What comes to mind when you see the word, ‘compliance’? Does compliance mean obeying policies? Adhering to departmental procedures? Obtaining appropriate approvals?

The answer is all of the above. But equal to the ‘accountability’ aspect of compliance is the set of collective values that drives the daily actions of each member of the UAB community. At the heart of UAB’s University Compliance Program is the objective to foster a strong ethical culture that promotes mutual trust and public confidence as part of the broader mission of the University.

**What we do**

In January 2010, in response to the need for a comprehensive, University-wide compliance program, UAB’s Research Compliance Office was re-scoped and re-chartered as the University Compliance Office (UCO). Reporting to the Office of the President, UCO is charged with facilitating multiple cross-unit efforts to mitigate strategic, legal, financial, safety, and reputational risks in the academic operations and business affairs of the University.

Benefits of the University Compliance Program include:

- Increased coordination, consistency, efficiency, and effectiveness through an institutional perspective of the University’s specific compliance activities;
- Reduced risks of non-compliance, as well as potential penalties, by meeting U.S. Department of Justice Federal Sentencing Guidelines criteria for an effective compliance program;
- Management advisory services and support regarding compliance assurance activities, using a risk-based approach;
- Consolidated resource for compliance information and guidance for the UAB community;
- Recommendations for improving internal controls; and
- Support of the UAB Ethics Hotline through compliance reviews of the reports of ethical concerns.

Through education and training, University policy and procedure development, risk assessment, monitoring, reporting, reviews, and investigations, UCO empowers faculty and staff to serve students, conduct research, and provide service meeting quality and ethical standards. Working directly with a network of over 40 operational contacts and over 20 collaborative committees and teams across UAB, UCO supports compliance with UAB Enterprise Code of Conduct standards, as well as various substantive laws, regulations, and policies affecting higher education. **Continued on page 2**
Who we are

University Compliance Officer Teresa Bragg, CPA, CHC, CRMA (see p. 3 of Jan. 2016 Compliance 411) began her service at UAB in January 2010. Her team consists of three associate compliance officers, two specialists, a facility security officer, and a compliance administrator. For a list of UCO staff members and their contact information, click here.

How we do it

Using a consultancy model, the University Compliance staff partners with various University stakeholders to address compliance risk mitigation. This consultative approach assists University academic and business centers in building the capacity to identify and the resiliency to address compliance risks associated with their activities.

The various committees and cross-unit initiatives that UCO has facilitated, or in which UCO plays an important role, are indicative of the collaborative nature of their work. At the direction of the President’s Risk Cabinet, the University Compliance Office has participated in several committees to address specific risks, including:
- Child Protection Advisory Group,
- Clinical Trials Advisory Committee,
- Conflict of Interest Review Board,
- Export Control Advisory Committee,
- Faculty Policies and Procedures Committee,
- HIPAA Advisory Committee,
- UAB/UAB Medicine Behavioral Threat Assessment Steering Committee and Team,
- University Safety Committee, and
- Visiting Scientists and Scholars Initiative Taskforce.

Additionally, over the past year, UAB has worked to establish school-based Executive Risk Oversight Committees (EROCs) with the goal of building awareness of compliance risks associated with school activities and engaging school leadership in managing those risks. Facilitated discussions among committee members and the ex-officio associate compliance officer assigned to each school and continuous monitoring of progress with a compliance risk dashboard allow for compliance strategies tailored to each school’s needs.

UCO staff operate using an approach of personal responsibility and unassuming curiosity. Teresa Bragg’s vision for UCO’s service to UAB is guided by the basic principles of teamwork rather than policing, and edu-

Compliance Challenge

Read the hypothetical scenario below, and click on an answer A.-E. to enter a drawing for one of two $10.00 Lucy’s Coffee gift certificates to be held Dec. 22, 2017. You don’t have to select the correct answer to be entered into the drawing; you only need to participate. Only those with addresses ending in uab.edu or uabmc.edu qualify.

While scrubbing before a scheduled, lengthy surgery, Dr. Robertson, a department chair, receives an urgent phone call from her assistant notifying her that a professor in her department, Dr. Park, has submitted a UAB-Related International Travel Registration Form. Dr. Park is requesting that Dr. Robertson approve the form as soon as possible so that he can immediately purchase his airline ticket to Switzerland for a conference that takes place in two days. Naturally, Dr. Robertson cannot access the forms website at this time.

What should Dr. Robertson do?

A. Admonish Dr. Park for submitting his travel form at the last minute.
B. Give the assistant her password, and direct her to approve the travel form in her absence.
C. Give the assistant her password, and direct her to reject the travel form in her absence.
D. Direct her assistant to engage her delegate according to workflow (WAM) protocol and have the delegate review the travel form.
E. Direct her assistant to inform Dr. Park that he is prohibited from traveling.
Accountability Reduces Organizational Risk

With such a highly regulated environment as U.S. higher education and the diverse nature of UAB’s 10 schools’ activities, how does UAB manage compliance? Enter the EROC. At UAB, school-based EROCs (Executive Risk Oversight Committees) convene key leaders from each school or college who oversee and govern strategic, operational, financial, compliance, and reputational risks associated with school activities. Typically, EROC members are the schools’ deans, associate deans, department chairs, and financial administrators.

Each school works with an Associate University Compliance Officer to serve as an ex officio consultant who advises the committee on the University’s overarching approach to risk intelligence, mitigation efforts, and measurement of success. This advisory role allows associate University Compliance Officers Joe Roberson, Marilyn Thomas, and Katie Crenshaw to facilitate communication about important University-wide risk initiatives and to share ideas and best practices for compliance risk management from other schools.

EROCs set the tone for accountability in their school/college. Each one has developed and implemented a compliance risk mitigation plan to address the compliance risks its school has prioritized, including those related to the President’s Risk Cabinet general areas of focus: grant management and effort reporting, conflicts of interest and commitment, information governance and data security, and responsible conduct of research.

EROC responsibilities include:
- Promoting a culture that integrates risk and compliance consciousness into the daily activities of employees;
- Advocating adherence to the school’s and university’s policies and procedures as a means of managing risk and compliance;
- Reviewing, assessing, and prioritizing risks;
- Developing and implementing plans to address prioritized risks within the school and monitoring results;
- Assuring school response to compliance metrics, focused reviews, and corrective action plans; and
- Participating in the review of University-wide policies.

The initial EROC phase has been successful in establishing and implementing key risk oversight and mitigation activities. Beginning January 2018, the EROCs will enter the next phase by conducting a refresh of their compliance risk assessments and identifying new priorities. The University Compliance Office staff looks forward to participating in the next iteration. Stay tuned!

### Associate Compliance Officers and the Schools They Serve

Compliance questions and concerns should be addressed at the departmental level. If you are unable to resolve a concern through your department, please contact the compliance officer assigned to your school or college.

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<thead>
<tr>
<th>Officer Name</th>
<th>Contact Email</th>
<th>School</th>
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</thead>
<tbody>
<tr>
<td>Joe Roberson, CCEP, CHRC</td>
<td><a href="mailto:jlrober@uab.edu">jlrober@uab.edu</a></td>
<td>School of Dentistry</td>
</tr>
<tr>
<td>Marilyn Thomas, JD, CPA, CRMA, CCEP</td>
<td><a href="mailto:mcthomas@uab.edu">mcthomas@uab.edu</a></td>
<td>School of Medicine</td>
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<td>School of Optometry</td>
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<td>School of Public Health</td>
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<tr>
<td>Katie Crenshaw, JD, MSEd, CCEP</td>
<td><a href="mailto:kcrenshaw@uab.edu">kcrenshaw@uab.edu</a></td>
<td>School of Health Professions</td>
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Shared Governance is the Hallmark of University Policy Development

University policies and procedures are the common thread that govern the actions of students, faculty, and staff in their work at UAB. As such, they deserve careful, deliberate crafting and critique by stakeholders across the University. Housed in the UAB Policies & Procedures Library (PPL), these highest-level administrative policies and procedures define and clarify the University’s expectations of individuals and provide a quick and convenient point of reference.

But as the higher education landscape changes, policies can become dated, and new policies must be issued. How is the policy development process managed at an institution with such a large and complex population of students, faculty, and staff?

Ultimately, the President approves new and revised University policies. But before final approval, draft policies undergo a process driven by transparency, efficiency, collaboration, and the contributions of diverse groups from different cross-sections of the University. While this process is shepherded to completion by the University Compliance Office (UCO), broad input is sought from UAB community members and produces a final document that reflects the overall mission and assures shared governance.

When the need for a new policy or substantive revision arises, the policy author organizes a drafting committee who works to provide preliminary input and address any issues. This is sometimes referred to as the sausage-making process due to the myriad issues debated at this stage. When a solid, stable draft is ready, UCO submits the document to the University Compliance Committee (UCC), a group representing Human Resources, Research Administration, Financial Affairs, Information Technology, Provost, the Faculty Policies and Procedures Committee, Legal, Internal Audit, and University Compliance. Once UCC members have contributed individually, they distribute the proposed document through their networks for broad input. The posting of each draft document to the PPL allows a wider audience within UAB to provide feedback.

After the policy author has addressed questions and feedback is received, the President’s Risk Cabinet is provided a final opportunity for review. The Provost and Vice Presidents vet the final draft and recommend whether it should proceed to the President for approval. At this time, any dissenting opinions may be discussed and taken into consideration as well.

Anyone who’s ever served on a committee or participated in a group effort knows that such a process isn’t as simple in real life as it is on paper. Policy development can involve many draft iterations and discussions among stakeholders before a final policy emerges. But the collaborative nature of this process ensures that policies and procedures are useful, relevant, and understandable to all whose work they affect every day.

For a detailed representation of University policy and procedure development in context of a timeline, please refer to this flowchart.

Are You Considering Running for Office?

University of Alabama System Board Manual Rule 304 requires employees who intend to seek election to public office to obtain advance written consent of the UA System Chancellor through appropriate UAB reporting channels. Employees seeking or holding public office must consider the following:

- UAB resources, time, and property may not be used;
- It must be done in a private, individual capacity;
- It must be clear that there is no UAB sponsorship or support;
- It may not interfere with carrying out your UAB responsibilities; and
- Potential conflicts of interest must be managed.

For information on the process for obtaining consent, please visit UAB’s Political Activities Approval Process info-page, or contact the Board Liaison at knburdick@uab.edu.
The University Compliance Committee is implementing an educational initiative for University employees to promote awareness of policy requirements associated with external activities. Two online courses have been assigned based on employee status, designation, and activity. Depending on circumstances, some employees may be required to complete both courses. As of Nov. 1, employees are being notified automatically via email from “HS-Alerts@healthstream.com” that the assignments have been made. Courses must be completed within 30 days of assignment. Affected employees must login to the UAB Faculty & Staff Learning System and click on the “To Do” tab to review their assignments.

Bicycles and other alternative wheeled transportation modes can improve health, reduce transportation costs for individuals, and decrease parking pressure and emissions in the city center. UAB efforts to support alternative mobility modes is critical to fulfilling University of Alabama System Board-approved goals regarding campus mobility, interconnectedness, multimodal transportation systems, and community health.

On June 1, 2017, the Office of the Vice President for Financial Affairs and Administration established the Bicycle and Other Wheeled Mobility Devices Policy. This policy expresses UAB’s support for alternative modes of transportation and provides specific requirements for operating and parking bicycles, pedal-assist bicycles, and electric personal assistive mobility devices (EPAMDS, aka Segways).

The policy prohibits use of skateboards, in-line/roller skates, scooters, and similar coasting devices on roadways and inside buildings, but allows their use on sidewalks provided that the operator uses due caution and yields to pedestrians. Individuals with disabilities may request that they be allowed to use an EPAMD for mobility inside buildings by placing the request with Disability Support Services. Hoverboards are prohibited from use, storage, or recharging in any UAB building or covered structure.

Please refer to the policy itself for a comprehensive explanation of requirements.
Intellectual Property: What You Need to Know

In understanding the University’s patent and intellectual property (IP) policies and procedures, the following points are important to remember:

1. New employees must read and sign the UAB Patent Policy*;
2. Employees and students must disclose to the Harbert Institute for Innovation and Entrepreneurship/UAB Research Foundation (HIIE/UABRF) the IP they develop in the course of UAB employment or enrollment;
3. If IP falls under the UAB Patent Policy, UAB owns such IP, and it is assigned, by policy, to the HIIE/UABRF; and
4. The HIIE/Research Foundation works with the inventor support the process of disclosing and managing the IP and shares the revenues of the commercialization efforts, as described by UAB policy.*

*See web links below.

The HIIE/UABRF encourages UAB employees and students to discuss scientific discoveries and possible inventions with its office as early in the development as is practical. The HIIE/UABRF will work closely with inventors to explore important issues such as commercial potential and timing of public disclosures.

The following are helpful to understanding the administration of IP within UAB:

- Board Rule 509
- UAB Patent Policy
- UAB Enterprise Conflict of Interest and Conflict of Commitment Policy
- Policy on the Use of UAB Resources by External Entities
- Copyright Policy
- Authorship Policy
- HIIE website
- Revenue Distribution Summary

Disclosure initiates the process of protecting and marketing the innovation for the public good. In addition, some grants require the IP to be disclosed to comply with the terms of the award. The disclosure process is relatively simple and notifies the HIIE/UABRF of the need to investigate on your behalf to determine whether your IP has commercial or social benefit.

If proven and successfully commercialized, IP can produce revenue which is shared among the inventors, their associated departments and schools, and UAB.

FAQs are available here. For more information, contact Holly Meadows, Associate Director, HIIE, at hwm@uab.edu or 205-975-9443.

Code of Conduct Corner

Standard of Conduct: Comply with Applicable Laws, Regulations, and Policies

UAB is committed to sustaining a culture of trust, ethics, and compliance in which legal requirements are met and individuals are comfortable raising concerns when they have a good faith belief that actions of individuals or an entity within the UAB Enterprise are not consistent with laws, regulations, policies, or standards. Additionally, UAB leadership is committed to maintaining community trust by ensuring appropriate actions are taken to resolve non-compliance. UAB community members are expected to:

- Learn & follow the laws, regulations, contracts, and UAB policies & procedures applicable to one’s UAB activities;
- Be proactive to prevent and detect compliance violations;
- Report suspected compliance violations through standard management channels, beginning with one’s immediate supervisor, instructor, or advisor or, if not appropriate because of that individual’s involvement, to a higher level of management within one’s unit, department, school, or entity, to Human Resources, to a compliance officer, or to the Ethics Hotline; and
- Ensure that reports of suspected compliance violations within one’s area of responsibility are properly resolved.

Individuals do the institution a service by reporting good faith concerns and are protected from retaliation for doing so. Retaliation against anyone making a good-faith report or participating in the investigation of wrongful conduct is prohibited according to the University’s Duty to Report and Non-retaliation Policy.
Know Your Alabama Ethics Law
Before Accepting Gifts

Throughout the year and during the holiday season, as a UAB employee you should be mindful that Alabama law restricts items you may receive from vendors. As a public employee with expectations of appropriate stewardship, you may not use your position to reap private gains or receive special personal benefits.

However, items of *de minimis* value — such as greeting cards, plaques or other items intended solely for presentation, promotional items commonly distributed to the general public, and items that have no resale value or value to others — are permissible under state law. The statute defines *de minimis* as a value of $25 or less per occasion with an aggregate of $50 or less in a calendar year from a single provider. Other amounts may be prescribed by the Ethics Commission.

Before you accept a personal gift from a business partner, determine whether it is allowed by state ethics law and the school or unit policy on receipt of gifts.

If it is not permissible, you should decline it and return it to the donor, pay the donor market value for it, or give it to an appropriate charity through the UAB Development Office.

Learn more at [http://www.uab.edu/compliance/areas-of-focus/alabama-ethics-law](http://www.uab.edu/compliance/areas-of-focus/alabama-ethics-law).

Compliance at UAB = Collaboration

*Continued from page 2*

Congratulations to July 2017 Compliance Challenge winners Suzanne Brazell and David Schwebel. By participating in the Compliance Challenge, they were entered into a drawing, and each won a $10.00 Taco Mama gift certificate. To participate in this month’s Compliance Challenge and enter a drawing for one of two $10.00 Lucy’s Coffee gift certificates, see page 2.