



FLORIDA A&M UNIVERSITY  
**OFFICE OF COMPLIANCE  
AND ETHICS**

# THE COMPLIANCE CHRONICLES

FAMU's Compliance & Ethics Newsletter

**AUG 2023**

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## MESSAGE FROM THE CHIEF COMPLIANCE & ETHICS OFFICER, RICA CALHOUN

Greetings Rattlers,

I am so pleased to present the latest edition of Compliance Chronicles. This newsletter serves as a platform to keep you informed about the work we are doing to promote a culture of compliance and ethical decision-making across FAMU.

Over the past quarter, we continue to facilitate the highest standards of integrity, transparency, and accountability through investigations, monitoring, and supporting compliance partners. Working together as a University community, our dedication to compliance and ethics strengthens our University's reputation and reinforces the trust our community places in us.

One of the most exciting developments this quarter has been the expansion of the Office of Compliance and Ethics. I am pleased to announce that the Office of Compliance and Ethics now includes the Office of Equal Opportunity Programs and Athletics Compliance, which has largely established its team. This integration fosters collaboration and strengthens our efforts to promote equity and maintain compliance and ethics in all aspects of University life.

As the Office of Compliance and Ethics grows, we continually enhance our compliance programs and initiatives to align with our University's strategic plan and the evolving regulatory landscape. Our talented team of professionals remains steadfast in their pursuit of excellence, working diligently to implement robust compliance practices and training programs that empower every member of our University community to commit to a culture of compliance.

In this issue, you will find updates on recent compliance initiatives, tips for fostering a compliant and ethical work environment, and inspiring stories of how our University community members have demonstrated outstanding commitment to compliance and ethical conduct. We encourage you to explore and engage with the valuable resources we have curated for you.

I extend my heartfelt appreciation to all faculty, staff, and students who have contributed to our collective success in promoting a culture of compliance and ethics. Your dedication and cooperation are instrumental in pushing the needle forward as we continue to "March Toward the Top 100." Thank you for your continued support, and I hope you find this newsletter both informative and inspiring.

Best,  
Rica Calhoun



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# WHAT'S NEW IN OCE?

We are thrilled to announce a significant expansion in the Office of Compliance and Ethics here at FAMU.

Last year, we welcomed the Athletics Compliance Team, and now we welcome Equal Opportunity Programs with great excitement.

This strategic integration allows us to strengthen our commitment to fostering a culture of fairness, integrity, and inclusivity throughout the FAMU community.



**"Whenever you do a thing, act as if all the world were watching."**

**Thomas Jefferson - (Third President of the United States)**

## RECENT NEWS

### Post-Training Feedback

In our last newsletter, we celebrated the completion of FAMU Fundamentals. Here are some highlights from your feedback. The overwhelming majority of respondents:

- Felt competent and confident at the end of the course
- Believed the training was relevant
- Found the training easy to understand
- appreciated the multimedia approach

New topics will include a focus on privacy in the next year!

La'Tonya Baker presented Superheroes and Kryptonite for the following:



June 2023: Division of Audit's staff retreat on Professional Strengths & Weaknesses



July 2023: FL TRIO Summer Leadership Service-Learning Project on tackling compliance challenges while avoiding risks.

# COMPLIANCE & EQUITY RETREAT



## ANNUAL DISCLOSURE CONFLICT OF INTEREST

The Annual Disclosure Form for Conflict of Interest, Commitment, and Significant Financial Interest is due July 1 of each year or within 14 (fourteen) days of beginning outside activities in which you utilize the knowledge, skills, and abilities you use at FAMU. This form can be found in the Human Resources module of iRattler (self service). Please remember to complete the form to remain compliant with University regulations.

For those engaged in research: We have streamlined the disclosure form in iRattler to allow for reporting of outside activities and significant financial interests. Pursuant to Section 1012.977(3), Florida Statutes, an employee who has failed to disclose any outside activity or financial interest as required by BOT Regulation 2005-14 shall be suspended without pay pending the outcome of an investigation which shall not exceed 60 days.

Covered employees are also responsible for disclosure to the Florida Commission on Ethics by July 1 of each year. You will be notified if you are one of these individuals.

The Offices of Compliance and Ethics, Equal Opportunity Programs, and Athletics Compliance came together to hold the Compliance and Equity Retreat on July 14-15th. Dr. Genyne Boston served as our keynote speaker. The team collaborated to identify goals and develop action plans for achieving the University's strategic priorities for the upcoming academic year.

## 2023 HBCU RISK MANAGEMENT

OCE and Division of Audit team members attended the 2023 HBCU Risk Management Conference in Houston, TX, in June 2023. They engaged in topics such as Liability Landscape & Critical Risks Facing Higher Education, Third-Party Risks and Relationship Management, and Planning for Crisis and Chaos. The team collaborated and connected with other risk managers and compliance officers from HBCU's across the U.S.



# WHAT'S NEW IN EOP?



## RECENT ACCOMPLISHMENTS

### Title IX

The Office of Equal Opportunity Programs celebrated the 50th Anniversary of Title IX. This celebration extends the University's ongoing effort to educate the campus community of Title IX's movement in combating sexual assault and sexual violence within educational settings. The Office of Equal Opportunity Programs/Title IX consists of a dedicated team with a mission to establish and maintain a safe living, learning and working environment for students, faculty, and staff through prevention, education, and awareness.

### Title IX cont.

Common Title IX violations include::

- Sex Discrimination in Sports
- Sex Discrimination in Educational Programs
- LGBTQIA+ Discrimination
- Sexual Harassment
- On-Campus Sexual Assault
- Domestic Violence
- Stalking
- Quid Pro Quo
- Hostile Environment

Any individual can report Title IX related matters. Individuals can report in person, telephone, or email to [titleix@famu.edu](mailto:titleix@famu.edu).

### EOP Highlights

The Office of Equal Opportunity Programs (EOP) initiated an ambitious campaign to cultivate inclusivity and awareness on campus. Through 200 in-person presentations to students and employees, the office has been dedicated to educating the campus community on the principles of equal opportunity. This campaign seeks to foster an inclusive environment and raise awareness about the importance of equal opportunities for all, understanding biases, and promoting respect.

# WHAT'S NEW WITH ATHLETICS COMPLIANCE?

We are thrilled to share that the Athletics Compliance office recently participated in the NCAA Regional Rules conference in Indianapolis, Indiana, and the 2023 NACDA convention where they were able to learn and discuss NCAA rules, policies, and procedures, share best practices, and connect with peers.

With the upcoming academic year just around the corner, we eagerly anticipate the commencement of our sports programs. Mark your calendars as our Football team's reporting date for their fall camp is August 2nd, 2023 while the Volleyball team will begin preparations on August 7th, 2023. With our Spring eligibility certification exercise and notices completed in May, the compliance team is working with athletics academics to follow-up with student-athletes and coaches now that grades are posted for the last summer term.

We're excited and gearing up for an exciting and successful season ahead!

## ATHLETICS COMPLIANCE TEAM



# COMPLIANCE IN FOCUS

This section shares trending topics in the world of compliance and ethics in higher education.

## Fraud & Ethics Related Events\*

### **Jul 24: Bribery Sentence:**

A former dean at the University of Southern California was sentenced to 18 months' home confinement for bribing a county official in exchange for contracts with the university's social work school. The dean, 84, was also ordered to pay a \$150,000 fine at her sentencing hearing Monday morning in downtown Los Angeles. The dean pleaded guilty last year to helping a veteran politician -- who served on the LA County Board of Supervisors at the time -- funnel \$100,000 from his campaign account, through the USC school, to a nonprofit ran by his son. [\(link\)](#)

### **Jul 20: Research Fraud:**

The president of Stanford University has resigned after an investigation opened by the board of trustees found several academic reports he authored contained manipulated data. Marc Tessier-Lavigne, who has spent seven years as president, authored 12 reports that contained falsified information, including lab panels that had been stitched together, panel backgrounds that were digitally altered and blot results taken from other research papers. He was the principal author on five of the reports, and a co-author on seven. [\(link\)](#)

### **Jul 19: Conflict of Interest:**

In June 2020, a biopharmaceutical company called BridgeBio Pharma issued a routine press release. It was entering into a collaboration agreement with the Johns Hopkins University to "invest heavily in programs to accelerate promising genetic-disease therapies," among other things. Left unmentioned in the release were the tight ties between the company's upper leadership and that of Johns Hopkins. Four months before that release was issued, BridgeBio sent out another release and filed a notice with the Securities and Exchange Commission: It was adding Ronald J. Daniels, the university's president, to its board. With that post came a \$50,000 a year retainer and stock options worth about \$1.2 million, according to SEC documents. [\(link\)](#)

### **Jul 06: Grant Fraud:**

A University of Oklahoma professor and his wife were recently sentenced to federal prison. The couple, both 60, were sentenced to serve more than three years collectively and ordered to pay \$2.1 million in restitution. The two had been accused of making false statements involving a Department of Energy grant. Authorities said the pair had formed and controlled a company called MicroChem Solutions. Through that company, they applied for and received federal grand monies from the Small Business Technology Transfer Program of the Department of Energy. However, authorities said the pair spent grant money on unrelated matters, including personal expenses. They also allegedly made false statements and submitted altered documents to the Department of Energy regarding how they spent grant money. [\(link\)](#)

\*Source: University of Auburn's Office of Audit, Compliance & Privacy

# COMPLIANCE IN FOCUS - CONT.

## **Jul 10: Retaliation Lawsuit:**

A second lawsuit alleges that administrators at Lake Superior College retaliated against an employee who voiced concerns about a welding byproduct. Vaughn Johnson, a longtime maintenance worker at the college, claimed in a July 7 lawsuit that the college had violated the state's "whistleblower" act and its occupational safety act. He claims he was disciplined and threatened with termination after telling managers there that filtration and ventilation systems at the school's Downtown Duluth Center hadn't been kept up, and a pair of employees who had tried to service it weren't provided proper safety equipment. ([link](#))

## **Jul 25: Employee Conduct:**

A former Columbia University gynecologist accused by the wife of former Democratic presidential candidate Andrew Yang and others of sexual assault was sentenced Tuesday to 20 years in prison after his conviction earlier this year on federal sexual abuse charges. The man was convicted in January of four counts of enticing and inducing individuals to travel interstate to engage in illegal sexual activity -- each of which carried a maximum possible sentence of 20 years in prison, the US Attorney's Office for the Southern District of New York previously said. ([link](#))

## **Jul 26: Greek Hazing:**

A fraternity's interim suspension at Clemson University is now an official four-year ban after an investigation determined members were responsible for hazing. Earlier this year, the school's chapter of Alpha Gamma Rho was accused of forcing students into personal servitude and giving them chemical burns, according to a letter from Clemson. According to university documents, an independent probe confirmed the allegations and revealed instances of line-ups, ice baths, and bodily harm toward a new member. Now, the group is barred from campus until 2027. ([link](#))

## **Jul 25: NCAA Compliance:**

Michigan head coach Jim Harbaugh and the NCAA are working toward a negotiated resolution that is expected to see him suspended four games this season in penalties stemming from alleged false statements he originally made to investigators, sources tell Yahoo Sports. The agreement is an initial version of the negotiated resolution and is not yet finalized. The resolution must now be approved by the NCAA Committee on Infractions, which could take several days if not weeks. The committee has the authority to adjust penalties. ([link](#))

# OCE INTERNS ON THE MOVE!



## Recent Happenings in the Office of Compliance & Ethics



We are delighted to introduce two exceptional local high school students, Makinzy and Chloe, who have spent their summer as interns in our University's Office of Compliance and Ethics. These young ladies came to us through their participation in the Tallahassee Future Leaders' Academy. Throughout their internship, they demonstrated remarkable enthusiasm, dedication, and a genuine interest in learning about compliance and ethics here at FAMU. As they've completed their internship, we are confident that Makinzy and Chloe have a bright future, and we are grateful for their positive impact during their time with us.



# COMPLIANCE SPOTLIGHT

The Compliance Spotlight highlights various departments across campus that are excelling in their compliance efforts. In this issue, we highlight the Office of Property Records!



## THE OFFICE OF PROPERTY RECORDS

The Office of Property Records has increased its efforts in promoting and assisting departments in managing University records and property throughout the life cycle. For forms and guidance, visit their website, located [here](#).

## ASK COMPLIANCE

Welcome to our "Ask Compliance" section of the newsletter, where we invite members of the campus community to submit their questions and concerns related to compliance and ethics.

We believe that an open and transparent dialogue is essential to maintaining a strong culture of compliance. We encourage all members of our community to reach out with any questions or concerns they may have by sending an email to [oce@famtu.edu](mailto:oce@famtu.edu).

Whether you have a question about a particular policy or procedure, or you are unsure about the ethical implications of a particular situation, our team is here to help. We believe that by working together, we can ensure that our campus community remains a place where ethical behavior is not just encouraged but expected.

So please, don't hesitate to reach out with any questions or concerns you may have. We look forward to hearing from you soon.

## SEE SOMETHING, SAY SOMETHING



Do you know a FAMU employee who has demonstrated a commitment to compliance and integrity?

We believe that ethical behavior starts with individuals who are willing to take a stand when they see something that doesn't align with our values, even when it is difficult or uncomfortable to do so.

We want to celebrate the employees who exemplify a dedicated commitment to integrity and ethics.

Let us know by nominating them for the See Something, Say Something Award at [oce@famtu.edu](mailto:oce@famtu.edu). and be on the lookout for a feature in our next issue!

# Meet the University Compliance (OCE) Team



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# Meet the University Equal Opportunity Programs (EOP) Team



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# Meet the University Athletics Compliance Team



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