

SUS Compliance Program Status Checklist Summary - May 2018

Univ.	University-Wide Compliance Program	Program Plan	BOT Committee	Chief Compliance Officer	External 5-Year Program Review
FAMU	✓ ● ✓ ✓ ✓	● ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
FAU	● ✓ ✓ ✓ ✓	● ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
FGCU	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
FIU	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
FL Poly	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
FSU	● ✓ ● ● ●	● ● ● ✓ ●	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
NCF	● ● ✓ ✓ ✓	● ● ✓ ✓ ●	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
UCF	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
UF	✓ ✓ ✓ ✓ ✓	✓ ● ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
UNF	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
USF	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B
UWF	✓ ✓ ✓ ✓ ✓	✓ ✓ ● ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓ ✓	N/B

- ✓ Indicates that the university president and board chair assert that the regulation components making up this area are fully implemented in accordance with Board of Governors Regulation 4.003.
- Indicates that the university president and board chair anticipate regulation components making up this area to be completed by November 3, 2017.
- Indicates that the university president and board chair anticipate regulation components making up this area to be completed by November 3, 2018 (completion of items beyond this date constitute non-compliance with Board of Governors Regulation 4.003).
- Indicates that the university president and board chair anticipate regulation components making up this area to be completed by May 3, 2019 (six months beyond the period established in Board of Governors Regulation 4.003).
- N/B Indicates that the university president and board chair acknowledge that the university has not begun implementing the regulation components making up this area. The "N/B" indicator should be used in conjunction with one of the green/amber/red light indicators to communicate anticipated completion periods for items not yet begun.

SUS Compliance Program Status Checklist Summary - Year 1

Univ.	University-Wide Compliance Program	Program Plan	BOT Committee	Chief Compliance Officer	External 5-Year Program Review
FAMU	● ● ● ✓	● ● ✓ ✓ ●	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
FAU	● ✓ ✓ ✓	● ● ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ● ✓ ●	N/B
FGCU	✓ ✓ ✓ ●	✓ ✓ ✓ ✓ ●	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
FIU	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
FPU	● ● ● ✓	● ● ● ● ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
FSU	● N/B ● ●	N/B N/B ● ● ●	● ● N/B N/B	● ● N/B N/B N/B	N/B
NCF	● ● ✓ ●	● ● ✓ ✓ N/B	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
UCF	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
UF	✓ ✓ ✓ ✓	✓ ✓ ● ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
UNF	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
USF	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓ ✓	N/B
UWF	● ✓ ✓ ✓	● ● ● ✓ ●	✓ ✓ ✓ ●	● ● ✓ ● ●	N/B

- ✓ Indicates that the university president and board chair assert that the regulation components making up this area are fully implemented in accordance with Board of Governors Regulation 4.003.
- Indicates that the university president and board chair anticipate regulation components making up this area to be completed by November 3, 2017.
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- N/B Indicates that the university president and board chair acknowledge that the university has not begun implementing the regulation components making up this area. The "N/B" indicator should be used in conjunction with one of the green/amber/red light indicators to communicate anticipated completion periods for items not yet begun.

University	Compliance and Ethics Program Component
FAMU	A2 - CCO reports to the BOT at least annually on Program effectiveness (copy to BOG)
	B1 - Compliance and Ethics Program Plan approved by BOT (copy to BOG)
FAU	A1 - University-wide Compliance Program implemented consistent with Code of Ethics for Public Officers and Employees (Part III, Chapter 112, F.S.) and the Federal Sentencing Guidelines Manual, Chapter 8, Part B
	B1 - Compliance and Ethics Program Plan approved by BOT (copy to BOG)
FSU	A1 - University-wide Compliance Program implemented consistent with Code of Ethics for Public Officers and Employees (Part III, Chapter 112, F.S.) and the Federal Sentencing Guidelines Manual, Chapter 8, Part B
	A4 - Process established for detecting and preventing non-compliance, unethical behavior, or criminal conduct
	A5 - Due diligence steps for not including individuals who have engaged in conduct not consistent with an effective Program
	B1 - Compliance and Ethics Program Plan approved by BOT (copy to BOG)
	B2 - Plan provides for compliance training for university employees and BOT members
	B3 - Designated compliance officers (e.g., Title IX, Athletics, Research, etc.) as either direct reports or dotted-line reports (specify which)
	B5 - Promoting and enforcing the Program through incentives and disciplinary measures
NCF	A1 - University-wide Compliance Program implemented consistent with Code of Ethics for Public Officers and Employees (Part III, Chapter 112, F.S.) and the Federal Sentencing Guidelines Manual, Chapter 8, Part B
	A2 - CCO reports to the BOT at least annually on Program effectiveness (copy to BOG)
	B1 - Compliance and Ethics Program Plan approved by BOT (copy to BOG)
	B2 - Plan provides for compliance training for university employees and BOT members
	B5 - Promoting and enforcing the Program through incentives and disciplinary measures
UF	B2 - Plan provides for compliance training for university employees and BOT members
UWF	B3 - Designated compliance officers (e.g., Title IX, Athletics, Research, etc.) as either direct reports or dotted-line reports (specify which)