



# Managing at USF



 COMPLIANCE & ETHICS

# What is Compliance?



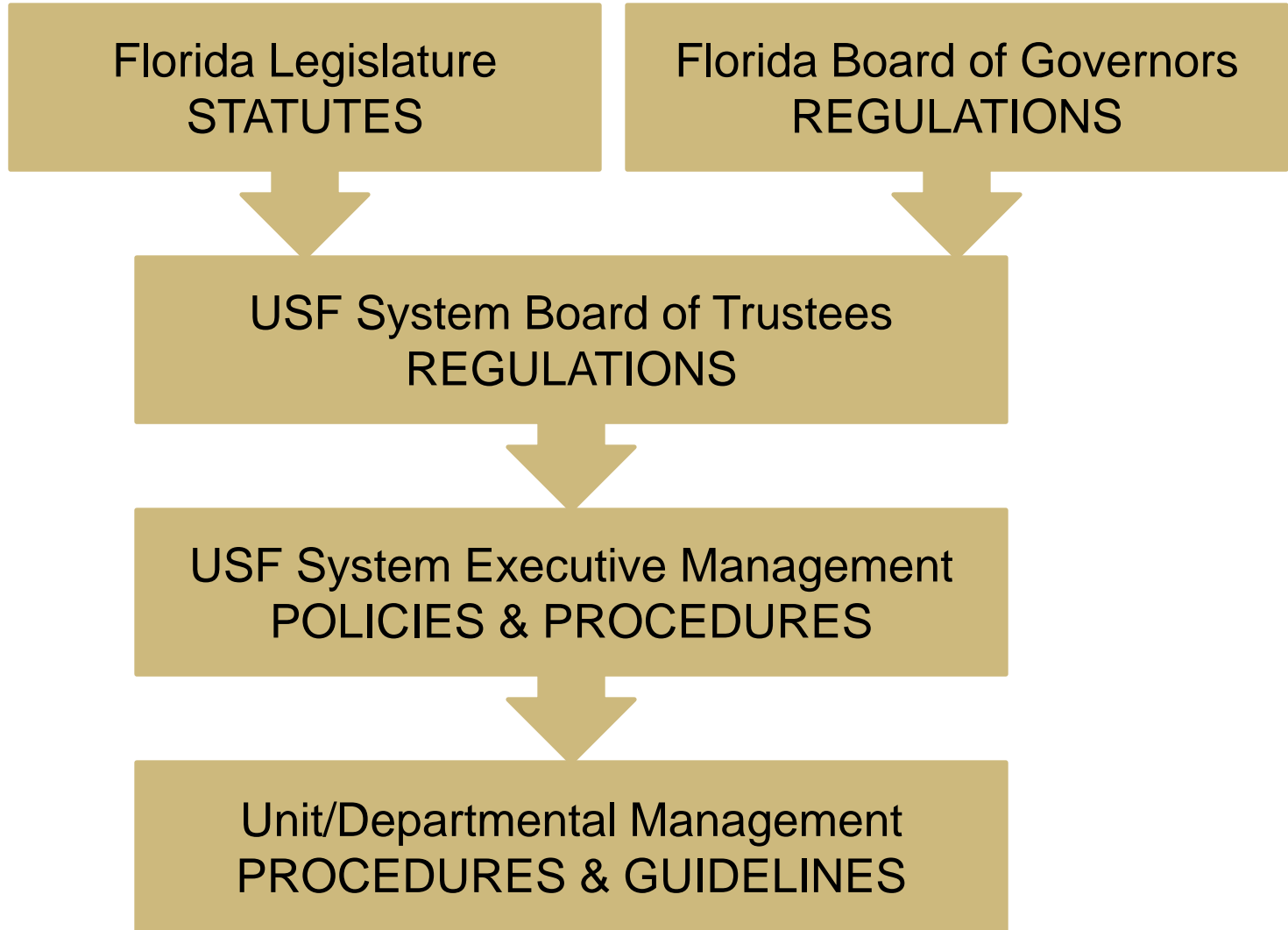
Knowing, respecting, and following the rules.

# What is expected of Managers?



- Be a role model
- Stay informed
- Raise questions
- Report concerns

# Compliance Framework







# USF System Policies & Regulations

**USF** UNIVERSITY OF SOUTH FLORIDA SYSTEM

Text Only My USF A-Z Index Campus Directory Calendars

Search

## USF System Policies

USF System policies were adopted pursuant to **USF System Policy 0-001, Issuance of Policies and Procedures**.

### Search Our System Database

There are several ways to search for policies and regulations:

- Select a letter or choose "ALL"
- OR enter a search term  AND/OR select a category
- OR select an institution

**OFFICE OF THE General Counsel**

System Regulations »  
Policies »

Policies  
Proposed Policies  
Board of Trustees Governance Policies  
USF St. Petersburg Policies

Governance  
Grant Resources



# Business Processes



Welcome to **COMPASS** – Your Online Guide to USF Business Processes



[COMPASS Home](#)

[Find Process](#)

[Ask a Question](#)

[My Stuff](#) ▾

Advanced Search

[Search](#)

Find the answer to your question

## Top Business Categories

[Accounting](#)

[FAST](#)

[Foundation \(USF\)](#)

[GEMS](#)

[Human Resources](#)

[OASIS](#)

## Featured Support Categories

### Accounting/Auditing

- [Account Establishment & Maintenance](#)
- [Asset Management](#)
- [Accounts Receivable](#)
- [Cashiering](#)
- [Fiscal Resource Management](#)
- [Record Management Processes](#)
- [Returned Checks](#)

### Benefits

- [Benefits Processes](#)

### Accounting Structure and ChartFields

### Accounts Payable/Travel

### Appointments

### Attendance & Leave

### Auxiliary Services

- [Chinsegut Hill](#)
- [Copying and Printing Services](#)
- [Dining and Catering Services](#)
- [Office St...](#)

# Additional Resources



**USF** UNIVERSITY OF SOUTH FLORIDA SYSTEM

Text Only A-Z Index Campus Directory Calendars

Search

## University Audit & Compliance

- Home
- About Us
- Audits & Reviews
- Management Advisory Services
- Investigations
- Compliance and Ethics Program
- Risks & Controls
- State & University Guidance

### State and University Guidance

The following resources outline state and university guidance:

- Florida Statutes  
<http://www.leg.state.fl.us/>
- Florida Administrative Code  
<https://www.flrules.org/>
- FL Board of Governors (BOG) Regulations  
<http://www.flbog.org/about/regulations/>
- USF System Regulations  
<http://generalcounsel.usf.edu/regulations/index.asp>
- USF Policies  
<http://generalcounsel.usf.edu/policies-and-procedures/index.asp>
- COMPASS - USF Online Business Processes  
<http://compass.custhelp.com/cgi-bin/compass.cfg/php/enduser/home.php>
- Office of the General Counsel  
<http://generalcounsel.usf.edu/>



# What is Ethics?

- Honesty
- Integrity
- Putting the public interest first



# Florida Code of Ethics (FCOE) for Public Officers and Employees

- Prohibitions or restrictions us from private gain
- Sets standards of conduct for all employees

## Conflicts of Interest:

- Gifts or benefits
- Misuse of Public Position or Non-Public Information
- Business, Contractual, & Employment Relationships
- Nepotism

# Why adhere to the FCOE?

Penalties can include:

- Reprimand, suspension, demotion, salary reduction, dismissal, restitution
- Forfeiture of 1/3 salary per month for up to 12 months
- Civil penalty of up to \$10,000

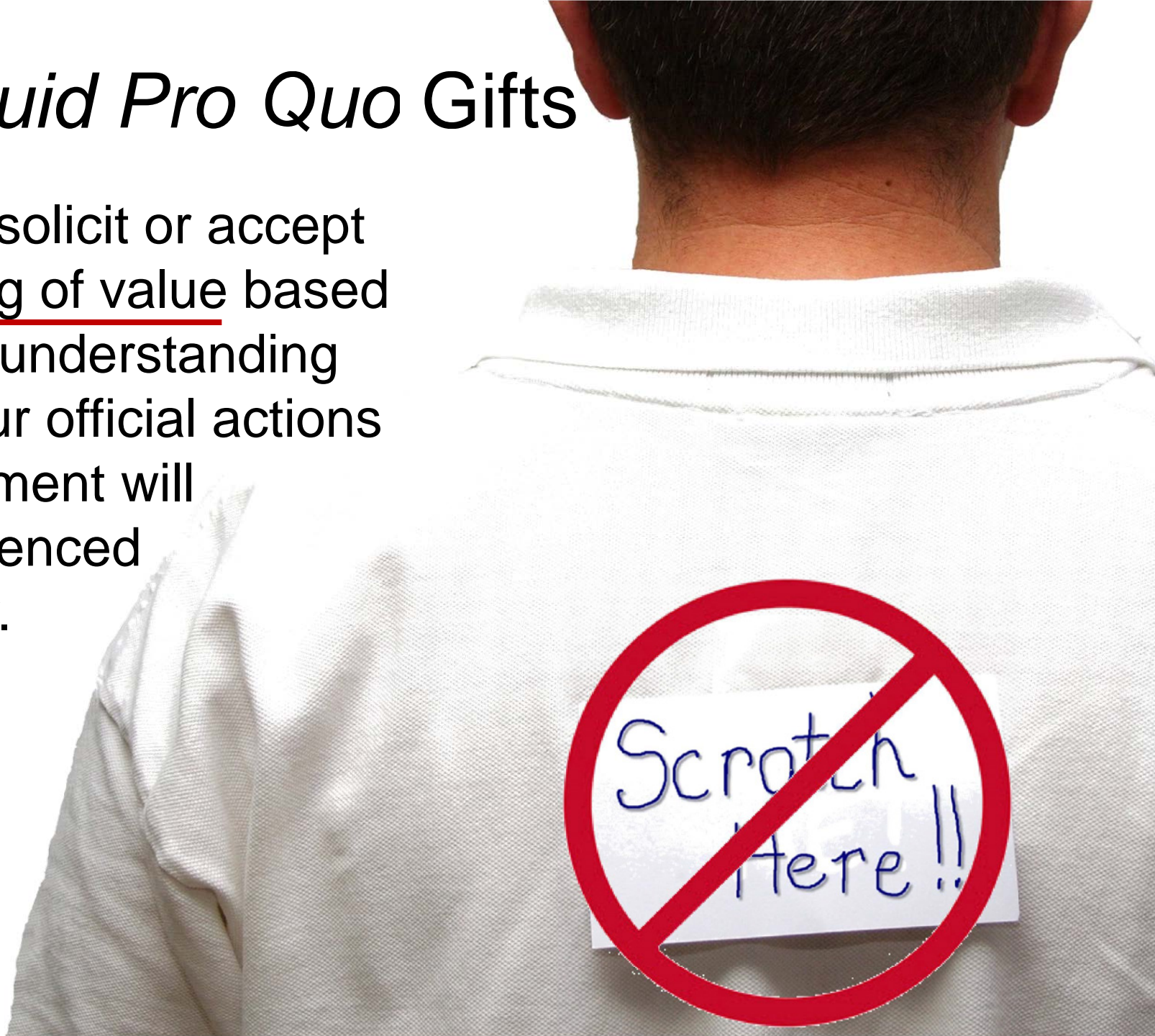


**Do the Right Thing**



# No *Quid Pro Quo* Gifts

Do not solicit or accept anything of value based on any understanding that your official actions or judgment will be influenced thereby.



# What is “anything of value”?

Includes:

Gift



Loan



Reward



Promise of  
future  
employment



Favor or  
Service

# No Solicited Gifts

Do not solicit any gift from a Vendor or Lobbyist for the personal benefit of yourself or any other person.





# No Gifts to Influence

Do not accept anything of value when you know, or should know, it was given to influence your official actions.



Rule of Thumb: The larger the gift, the more you "should know".

# No Gifts > \$100

Do not accept a gift from a Lobbyist or Vendor that you know or reasonably believe has a value greater than \$100, if you are a procurement employee.



# And a Procurement Employee is?

Any employee participating in procurement through:

- Decision, Approval, Disapproval, or Recommendation
- Preparing Purchase Requests
- Influencing Specifications or Standards
- Investigations or Auditing
- Any other advisory capacity





# But there's more...

Organizational units and departments may have more restrictive gift guidelines.



# Case Study: Gifts



# Misuse of Public Position

Do not secure special privileges, benefits, or exemptions for yourself or others by misusing, or attempting to misuse, your...

- Position
- Property within your trust
- Resources within your trust

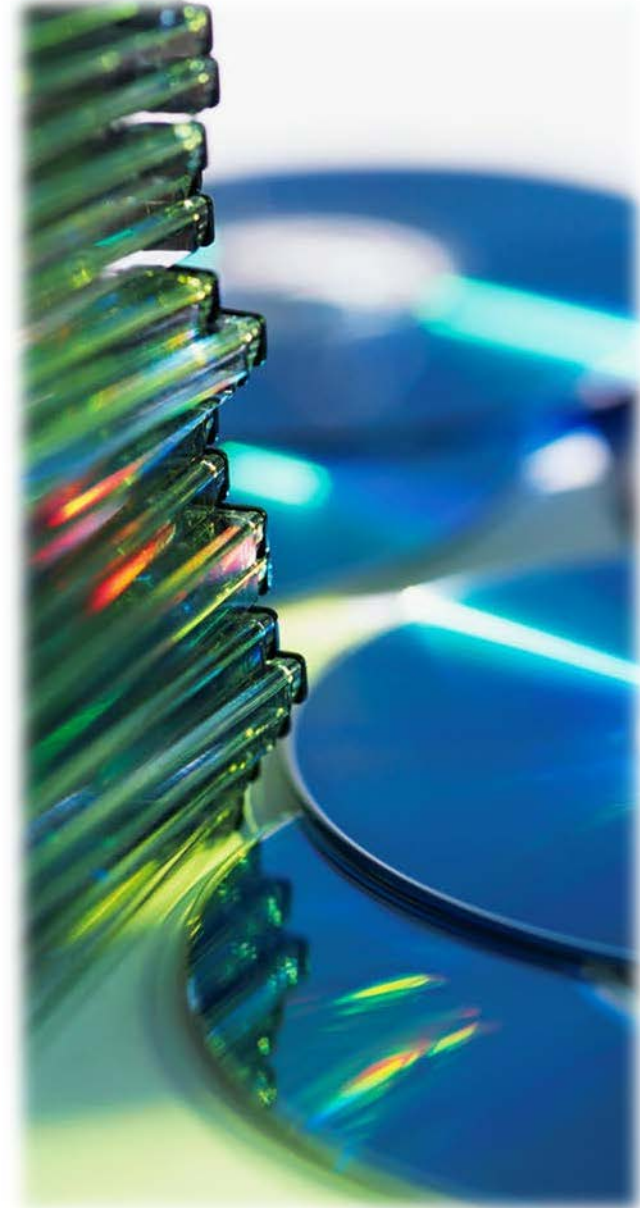




# Misuse of Non-Public Information

Do not disclose or use non-public information for personal gain or benefit of yourself or any other person or business entity.

This applies to current & former employees.



# No Selling to the USF System

Unless a statutory exemption applies...

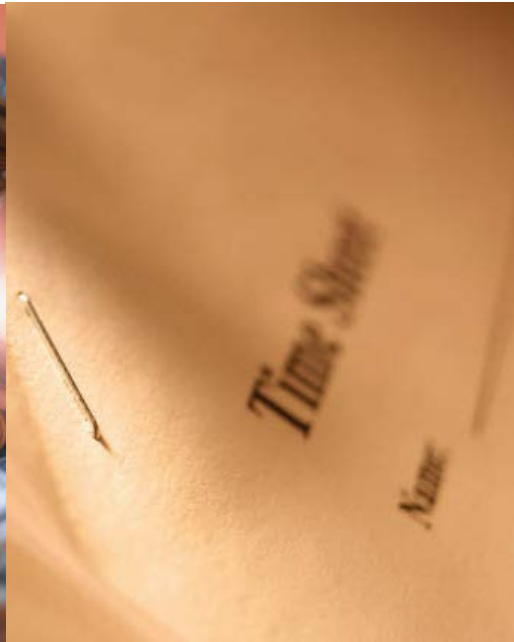
Do not rent, lease, or sell any realty, goods, or services to the USF System, while acting in a private capacity.



# No Vendor Employment/Contracts

Unless a statutory exemption applies...

Do not be employed by or have a contractual relationship with a business doing business with USF.





# Buying for USF

Unless a statutory exemption applies...



No not purchase, rent, or lease any realty, goods, or services for the USF System from a business entity in which you, your spouse, or your child is an Officer, Partner, Director, or Proprietor; or has a material interest.



Ownership of > 5% of the total assets or capital stock.





# Statutory Exemptions

## Some examples...

- Contract prior to USF employment
- Purchase/sale for advertising, utilities, or passage
- Total aggregated transactions < \$500/calendar year
- Emergency/Sole Source
- Competitive Bid filed with Commission on Ethics
- Sponsored Research Exemption

# Contractual Services

If you participate in the procurement of contractual services...Do not become or be the employee of a person or business entity contracting with the USF System.

**“Contractual service” means the rendering by a contractor of its time and effort rather than the furnishing of specific commodities.**



# Look & Sound Familiar?

Any employee participating in procurement through:

- Decision, Approval, Disapproval, or Recommendation
- Preparing Purchase Requests
- Influencing Specifications or Standards
- Investigations or Auditing
- Any other advisory capacity




# Case Study: Conflicting Business, Employment, or Contractual Relationships





# Nepotism

Do not employ related persons in a single organizational unit or a work-related unit unless approved by the Provost or Vice President or Regional Chancellor.



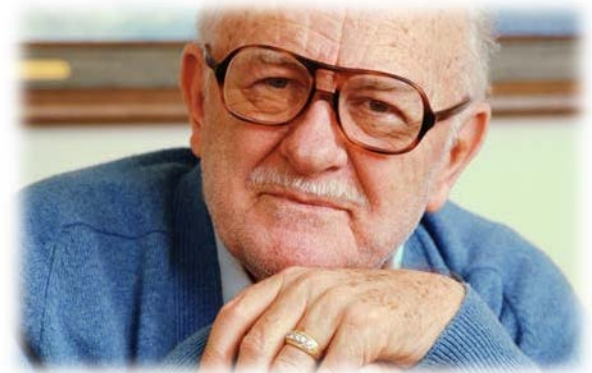
**Approved only when one related person can not affect the other's:**

- **Appointment**
- **Retention**
- **Work Assignments**
- **Evaluation**
- **Promotion**
- **Demotion**
- **Salary**



# Related Persons

- Husband or wife
- Parent or child
- Brother or sister
- Grandparent
- Grandchild
- Aunt or uncle
- First cousin, niece, or nephew
- Spouse of a child, brother, sister, or parent
- Parent, child, brother or sister of spouse
- Fiancé or Fiancée
- Persons intending to marry or form a household
- Same legal residence



# Outside Activity

Any activity not part of the your USF system duties and for which the USF System does not compensate you.



# Outside Activity Disclosure

Employees must disclose and receive prior approval for any outside activity involving any of the following:

- Being paid or compensated
- Waiver or assignment of rights to inventions or works
- Using USF System facilities, equipment, or services
- Any potential conflict of interest or commitment



# What is a Conflict of Interest?

Any unresolved conflict between the private interests of the employee and the public interests of the USF System



# What is a Conflict of Commitment?

Any activity which interferes with the full and competent performance of the employee's professional or institutional responsibilities or obligations.



# Discussion & Considerations

- Discuss the activity with your employee.
- Consider whether the proposed outside activity creates a potential or actual conflict of interest or conflict of commitment.

USF Reg.  
10.206?

Safety  
Issues?

Business  
conflicts?

Job performance  
affected?



# Supervisory Review

If the outside activity only involves compensated activity and creates no potential or actual COI, the employee's Supervisor can verbally approve the activity.



Otherwise...

The employee must complete and submit the Outside Activity Form for review.





# Where's the form?



## Office of the Provost and Executive Vice President

### For Faculty

- Faculty Development
- USF Award Programs
- Recruitment & Hiring
- National Faculty Awards and Fellowships

### For Students

- Student Links

### Resources

- Forms
- Plans
- Policies & Guidelines
- Publications
- Presentations

### About Academic Affairs

- Provost Offices
- Deans and Colleges
- Contact Information

### Forms

- [Assigned Duties Summary](#)
- Faculty Compensation
  - Extra Compensation
    - [Request for Approval](#)
  - Out of Cycle Compensation
    - [Request for Approval \(New Form\)](#)
    - [Instructions for FOCC Form](#)
    - [Pre-emptive Counter Offer](#)
- [Faculty Hiring Report](#)
- [Leave of Absence Request](#)
- [Letter of Offer Templates](#)
- [Outside Activity Form](#)
- [Paid Parental Leave Form](#)
- [Post Retirement Employment Approval](#)
  - [Supplemental Information Form](#)
- [Sabbatical Leave Application](#)
- [Space Impact Request Form](#)
- [Student Evaluation of Teaching](#)
- [Tenure & Promotion forms and documents](#)
- [Textbook Use Request](#)
- [Waiver Request for Advertising](#)

UNIVERSITY OF SOUTH FLORIDA REPORT OF OUTSIDE ACTIVITY	
Employee's Name	Employee's Title
Employee's Department	FTE <input type="text"/>
Employee Type: <input type="checkbox"/> Faculty (12 month) <input type="checkbox"/> Faculty (9 month) <input type="checkbox"/> A&P <input type="checkbox"/> USPS	
Name of Department	Location of Department
<p align="center"><b>UNIVERSITY OF SOUTH FLORIDA</b> <b>UNIVERSITY EQUIPMENT, FACILITIES, AND SERVICES</b> To Be Used in Conjunction with Outside Activity Form</p> <p>An employee who has been approved to engage in an outside activity cannot normally expect to use University equipment, facilities, and services. The use of any of these resources will be allowed only on a non-interference basis to the extent that (1) no more than normal depreciation of equipment is experienced and that (2) the use of facilities and services will not result in added expenses accruing to the University. In those instances where added expenses are involved, there will be an appropriate charge for services and facilities.</p> <p>The employee, upon signing this statement, certifies that the use of these University resources is specifically for the purpose of performing employment (consulting) duties for the employer listed on the reverse of this page and does not constitute University competition with private enterprise.</p>	
Anticipate Nature and Duration of Activity	<p align="center"><b>EQUIPMENT</b></p> <p>Identify equipment and manner in which it will be used: _____</p> <p>Department and college or other area(s) in which equipment is located: _____</p> <p>Approval of use of equipment on a non-interference basis: _____</p> <p>Signature of Department Chairman and/or Dean or other Supervisor _____ Date _____</p>
Must you President Signature	<p align="center"><b>FACILITIES</b></p> <p>Identify facilities and manner in which they will be used: _____</p> <p>Department and college or other area(s) in which facilities are located: _____</p> <p>Approval of use of facilities on a non-interference basis: _____</p> <p>Signature of Department Chairman and/or Dean or other Supervisor _____ Date _____</p>
Does this activity? Have you must be activities? I certify	<p align="center"><b>SERVICES and COMPUTER</b></p> <p>Identify services and manner in which they will be used (if computer services, include statement describing class and type of service and description of use.): _____</p> <p>Department and college or other area(s) which will provide services: _____</p> <p>Approval of provision of services at the following (if any) charges: \$ _____</p> <p>Signature of Department Chairman and/or Dean or other Supervisor _____ Date _____</p>

# Outside Activity Reminder



It is not USF System policy to discourage employees from outside activity, only to ensure that you and your employees are in full communication regarding your mutual responsibilities and obligations to always put the public interest first!

# Fraud Prevention & Detection

Willful or deliberate act or omission with the intention of obtaining unauthorized benefit, service, property, or something of value by deception, misrepresentation, or other unethical or unlawful means.





# Examples of Fraud:

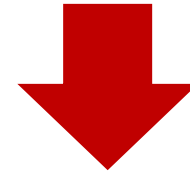
- Forging or altering documents
- Misrepresenting information
- Misappropriating funds, supplies, or other assets
- Theft, disappearance, or unauthorized destruction
- Improprieties in handling/reporting of money transactions
- Authorizing/receiving payment for goods not received or services not performed





# Managers' Responsibilities

- Know the types of fraud for your area
- Be alert for any indication of fraudulent or dishonest acts
- Establish and follow a system of internal controls



Systems established by  
your Vice President or  
Regional Chancellor

**Need More Help?**

Contact University  
Audit & Compliance



# Fraud Reporting

Employees observing, suspecting, or having been made known of fraud should immediately report to their Supervisor.



**What if the employee believes their Supervisor is involved?**

Report it to the next highest level of Management or University Audit & Compliance

**Any other reporting options? What if you just have question?**

Anonymous reports and questions can be made through the EthicsPoint hotline.

# EthicsPoint Hotline

The USF System has engaged ***EthicsPoint*** —a third party hosted hotline — which enables safe, secure, and anonymous reporting of activities which may involve misconduct, fraud, abuse, and other violation of USF policies.



3 easy ways to report from anywhere



[www.ethicspoint.com](http://www.ethicspoint.com)



[www.usf.edu/uac](http://www.usf.edu/uac)



1.866.974.8411



# Retaliation, Retribution, Reprisals



No tolerance for retaliation, retribution, or reprisals against an employee or student who, in good faith, files a complaint, grievance, or report of violations of law, rule, regulation, policy, or other misconduct.



# Some Examples...

- Discharge, suspension, transfer, demotion
- Withholding bonuses
- Reduction in salary or benefits
- Giving deflated performance evaluations
- Inappropriate assignment of low grades



Consequences...

Disciplinary Action  
(up to dismissal)

# Reporting Retaliation

Sexual Harassment or  
Discrimination

Office of Diversity &  
Equal Opportunity

Response to filing of a  
grievance

Employee Relations  
within Human Resources

Perpetrator is faculty  
or student

Office of the Provost

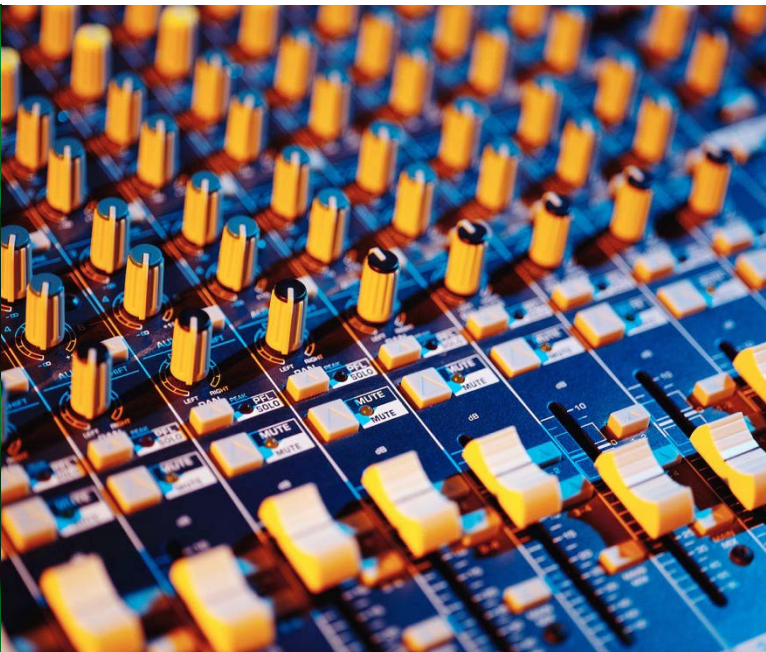
Other or just not sure  
to whom to report

University Audit & Compliance

# USF System Records

Under Florida Public Records law, most USF System records are public and open to inspection by any person requesting access.

*e.g. e-mail, sound recordings, photos, just about anything made or received in the transaction of official business*



# Confidential Records

Certain records may contain confidential information which is exempt from disclosure

*e.g. social security numbers, student records, medical/psychological records, etc.*





# Responding to Records Requests

- Inform your Supervisor
- Follow your Unit's written procedures
- Consult USF System Policy 0-106
- Contact General Counsel for guidance and assistance
- Be aware, that there may be copying & redaction charges



# Information Technology Resources

- Login IDs and passwords are sensitive & confidential
- Employees are responsible for all actions taken using their login ID
- Follow USF System information security & proper use standards
- Limit incidental personal use
- Do not violate copyright agreements or state law
- Use of USF System computing resources is not completely private.



# External Contacts

What if the media contacts you?

University Communications & Marketing;  
USF System Policy 0-207

What if you are served a legal process?

Office of the General Counsel  
USF System Policy 0-103



# External Contacts, more what ifs...



What if you want to serve as an agent or sales representative on USF System campuses for an external organization?

Bull Market or Vice President's approval

USF System Policy 0-018



What if you want to send a request to an elected or appointed official for legislative action?

Office of the Government Relations

USF System Policy 0-011





UNIVERSITY OF  
SOUTH FLORIDA  
SYSTEM

COMPLIANCE & ETHICS PROGRAM  
UNIVERSITY AUDIT AND COMPLIANCE

3702 Spectrum Blvd.  
Suite 180, CGS401  
Tampa, FL 33612-9444

(813) 974-2705  
fax (813) 974-3735

[www.usf.edu/uac](http://www.usf.edu/uac)