

# FAMU Compliance and Ethics Week 2024: Resource Library

Welcome to the FAMU Compliance and Ethics Week 2024 Resource Library! This curated collection of tools, guides, and resources is designed to support our University community in embracing the theme, "Compliance and Ethics at the Core."

Here, you'll find informative materials to enhance your understanding of compliance topics, practical resources for navigating ethical decision-making, and insights that connect our core values to everyday actions. Whether you're a student, faculty, or staff member, this library is your go-to destination for fostering a culture of integrity and accountability at FAMU.

**Compliance and Ethics** →



**University Policy Awareness** →



**Rights, Respect, and Responsibilities** →



**Fraud and Internal Controls** →



**Operational Efficiency Tools** →



**Cyber Security** →



**Clery** →



**Your Role** →



**Additional Resources (Deputy COO/Chief Enterprise Risk Officer): Operational Efficiency (Employees)** →

**Additional Resources (Deputy COO/Chief Enterprise Risk Officer): Operational Efficiency (Managers)** →

Review the information and ask any questions you have along the way. Remember, compliance starts with you! We're glad to have you in the FAMUly.



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# OFFICE OF COMPLIANCE AND ETHICS

## Compliance and Ethics

[Code of Conduct](#)



[Conflict of Interest Policy \(HR\)](#)



[Conflict of Interest Disclosure Form Instructions](#)



[Conflicts of Interest in Research](#)



[Conflicts of Interest in Procurement](#)



[Compliance and Ethics Hotline](#)



[University Regulation 10.111](#)



[Compliance and Ethics Website](#)



[National Cybersecurity Alliance](#)



## University Policy

[Office of University Policy Website](#)



[UP-01-01: Policy on Policies](#)



[BOG Regulation Development Procedure](#)



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## Clery Awareness

Clery Campus  
Security  
Reporting Form



University's  
Annual Security  
Report



## Rights, Respect, and Responsibilities with EOP

Title VII of the  
Civil Rights Act  
of 1964



University  
Regulation 10.103



University Non-  
Discrimination  
Policy



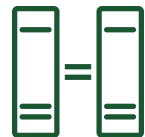
Americans with  
Disabilities Act



Office of Equal  
Opportunity  
Programs



Title IX  
(University  
Regulation 1.022)





## Operational Efficiency Tools

Brainstorming



SWOT Analysis



## Fraud and Internal Controls

Fraud Prevention  
and Detection



Internal controls  
and Enterprise  
Risk Management



Internal Controls



## Cyber Security

Information  
Technology  
Services



How to Run A  
Virus Scan



Current Security  
Threats and  
Guidance





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## OFFICE OF COMPLIANCE AND ETHICS

### Your Role

At FAMU, we understand that compliance and ethics are not confined to the Office of Compliance and Ethics but are the responsibility of every employee, from the administrative staff to faculty members. Our approach to compliance and ethics is proactive and inclusive, recognizing that every decision and action contributes to the overall ethical climate of the university.

Employees at FAMU are encouraged to lead by example, demonstrating ethical behavior in their daily tasks and interactions. This leadership fosters a culture of trust and integrity that resonates throughout the campus. By adhering to established policies and regulations, employees ensure that FAMU not only meets but exceeds the legal and ethical standards expected of a leading educational institution.

The goal of FAMU Fundamentals is to provide you with resources and empower you in the workplace. While you navigate your daily responsibilities, this training serves as reminders that we hope you apply in your work every day.

Come into the workplace with these expectations of yourself and others to further our culture of compliance and ethical decision making at FAMU.



Give good feedback, receive good feedback



Be passionate towards learning and developing



Act with integrity and honesty



We want the best for our FAMU community!



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**ADDITIONAL RESOURCES:**  
**OPERATIONAL EFFICIENCY**

Our university's success relies on every team member's commitment to operational efficiency, exceptional service, and alignment with our strategic goals. This guide will help you understand how you can contribute by focusing on three core actions: **Engage**, **Empower**, and **Elevate**.

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### **Engage: Foster Active Participation and Collaboration**

- 1. Be Present and Invested in the Mission:** Actively participate in your role, understanding that your work impacts students, colleagues, and the university's success.
- 2. Listen and Connect:** Engage by listening closely to the needs and concerns of students, staff, and colleagues. Building strong, supportive relationships fosters a collaborative culture.
- 3. Break Down Silos:** Encourage open communication across departments. Share information and work collaboratively to overcome challenges that may hinder efficiency.

#### **Practical Steps to Engage:**

- Regularly attend and actively participate in meetings.
  - Reach out to colleagues across departments for project updates or process improvements.
  - Volunteer for cross-departmental initiatives or committees to enhance teamwork and connectivity.
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### **Empower: Take Ownership and Support Others**

- 1. Own Your Role:** Understand that each role is essential in contributing to the university's mission. Take responsibility for tasks and look for ways to add value.
- 2. Support and Empower Others:** Share knowledge and resources, encouraging team members to do their best work. This could mean mentoring a colleague, offering assistance, or simply acknowledging a job well done.
- 3. Promote a Culture of Service:** Commit to providing service that exceeds expectations. Treat each interaction as an opportunity to build trust and respect within the university community.

#### **Practical Steps to Empower:**

- Identify areas where you can offer training or insights to help colleagues excel.
  - Take initiative to improve processes or solve recurring issues within your area.
  - Celebrate and recognize the achievements of others, creating a positive, empowering work environment.
-



### **Elevate: Strive for Excellence and Continuous Improvement**

- 1. Commit to High Standards:** Strive to elevate every task and interaction to support the university’s commitment to excellence. Small improvements add up and create a substantial impact on operations and service.
- 2. Seek Opportunities to Innovate:** Look for areas where processes can be improved or streamlined. Innovation doesn’t always mean big changes; small adjustments can yield significant results.
- 3. Align with Strategic Goals:** Make sure your efforts support the university’s strategic objectives, contributing to long-term success and sustainability.

#### **Practical Steps to Elevate:**

- Regularly assess your work processes and seek ways to improve efficiency.
  - Use feedback as a tool for growth, learning from both successes and challenges.
  - Set personal goals for service excellence and operational improvements, tracking your progress over time.
- 

### **The Power of Collaboration and Service Across Units**

For our university to function seamlessly, each department and employee must work together. Collaboration across units is vital to delivering consistent, high-quality service and ensuring smooth operations. Here are some ways you can foster collaboration and service:

- **Share Information and Best Practices:** Don’t keep valuable insights within your department. Share knowledge that could benefit others.
  - **Offer Help Beyond Your Role:** When possible, assist other departments or staff members who might be struggling with their workloads or projects.
  - **Hold Each Other Accountable:** Encourage a culture of responsibility, where everyone is accountable for their work and supports others in meeting university goals.
- 

### **How You Can Contribute to the University’s Overall Success**

- 1. Understand Our Strategic Plan:** Familiarize yourself with the university’s strategic objectives and find ways to align your daily tasks with these goals. ([Learn more on our Strategic Plan website](#))
- 2. Proactively Solve Problems:** Rather than waiting for issues to escalate, address potential challenges early. (Need help? [Complete the Employee Feedback Form](#))
- 3. Uphold a Service-First Attitude:** Every interaction—whether with students, faculty, or staff—reflects our commitment to service excellence. ([Learn more on our Service Excellence website](#))



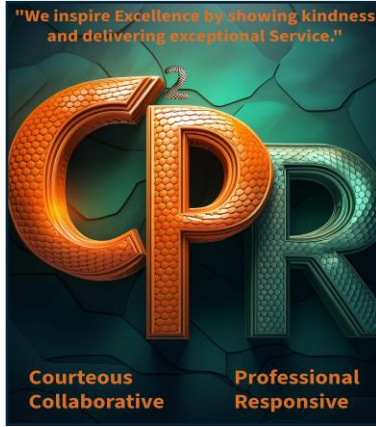


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**ADDITIONAL RESOURCES:**  
**OPERATIONAL EFFICIENCY**  
**(MANAGERS)**

As leaders, managers play a pivotal role in driving service excellence, operational efficiency, and accountability within their teams. This guide is designed to reinforce the strategies discussed in our Manager Workshop: Leading with Integrity and provides actionable steps to ensure success across units.



## Ensuring Service Excellence and Operational Efficiency

Service excellence is about exceeding expectations and delivering value in every interaction with students, faculty, and staff. At FAMU, our service excellence philosophy is "We inspire Excellence by showing kindness and delivering exceptional Service." As a result, managers and staff alike are all expected to display our standards of being courteous, responsive, collaborative, and professional in all interactions.

Efficiency is about optimizing resources to maximize impact. Managers can streamline workflows and eliminate redundant tasks, helping teams focus on value-added activities.

### Strategies for Service Excellence:

- **Set Standards for Service-Oriented Behaviors:** Define what service excellence looks like in your unit (e.g., timely responses, proactive communication, active listening).
- **Lead by Example:** Model service-focused behaviors daily, showing your team how to handle situations with empathy and attentiveness.
- **Promote a Solution-Oriented Mindset:** Encourage team members to approach challenges with a mindset of finding quick, effective solutions that support stakeholders.

#### *Staff Meeting Discussion Questions for Service Excellence*

What does "service excellence" mean to you, and how can we embody it in every interaction with students, faculty, and other colleagues?

Can you share a recent experience where you felt we provided exceptional service? What specific actions made it exceptional, and how can we replicate that across the team?

What challenges do you encounter that make it difficult to provide excellent service? How can we work together to address or overcome these obstacles?

### Strategies for Operational Efficiency:

- **Conduct Regular Process Reviews:** Evaluate workflows to identify bottlenecks or redundant steps and encourage team members to provide input on potential improvements.
- **Cross-Train Team Members:** Cross-training ensures consistent service delivery during absences or high-demand periods and fosters team adaptability.
- **Implement Automation Where Possible:** Automate repetitive tasks, such as data entry or report generation, to free up time for more strategic activities.

#### *Staff Meeting Discussion Questions for Operational Efficiency*

Are there any specific tasks or processes in our daily work that feel time-consuming or repetitive? How could we streamline or simplify these processes?

What tools, resources, or training could help us be more efficient in meeting our responsibilities?

How can we better collaborate across departments or within our team to ensure smoother operations and reduce potential delays or miscommunication?



### Balancing Operational Needs with Compliance

Balancing operational efficiency with legal and regulatory compliance is essential for managing risk and protecting the university’s integrity. Compliance should be viewed as a core component of operations, not a separate requirement. When seamlessly integrated, compliance efforts enhance decision-making and promote sustainable practices that align with the university's mission and values.

#### Strategies for Integrating Compliance:

- **Embed Compliance into Daily Operations:** Make compliance a part of regular conversations in meetings, project planning, and performance assessments.
- **Leverage Compliance as a Resource:** Engage compliance, audit, or legal teams early in new projects or processes to identify potential issues and prevent costly delays.
- **Foster a Compliance Culture:** Emphasize that compliance is a shared responsibility. Encourage team members to take ownership of understanding and following applicable policies and regulations.



### Managing Operational Risks Within Units

Effective risk management helps teams anticipate and prevent issues that could impact the unit’s performance or reputation. Proactive risk management includes identifying, assessing, and mitigating potential risks before they become problems. By embedding risk awareness into daily operations, teams can make informed decisions that support long-term resilience and adaptability.

#### Strategies for Managing Operational Risks:

- **Encourage Open Communication about Risks:** Create a safe environment where team members feel comfortable discussing potential risks, challenges, and areas of concern.
- **Implement Regular Risk Assessments:** Hold periodic risk review sessions to identify new risks and reassess existing ones, adjusting processes as needed.
- **Document and Share Lessons Learned:** When issues arise, document them, review what went wrong, and share insights with the team to prevent similar situations in the future.



### Maintaining Accountability in Daily Processes

Accountability is essential for achieving team goals and fostering a culture of trust and reliability. It ensures that all team members understand and meet expectations consistently. When everyone takes ownership of their roles and responsibilities, it strengthens the team’s foundation and drives collective success. Moreover, a culture of accountability empowers individuals to proactively address challenges, leading to continuous improvement and resilience within the team.

#### Strategies for Building Accountability:

- **Set Clear, Measurable Expectations:** Define specific goals and metrics for each team member to help them understand what success looks like and their role in achieving it.

- **Conduct Routine Check-Ins:** Hold regular one-on-one meetings or team check-ins to discuss progress, provide feedback, and address challenges.
- **Recognize and Reward Accountability:** Acknowledge team members who consistently meet or exceed expectations, reinforcing a culture of responsibility and high standards.



### **Aligning Operational Goals with Behavioral Expectations**

For operational goals to be successful, they must align with the values and behaviors expected within each unit. This alignment creates consistency in both actions and results. When values and goals are clearly connected, team members understand the “why” behind their tasks, fostering greater engagement and motivation. Additionally, this alignment ensures that every action taken supports the unit’s mission, reinforcing a culture of accountability and purpose.

#### **Strategies for Aligning Goals and Behaviors:**

- **Define Core Behaviors That Support Unit Goals:** Identify the behaviors that are critical for meeting operational goals (e.g., promptness, collaboration, proactive problem-solving).
- **Link Behaviors to Performance Evaluations:** Include these behaviors in performance assessments to reinforce their importance and ensure alignment with team and university goals.
- **Recognize Positive Behavior and Provide Constructive Feedback:** Publicly recognize behaviors that reflect the unit’s values and provide guidance on improvements where needed.

## **Resources**

### **Office of the Chief Operating Officer ([COO Website](#))**

The COO website is your central resource for information on operational priorities and initiatives at FAMU. Here, you can find details about leadership, strategic goals, and ways to request training or resources to support your unit’s operational needs. This site is also the place to ask for assistance or clarification on administrative processes, helping you navigate and contribute effectively to the university’s mission.

### **Service Excellence ([Service Excellence Website](#))**

The Service Excellence website provides resources and guidelines to help employees uphold FAMU’s commitment to outstanding service. This page offers access to training opportunities, best practices, and tools to enhance service interactions across departments. If you have questions, need guidance, or want to report a service-related issue, this site is a valuable starting point for maintaining high standards of excellence.

### **Enterprise Risk Management (ERM) ([ERM Website](#))**

The ERM website offers insights and resources for managing risk across the university, helping teams proactively identify, assess, and address potential challenges. Use this site to learn more about FAMU’s risk management framework, request risk management support, or report any potential risks within your area. This resource is essential for promoting a risk-aware culture and ensuring operational resilience within your unit.



# Managing Conflict and Resistance From Difficult Personalities in Teams

3 October 2024

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# Summary

**Difficult staff members may fixate over technicalities, disdain innovation and think you (or others) are after them. As labor becomes more communal, networked, and overlapped to boost productivity, this research helps executive leaders manage these workers and the stress they cause.**

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# Key Findings

- Research demonstrates that global unhappiness and work-related illness — loneliness, stress, resentment and anger — are an epidemic. Chief executives must now manage them in the workplace. After 2019, social media mentions about problematic co-workers increased 39% in 2021 and 16% in 2022 (the latest year data is available).
- Difficult workplace personalities are consistently inappropriate, causing harm to the team, company and those they directly lead or work with due to their uncontrollable need for attention, protection and/or control.
- The net impact of their negative behavior can range from difficult to toxic — gossiping, unreliability, undermining, bullying, insubordination, display of incivility and insolence. All of these have impactful ramifications for the organization and its workers in terms of climate, culture, engagement and productivity.

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# Key Findings

- Research shows that removing a difficult personality or converting that individual to an average worker improves organizational performance far more than replacing an average worker with a superstar worker.

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# Recommendations

Executive leaders managing difficult personalities in the workplace should:

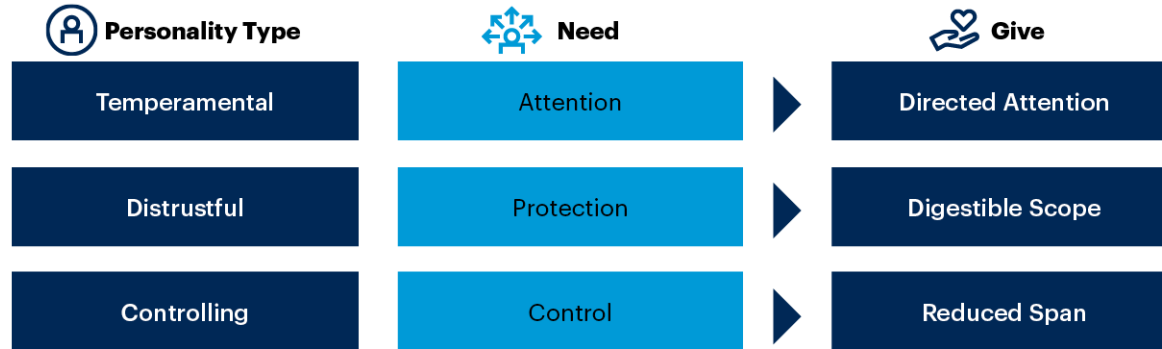
- Recognize the most common dysfunctional behavior in their teams by using the four markers and list of common behaviors of the temperamental, distrustful and controlling types.
- Regulate their dysfunctional behaviors using the 4 “R”s — reframing, remodeling, restricting and removing practices.
- Partner with HR and their legal department using their university’s practices and processes, up to and including removing the employee. Never manage difficult personalities alone.

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# Figure 1: Regulate Difficult Behavior With Limits

## Regulate Difficult Behaviors With Limits



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# Figure 2: Common Difficult Personality Types and Characteristics

## Common Difficult Types and Characteristics

<b>Temperamental</b> (Need for Attention)	<b>Distrustful</b> (Need for Protection)	<b>Controlling</b> (Need for Control)
<ul style="list-style-type: none"><li>✓ Seek Attention at All Costs</li><li>✓ Intentionally Stand Out to Drive Attention</li><li>✓ Personalization Beyond Group Comfort</li><li>✓ Tread Mill Toward Dissatisfaction</li><li>✓ Frequent and Rapid Changes in Mood</li><li>✓ Lacks Empathy</li></ul>	<ul style="list-style-type: none"><li>✓ Distrust of Others</li><li>✓ Distortion of Fear</li><li>✓ Anxiety and Pessimism</li><li>✓ Spread and Drain</li><li>✓ Holds Grudges</li><li>✓ Difficulties with Uncertainty</li></ul>	<ul style="list-style-type: none"><li>✓ Obsessive Attempts to Control the Situation</li><li>✓ Micromanaging People and Their Behavior</li><li>✓ Rigidity and Stubbornness</li><li>✓ Veiled Aggressive Behavior</li><li>✓ Overcharge Teams</li></ul>

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# Figure 3: Four Rs to Regulate Behavior

Four Rs to Regulate Behavior



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# 3 Strategies for Effective Leadership of Multigenerational Talent

22 October 2024

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# Summary

**Many executive leaders struggle with managing a multigenerational workforce. Executive leaders can manage multigenerational dynamics successfully by overcoming generational biases, adapting to shifting employee expectations and unlocking the value of diverse teams.**

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# Key Findings

- All generations in the workforce, from baby boomers to Gen Z, show more similarities than differences in their workplace preferences. While there are some important differences that exist, generational myths and biases suggest greater divisions between generations than we see in reality.
- By 2030, millennials and Gen Z are predicted to comprise as much as 85% of the global workforce. As they become the majority in the workforce, employee expectations will shift to place a greater emphasis on flexible work arrangements and human-centric leadership.
- The baby boomer generation is staying in the workforce longer than prior generations have. This is providing organizations with opportunities to institutionalize their knowledge and mitigate the risks from “brain drain.”

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# Recommendations

- Dispel multigenerational myths and biases while bridging genuine differences by embracing strategies such as co-created team norms, interventions in succession planning and monitoring bias in compensation.
- Embrace changing employee expectations by providing radical flexibility (flexibility over where, how, when and with whom employees work) and human-centric leadership to support employees regardless of career or life stage.
- Manage institutional knowledge transfer proactively by creating spaces and systems for multigenerational connection, including prioritizing reciprocal mentorship.

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# Figure 1: Three Strategies for Leading a Multigenerational Workforce



## Three Strategies for Leading a Multigenerational Workforce

### Overcome generational myths and biases

“Gen Z is so difficult to manage. They lack loyalty.”



### Adjust to changing expectations

“My older employees are never in the office anymore!”



### Create systems for multiple generations to connect

“I’m concerned about losing knowledge as people retire.”



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