



UF

UF Compliance and Ethics

Terra DuBois, Chief Compliance, Ethics, and Privacy Officer

March 29, 2021



Program History

2016

- Florida Board of Governors Regulation 4.003 – Requires each SUS university to have an enterprise-wide compliance and ethics program

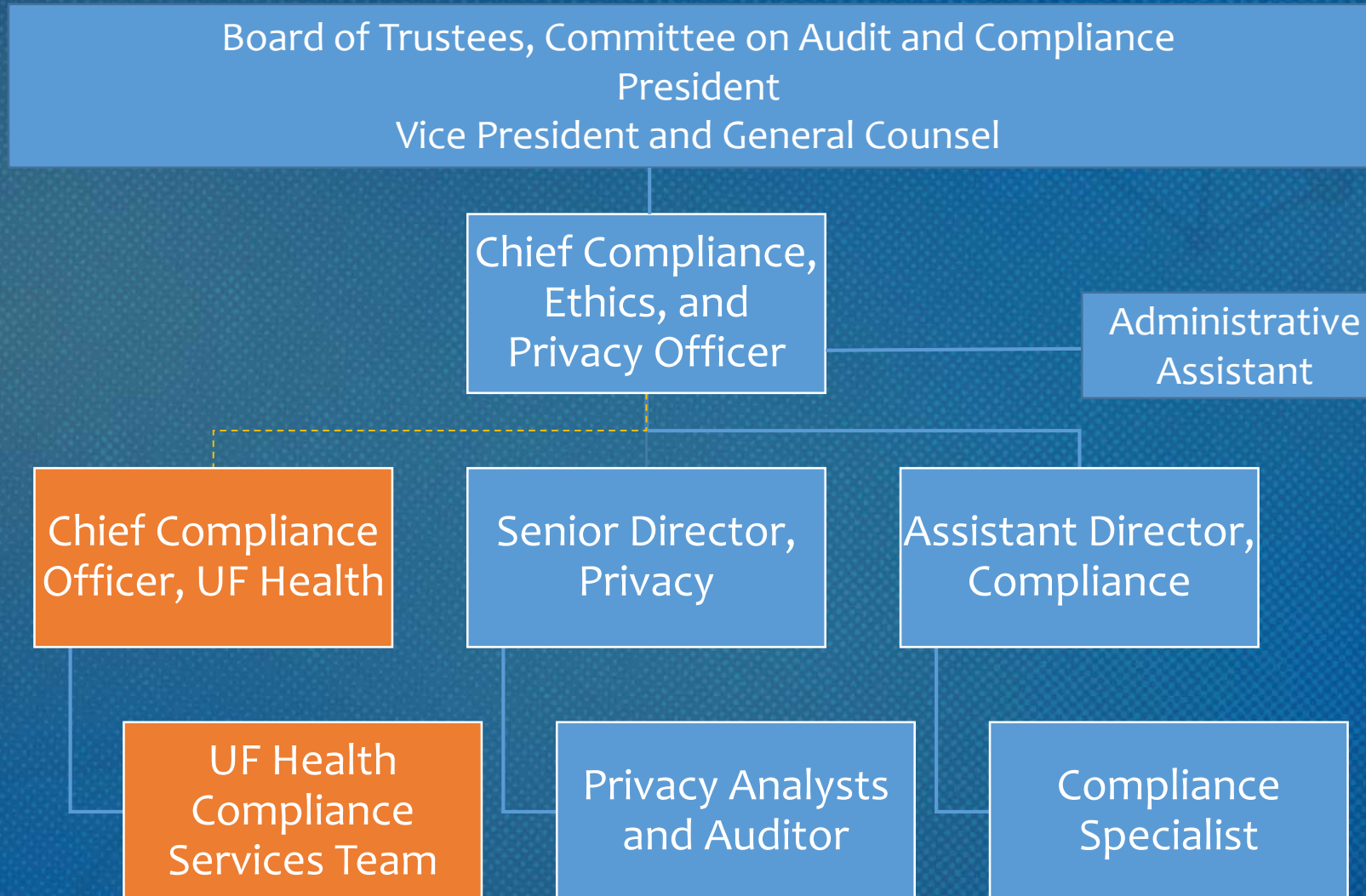
2017

- UF Board of Trustees approves UF's compliance program plan

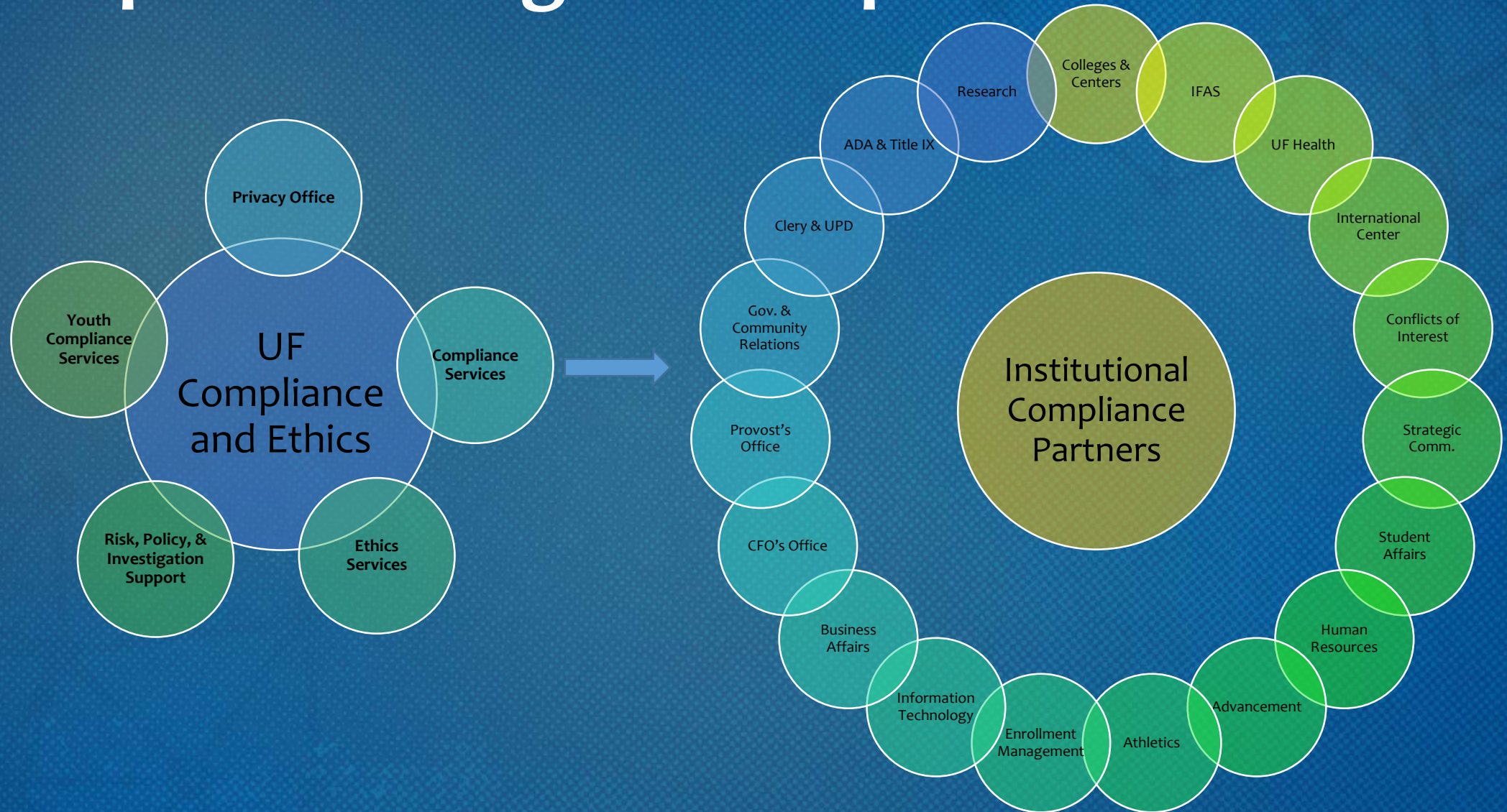
2020

- Program leadership changes result in enhanced programmatic oversight

Organizational Structure



Compliance Program Scope



UFCE Key Functions

- Provide management and oversight of enterprise-wide compliance and ethics efforts
- Promote a culture of ethics and compliance with regulations
- Provide guidance and education on topics such as
 - Ethics, vendor relationships, gifts, misuse of public position or UF resources, and other provisions of the FL Code of Ethics for Public Officers and Employees
 - Foreign Influence
 - Privacy Compliance
 - Youth Protection
- Assist with hotline inquiries and investigations
- Assess compliance risks
- Review and approve policies
- Ensure President and Board of Trustees have necessary information to perform their oversight responsibilities

UFCE and UF IT Collaboration

- CISO is Compliance Partner
- IT Risk Assessments
 - Provide ancillary review for privacy and compliance issues (e.g., HIPAA, FERPA, CUI, GLBA, etc.)
- Information breaches and Investigations
- Policy development
 - Information Security Advisory Council
 - UF policy approval process