



FLORIDA A&M UNIVERSITY
OFFICE OF COMPLIANCE
AND ETHICS

Board of Trustees Report

December 2024



OFFICE ACTIVITIES



The Office of Compliance and Ethics (OCE) continues to work with compliance partners across the University on initiatives to assist in identifying and mitigating compliance risks across the institution. Since the September meeting, we have continued our work, teaming up with University divisions and units to provide compliance and ethics education, investigate and report misconduct, conduct compliance risk assessment, and gather feedback regarding our efforts.

HIGHLIGHTS

- FAMU Fundamentals 2025
- Investigations
- Key Initiatives
 - Risk Assessment
 - Compliance and Ethics Week 2024
 - Enterprise Compliance Committee



FAMU Fundamentals 2025

Why Mandatory University Compliance Training?

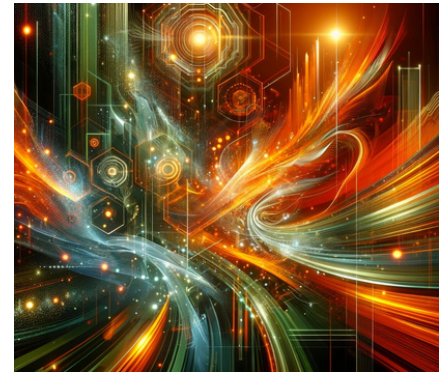
Board of Governors' Regulation 4.003 requires all universities to establish and implement an effective compliance and ethics program. Compliance training is a key requirement of such a program. Per the regulation:

“University employees and board of trustees’ members shall receive training regarding their responsibility and accountability for ethical conduct and compliance with applicable laws, regulations, rules, policies, and procedures.”

OCE appreciates the full support of the University Board of Trustees and the President’s Senior Leadership Team in the implementation of mandatory training for all University employees. OCE continues to partner with the School of Journalism & Graphic Communication to produce several of the modules.

The Modules for 2025 include:

- Service Excellence
- Fraud
- Compliance and Ethics
- Cybersecurity
- Discrimination and Harassment
- Emergency Management
- Clery



A targeted training will again be provided for research and research support positions focused on Foreign Influence.

Remaining timeline highlights:

January-February 2025: Production and implementation on the identified learning platform.

March 1-31, 2025: Mandatory training window opens for all employees and select student employees.

OCE will report completion to University managers and senior leadership throughout the training period, with a final report in April 2025.

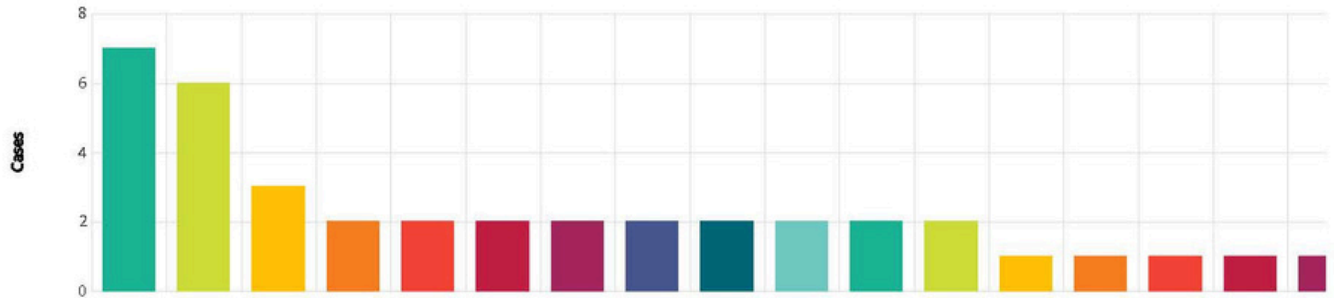
Investigations

11/13/24, 12:05 PM

EthicsPoint Incident Management

Summary - Issue Type December 2024

Date Range 07/01/2024 - 11/13/2024



Issue	Count (%)
Employee Misconduct	7 (17.5%)
Other	6 (15%)
Disclosure of Confidential Information	3 (7.5%)
Academic Misconduct	2 (5%)
Accounting and Auditing Matters	2 (5%)
Corporate Policy or Conduct Violation	2 (5%)
Discrimination	2 (5%)
Fraud	2 (5%)
General Concern	2 (5%)
Legacy Case Follow-Up	2 (5%)
Time Abuse	2 (5%)
Waste, Abuse or Misuse of Institution Resources	2 (5%)
Conflict of Interest	1 (2.5%)
Data Privacy Violation	1 (2.5%)
Sexual Harassment	1 (2.5%)
Student Safety	1 (2.5%)
Violence or Threat	1 (2.5%)
Workplace Harassment	1 (2.5%)
Total	40

OCE manages the University's Compliance and Ethics Hotline. We intake concerns of misconduct for referral to other University enforcement offices or for investigation by OCE. Since July 1, the hotline has logged 40 complaints. Open investigations in OCE include allegations of misconduct due to conflicts of interest, retaliation, and employee misconduct. Across enforcement offices*, 12 complaints have been closed, 20 are in process.

*Includes the Offices of Compliance and Ethics, HR, EOP, and the Division of Audit

Key Initiatives

Compliance Focus: 24-25 Compliance Risk Assessment

Area	Issue	Risk Level	Status
Administration	Administrative Leave	Medium-High	Compliance Focus: (Compliance Review)
Administration	Conflict of Interest	Medium	Compliance Focus: (Compliance Review Process Implementation)
Governance	Training	Medium	Compliance Focus: (Additional Training Opportunities)
Research	Foreign Gift Reporting	Medium-High	Compliance Focus: (Reporting overdue, established process effectiveness review)
Compliance	Retaliation	Medium	Compliance Focus: (Follow up related to retaliation through micro-learning and FAMU Fundamentals)
Academic Affairs	HB 7	Medium-High	Compliance Focus: (Track legislative and judiciary actions)
Research	Foreign Influence	Medium-High	Compliance Focus: (compliance reviews and recommendations)

Key Initiatives

Compliance Focus: 24-25 Compliance Risk Assessment (continued)

Area	Issue	Risk Level	Status
Research/ITS	Research Security and Compliance	Medium-High	Compliance Focus: (Assist ITS in NIST 800-171; centralized cloud solution for research data)
ITS/ Administration	Data Privacy	Medium-High	Compliance Focus: Development of privacy program; GDPR review update and other reviews incorporated into the program.
Athletics	Probation and Reporting	Medium-High	Compliance Focus: Monitor for NCAA confirmation of probation completion.
Athletics	APR	High	Compliance Focus: Latest APR submission, review with coaches and administration, and improvement plans, as appropriate.
Athletics	NCAA and Title IX compliance	Medium	Compliance Focus: Monitor and assist in the achievement of equity goals and reporting (USDOE Equity in Athletics Data Analysis and Florida report). Enhance Title IX and Athletics Compliance coordination.



COMPLIANCE AND ETHICS WEEK

EVENT SCHEDULE

NOV. 2024

04
MON



NAVIGATING FAMU: EMPLOYEE WORKSHOP (MANDATORY FOR EMPLOYEES)

Time: 1 p.m. - 2 p.m.

Zoom Link:

[https://famuzoom.us/j/93056238336?](https://famuzoom.us/j/93056238336?pwd=eCEFFNzVQrDyyDH3lQqbCuZQ8eJvMx.1)

[pwd=eCEFFNzVQrDyyDH3lQqbCuZQ8eJvMx.1](https://famuzoom.us/j/93056238336?pwd=eCEFFNzVQrDyyDH3lQqbCuZQ8eJvMx.1)

05
TUE

COMPLIANCE CASE CAFE

Come visit the Compliance Café, where participants can casually discuss real-world ethical dilemmas over coffee and snacks.

Time: 11 a.m. - 1 p.m.

Place: Lawson Center 450

06
WED



LEADING WITH INTEGRITY: MANAGER WORKSHOP (MANDATORY FOR MANAGERS)

Time: 1 p.m. - 2 p.m.

Zoom Link:

[https://famuzoom.us/j/97597254546?](https://famuzoom.us/j/97597254546?pwd=GGiZq1ffZjCdpEut6RVtw2N4xb8CrX.1)

[pwd=GGiZq1ffZjCdpEut6RVtw2N4xb8CrX.1](https://famuzoom.us/j/97597254546?pwd=GGiZq1ffZjCdpEut6RVtw2N4xb8CrX.1)

07
THU

COMPLIANCE CORE WORKOUT

Compliance and ethics is a sport! OCE is hosting a short fitness session where each workout station is tied to a key compliance theme.

Time: 11 a.m. - 1 p.m.

Place: Hansel Tookes, Sr. Student Recreation Center
2101 Althea Gibson Way
Tallahassee, FL 32310

08
FRI

Time: 10 am-2pm

Place: Eternal Flame

OCE ART WALK

Come visit our art wall so that you can contribute to visualizing the core values of compliance and ethics at the University.

Highlights

EVENTS

WORKSHOP:
NAVIGATING FAMU

831

EMPLOYEES PARTICIPATED

CCEO
MESSAGE



WORKSHOP:
LEADING WITH INTEGRITY

189

MANAGERS PARTICIPATED



OCE Spotlight: Athletics Compliance

Our Athletics Compliance team continues to innovate in the enforcement of NCAA, state, and university regulations, supporting integrity and fair play in all athletic programs. Focused on eligibility, recruitment, financial aid, and NIL, the team provides essential training and guidance, reinforcing our commitment to transparency and student-athlete success.

MEET THE TEAM

BRITTNEY JOHNSON

Senior Associate Athletic Director for Compliance/Senior Woman Administrator

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MEET THE TEAM

LORI GOODART

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MEET THE TEAM

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MEET THE TEAM

VACANT

Coordinator, Athletics Compliance



MEET THE TEAM

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MEET THE TEAM

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WHAT'S NEXT



Implementation of External Review Recommendations

Focus areas include:

- Increased resources to achieve additional efficiencies in program goals.
- Enhanced monitoring of compliance risk.

Implementation of FAMU Fundamentals 2025

Rollout of communications and training modules for University community.



Risk Assessment Review

Update evaluations of emerging risks, changes in risk levels, and key mitigation actions.