

Reported to the Board of Trustees
March 15, 2018

**Inspire
integrity by
speaking up.**

2017 Annual Report

University Ethics and Compliance Office

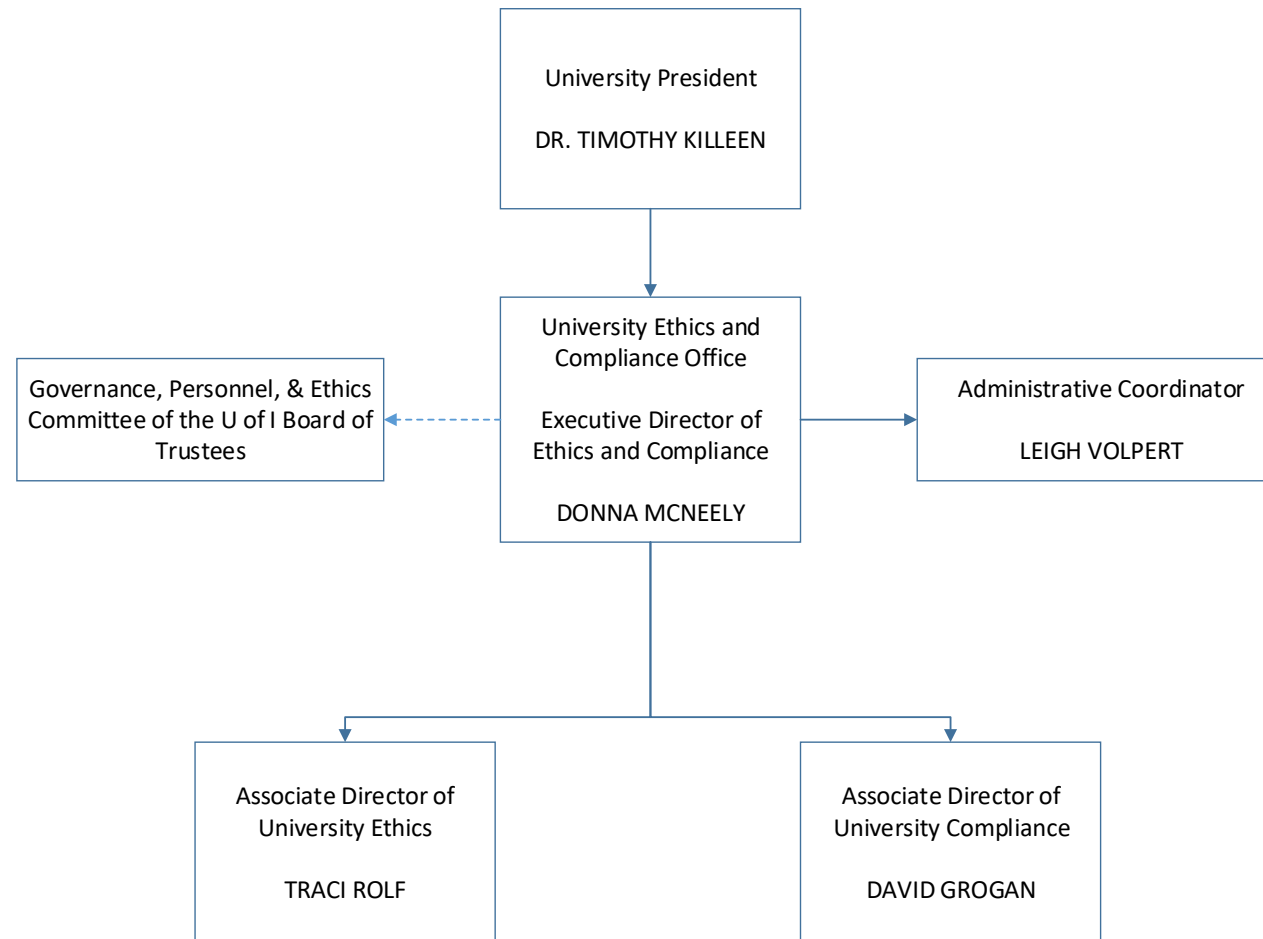
Donna McNeely

Executive Director

UNIVERSITY OF ILLINOIS SYSTEM



Ethics and Compliance Staff



New in 2017

- Regulations and rules having notable impact across the System:
 - Department of Education withdrew certain guidance regarding sexual misconduct
 - The European Union General Data Protection Regulation (GDPR), which goes into effect May 25, 2018, began to attract attention in the U.S.
 - Illinois Preventing Sexual Violence in Higher Education Act requires new annual report beginning November 2017
 - NCAA announced attestation requirement for chancellors, athletic directors and Title IX coordinators regarding sexual violence prevention. Initial certification due May 15, 2018
- Support the Senior Executive Risk Management Council as University administrators evaluate and address some of the most significant risks to the University

Statements and Training

- Statement of Economic Interests and Supplemental Statement of Economic Interest – oversee and review all filings and communications
 - 9,200 employees file paper with the Secretary of State through our office
 - Same 9,200 file electronically with the Executive Ethics Commission
- Annual Ethics Training – (BOT, faculty, staff, student employees and new hires – online and classroom)
 - Over 50,000 employees (including over 16,600 seasonal and temporary employees)
 - 99.7% compliance rate

Training (cont'd)

- Sexual Misconduct Prevention and Reporting Training for Employees
 - Over 40,000 faculty, staff, graduate employees, and resident advisors completed the online training program
 - 99.88% compliance rate
- Sexual Misconduct Prevention and Reporting Training for Students who are enrolled in on-ground courses
 - Just under 40,000 students participated in the annual training program
 - Equivalent to over 80% of new students and 40% of returning students

Inquiries and Investigations

- Liaison to the Illinois Executive Inspector General (OEIG)
 - 25 cases were referred to the University for internal consideration
 - 7 OEIG data requests were fulfilled
- Internal ethics inquiries/investigations
 - 64 inquiries
 - 2 significant investigations

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 UIC and UIUC policies and procedures
 - Reviewed all Annual Security and Fire Safety Reports (Clery reports)
 - Consulted on the first annual sexual misconduct reports due to the Illinois Attorney General on November 1, 2017
 - 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

Compliance Focus Areas (cont'd)

- HIPAA Privacy & Security Compliance Policy updated
 - President delegated HIPAA program oversight to Executive Director, UECO
 - New HIPAA governance structure implemented through MOU
- European Union General Data Protection Regulation (GDPR)
 - Introduced stakeholders to GDPR requirements
 - Initiated survey to assess applicability and impact
 - Collaborating with Privacy and Information Security Officers to facilitate compliance
- Animated Awareness Videos - [What You Need to Know in 5 Minutes](#)
 - Partnered with subject matter experts to address key ethics and compliance matters
 - Consulted with various Big 10 and other universities to help them establish 5-minute video programs

Compliance Focus Areas (cont'd)

- Mapped federal compliance obligations to responsible officials to support compliance and accountability
- Development of structured fraud awareness program
- Continuing compliance efforts
 - System-wide Compliance Advisory Committee – bi-monthly
 - UIC Campus Compliance Committee member
 - Role in the development and/or review of System and University policies
 - Coordination with University Audits and Enterprise Risk Management
 - Compliance Officer Network Updates

Other Responsibilities

- 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
 - Reviewed 249 faculty and staff requests for acceptance of “gifts” of conference waivers, travel costs, lodging and/or food from a prohibited source.

UNIVERSITY
OF ILLINOIS
SYSTEM

Inspire
integrity by
speaking up.

EthicsLine

**Confidentially
report ethics and
compliance concerns:**

866-758-2146

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 dark blue segment on the right.