

Reported to the Board of Trustees
March 15, 2017

**Inspire
integrity by
speaking up.**

2016 Annual Report

University Ethics and Compliance Office

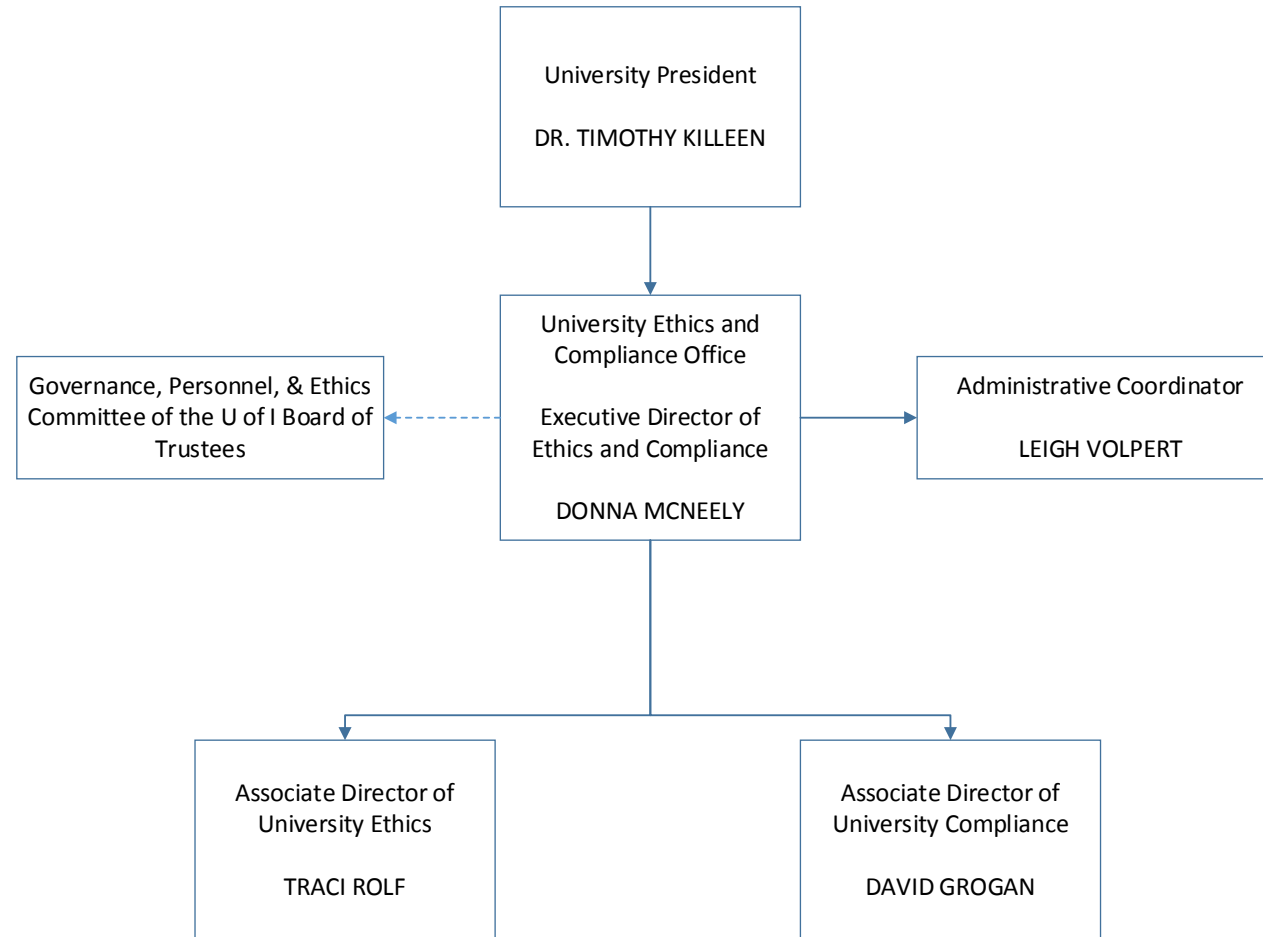
Donna McNeely

Executive Director

UNIVERSITY OF ILLINOIS SYSTEM

The logo bar consists of three horizontal segments: an orange segment on the left, a red segment in the middle, and a black segment on the right.

Ethics and Compliance Staff



New in 2016

- Sexual Misconduct Prevention and Reporting Training (online) for faculty, staff and students
- Compliance in 5 minutes animated videos with 1-page printable resource guides for quick reference
- New and amended legislation impacted several compliance topics across the University of Illinois System

Annual Processes

- Annual Ethics Training – (BOT, faculty and staff, students employees and new hires – online and classroom)
 - Over 49,000 employees (nearly 16,000 are seasonal and temporary employees)
 - Over 15,000 potential new hires
 - BOT members
 - 99.9% compliance rate
- Statement of Economic Interests – oversee and review
 - 8,900 employees file paper with the Secretary of State through our office

Annual Processes

- Supplemental Statement of Economic Interest – administer
 - Same 8,900 file this online supplement with the Executive Ethics Commission
- Sexual Misconduct Prevention and Reporting Training for Employees – new for Spring 2016 and administered by our office
 - 26,500 faculty and staff completed the online training program
 - 99.9% compliance rate
- Sexual Misconduct Preventing and Reporting Training for Students who are enrolled in on-ground courses
 - Over 41,000 students completed the, recommended but not mandatory, online training last fall
 - Spring enrollees are currently completing training

Annual Processes

- Liaison to the Illinois Executive Inspector General
 - 13 cases were referred to the University for investigation
 - 3 OEIG cases resulted in multiple data requests
- Internal ethics inquiry/investigations
 - 41 inquiries
 - 5 significant investigations
- Ethics Matters Electronic Newsletters – quarterly goal

Daily Processes

- Ethics Line (1-866-758-2146)
 - Daily inquiries for advice or reports of concerns
- Ethicsofficer@uillinois.edu
 - Daily inquiries for advice or reports of concerns
- Educational Materials and Missions Gift Acceptance Approval
 - Review of 128 faculty and staff acceptance of “gifts” of conference waivers, travel costs, lodging and/or food from a prohibited source.
- Involvement in System wide Training Learning Management System RFP and other System projects

Compliance Focus Areas

- Sexual Misconduct Prevention and Reporting – Clery, VAWA, and Illinois Preventing Sexual Violence in Higher Education Act
 - Regular consultation with all Title IX programs
 - Reviewed UIS and UIC policies and procedures
 - Reviewed all Annual Security and Fire Safety Reports (Clery reports)
 - Facilitated quarterly System-wide Clery coordination working group meetings
 - Monitored drug and alcohol abuse prevention program compliance with federal Drug Free Schools and Campuses Regulations
 - Customized new online training programs for faculty/staff and students

Compliance Focus Areas

- HIPAA governance, policy development, and coordination of effort
- Continued export control working groups at UIC and UIUC
 - Review of policies, procedures and websites
 - Increased export control awareness
 - Sharing of best practices
- Animated Awareness Videos - What You Need to Know in 5 Minutes
 - FERPA in 5 Minutes
 - International Travel and Export Controls (Urbana) in 5 Minutes
 - International Travel and Export Controls (Chicago) in 5 Minutes

Compliance Focus Areas

- Development of an entire Compliance reference section of office website
- System-wide Compliance Advisory Committee – bi-monthly
- UIC Campus Compliance Committee member
- Ongoing role in the development and/or review of System-wide and university policies
- Coordination with University Audits and Enterprise Risk Management

Gifts in 5 Minutes



Gift Acceptance

Resource Page - What You Need to Know in Less than 5 Minutes

What is a gift?

Anything with monetary value, including vendor giveaways. Illinois law is more specific, defining gifts as:

- Gratuities
- Cash
- Loans
- Fee Waivers
- Entertainment
- Discounts
- Food and Drink
- Honoraria for speaking engagements related to your university position

Where can I find guidance?

Per the [Illinois State Officials and Employees Ethics Act \(5 ILCS 430/10-10\)](#), University employees and those family members living in their household, are restricted from soliciting or accepting gifts of any sort from prohibited sources. Prohibited sources are people or businesses that do business or seek to do business with the University. In most instances, but not all, prohibited sources are vendors. This restriction is commonly referred to as the "Gift Ban." [Illinois Executive Order 15-09 \(January 13, 2015\)](#), further restricts gift acceptance.

Exceptions to the gift ban include:

- Green Bow:** The gift is given under the same conditions as the general public; e.g., a discount offered by a local retailer is acceptable if offered to all university employees.
- Pink Bow:** The gift is an inheritance or other transfer at death.
- Blue Bow:** The gift is from a relative.
- Purple Bow:** The gift is given to you by another university or government employee. Holiday, wedding, retirement, and other related gifts from co-workers are allowable.
- Red and White Polka Dot Bow:** Educational Materials and Missions. This important exception addresses gifts from prohibited sources related to official university business in the form of travel, conferences, or speaking engagements. *video coming soon
- Gold Bow:** The gift is given to you on the basis of personal friendship.

What about food and/or beverages?

Food or beverages may not be accepted from a prohibited source unless they are: 1) of minimal value and, 2) are served at a business meeting or reception attended in the course of official university duties. Can this gift be accepted if:

- There is a speaker or presentation during the meal, and the food is of minimal value. → YES
- The event is a reception or meal off-site before, during, or after a conference and there is no speaker or business agenda, or the meal is of more than minimal value → NO

Options if you accept an unallowable gift:

- Return the gift.
- Donate the gift itself to a tax-exempt charity.
- Keep the gift and make a monetary donation to a tax-exempt charity equal to the gift's market value.

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EthicsLine
 866-758-2146

Inspire integrity by speaking up.

COMMON SENSE!

Never accept a gift offered in an attempt to influence your official actions as an employee, or a gift that might create the appearance of influence.

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EthicsLine

**Confidentially
report ethics and
compliance concerns:**

866-758-2146

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