



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

THE COMPLIANCE CHRONICLES

FAMU's Compliance & Ethics Newsletter

WINTER 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.

As we delve into the heart of the academic year, it is my pleasure to introduce the third issue of our University's Compliance Newsletter. This publication serves as a valuable resource for our University community, providing insights into the latest developments, updates, and initiatives related to compliance and ethics.

In this edition, we aim to continue fostering a culture of transparency, accountability, and integrity within our University environment. The newsletter features articles that highlight recent compliance achievements, upcoming events, and important regulatory changes that impact our institution. Our dedicated team has worked diligently to curate content that not only informs but also engages our readers, encouraging a shared commitment to ethical conduct.

We understand the dynamic nature of the compliance landscape, and our goal is to keep you informed and prepared. Whether you are a faculty member, staff member, student, or stakeholder, we believe you will find valuable insights within these pages.

I would like to extend my gratitude to the contributors, editors, and everyone involved in completing this newsletter. Your dedication to the ideals of compliance and ethics at our University is truly commendable.

As always, we welcome your feedback and encourage you to share your thoughts on the content and topics covered. Together, we can continue to build an environment that upholds the highest standards of compliance and ethics.

Thank you for your ongoing commitment to the principles that guide our university.

Best,
Rica Calhoun



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COMPLIANCE & ETHICS WEEK

RECAP NOV 6-10, 2023

We had a blast celebrating our Proud FAMUly Compliance and Ethics Week from November 6-10 this year. Our FAMUly truly made this week a memorable and enriching experience. Let's take a moment to recap the highlights of each day.

Compliance and Ethics Week's purpose is to raise awareness of compliance and risk related topics, recognize ethical behavior, and reinforce values and behaviors as we know that compliance starts with YOU. The University has available resources for reporting misconduct, including in-person support through compliance offices. You may also report, even anonymously, allegations related to these issues through the University Hotline. If you have any questions, please email: oce@famu.edu.

Monday, November 6th Proud FAMUly Lunch

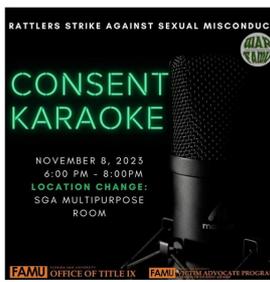
We kicked off the week with a heartwarming Proud FAMUly Lunch. Amid delicious food, we gathered to introduce ourselves and shared personal perspectives on what compliance means to each of us. It was a wonderful opportunity to strengthen our bonds as a University family and set the tone for the exciting week ahead.

Tuesday, November 7th Panel Discussion and Bingo

Our Tuesday activities included an insightful panel discussion featuring key team members from the Office of Compliance and Ethics, Athletics Compliance Office, and Equal Opportunity Programs. Following the discussion, we engaged in a lively game of bingo, featuring key terms from our respective compliance areas. Laughter and learning went hand in hand as we celebrated our shared commitment to ethics.



COMPLIANCE & ETHICS WEEK RECAP **NOV 6-10, 2023**



Wednesday, November 8th- OCE Workshop
Rica Calhoun and La'Tonya Baker taught participants about the compliance and ethics program at FAMU and provided tools for ethical decision-making and reducing the compliance burden in University unit.

Thursday, November 9th - Proud FAMUly Reunion and Jeopardy Night
Thursday marked our Proud Family Reunion, featuring good food and a friendly game of Jeopardy. Laughter echoed through the room as we tested our knowledge on compliance trivia. The sense of camaraderie was palpable, emphasizing our shared commitment to maintaining a strong and ethical university community.

Friday, November 10th - Veterans Appreciation Challenge
Although the university was closed in observance of Veterans Day, we had a Veterans Appreciation Challenge. Participants chose from a list of activities to honor veterans and shared their experiences on social media. The outpouring of gratitude and support demonstrated the deep respect we hold for those who have served our country.

Wednesday, November 8th - Student Outreach Event

The Office of Equal Opportunity Programs hosted "Consent Karaoke" in partnership with the Title IX Ambassadors, the University's Victim Advocate, and the WAR student group.

Compliance and Ethics Week Winners

LASHANDA JOHNSON, RESEARCH
SHIRA THOMAS, OFFICE OF UNIVERSITY
POLICY
RONICA WALKER, COLLEGE OF
EDUCATION
KATHLEEN LANIER, BIOLOGY
GEORGE PICKNEY, IV, SPAIE

SABRINA HAYES, FAMU EXTENSION
JERRY GOODSON, ATHLETICS
COMPLIANCE
MARQUEL BROUSSARD, ATHLETICS
LETITIA MCCLELLAN, EQUAL
OPPORTUNITY PROGRAMS
CARMEN LYTTLE-NGUESSAN, CAFS

EQUAL OPPORTUNITY PROGRAMS

The Office of Equal Opportunity Programs is excited to announce an enhanced collaboration with key University stakeholders, including General Counsel, University Police, Chief Policy Officer, and the Dean of Students. This strategic partnership aims to fortify and support the EOP mission by fostering a cohesive approach to promoting equal opportunity, compliance, and ethical standards. By uniting these crucial departments, we strengthen our ability to address and prevent issues related to discrimination and misconduct, ensuring a safe and an inclusive campus environment for all.



EOP HIGHLIGHTS

TITLE IX AMBASSADOR PROGRAM

We are thrilled to announce a dynamic initiative within the Office of Equal Opportunity Programs that will further strengthen our commitment to creating a safe, inclusive, and respectful campus environment—the Title IX Ambassador Program. This program introduces a team of dedicated student ambassadors who will play a pivotal role in promoting awareness, education, and support related to Title IX within our University community.

The Title IX Ambassador Program is designed to empower students as advocates for equality, ensuring that every member of our community feels heard, supported, and respected. These carefully selected ambassadors bring a fresh perspective and a passion for fostering a campus culture free from discrimination, harassment, and gender-based violence.



Please join us in congratulating Letitia McClellan on her recent promotion to Assistant Director in the Equal Opportunity Programs Office. This accomplishment is a testament to her unwavering dedication, hard work, and exemplary contributions to our University's commitment to excellence with caring.



Reducing the Compliance Burden

In a world of evolving regulations, collaboration and proactively reducing compliance burden are key to long-term success. Embrace these strategies and enjoy the benefits!

If you have questions, don't hesitate to reach out to us at oce@fam.u.edu.

1

Process Assessment

Begin by assessing your department/division's current compliance processes and identifying areas where the burden can be reduced.



2

Identify Key Regulations

Highlight the most critical regulations and requirements that you and your colleagues need to be aware of. Make sure you all understand the "why" behind these regulations and/or policies.



3

Streamline!

Update and optimize processes that focus on efficiencies and reducing redundancies to meet the regulatory or University goal.



4

Use Your Tools

- Automation: Where possible, implement automated tools for data collection, monitoring, and reporting.
- Embedded Controls: focus on controls that can be integrated into existing processes to save time and effort.
- Employee Training: Ensure everyone is well-trained to understand and comply with regulations and expectations.



5

Adapt

Regularly assess the effectiveness of controls and adapt as needed to maintain compliance and make the best use of your time. Use your resources and always reach out for help from your manager or offices like Compliance and Ethics.

In the event that control deficiencies are identified, take prompt action to address it.



COMPLIANCE IN FOCUS

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

Sep 01: Data Breach - Gaston College

Gaston College filed a notice of data breach with the attorney general of Maine after discovering that an unauthorized party was able to access confidential information that was stored on Gaston College's IT network. The incident resulted in an unauthorized party being able to access consumers' sensitive information, which includes their names and Social Security numbers. Gaston College began sending out data breach notification letters to all individuals whose information was affected by the recent data security incident. (link)

Sep 01: Employee Conduct:

The geography professor didn't hide his clown fetish or the fact that he sometimes indulged his urges by recruiting students as subjects. He posted regularly about it on social media. "I have a facepaint fetish and convince the cute girls in my classes to let me paint their faces," he once wrote. Yet the professor held jobs at two colleges and was on the tenure track at a third before student journalists at Nicholls State University in Louisiana exposed his behavior. He submitted his resignation the same day their story was published. His career trajectory exposes inadequacies in the background check system that colleges and universities are supposed to have in place to protect students -- especially when evidence of the concerning behavior resides largely on the internet. (link)

COMPLIANCE
STARTS WITH
YOU.

Sep 12: Research Misconduct:

Researchers formerly based at Weill Cornell Medical College, which is part of Cornell University, made up data in 12 published research studies, a federal agency has found. On Sept. 7, the US Office of Research Integrity (ORI) released two reports, one on a former professor of biochemistry at Weill Cornell, and one on a former professor of medicine at the same institution. Both reports said that the professors are guilty of reporting falsified or fabricated data in the 12 studies. The reports are based on investigations by Weill Cornell and additional analyses by the ORI. The ORI reports found that the professors reused Western blot images "from the same source and falsely relabeled to represent different proteins and/or experimental results." (link)

Sep 13: NCAA Compliance:

A former UMass Lowell men's soccer head coach violated ethical conduct rules when he directed a student-athlete to pay him thousands of dollars from that student-athlete's scholarship funds, according to an agreement released by the Division I Committee on Infractions. The coach also provided impermissible benefits to three student-athletes, directed men's soccer student-athletes to exceed countable athletically related activities during the COVID-19 pandemic, and tampered with a prospective transfer who later enrolled at and competed for UMass Lowell. Finally, the former head coach again violated ethical conduct and cooperation rules when he failed to cooperate with an NCAA investigation. (link)



COMPLIANCE IN FOCUS

continued



Sep 18: Sexual Assault Settlement - Baylor University

Baylor University has settled a years-long federal lawsuit brought by 15 women who alleged they were sexually assaulted at the nation's biggest Baptist school, ending the largest case brought in a wide-ranging scandal that led to the ouster of the university president and its football coach, and tainted the school's reputation. Notification of the settlement was filed in online court records Monday. The lawsuit was first filed in June 2016. The lawsuit was one of several that were filed that alleged staff and administrators ignored or stifled reports from women who said they were assaulted on or near campus. ([link](#))

Sep 21: Data Breach

An Ohio community college is notifying 290,000 people of a data theft breach this spring that may have compromised their personal, financial and health information. In a breach notification Wednesday, Lakeland Community College did not provide any details on the attack, which occurred between March 7 and March 31, but the Vice Society ransomware group earlier this year had listed the college on its data leak website. "This particular ransomware operation seemed to focus on the education sector - presumably because they found it to be a lucrative niche," said Brett Callow, a threat analyst at security firm Emsisoft. While the community college breach may be relatively small, the incident illustrates why small schools such as this are now favored targets of cybercriminals, according to security researchers. ([link](#))

Sep 22: Discrimination Lawsuit:

Michele Perkins, who led New England College as president for 14 years before assuming the role of chancellor in 2022, is suing the school alleging gender discrimination and emotional distress after she was fired from her position earlier this year. Perkins alleges she was unexpectedly released by New England College, in Henniker, in April during an online meeting "in a humiliating and crude manner," according to her lawsuit. She alleges her firing was the culmination of a campaign of misogyny and a culture of gender bias among certain top officials at the school she led for more than a decade. "I was stunned to be dismissed on a Zoom call with other people on the call with no advance warning and no reason," Perkins told NHPR. "And so this lawsuit is the only way I know that current leadership can be held accountable for their actions." ([link](#))

Sep 29: Hazing: Boston College

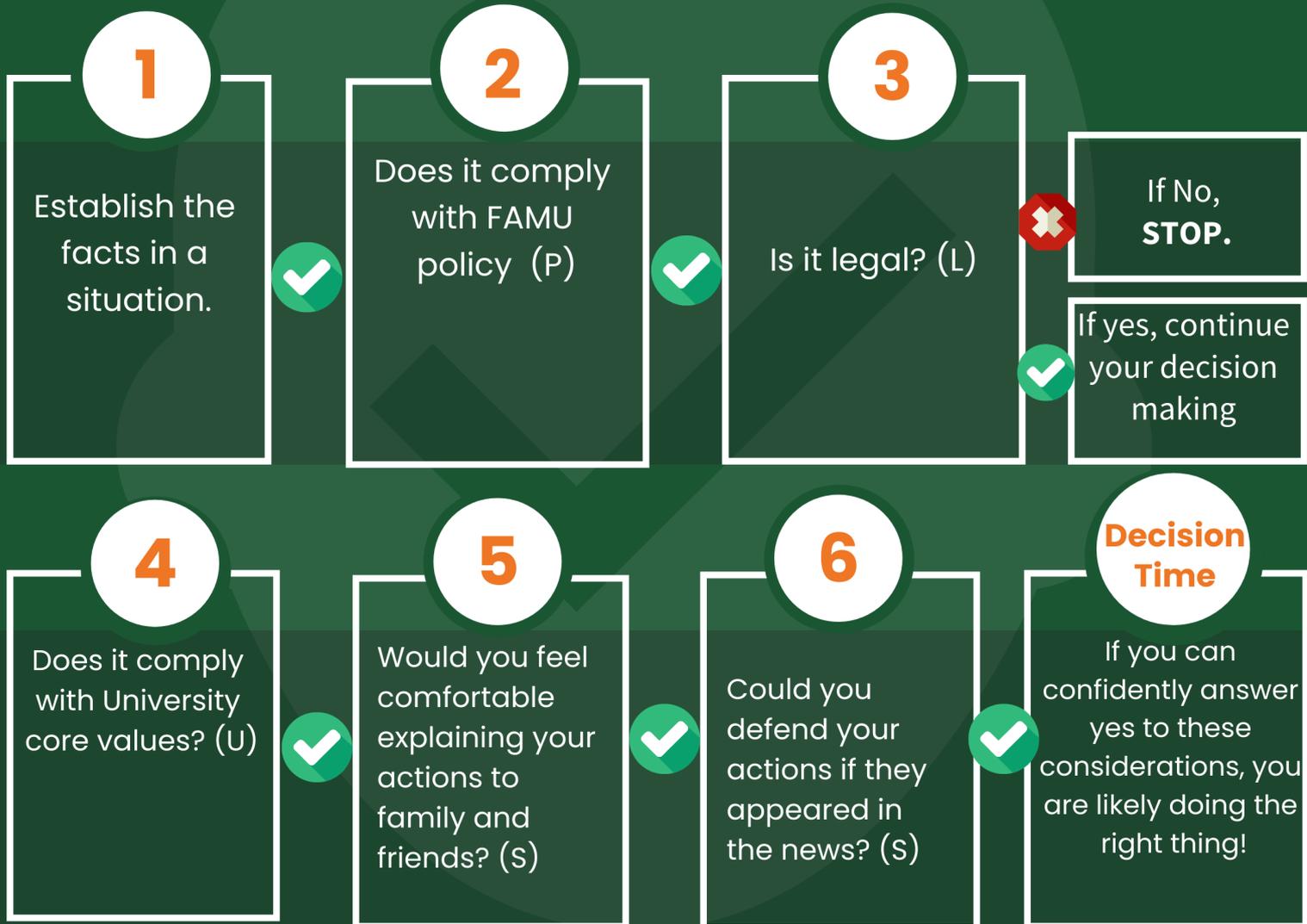
Million-dollar lawsuits, "toxic" cultures facilitating harassment and sexual abuse and college sport programs suspended. The dangerous -- and sometimes deadly -- consequences of hazing are prevalent at US universities, placing their sports programs in particular under growing scrutiny. Athletic programs at Boston College, New Mexico State University and Northwestern University are just three US institutions that have been dealing with hazing allegations in 2023. As calls for a change in culture among the student athlete community grow louder, here's what you need to know about hazing and its troubling relationship with colleges in the US. ([link](#))



COMPLIANCE and ETHICS: The PLUS Model

A Simple Guide to Ethical Decision Making

You may feel unsure about a situation and a decision, since there seem to be a number of acceptable alternatives. If you consider the following, you will likely be able to respond appropriately to the situation: PLUS (Policies, Legal, Universal, Self).



If you cannot confidently answer "yes" to all of these considerations, contact the Office of Compliance and Ethics, the Office of Human Resources, or the Office of the General Counsel for advice!

Questions? Contact the Office of Compliance and Ethics at 850-412-7520 or rica.calhoun@famuc.edu

COMPLIANCE SPOTLIGHT

THE OFFICE OF PROCUREMENT

The Office of Procurement has undergone significant improvements thanks to new initiatives which include annual refresher training and assessments. This initiative has been implemented to address any questions and concerns regarding policies and rules and keep the FAMU Community informed of updates. As a direct result of these changes, The Procurement office has retrieved full submission of reconciliations for nine consecutive months in the 22-23 fiscal year. Congratulations to the Office of Procurement!

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

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@famuedu.

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 FT: CHALLENGE COINS



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@famuedu. and be on the lookout for a feature in our next issue!

Meet the University Compliance (OCE) Team



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