

**FLORIDA ATLANTIC UNIVERSITY
COMPLIANCE AND ETHICS WORK PLAN
FY 2021-22**

FAU's Compliance Office provides oversight of compliance-related activities including the oversight and implementation of FAU's Compliance and Ethics Program (CEP). The office is led by FAU's Chief Compliance and Ethics Officer (CCEO). The mission of Florida Atlantic University's CEP is to assist the university in achieving its financial, operational and strategic goals (as set forth in FAU's Strategic Plan for the Race to Excellence, 2015-2025) while promoting compliance with all institutional policies as well as federal and state laws and regulations. FAU's mission, vision, and values speak to a level of employee engagement which extends beyond simple compliance; FAU's commitment, supported by the CEP, is to the highest standards of integrity, accountability, and ethical conduct.

FAU's CEP creates a structural foundation to prevent and detect violations of law and assist FAU in encouraging ethical conduct and compliance with all applicable laws and regulations. The program also proactively identifies and assesses risk to the University and strives to mitigate those risks through appropriate controls, governance processes, as well as developing or implementing training and awareness for the University community. The goal is to make compliance and ethical behavior relevant to each and every employee by establishing a tone for ethical decision-making and accountability in all University business operations and reinforcing FAU's commitment to integrity and "doing the right thing."

The following work plan presents the CEP components and activities to be conducted during the 2020-21 Fiscal Year. Items included in the FY21-22 work plan that were also included in the FY20-21 work plan but were not fully completed are indicated in *italics*. Most of the activities in the Executive Oversight component of the work plan are ongoing activities, while the majority of remaining CEP components include specific task-based items. FAU is required by Board of Governors Regulation 4.003 to report at least annually on the effectiveness of the CEP. This work plan will provide a blueprint for the FY 2021-22 annual report.

Significant themes or highlights for the 2021-22 work plan are conflict of interest disclosures and training, foreign influence oversight with international applicants, contracts, grants, gifts and travel, compliance program review and assessment, data security, and name, image and likeness in collegiate athletics.

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	Implement electronic management system for consistent management of: (i) financial conflict of interests, (ii) animal care and use protocols (IACUC), and (iii) biological safety registrations (IBC)	DoR
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<u>Component Summary</u>	<u>Work Plan</u>	<u>Lead Office(s)</u>
Open lines of communication are critical to early detection		

