosen joins the OIA as the Senior Information Systems Auditor on November 6, 2023, and Ms. Ibis Alcala joins the OIA as a Senior Auditor on November 27, 2023. Regrettably, effective November 17, 2023, one of the office's two Senior Auditor positions became vacant with the resignation of Mr. Brian Del Pino. This leaves the number of vacancies in the office at one Senior Auditor.



University Compliance and Integrity

FLORIDA INTERNATIONAL UNIVERSITY

Office of University Compliance and Integrity Quarterly Report

First Quarter 2023-2024

December 7, 2023





BOARD OF TRUSTEES
Audit and Compliance Committee
December 7, 2023

Office of University Compliance & Integrity Quarterly Report

The purpose of the Florida International University ("University") institutional Compliance and Ethics Program ("Program") is to promote and support a working environment which reflects the University's commitment to operating with the highest level of integrity while maintaining compliance with applicable laws, regulations, and policies. The Program is designed to prevent, detect, and correct misconduct within the University based on the elements of an effective compliance program as set forth in Chapter 8 of the U.S. Federal Sentencing Guidelines and as required by Florida Board of Governors Regulation 4.003.

The Office of University Compliance and Integrity (the "Compliance Office") is pleased to present the status update for the 2023 – 2024 Compliance Work Plan. The information reflects progress on the key action items and other compliance activities for the first quarter of fiscal year 2023 - 2024 (July – September).

1. Provide Program Structure and Oversight of Compliance and Ethics and Related Activities

The Compliance Office serves as a point for coordination of and responsibility for activities that promote an organizational culture that encourages ethical conduct and a commitment to compliance with applicable federal, state, and local laws, as well as regulations, rules, policies, and procedures.

2. Standards of Conduct and Policies

The Compliance Office oversees the Florida International University Policies and Procedures Library as well as the University-wide policy development and management process. The Compliance Office provides support to the offices responsible for developing, updating, administering, communicating, training, monitoring, and ensuring compliance with University policy.

3. Training, Education and Communications

The Compliance Office trains, educates, and creates communication pathways to inform the Florida International University Community of its compliance responsibilities, regulatory obligations, and the University compliance and ethics program.

4. Measurement and Monitoring

The Compliance Office identifies and remediates noncompliance through proactive review and monitoring of risk areas. The monitoring plan is typically determined by the evolving risks, new laws, and regulations as well as trends identified by the Compliance Office in partnership with other units. The Compliance Office also measures and evaluates the overall compliance and ethics culture of Florida International University

5. Enforce and Promote Standards through a System of Investigations, Discipline, Incentives and Corrective Actions

The Compliance Office, in consultation with the University President and FIU Board of Trustees and in partnership with Human Resources, promotes and enforces the Program and University regulations, policies and procedures consistently through appropriate incentives and consequences for noncompliance. The Compliance Office conducts timely reviews and coordinates investigations of allegations of noncompliance and misconduct and provides guidance on corrective actions.

6. Risk Management

The Compliance Office partners with the Office of Internal Audit through the Enterprise Risk Assessment to identify areas of compliance risk for further monitoring and to assist risk owners in mitigating and managing risk.

Office of University Compliance & Integrity Quarterly Report

PROGRAM STRUCTURE & OVERSIGHT

The 2023-2024 Annual Work Plan includes continuation of the multitude of Program activities conducted, coordinated, and facilitated by the Compliance Office that promote an organizational culture and that encourage ethical conduct.

Compliance Internal Operating Procedures

- Continue to engage in process improvement assessment, development, testing, and evaluation of the following internal operating procedures to document and streamline the various processes, programs, and functions undertaken to effectuate the Program:
 - Visual Compliance Restricted Party Screening (under development)
 - Training Notification and Escalation (updated)
 - International Shipping Assessment Procedures (updated)

Foreign Influence and Global Risk Governance Activities

- Facilitated ad hoc Florida Statute Foreign Influence Sub-committee meetings (Sub-committees: 286.101 Foreign Gifts and Contracts; 288.860 International Cultural Agreements; 1010.25 Foreign Gift Reporting; 1010.35 Screening foreign researchers; 1010.36 Foreign travel; research institutions).
- Worked with the Office of General Counsel (OGC) to gather responsive data for the July 31 deadline to file federal and state foreign gift/agreement reports.
- In cooperation with the Office of Research and Economic Development (ORED), the Division of Human Resources, OGC, and the Office of the Provost, incorporated process improvements into workflows, job postings, and screening processes to incorporate mandates of the Florida statute regarding foreign influence.
- Worked with export control consultant to review and approve international shipments through a centralized international shipping review process that is designed to systematically and timely address export licensing requirements while ensuring that routine (non-controlled) shipping transactions occur without delay.
- The Export office classified research projects and developed technology control plans as required to comply with export regulations for a specific project.

- Conducted 168 visual compliance research reviews during the reporting period as part of the visa applicant questionnaire screening, international agreement screening, international shipping review, and travel authorization review processes. Met with key stakeholders to discuss restricted party visual compliance hits.
- Participated in ad hoc Travel Committee meetings to review and issue recommendations regarding employee and student petitions for international travel and student mobility programs.
- Participated in meetings with key stakeholders to discuss and address new foreign influence BOG Regulation.
- Worked with the OGC and ORED to address specific foreign influence risks.
- Met with key stakeholders to discuss restricted party visual compliance hits.
- Met with faculty upon request to discuss questions regarding the travel authorization processes, to include the foreign travel questionnaire and related expense reporting procedures.
- Met with the Business Services team to discuss the processes for accepting international shipments via RICOH for shipments on behalf of FIU, in order to identify potential controls that can be put in place regarding export control review.
- Met with FIU Global, the Office of the Controller, and the PantherSoft team to discuss improvements to the Travel Authorization Request process and year-end processing of TARs.
- Completed the biannual shipping review assessment process in order to analyze gaps and identify improvements as part of current international shipping procedures.
- Met with Mail Services to discuss updates to the international shipping process to include the new process for reviewing of shipments/mailings to U.S. territories.
- Arranged Meet and Greet for new FBI Special Agent in Charge of Miami Field Office.
- Respond to BOG requests for information regarding foreign influence.
- Coordinate institutional response to state requirements regarding the purchase, acquisition, and use of drones/UAS.
- Prepared and submitted Annual Report of Travel to Countries of Concern to the Board of Trustees.

Participation in Task Forces, Committees and Other Compliance-Related Initiatives

The Compliance Office continues to lead and/or participate in several task forces, committees and initiatives including, but not limited to:

- Chair of the State University System Compliance Consortium
- Chair of the Global Risk and Foreign Influence Task Force
- Chair of the Institutional Conflict of Interest Committee
- Chair of the Policy Committee
- Chair of the Compliance Liaison Committee
- Co-Chair of the Health Insurance Portability and Accountability Act Committee

- Co-Chair of the FERPA (Family Educational Rights and Privacy Act) Committee
- Co-Chair of the Enterprise Risk Management Group
- Member of the Dean’s Advisory Council
- Member of Civil Discourse Taskforce
- Member of the Operations Committee
- Member of the National Collegiate Athletic Association Oversight Committee
- Member of the International Travel Committee
- Member of the University Building Access Controls Committee
- Member of the Drug and Alcohol Task Force
- Member of the Digital Accessibility Working Group
- Member of the Professional Licensure Disclosure Committee
- Member of the Outside Activity/Conflict of Interest Workgroup
- Member of the Digital Accessibility and Service Committee (DASC)
- Participant in the Biscayne Bay Leadership Team meetings
- Participant in Information Technology Administrators Committee (ITAC)
- Participant in Veteran’s Affairs Workgroup
- Participant in FIU Communicators Committee
- Participant in Clinical Informatics Committee
- Participant in the Red Flags/Identity Theft Prevention Program Update Group

Athletics Compliance Oversight and Initiatives

- Collected student assistance funds expenditures.
- Sent National Letter of Intent info packets to coaches and staff.
- Verified aid in Compliance Assistance.
- Reviewed all outside aid.
- Distributed memo to coaches regarding housing cancellation policy for spring (end of September – early October).
- Completed National Letter of Intent Commitment Form (supplied by the NLI and/or Conference Office).
- Completed monthly review of aid on PantherSoft and Compliance Assistance.
- Confirmed all on-campus housing for student athletes (for COA purposes).
- Confirmed on-campus housing allotments/ room assignments.
- Reviewed outside awards.

- Posted aid in Compliance Assistance.
- Prepared Null and Void letters for National Letter of Intent's.
- Printed squad lists before the first day of competition; Provided squad lists to coaches and SAAC staff.
- Requested potential mid-year enrollees information.
- Completed Academic Profiles in Jump Forward; Collected and reviewed practice logs (with coaches and student athletes signatures).
- Completed Transfer Assessment.
- Confirmed all 48-C's are in PSA files.
- Prepared admissions letters for guidance counselors and signees.
- Completed daily full-time enrollment checks; Updated coding for squad list changes.
- Scheduled rules education with Home College Advisors (list provided in August).
- Reminded SAAC to verify all incoming transfers are registered in correct program.
- Logged student athlete's 45-day certification limitation; 45-day temporary certification period ends.
- Ensured Monthly Time Management Plan calendars were submitted.
- Attended practice (three teams/week).
- Updated participation logs.
- Conducted all coaches' meetings topics.
- Conducted new coaches and new hire orientations.
- Conducted rules education meeting for on-campus constituents (Admissions, Housing, Dining Services, Registrar, Financial Aid, Police Department, Etc.)
- Launched the Panther Exchange (a student-athlete NIL business registry).

Health Affairs Compliance

- Finalized new "Patient Rights and Responsibilities Act" Policy and Procedure, training module, and quiz questions.
- Finalized HIPAA Privacy Rule Training Module groupings with liaisons.
- Finalized HIPAA Privacy Rule Quarterly Privacy Assessment tool and began developing online version for ease of use.
- Approved new contracts within the TCM system.
- Engaged CynergisTek/ Clearwater for reassessment of FIU's HIPAA Hybrid structure.
- Conducted on-going HIPAA Privacy Rule investigations.
- Updated privacy forms for the HWCOM Medical Practice, NHelp, and CCF.
- Participated in the Informatics and Drug and Alcohol Committee meeting.
- Assisted Division of IT/HIPAA security teams with their investigations and reports.
- CCO worked with the OGC to respond to Office of Civil Rights Complaint and Request for Information.

| |
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| Oversight and Accountability |
| <ul style="list-style-type: none"> ➤ Compliance Liaison Dashboard – Met with key liaisons to address compliance related issues and initiatives within their division. ➤ Executive Dashboard – Presented the Vice President/Dean Executive Scorecard each month at the Operations Committee and Deans Advisory Board Meetings indicating the status of required compliance tasks for University leadership (trainings and policy attestations). ➤ Policy Working Group Scorecard – Finalized policy development framework with planned updates and sent to OGC for review. Policy Workgroup to review and consider final draft. |
| Operationalize FIU's Core Values |
| <ul style="list-style-type: none"> ➤ Made updates to the Code to align with changes to policy and new legislation. |
| Compliance Office Planning |
| <ul style="list-style-type: none"> ➤ Leveraged the recommendations of the External Program Report of the Florida International University Compliance Program, and annual Workplan to develop and execute detailed project plans for completion of workplan elements. ➤ Received approval of request for additional resources in Compliance Office and initiated recruiting process and development of new job descriptions. ➤ Reviewed existing vendor contracts to determine renewal. ➤ Met with Human Resources to discuss their plan for new case management system, necessitating search for new Hotline provider. |
| <p style="text-align: center;">STANDARDS OF CONDUCT & POLICIES</p> <p>The 2023-2024 Annual Work Plan includes continuation of the support and resources the Compliance Office provides to Policy Owners in enforcing University policies and procedures, launch of the updated Code of Conduct, oversight of the Policy Working Group and updates to the University Policy Framework and the University's ethics policies related to State Employee responsibilities and obligations.</p> |
| 2023-2024 Policy Development Process |
| <ul style="list-style-type: none"> ➤ Updated documentation related to the revised Policy Development Framework including FIU Policy Development policy, policy development checklist, and policy development guidance and checklist. Shared with key stakeholders to finalize before DAC and OPS endorsement. ➤ In coordination with the Office of the Controller, initiated Operations Committee review of the revised University Identity Theft Prevention Program, the corresponding policy, and the review of the red flags training created by the Compliance office. |

- Continued to work on the requirements for a new policy development and administration platform to be created in conjunction with Information Technology.
- Continued work on FIU policy regarding the use and purchase of drones at FIU.
- Initiated the planning process for the University-wide three-year policy review.

Risk Management approach to University Policies

- Continued to incorporate data analysis from the University-wide policy review and the FIU Risk Assessment to determine breadth and frequency of individual policy communication campaigns and whether associated training is necessary.
- Identified and coordinated policy campaigns with policy owners using a risk profile lens as new policies are created or substantively updated.
- Incorporated risk evaluation language into Policy Development Framework.

Increase University Policy Awareness

- Continued to work with policy owners to determine the frequency and appropriate audience for policy campaigns.
- Continued to work with policy owners to identify various new methods of communicating policy.
- Continued to work with Human Resources to utilize the HR Newsletter as a new/updated policy and process communication tool (e.g., code of conduct and international shipping processes).
- Worked with the OGC, Office of Civil Rights Compliance, and other key stakeholders to develop a communications campaign for the Intimate Relationship Regulation.
- Met with ORED to discuss Foreign Influence Communication Plan.

New University Policies Reviewed and Endorsed by the Operations Committee and Deans Advisory Counsel

- The Office of University Compliance ushered the following policy through the Policy Framework endorsement process:
- 1110.32 Preventing Identify Theft on Covered Accounts Policy (reviewed alongside corresponding program: FIU Identity Theft Prevention Program)

TRAINING, EDUCATION & COMMUNICATIONS

The 2023-2024 Annual Work Plan includes continuation of robust training, education and communication activities conducted, coordinated, and facilitated by the Compliance Office to increase employee awareness. Efforts include information communicated through mandatory compliance training campaigns, self-enrollment educational opportunities, FIU's Compliance Newsletter, the Compliance and Integrity and Export Control Websites, time-sensitive communications, presentations and compliance updates, and participation in New Employee Orientation.

2023–2024 Annual and Scheduled Training, Education, and Communication

Designed, developed, launched, and escalated six compliance Policy Acknowledgement/Training Campaigns to University faculty and staff including:

- FIU Clery Act Basics Training
 - TBD % completion
- FERPA Basics
 - TBD % completion rate
- Employee Code of Conduct
 - TBD % completion rate
- Reporting of Child Abuse: Your Mandatory Obligations
 - TBD % completion rate
- HIPAA Basics
 - TBD % completion rate
- Preventing Identity Theft by Detecting Red Flags
 - 100 % completion rate

Designed, developed, and issued twelve Training Campaigns that are ongoing and open for self-enrollment:

- HIPPA Basics (enrollment required for access to protected health information)
 - Rolling enrollment
 - Employees and students trained: 2,733 (CY 2023)
- Payment Card Industry Data Security Standard Training for Merchants (enrollment required for access to certain privacy-controlled data)
 - Rolling enrollment

- Employees trained: 246 (CY 2023)
- Payment Card Industry Data Security Standard Training (PCI-DSS) for IT (enrollment required for access to certain privacy-controlled data)
 - Rolling enrollment
 - Employees trained: 40 (CY 2023)
- Payment Card Industry Data Security Standard Training (PCI-DSS) Version 4.0 (enrollment required for access to certain privacy-controlled data)
 - Rolling enrollment
 - Employees trained: 52 (CY 2023)
- FERPA Basics
 - Rolling enrollment
 - Employees trained: 433
- FERPA Annual Training (enrollment required for Campus Solutions Access)
 - Rolling enrollment
 - Employees trained: 3,438
- Export Control for Health Sciences Professionals
 - Open for self-enrollment
 - Employees trained: 6
- Export Control for Research and Operations Personnel
 - Open for self-enrollment
 - Employees trained: 17
- Export Control Basics
 - Open for self-enrollment
 - Employees trained: 7
- The FIU Chosen First Name and Pronoun Use Training
 - Open for self-enrollment
- Records Management Compliance Training
 - Open for self-enrollment
- New Employee Experience Compliance and Ethics training
 - Conduct live bi-weekly trainings for new employees as they are onboarded.

Communications Campaigns and Coordination with Key Stakeholders:

- Conflict of Interest Policies (prepare to launch in Fall)
- Drug Free Campus/Workplace Drug and Alcohol Abuse Prevention - (prepare to launch in Fall)
- FIU 2505 Alcoholic Beverages Campaign – (prepare to launch in Fall)
- Political Activity/Political Participation – (prepare to launch in Fall)
- International Shipping Procedures (prepare to launch in Fall)
- Code of Conduct – (prepare to launch in Fall)

Training and Education Program Activities

- Continued to work with Human Resources to utilize the HR Newsletter as a new/updated policy and process communication tool (e.g., code of conduct and international shipping processes).
- Continued to train new hires bi-weekly through participation in the New Employee Experience orientation session.
- Managed two trainings and policy acknowledgment campaigns, through escalation.
- Launched six additional compliance training campaigns.
- Continued to work on the development of an internal FIU HIPAA Basics training in order to phase out the third-party version of the current course available to HIPAA covered units. Review and feedback provided by the Director, Health Affairs Compliance.
- Continued to coordinate with the Office of the Controller on the review of the red flags training created by the Compliance office.
- Worked with FERPA Committee to communicate requirements regarding FERPA's application to photographic images and video of students.
- Made updates to multi-year communications plan for compliance areas for fiscal years 2024 through 2026.
- Completed and published the new course creations for Red Flags and Reporting of Child Abuse compliance courses within FIU Develop.
- Met with the Office of the Controller and Information Technology to discuss the automated process for the verification of training of the Payment Card Industry (PCI) courses. Assisted with testing of the new process.
- Met with HWCOP and Center for Children and Families representatives to discuss the processes for the dissemination of HIPAA training and removal of access to the EMR for those that do not complete training.
- Published the 2023/2024 version of the FERPA Annual training that ties to Campus Solutions access, where users must first complete training prior to being allowed to enter the system to gain access to student records.

- Met with Human Resources to discuss implementing an FIU Employee Code of Conduct Acknowledgement within the automated new hire paperwork that must be completed so that employees that onboard must attest that they have read the Code.
- Met with HWCOT Human Resources and other key team members to discuss the requirements for FERPA training amongst certain faculty members depending on their designation.
- Met with Clery Act owner from University police to determine appropriate audience for upcoming training campaign.
- Completed and published the new course creations for the FIU Clery Act and FERPA Basics compliance courses within FIU Develop.
- Completed creation and launching of in-house FIU-specific content curated versions of courses previously disseminated via third party vendor, Vector Solutions. Met with Vector Solutions to terminate contract.
- Met with FERPA committee to discuss reported FERPA violations and targeted educational efforts based on root cause analysis trends.

MEASUREMENT & MONITORING

The 2023-2024 Annual Work Plan includes continuation of regular measurement and monitoring program elements in addition to conducting several identified assessments informed by evolving risks, new laws, and regulations, as well as trends identified by the Compliance Office in partnership with other units.

Measurement and Monitoring Activities

- Oversight and management of the Compliance Requirements Matrix Platform.
- On a monthly basis, met with Gartner, third party compliance consultant services, to discuss and utilize advisory services and resources for ongoing compliance initiatives (e.g., training, communications, and policy development and framework).
- Various meetings with FERPA team regarding potential breaches and guidelines for photo and video representations of students on departmental websites.
- Met with Incident Response Team, as needed, to manage response to breach incidents.
- Worked with the Office of Internal Audit to provide information regarding the Data Breach Audit.
- Met with Building Access Controls Committee to design oversight program regarding permissions.
- Coordinated with OGC on process improvements over the collection of information for the biannual reporting of foreign gifts and contracts. Implemented improved guidance and tracking documentation to gain efficiencies over the process.
- Continued research and planning for a new FIU Privacy Taskforce.
- Met with group to coordinate response of the Risk Self-Assessment guidelines for upcoming state Department of Risk Management Audit.

- Initiated an assessment over the travel authorization request and compliance and expense reporting processes in place for international travel for foreign influence considerations.

Scheduled Compliance Reviews and Assessments

- International Shipping Process Assessment – Made updates to the international shipping process based on the results of the Compliance Assessment.
- Athletics Compliance Assessment – Reviewed results of Rules Education Assessment to assist us in analyzing how well we organize, communicate, document, and evaluate FIU’s athletic rules-compliance efforts and to engage in Athletics Compliance strategic planning.
- Athletics Title IX Assessment – Reviewed results of third-party consultant Title IX assessment of the Athletics program as required by the NCAA. Discussed results and follow up with the OGC and members of executive leadership.
- Assessment of Policy Framework – Updated Policy Framework following assessment.

Ongoing Measurement and Monitoring Program Elements

- Outside Activities/Conflict of Interest Disclosure Process – Continued to work with University partners through this review process to assess risk exposures posed by certain disclosures and take proactive steps to address those risks.
- Ethical Panther Hotline Case Review – Continued to provide administration and oversight of the Ethical Panther Hotline to include review and tracking of all reports submitted. Collaborated with Employee and Labor Relations to identify additional methods for improving the populating of information in the case management system.
- Travel Authorization Monitoring - In cooperation with Global Affairs, the Compliance Office monitors and assesses export control and other risks associated with international travel as a member of the International Travel Committee and as an approver for an export control questionnaire for all international travel authorizations. The Compliance Office reviewed and responded to 127 travel authorization foreign travel considerations and export control approvals.
- External Compliance Requests or Investigations - Continued to provide support, coordination, and oversight of external inquiries into compliance with federal and state laws and NCAA requirements.
- Participation in Task Forces, Committees and Other Compliance Initiatives – Continued participation in a wide variety of groups to both contribute compliance guidance into University operations and to monitor operational activities for risk mitigation purposes.
- Partnership and Coordination with Internal Audit – Continued to provide guidance to the Office of Internal Audit regarding compliance-related audits and matters. Based on audit findings, (which are communicated as a matter of course to the CCO), the Compliance Office provides guidance, training, and/or assists departments with policy and procedure development and other mitigation strategies. Discussed Office of Compliance contribution to the Risk Assessment.
- Compliance Requirements Matrix - Administered the Compliance Requirements Matrix which includes deadlines for items

requested of business partners throughout the campus by regulators and a verification process for required submissions.

- Risk Assessment - The enterprise risk assessment conducted by the Office of Internal Audit continued to serve as a guide for the Compliance Office's risk-based approach to prioritizing and addressing University policy and other Compliance requirements.
- Payment Card Industry Training and Approval - Trained and approved 49 individuals to work as merchants accepting credit cards for payment and for Information Technology personnel to gain access to sensitive information.
- Export Control Visual Compliance Screenings - Conducted 168 visual compliance research reviews during the reporting period as part of the visa applicant questionnaire screening, international agreement screening, international shipping review, and travel authorization review processes.
- International Travel Committee - Reviewed and provided recommendations for travel petitions.
- International Shipment Review - Conducted four international shipping reviews during the reporting period as part of the international shipping review process.
- Medical Records Access Monitoring Tool - The Director of Compliance and Privacy for Health Affairs collaborated with key stakeholders to coordinate the externally staffed access auditing tool with the Medical Records Applications utilized by the Faculty Group Medical Practice, NeighborhoodHELP, the Center for Children and Families, and Student Health.
- JumpForward Compliance Platform - The Athletics Compliance Office leveraged the *JumpForward* platform to automate and monitor key compliance functions such as recruiting activities, ticket management, and financial aid. The platform integrates an NCAA rules engine and flexible workflows to effectuate communication and education with athletic staff members.

Compliance Calendar Monitoring

- Administered the Compliance Requirements Matrix.
- Continued to work with Information Technology to address improvements to the Compliance Requirements Matrix Platform to support this Compliance monitoring function.
- Communicated with business partners to remind them of deadlines and to seek verification of submissions for the following compliance items within this reporting period:
 - Email to supervisors regarding NCAA Compliance and Accountability Competency PEP Rating
 - Email to supervisors regarding Compliance and Accountability Competency PEP Rating
 - Florida Bar membership dues
 - Federal Tax and FICA tax remittance
 - Voter Registration Provision in Higher Education Amendments of 1998
 - Student Right to Know Act Publication Requirement
 - Legal requirements relating to Social Security Number (SSN)
 - Florida Commission on Ethics Financial Disclosure

- Compliance Annual Work Plan submittal to BOG
- Student Right to Know Act Publication Requirement
- Southern Association of Colleges and Schools (SACS) Accreditation financial profile and indicators
- Office of Federal Affairs Federal Lobbying Disclosure Reports
- NCAA Sports Sponsorship Demographics Report
- Internal Revenue Code (IRC) Employer's Quarterly Federal Tax Return (Form 941)
- Student Exchange and Visitor Information System (SEVIS)
- SACS Accreditation annual dues
- Patient Protection and Affordable Care Act Requirements
- Foreign Source Reporting
- Annual report of foreign travel to countries of concern to the Board of Governors
- Student Assistance Fund (formerly the Special Assistance Fund and Student-Athlete Opportunity Fund) Report
- NCAA Report of Uses for Revenue Distributions
- NCAA membership dues
- Student & Employee Drug-Free Campus/Workplace Drug and Alcohol Abuse Prevention Annual Notification
- Firearms and Dangerous Weapons Policy biannual notification
- Statement of Financial Interests - grace period
- Institutional Biosafety Committee (IBC)
- Political activity and political participation University-wide communication
- Foreign travel employee communication
- Annual benefits open enrollment
- Constitution Day
- Data requests to Florida Board of Governors compliance verification
- Federal Contractor Veterans Employment Report (VETS-100) (VETS 4212)
- Higher Education Act: Federal Supplemental Educational Opportunity Grant Program
- Compliance Annual Report submittal to BOG
- FL Equity Report
- Annual Equity Report
- Nepotism and Intimate Relationship disclosure requirements communication

ENFORCE AND PROMOTE STANDARDS THROUGH A SYSTEM OF INVESTIGATIONS, DISCIPLINE, INCENTIVES AND CORRECTIVE ACTIONS

The 2023-2024 Annual Work Plan includes continuation of the Compliance Office assisting in investigations and reviews, overseeing the Ethical Panther Hotline, making effective use of “Scorecards” to highlight accountability, awarding professional development credits for completion of compliance tasks, and providing oversight and guidance to compliance partners regarding corrective actions.

Align Completion of Compliance Tasks with the Performance Excellence Process (PEP)

- Continued work with the Division of Human Resources to ensure consequences for employees who fail to complete required compliance tasks following the escalation protocol.
- Continued work with the Division of Human Resources to implement a system to inform supervisors of employees who have not completed compliance tasks for inclusion in the Performance Excellence Process (PEP).
- Notified all supervisors in the Athletics department reminding them to specifically reference NCAA Compliance in the comments section for the Compliance and Accountability Competency and to not give above a “2” rating for this competency to any employee responsible for an NCAA violation in the review year (other than those that were “incidental”).

Administer, Support, and Promote the Florida International University Ethical Panther Hotline

- Continued administration of the FIU Ethical Panther Hotline to include assignment, review, and tracking of 37 open reports through the end of June (including 16 new reports from July – September), data compilation, trend review, and reporting.
- Continued to partner with the Division of Human Resources and the Office of Civil Rights Compliance and Accessibility to improve case management workflows.
- Coordinated the triage of reports by the Hotline Reports Review Committee, consisting of the Chief Compliance Officer, the Senior Vice President for Human Resources, and the Chief Audit Executive, tasked with reviewing all reports to determine the University’s immediate and initial response, whistleblower status, and what other University personnel, if any, must be involved in the investigation and the ultimate resolution of each report.
- Responded or facilitated response to each identified reporter to confirm that the report was received, was being reviewed, and to point the reporter to additional support and resources at FIU that may be relevant given the specific nature of the report.
- Continued regular monitoring of the status of hotline reports and follow up with assigned investigators to ensure reports are assessed and addressed.
- Continued to promote the FIU Ethical Panther Hotline on the Compliance Website, the new Export Control Website, the Policy Library, and in various communications.

- Reviewed automated weekly reports to monitor progress on investigations stemming from Ethical Panther Hotline cases.
- Worked with Human Resources Information Systems to create reports and dashboards to illustrate reporting trends for submissions included in the iSight case management system for Ethical Panther Hotline reports received.
- Met with FIU Police, Office of Internal Audit, Office of Student Conduct and Academic Integrity, and the Office of the Registrar to coordinate case closures originating with Ethical Panther Hotline reports.
- Disseminated templates to those investigators outside of the iSight case management system to track those cases.
- Worked with the iSight/Case IQ vendor to communicate suggestions for improvements to the intake process for reports made to the hotline via phone call received by representatives.
- Met with the Chief Audit Executive, the OGC and ORED to discuss management of complaints alleging fraud.

Provide Recommendations for Corrective Actions and Improvement of Ethical Conduct

- Continued providing recommendations for corrective actions and improvements of ethical conduct to the appropriate authorities following investigations or requests for guidance.
- Worked with Human Resources to develop appropriate corrective actions for failure to complete required compliance tasks.
- Worked with Associate Athletic Director of University Compliance to ensure compliance with all NCAA regulatory obligations.
- Worked with Director of Health Affairs Compliance to ensure compliance with HIPAA Privacy obligations.
- Met with key stakeholders to discuss consequences for employees non-compliance with foreign influence workflows.

RISK MANAGEMENT

The 2023-2024 Annual Work Plan includes continuation of the Compliance Office making effective use of the Enterprise Risk Management Framework, including assisting risk owners in making risk informed decisions and responding to key identified risks by implementing proper controls and mitigating measures and facilitating continuous learning.

Risk Management Activities

- Continued to meet with the Chief Audit Executive to further develop a process for mitigating identified risk across the enterprise by educating risk owners and risk managers and developing a system of accountability.
- Reviewed specifications for the development and management of the Panther Enterprise Risk Management Platform.
- Continued to review and address emerging risks in partnership with OGC and other key stakeholders as they occur through new legislative requirements and institutional initiatives and obligations.
- Disseminate weekly foreign influence risk updates and communications from FIU's local FBI liaison to key stakeholders.
- Met with key stakeholders to coordinate response to Risk Self-Assessment in preparation for upcoming evaluation by the Florida Department of risk Management.



Plans for Implementing Civil Discourse Recommendations

Interim Update
December 2023

FIU's Preliminary Statement

As a university that encourages critical thinking and educational discussion, FIU has long embraced and supported open-minded civil discourse and free expression. FIU continuously works toward fostering a culture of diversity and espousing different points of view to encourage differing perspectives that promote effective and expansive learning opportunities.

Recommendation 1: Leadership at each university will operationalize the Board's commitment to open-minded and tolerant civil discourse by promoting, supporting, and regularly evaluating adherence to the principles set forth in the Board's Statement of Free Expression and cultivating a culture of civil discourse in all campus interactions, including academic, administrative, extracurricular, and social dealings. ONGOING.

Prior to the fall 2022 semester, the President created a taskforce with representation from Human Resources, Strategic Communications, Office of the Provost, Office of Faculty Leadership and Success, Office of General Counsel and the Office of Compliance and Integrity. The taskforce was charged with periodic review, making recommendations for implementation, and reporting to administration. The taskforce held meetings met on 3/7/2023 and 11/6/2023 to set agenda items for the year and continue to operationalize university-wide communications to various stakeholders. Co-leads of the task force held several other planning meetings. An official university-wide communication from the President highlighting the university's support for and culture of civil discourse will be sent to all students, faculty, and staff annually. The University Compliance & Integrity Office will report to the Board of Trustees on the status and activities of the taskforce.

Recommendation 2: The university's Accountability Plan and Strategic Plan include a specific endorsement of the Board's Statement of Free Expression, as well as a clear expectation for open-minded and tolerant civil discourse throughout the campus community.

Recommendation 2 does not require plans to be submitted to the BOG but is included here for tracking purposes.

Recommendation 3: Leadership of each university board of trustees, faculty senate, and student government annually review and endorse the Board's Statement of Free Expression and commit to the principles of civil discourse." ANNUAL.

In 2022-2023, FIU leadership asked the faculty senate and student government association to review, and strongly encouraged them to endorse, the Board's Statement of Free Expression. The FIU BOT and the SGA endorsed in Fall 2022. The faculty senate was encouraged to but did not endorse. This year, the SGA has already endorsed, the Faculty Senate will not endorse at this time and the FIU BOT will again be asked to review, endorse, and renew its ongoing commitment to the principles of civil discourse at the December 7th BOT meeting.

Recommendation 4: Each board of trustees conducts a thorough review of current student orientation programs, student codes of conduct, and employee policies and procedures to ensure consistency with the Board of Governors Statement of Free Expression, the principles of free speech and civil discourse, and compliance with section 1004.097, Florida Statutes. ANNUAL.

The FIU Board of Trustees conducted a thorough review as required and concluded their annual review at the BOT meeting held on June 15th, 2023 with no areas of concern identified.

Recommendation 5: Beginning in the 2022 presidential evaluation and contract renewal cycle, as a part of a president's evaluation, the Chair of the Board of Governors will consult with the board of trustees chair to review the university's campus free speech climate, including adherence to the principles set forth in the Board's Statement of Free Expression, the occurrence and the resolution of any issues related to the university's compliance with substantiated violations of section 1004.097, Florida Statutes, and the implementation of best practices promoting civil discourse.

Recommendation 5 does not require plans to be submitted to the BOG but is included here for tracking purposes.

Recommendation 6: University academic, student affairs, and administrative leaders review student orientation programming, student codes of conduct, and employee personnel policies and procedures to ensure that they contain clear and unambiguous support for the Board's Statement of Free Expression, and the principles of free speech and civil discourse, and that they are in compliance with section 1004.097, Florida Statutes. NOTE: This recommendation may be included in the plans to implement Recommendation 4 above. COMPLETED.

FIU has reviewed the current orientation program, student code of conduct, and our employee personnel policies to ensure that they include an endorsement of the Board's Statement of Free Expression and align with the principles of free speech and civil discourse.

FIU's Employee Code of Conduct serves as a governance document organized to tie Key University policies to FIU's values and incorporates a section on "Academic Freedom and Free Expression" which includes the FIU statement of endorsement. The Code also links directly to the Board's Statement of Free Expression and to Florida Statutes Section 1004.097 – Free Expression on Campus. These concepts are captured in FIU Regulation 110 Expressive Activities in Outdoor Areas on Campus. The Code was acknowledged by all employees and introduced in the New Employee Experience (Orientation) and in ongoing training for employees.

The current Faculty Handbook includes the FIU statement of endorsement and links to the Board's Statement of Free Expression.

Recommendation 7: Implementing the best practices outlined on pages 6 and 7 of the attached report based on the Board's review of university programs and initiatives that effectively promote and support civil discourse. For each best practice implemented, or to be implemented, include a timeline. ONGOING

VII. The Board of Governors recommends implementing the following best practices based on its review of university programs and initiatives that effectively promote and support civil discourse.

- **Instill the importance of civil discourse, academic freedom, and free speech from day one, utilizing student and employee orientation sessions, public assemblies, and official university documents and communications.**

To instill the importance of these principles from day one, we have incorporated our clear support within various aspects of our student and employee orientation programs. An official university-wide communication from the President will be sent at the beginning of the 2024 fall semester to articulate our support of the Florida Board of Governor's Statement of Free Expression

- **Schedule and host ongoing, campus-wide forums, dialogues, and debates on various issues and perspectives to promote open discussion, understanding, and learning opportunities.**

HB 931 requires Florida state universities to establish an Office of Public Policy Events and appoint a Director of Public Policy Events. The university is to host, at a minimum, two group forums or debates in the fall and spring semesters. The events must include speakers on opposing sides and represent widely held views on public policy issues.

FIU established The Office of Public Policy Events (OPPE) and has appointed **Dr. Mireya Mayor** as Executive Director for Strategic Projects and Director of Public Policy Events. OPPE promotes education and encourages civic engagement by organizing open discussions and debate forums about current public policy issues. These issues range in topic and include speakers with differing perspectives and viewpoints. All events are open to the public.

The first of four annual OPPE events, Immigration Debate: "Migration, Immigration and Refugee Flows", was held on October 25th. The OPPE's second Fall event, "Wars of the World and the White House: Will Foreign Policy Determine America's Next President" is being held on November 28th and will be moderated by FIU alum, attorney and award-winning journalist, William Shepard. Two topical events will take place in Spring 2024.

The passage of this bill is in alignment with our FIU values as a university that encourages critical thinking and educational discussion, FIU has long supported hosting forums, dialogues and debates on various issues, encouraging differing perspectives that promote an array of learning opportunities. In addition, we will ensure the campus community is aware of mechanisms for reporting instances where they believe free expression is foreclosed. As an example, the Student Orientation highlights the various reporting tools where the FIU community can report concerns regarding civil discourse limitations and restrictions. This includes the FIU Ethical Panther Hotline, FIU's incident reporting website, and the various university offices which have developed mechanisms for reporting potential violations.

- **Foster intellectual diversity by encouraging university leadership to: (1) promote viewpoint diversity and open-minded discussion and debate, and (2) highlight and enforce policies that prohibit programming that excludes participation based on race or ethnicity.**

(1) Civil Discourse taskforce continues to operationalize (2) We have existing robust regulations and policies that prohibit discriminatory behavior. We continue to ensure the campus community is aware of reporting mechanisms to capture instances where they believe exclusions based on race and ethnicity are occurring.

- **Avoid disinvitations by developing clear, viewpoint-neutral policies and procedures governing the invitation and accommodation of campus speakers.**

FIU offers equitable opportunities for speakers as an open forum for all viewpoints. We have established mechanisms for any group that wishes to rent university space. The University's premises use agreement requires compliance with federal and state law. While the Campus Free Expression Act, provides for expressive activities in outdoor areas of campus (as opposed to rented university space), we note that the University's Board of Trustees, in 2018, approved amendments to Regulation FIU-110 following the enactment of, and to ensure compliance with, the Campus Free Expression Act, Section 1004.097, Florida Statutes.

- **Provide targeted educational and professional development opportunities for university administrative employees to reinforce free expression and open-minded debate norms.**

To emphasize the importance of these principles, the department of Talent Acquisition and Management has incorporated the Board's Statement of Free Expression, and the principles of free speech and civil discourse, and their compliance with section 1004.097, Florida Statutes, into New Employee Experience (NEE) and New Faculty Orientation (NFO) beginning fall of 2022. Additionally, the standard statement has been incorporated into the HR News & Updates protocol for release on a quarterly basis. Moreover, we incorporated the content into the university's leadership programs; Leadership Education Advancement Program (LEAP) and the President's Leadership Program (PLP). Lastly, through the established relationship with all departments' HR communication partners, we present the Statement of Free Expression to the University's HR Liaisons during meetings as an additional point of emphasis at the division, college, and department level.

- **Encourage faculty to establish and maintain a learning environment in their classrooms and offices that supports open dialogue and the free expression of all viewpoints and create processes to evaluate the strength of such environments.**

The Center for the Advancement of Teaching (CAT) continues to collaborate with the Office of Faculty Leadership & Success (FLS) to offer support sessions and sample syllabi language to help faculty initiate and manage discourse and free expression in the classroom. CAT and FLS will also continue to work with departmental chairs on receiving and handling student reports of classroom experiences that do not support open dialogue. Workshops began in August 2022 and will continue throughout the academic year.



MEMORANDUM

DATE: November 21, 2023
TO: FIU Board of Trustees
FROM: Jennifer LaPorta, Chief Compliance and Privacy Officer
SUBJECT: Update to Annual Report of Foreign Travel to Countries of Concern

On July 27, 2023, the BOT received the required Annual Report of Foreign Travel to Countries of Concern ("FFC Travel Report"). Please see an update to the FCC Travel Report (below in red) due to a Travel Authorization Request that was improperly submitted by a faculty member outside of the reporting period.

FIU's Report of Travel to Countries of Concern

FIU reports the following instances of foreign travel to Countries of Concern for the reporting period of July 1, 2022 through June 30, 2023:

| Name | Country | Foreign Institutions |
|-------------------------|---------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Javier Ortiz | Cuba (Guantanamo Bay)* | Guantanamo US military installation |
| Emillia Victoria | China | Tianjin University of Commerce (Marriott Tianjin China Program in the Chaplin School of Hospitality & Tourism Management) |
| Michael Cheng | China | Tianjin University of Commerce (Marriott Tianjin China Program in the Chaplin School of Hospitality & Tourism Management) |
| Xiaochuan (Kelly) Huang | China | Sponsor and Co-Sponsor of 2023 CAPANA Annual Research Conference Program: Yunnan University of Finance and Economics Shenzhen Institute of Data Economy |

**Included for reporting purposes only. Please note that Guantanamo is under the jurisdiction and control of the United States.*

JL

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