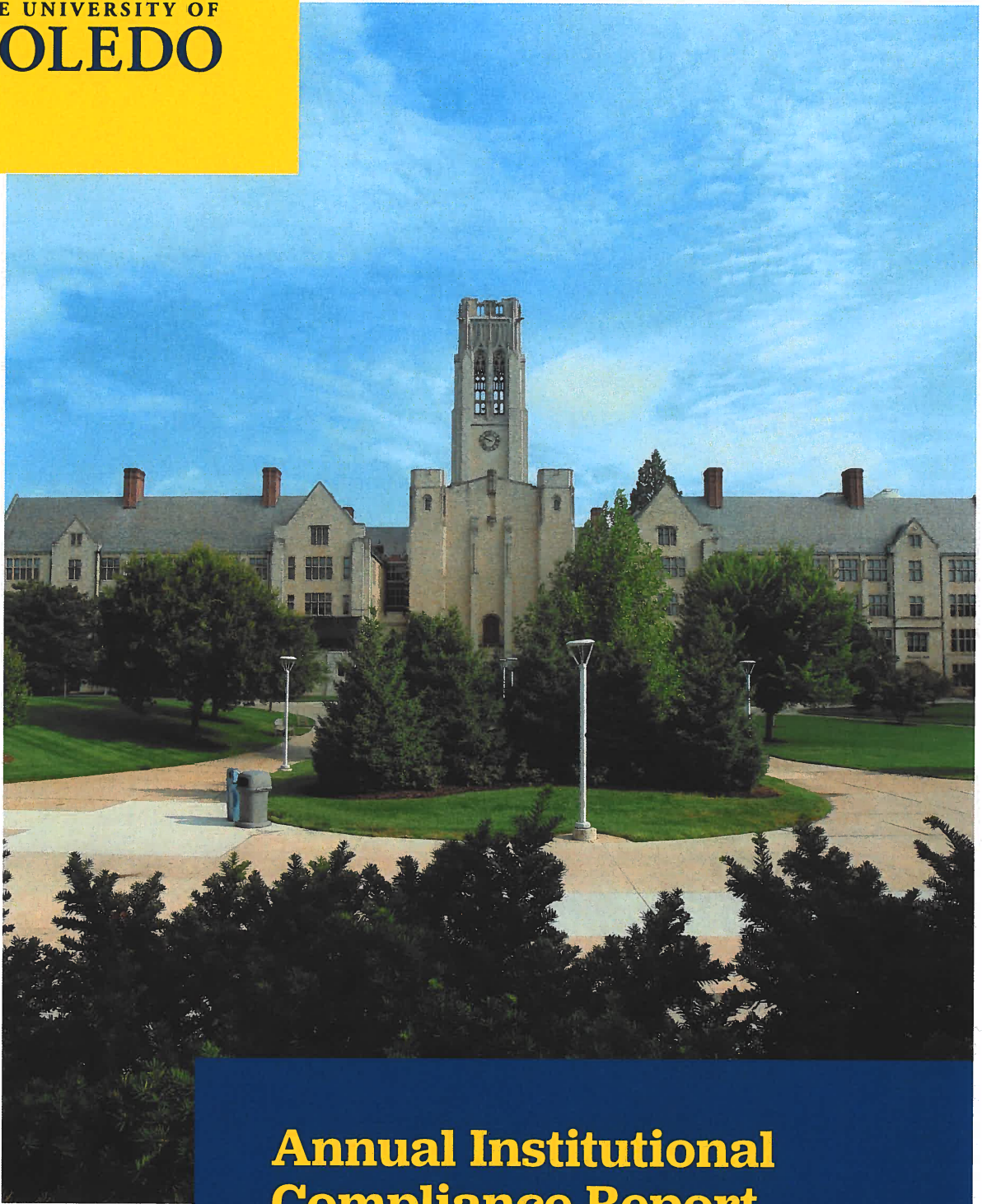




THE UNIVERSITY OF  
**TOLEDO**



# **Annual Institutional Compliance Report**

FY 2023

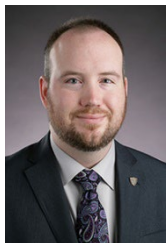
FUELING **TOMORROWS**

The 2022-23 University of Toledo (UToledo) Institutional Compliance annual report provides a comprehensive look at the university-wide compliance and ethics program's activities and outcomes that demonstrate the university's unwavering commitment to a culture of compliance and ethics. Our office compiles, analyzes, and publishes this report annually, with the purpose of evaluating the effectiveness of the program and providing the UToledo community, the UToledo President, and the UToledo Board of Trustees a comprehensive view of the university-wide compliance and ethics program and the extensive activities achieved across the campus. As in previous years, this report encompasses the joint efforts of all compliance offices and compliance partners at UToledo and includes information on the work performed during 2022-23 to meet various federal and state regulatory and compliance requirements. The UToledo comprehensive compliance and ethics program complies with Ohio Revised Code and the Federal Sentencing Guidelines by implementing the elements of an effective program and industry best practices. With the support of the university president and Board of Trustees, as well as benefitting from the work of a prevalent and trusted compliance partner network, the program impacts all members of the university community and helps inform decision making across the campus.



A handwritten signature in cursive script that reads "David L. Cutri".

David L. Cutri  
Executive Director and Chief Compliance Officer  
Institutional Compliance



A handwritten signature in cursive script that reads "Elliott R. Nickeson".

Elliott R. Nickeson  
Assistant Director  
Institutional Compliance



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# INTRODUCTION

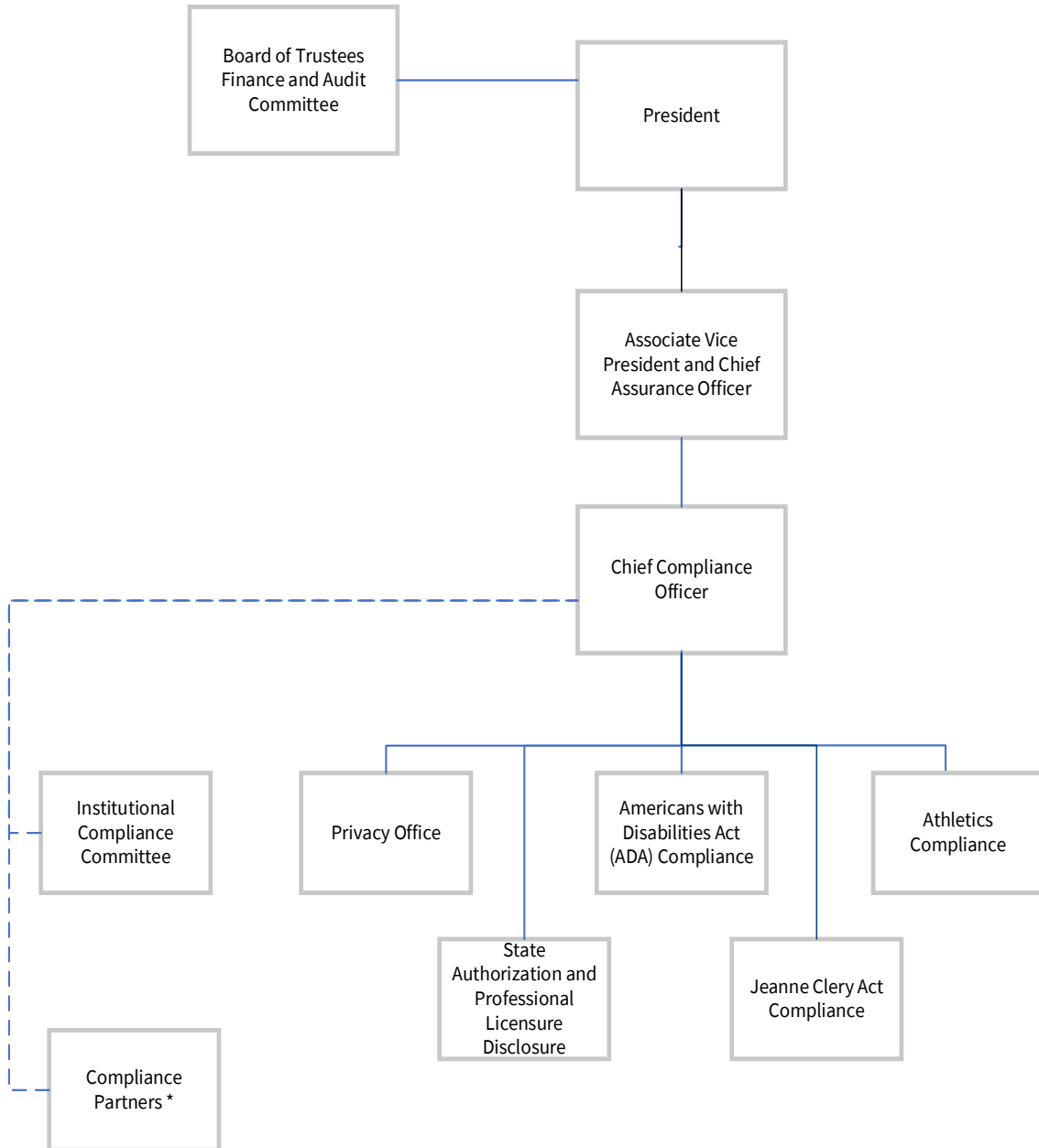


*Ohio Revised Code requires that each state university institution have a compliance and ethics program, defines the reporting relationship to the Board of Trustees and the university president, and includes annual and periodic reporting.*

The executive director for institutional compliance, who serves as the university’s chief compliance officer, oversees the office of University Institutional Compliance, and provides oversight and coordination of compliance partners who lead targeted compliance programs across the university. The Institutional Compliance Committee, established in 2020, assists University Institutional Compliance in the development of the comprehensive compliance and ethics program. The assistant director for institutional compliance chairs the advisory committee, which comprises over thirty members across various departments within the university who collectively contribute to this report on an annual basis.



## Compliance and Ethics Program Structure



\* "Compliance Partners": Those compliance functions that do not organizationally report through the Institutional Compliance department.



## Supporting a Best Place to Learn and Work

### Supporting a Best Place to Learn and Work

#### University Institutional Compliance Education and Training

September 2022 *The Compass*, **Resolving Workplace Conflicts** article, 90 Second Video: **Respecting Others**, and **“Case Corner”**  
29.9% Open Rate

*UToledo Resources for Supervisors Compliance and Ethics Session* (in addition to mandatory Ohio Ethics training)  
January 2023  
11 Trained

May 2023 *The Compass*, Team Player article, **Respecting Others 2<sup>nd</sup> edition** video and **“Case Corner”**  
37.7% Open Rate

**Civility Superheroes**, Compliance and Ethics Week November 2022  
62 Trained

**Reporting Concerns Supervisor Panel Session, and Manager Checklist**, April 2023  
8 Trained



In 2020, Institutional Compliance identified a trend of increased Anonymous Reporting Line reports and substantiated cases involving the issue type Offensive or Inappropriate Communication. This issue type includes concerns of inflammatory, derogatory, unduly critical, or insulting communication, including bullying, and employees’ failure to treat one another with respect in accordance with the UToledo Standards of Conduct. In response to this trend, the office evaluated bullying data from the 2021 Ethical Culture and Compliance Perception Survey. The results revealed an increase in the number of reported concerns of bullying, and throughout 2021, the Anonymous Reporting Line continued to receive reports of Offensive or Inappropriate Communication. To address this issue, the office, in collaboration with Human Resources, is developing a communication, education, and awareness campaign to increase civility in the workplace. Throughout 2021 and 2022 Human Resources delivered training and education on this topic and in 2023 and 2024, Institutional Compliance will also provide significant support toward this end.

Supporting a Best Place to Learn and Work								
Please indicate a response to each item.	2013		2018		2023		5 Yr Trend	10 Yr Trend
	Count	% Yes	Count	% Yes	Count	% Yes	(2023-2018)	(2023-2013)
A. I have experienced or observed bullying in the workplace by a supervisor within the last 12 months. Workplace bullying is defined as "repeated, deliberate, disrespectful behavior, which harms the target."	72	17%	84	14%	66	13%	-1%	-4%

**Over the past 12 months, have you observed unethical behavior or business misconduct at UToledo? YES - Bullying**

Perpetrator	2013 Count	2018 Count	% Change
Total	66	84	-21%
Supervisor	31	41	-24%
Sr. Leadership	37	43	-14%
Peer	22	32	-31%
Subordinate	6	3	-50.0%

**UToledo Anonymous Reporting Line**  
Offensive or Inappropriate Communication Reports Submitted

Year	Reports Submitted
2017	3
2018	3
2019	4
2020	9
2021	22
2022	22

To evaluate the impact of efforts to date, the office analyzed data from the 2022 Anonymous Reporting Line report and the 2023 Compliance and Ethics Culture Survey. The Culture Survey showed a 1% decrease in the positive responses to witnessing bullying by a supervisor from 2021 to 2023 and an overall decrease of 3% since 2017. There was also a decrease in observed bullying (regardless of perpetrator) in 2023. When analyzing the 2022 calendar year Anonymous Reporting Line data we also found the same number of reports submitted with the issue type of Offensive or Inappropriate Communication, indicating a flattening of reports of this type. The results of the 2023 Culture Survey and 2022 Anonymous Reporting Line report reflect a positive trend in improving the workplace, contributing to the strategic plan aspiration to make UToledo a best place to learn and work.

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## Athletics Compliance

With the passing of the Name, Image, and Likeness (NIL) policy effective July 1, 2022, the Athletics Compliance Office, in partnership with University of Toledo Intercollegiate Athletics staff, developed a plan to ensure compliance with state law and NCAA bylaws and to provide appropriate education to constituent groups (e.g., student-athletes). Athletics Compliance developed and posted a website aimed at providing NIL education and resources and provided rules education sessions for coaches, staff, student-athletes, and student-athlete parents. The office also developed and distributed educational materials to boosters and fans. Throughout the 2022- 23 academic year, the Athletics Compliance office, with partner offices (e.g., Marketing, General Counsel, Communications), navigated questions that surfaced providing additional education to student-athletes and other constituent groups. These efforts will continue in the coming year.



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## Facilities & Construction (Facilities & Construction)

As of April 2023, Facilities installed UV-C systems powerful enough to kill, damage, and inactivate the influenza virus – which is three times harder to kill than COVID-19 – in the air handling systems of eleven buildings. The ability to continue updating the university’s air handling systems was possible through the additional HEERF II, Coronavirus Response and Relief Supplemental Appropriations Act and HEERF III, American Rescue Plan, authorized by U.S. Department of Education. Facilities & Construction continued to evaluate buildings for advanced air moving equipment with systems that deliver increased outside airflows (more clean air). The department also updated UToledo building standards to require factory installation of UV-C systems in every new or renovated air handling unit. Thus far, the total amount of UV-C systems that have been in the process of installation or scheduled for installation in the upcoming year will include 106 air handling units within thirteen buildings across the UToledo Main Campus and Health Science Campus. As a second tactic to protect the UToledo community, Facilities & Construction evaluated one hundred air handling units in twenty-one buildings across the university campuses. During the year Facilities upgraded approximately 1,580 filters in two hundred air handling units.

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## Title IX Office

UToledo is committed to providing a workplace and educational environment that is free from sex discrimination, sexual harassment, and retaliation. Following is among the success stories achieved by the Title IX Office during the year:

- Provided in-person and virtual bystander intervention trainings (33 trainings conducted with 939 attendees)
- Increased employees trained on Title IX training at New Employee Orientation (14 trainings conducted with 582 attendees)
- Received 100% compliance for our efforts in prevention and responding to sexual misconduct for the seventh consecutive year.
- Offered a total of 208 trainings, workshops, tabling with 8,634 participants.
- Through training, education, and awareness campaigns, the Title IX Office provided 32,683 touch points.
  - ✓ Hosted 2023 Title IX Summit and welcomed 201 attendees.
  - ✓ Hosted Title IX 50<sup>th</sup> Anniversary Kickoff event and welcomed seventy-five attendees.
  - ✓ Return of What Were You Wearing on Health Science Campus in the Mulford Library

***How we found the touchpoints:*** educational trainings + events + tabling + consent posters + resource guides + consent stickers + consent tumblers + rocket launch + foundry + employee foundry + athletic foundry + student planners + cup of prevention= 32,683

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## UToledo International Admission

The department continued to achieve a 100% completion rate of the Online International Student Orientation, which provides information to F-1 and J-1 students regarding immigration compliance requirements.



**Comprehensive  
Annual  
Report**



## Oversight of Compliance and Ethics

The executive director of institutional compliance is responsible for oversight of the university's comprehensive compliance and ethics program. The work by the office of University Institutional Compliance supports the full implementation of the elements of an effective program. The executive director for institutional compliance also co-chairs the University Institutional Compliance Committee, which is comprised of subject matter experts who are responsible for compliance in their respective areas, as well as representatives from the Faculty Senate and Professional Staff Association, Office of the Provost, Office of Legal Affairs, and University Internal Audit. The committee continued to meet quarterly throughout the year to discuss compliance and ethics risks and program efforts across the institution to mitigate risks. Additionally, the executive director for institutional compliance continued quarterly meetings with compliance partners and senior leadership to provide updates on compliance and ethics initiatives and discuss concerns or issues.



**Compliance and Ethics Offices and Partners Key Program Elements**

Department	Compliance Activities		
<b>Environmental Health and Radiation Safety</b>	Radiation Safety	Chemical Safety	Air Quality
	Laser Safety	Biological Safety	Hazardous Waste Illicit Discharges
	Workplace Safety	Fire Safety	Industrial Wastewater
	Laboratory Safety	Spill Prevention	Storage Tank Compliance
<b>Facilities and Construction</b>	Operation and Maintenance of Buildings and Assets	Real Estate Management	Records Storage Destruction
	Planning, design, bid, permit, construction, and close-out of all construction projects	Surplus Property Management	Sustainability Utility and Energy Services
<b>Finance</b>	Budget Analysis and Planning	Disbursement of Funds	Fixed Asset Accountability and Control
	Cash Investment Management	Financial Reporting	Procurement Services Tax Compliance
	Collection and Recording of Revenues	Student Financial Services	DSO Compliance with Debt Covenants
	Effort Reporting and Certification		
<b>Health Affairs, Legal Compliance</b>	UTMC Compliance Program	HIPAA Privacy	University of Toledo Physicians
	UTMC's Coding and Billing Activities	Medical Records Compliance	Mental Health and Clinical Therapy Compliance
<b>Human Resources</b>	Benefits	Employee Relations	Employment Services/ Records Recruitment
	Compensation	Payroll	
<b>Information Security Office</b>	Cybersecurity	Safeguarding Information Assets	Security Incident Response
	Identity and Access Management	Security Awareness	
<b>Office of Research</b>	Export-controlled Technology and Restricted Research	Foreign Influence Investigation	U.S. Export and Sanctions Regulation Compliance
<b>Office of Institutional Equity and Human Resources Compliance</b>	Discrimination, Harassment, and Retaliation	Equal Opportunity and Affirmative Action	Equitable Recruitment and Hiring
	Protection of Civil Rights		

<b>Compliance and Ethics Offices and Partners</b>			
<b>Department</b>	<b>Compliance Activities</b>		
<b>Office of Research, Compliance Office</b>	Research Reporting Requirements Research Conflict of Interest (COI)	Responsible Conduct of Research Institutional Review Board (IRB) Institutional Animal Care and Use Committee (IACUC)	Facility Security Research Animal Welfare Research Integrity Officer (RIO)
<b>Division of Student Affairs</b>	Student Conduct Academic Integrity	Student Handbook Admission Clearance Process	Dean's Certifications Interim Measures for Student Related Title IX Incidents
<b>University Registrar</b>	Family Educational Rights and Privacy Act (FERPA) Academic Records	Excess Hours Surcharge Enrollment	Issuance of Diplomas Residency Classifications Athletic Eligibility
<b>Financial Aid</b>	Student Financial Aid	Work Study Assignments	Federal Aid and Grants
<b>Student Health Services</b>	Alcohol and Other Drug Prevention and Treatment Programs	Infection Prevention/ Risk Management Assessments	Human and Health Services Regulations
<b>Center for International Studies and Programs</b>	SEVIS Records	U.S. Visa Issuance	English Proficiency Immigration Related Documentation
<b>UTPD</b>	Criminal Activity and Reporting Emergency Operations Management Continuity of Operations	Access Control Comprehensive Emergency Management Plan Threat Assessments	Violence Prevention Antiterrorism
<b>Undergraduate Admissions</b>	Student Admission and Enrollment		
<b>Office of Legal Affairs</b>	Contract Compliance		
<b>Office of the Provost</b>	University Assessment		
<b>Title X Office</b>	Compliance Policy & Procedures Investigations	Education & Prevention Supportive Measures Adjudications	Training Pregnancy & Parenting

## Routine Regulatory Reporting

As part of its compliance oversight, Institutional Compliance, along with the compliance offices and partners conducted the following routine reviews and where applicable, submitted appropriate regulatory reports to the various agencies:

- Annual Fire Safety Report – Clery Act
- Annual Security Report - Clery Act
- Biennial Drug Free Schools and Communities Act Program Review
- Bond Financing Report to the Ohio Department of Education (Annual)
- Campus Master Plan
- Collection and reporting of student complaints to comply with federal regulations and regional accreditation requirements (Annual)
- Consumer Confidence Report for Potable Water (Annual)
- Employee Data and Payroll Data Reports to the State of Ohio (Monthly)
- Enrollment Report to the National Student Loan Data System
- Exchange Visitor Program Redesignation
- Expenditure Analysis (Annual)
- Federal Foreign Gifts and Contracts Report (Biannual)
- Financial disclosure items to the Electronic Municipal Market Access System
- Financial reporting to the Ohio Board of Regents
- Fiscal Operations Report and Application to Participate in Campus Based Funding (FISAP) (Annual)
- Grades and Hours Report (Annual)
- Higher Learning Commission (HLC) Reporting (Annual)
- Infection Prevention Assessment Report (Biannual)
- Legislative Budget Requests for Operations and Fixed Capital Outlay (Annual)
- NCAA Academic Progress Report (Annual)
- NCAA Graduation Success Rate (Annual)
- Nonresident Aliens (NRA) Withholding Data (Annual)
- Number of Employee Positions Posted and Current Employees Report (Monthly)
- Ohio Department of Higher Education Changing Campus Culture Report (Annual)
- Operating Budget (Annual)

## Routine Regulatory Reporting (continued)

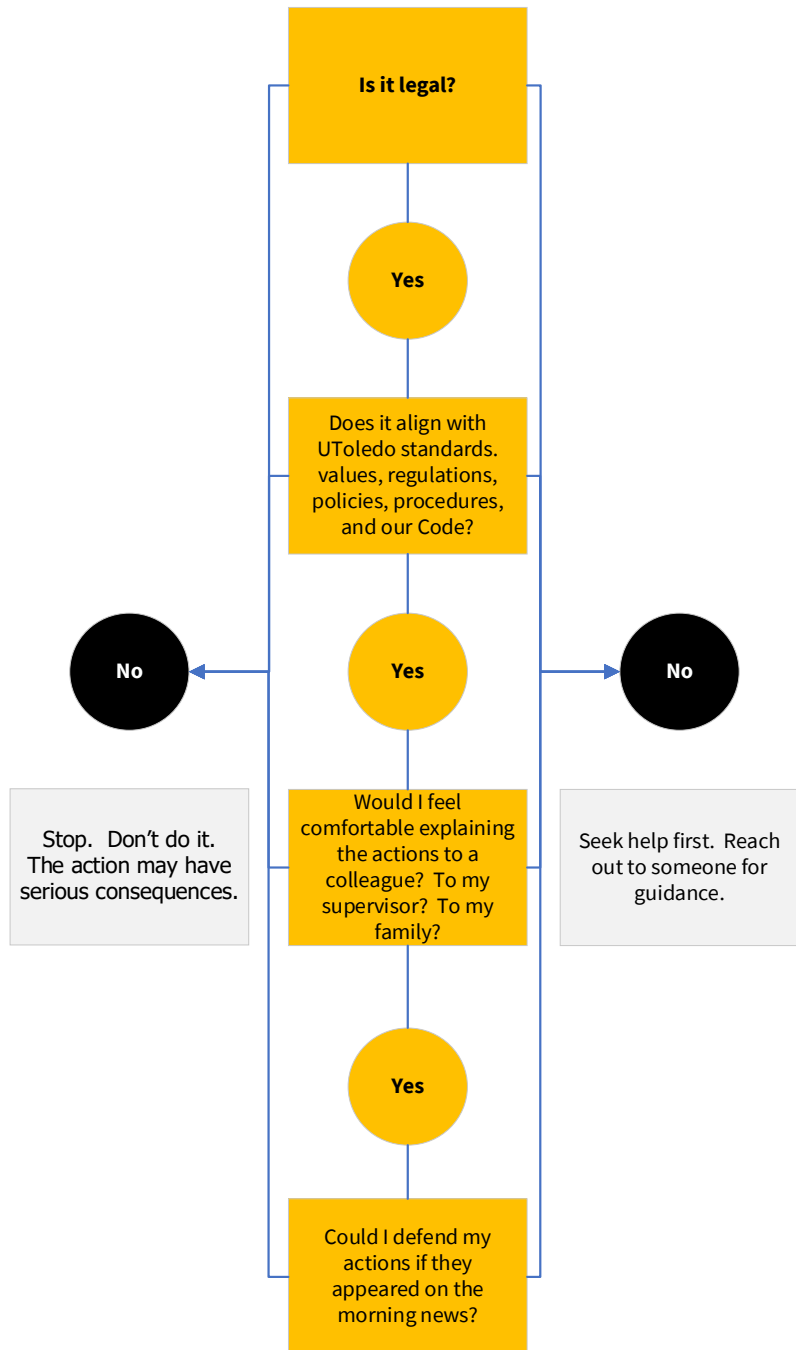
- Operating Budget, Capital Outlay Budget, and Carry-forward Spending Plan (Annual)
- Occupational Safety and Health Administration (OSHA) 300 Report (Annual)
- OSHA 300A Report (Annual)
- Physical Plant Survey
- Police Community Outreach Report (Biannual)
- Police Use-of-Force Data Report (Monthly and Annually)
- Public Debt Disclosure Notifications to Bondholders
- Reconciliations of NRA Payments (Annual)
- Report of Financial Information to Debt Rating Agencies (Annual)
- Report of Health Insurance Portability and Accountability Act (HIPAA) Breaches (Annual)
- Report to the Opportunities for Ohioans with Disabilities (Annual)
- Research Exemption Report to the Governor and Legislature on behalf of the Board Chair (Annual)
- Student and Exchange Visitor System (SEVIS) Recertification
- Statistical Summary of Police Internal Affairs Investigations (Annual)
- Tier II Emergency Industrial Planning and Community Right-to-Know Act Report (Annual)
- Uniformed Crime Report (Annual)
- University Affirmative Action Report (Annual)
- Veterans' Employment and Training Service (VETS)-4212 Report (Annual)
- Workers Compensation Report (Quarterly)



# Promoting a Culture of Ethics and Compliance

At UToledo, each of us is responsible for ensuring that we conduct university activities and business in compliance with the law, university regulations, policies and standards of conduct. The UToledo Ethical Standards – honesty and integrity, respect, responsibility and accountability, and stewardship are the ethical principles and values that help guide us in all decisions and actions. Ethical conduct goes beyond simple compliance with legal, regulatory, and university requirements. Behaving ethically means doing the right thing, even when it's not required. Distinguishing ethical behavior may seem straightforward; however, there will be times when 'doing the right thing' will not be clear in each situation. Institutional Compliance communicates the university's values, provides guidance on ethical decision making, offers training and awareness to the UToledo community, manages conflicts of interests and university ethics policy and procedures, and reinforces expectations through investigating allegations of misconduct.

To emphasize the importance of promoting a culture of ethics and compliance, the Chief Compliance Officer and Executive Director of Internal Audit personally delivered several virtual sessions on Ethical Leadership to employees throughout the year.



Institutional Compliance and associated partners aid in the promotion of an ethical culture through regular activities such as participation in university committees to support UToledo compliance and ethics efforts and programs.

<ul style="list-style-type: none"> <li>• University Institutional Compliance Advisory Committee</li> <li>• Emerging Issues and Crisis Response Team</li> <li>• University Policies and Procedures Committee</li> <li>• University Title IX Committee</li> <li>• University Coordinated Community Response Team</li> <li>• University Youth Protection Program Committee</li> <li>• University Diversity and Inclusion Workgroup</li> <li>• University President Advisory Council</li> <li>• University Records Management Advisory Committee</li> <li>• UToledo Online Appeals Committee</li> <li>• Residency Appeals Committee</li> <li>• Fee Appeals Committee</li> <li>• Athletics Compliance Committee</li> <li>• Human Resources Advisory Committee</li> </ul>	<ul style="list-style-type: none"> <li>• International Incident Advisory Committee</li> <li>• University Facilities and Safety Committee</li> <li>• University Safety Committee</li> <li>• University Radiation Safety Committee</li> <li>• University Institutional Biosafety Committee (IBC)</li> <li>• UToledo IACUC</li> <li>• UToledo Institutional Safety Council</li> </ul>
<ul style="list-style-type: none"> <li>• Merchant Services Committee for Payment Card Industry Data Security Standards (PCI DSS) Compliance</li> <li>• Federal Trade Commission’s Red Flags Compliance Committee</li> <li>• University Tax Peer Group</li> <li>• University Financial COI (FCOI) Committee</li> <li>• University Security Incident Response Advisory Committee (i.e., Data Incident Response Team)</li> <li>• Enterprise Directory Governance Committee</li> <li>• Security Leads Committee</li> <li>• Security Operations Center Advisory Committee</li> </ul>	<ul style="list-style-type: none"> <li>• University IRB</li> <li>• UHealth Compliance Committee (i.e., University of Toledo Medical Center (UTMC) + University of Toledo Physicians + College of Medicine and Life Sciences (COMLS) + University of Toledo Medical Assurance Company)</li> <li>• UToledo HIPAA Collaborative Group (i.e., Privacy and Security Committee)</li> <li>• Student Health Services Ad-Hoc Committee</li> <li>• University Institutional Safety Council</li> <li>• UToledo Student Health Services Breach Committee</li> <li>• University (COMLS Clinical Services Compliance Program Committee</li> <li>• UToledo Student Health Services</li> <li>• Patient Advocate Reporting</li> <li>• University Drug-Free Schools and Communities Act Biennial Review Committee</li> <li>• University Bias Incident Communications Group</li> <li>• UToledo Student Conduct Board</li> <li>• University Assessment Committee</li> <li>• University Leadership Council for Equity, Inclusion and Diversity</li> <li>• Student Handbook Review Committee</li> </ul>

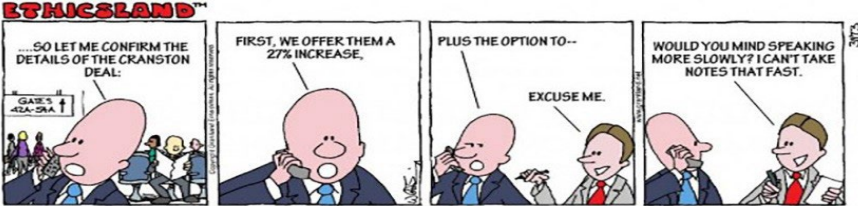
## Effective Lines of Communication

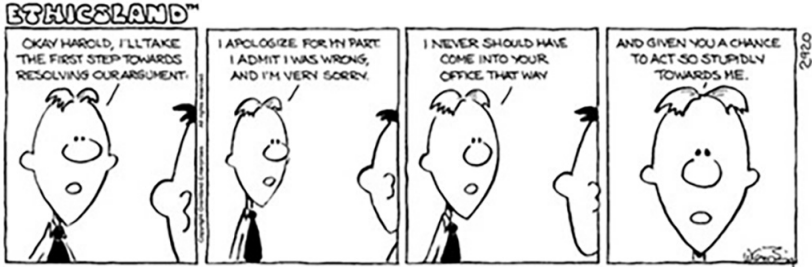

Building a culture of ethics and compliance requires effectively communicating the university’s expectations for all employees to follow, and each employee taking an active role in understanding and promoting an ethical culture. It also requires timely response to regulatory and other external agencies.

As part of the comprehensive program, University Institutional Compliance has developed multiple communication outlets to promote these expectations.



Institutional Compliance publishes and distributes the UToledo *The Compass* newsletter, each quarter campus-wide to all employees. Each edition focuses on a different compliance topic, and includes articles written by compliance partners. This year’s newsletters provided information on compliance and ethics related topics as well as a new “Case Corner” section featuring actual investigations conducted by the investigative offices at UToledo.

Edition	Featured Articles and Materials	Recognition
June 2023	<p><b>Articles:</b></p> <ol style="list-style-type: none"> <li>Recent Updates to Policies Covering Data Security &amp; Protection</li> <li>Data Privacy and Security</li> <li>What to do if Someone Requests a Copy and/or the Removal of Their Personal Data</li> </ol> <p><b>Audit Unlocked:</b> Questions to Ask Yourself – Travel Reimbursements</p> <p><b>Case Corner:</b> FERPA case</p> <p><b>Cartoon:</b></p>  <p><b>Video:</b> Data Privacy Awareness</p>	Our UToledo Information Technology Security Office, for their contributions in raising security awareness.

Edition	Featured Articles and Materials	Recognition
March 2023	<p><b>Articles:</b></p> <ol style="list-style-type: none"> <li>1. Resolving Workplace Conflicts</li> <li>2. The Subtleties of Discriminatory Harassment</li> <li>3. Fiscal Year 2022 UToledo Anonymous Reporting Line Report</li> </ol> <p><b>Audit Unlocked:</b> Time to Revisit Timecards</p> <p><b>Case Corner:</b> University Institutional Compliance and Office of Institutional Equity and Human Resources Compliance joint case regarding treatment of others</p> <p><b>Cartoon:</b></p>  <p><b>Video:</b> 90 Second Video: Respecting Others</p>	<p>Selected colleges and individuals for their efforts with employee submission of required outside activity, potential conflict of interest and commitment online disclosures: College of Business and Innovation, College of Engineering, and three additional colleges as an honorable mention: College of Nursing, College of Arts and Letters, and College of Health and Human Services.</p>
December 2022	<p><b>Articles:</b></p> <ol style="list-style-type: none"> <li>1. Take the Compliance and Ethics Culture 10 Minute Survey!</li> <li>2. Dangerous Dialing</li> </ol> <p><b>Audit Unlocked:</b> New UToledo Fraud Prevention and Detection Regulation</p> <p><b>Cartoon:</b></p> 	<p>UToledo Facilities &amp; Construction for their support of the university's compliance and ethics program and their efforts in making the university a more inclusive place to learn and work.</p>
September 2022	<p><b>Articles:</b></p> <ol style="list-style-type: none"> <li>1. Ethically Speaking: An Interdisciplinary Speaker Series on Contemporary Moral Issues</li> </ol> <p><b>Case Corner:</b> Two cases that did not result in substantiated misconduct but instead resulted in a positive outcome.</p> <p><b>Video:</b> Making Ethical Decisions 2nd Edition</p>	

# INSTITUTIONAL COMPLIANCE

## ANONYMOUS REPORTING

### Anonymous Reporting Line

Concerned about a possible violation of law or policy and are uncomfortable raising it through normal channels? Use the Anonymous Reporting Line, the University's confidential reporting service.

**What to Report:** Report any situation or University conduct you believe violates an applicable law, regulation, government contract or grant requirement, or University policy. You do not need to know the exact law or requirement, or be certain a violation has or will occur. When in doubt, the better course of action is to report.

**What not to Report:** Report emergencies to 911. This reporting service also does not include employment concerns that are not legal or policy violations, purely student concerns, or issues for which the University is not responsible. Again, if you are uncertain, the better course of action is to report.

**Your Obligations as a Reporter:** University employees are expected to report good faith concerns about possible violation of any policy, law, rule, regulation, contract or grant governing any University activity, and are expected to be truthful and cooperative in the University's investigation of allegations. Knowingly making false reports can lead to discipline.

**Your Rights as a Reporter:** All reports of Compliance issues will be handled in strict confidence to the extent possible or permitted by law. Your inquiry can be made without fear of retribution. University policy prohibits any retaliation against individuals who report compliance issues in good faith.

University Institutional Compliance continued administration of the UToledo Anonymous Reporting Line to include the review and tracking of all reports, data compilation, trend review, and reporting. Promotion of the Anonymous Reporting Line occurs within the publication of each *The Compass* newsletter, in compliance videos, on the University Institutional Compliance website, on the websites of all compliance partners, and at virtual tabling events, such as Faculty Orientation and the University's Employee Benefits Fair. University Institutional Compliance also served on a Student Reporting workgroup to discuss reporting options for students, including the Anonymous Reporting Line, and to further enhance the student reporting options website.

Compliance partners also contribute to building an ethical culture by promoting compliance and ethics within their respective areas of expertise and to the UToledo community through monthly meetings, emails to departmental staff, and sending campus-wide communications on various compliance topics. This year these notifications pertained to topics such as updated policies and regulations, annually required notices on the Drug Free Campus Schools Act, 403(b) Notice of Eligibility, remote work guidance, required training, the availability of the Annual Security and Fire Safety Report (Annual Security Report), grading procedures, and the Family Educational Rights and Privacy Act (FERPA).

Office of Research and Sponsored Programs (ORSP) staff provide professional support for university review committees and are subject matter experts in human subject research (IRB), animal research (IACUC), biosafety (IBC), controlled substances and dangerous drugs regulations and COI (COI committee). ORSP also conducted weekly ORSP staff meetings and monthly meetings for key college leaders on research administration and compliance issues. In addition, ORSP serves as the point of contact and source for guidance on research compliance and protocol preparation related to scientific misconduct, export controls, COI, human subject research, animal research and care, biosafety and development of policies and procedures for research.

To continue awareness on the university's foreign influence program, the Office of Export Control worked with the Office of Research to distribute communications to the campus community. These communications included information on the employee screening requirements and process in relation to the State of Ohio foreign influence regulations and revised requirements on employee travel to international destinations. The Office also expanded their current website to include a page on foreign influence screening providing additional guidance to the campus community.

Compliance offices and partners also issued their own departmental newsletters. For example, the Athletics Compliance Office developed a template for a quarterly newsletter on NCAA guidance, distributed to student-athletes and their families. Additionally, UToledo IT communicated information security best practices through the UToledo IT newsletter, the Government Relations Division published an internal newsletter highlighting employees who have gone beyond the call of duty, and Human Resources Training and Development distributed an internal newsletter to the employee community on a quarterly basis.



## Response to Regulatory Agency Requests and Non-routine External Reviews

The executive director for institutional compliance continued to oversee the university's response to multiple non-routine external reviews and requests for information that had begun during the previous fiscal year.

Following are examples of how ORSP responded to regulatory agency requests and non-routine external reviews during Fiscal Year 2023:

- IACUC Adverse event/Non-compliance: report promptly to the Office of Laboratory Animal Welfare. Preliminary report can be in the form of email, fax, or phone call. ORSP must submit a thorough, follow-up report detailing the event and corrective actions taken.
- IBC Adverse event/Non-compliance: report to the National Institutes of Health Office of Science Policy immediately or within 30 days, depending on the event.
- Theft/Loss of Controlled Substances: report to the Drug Enforcement Agency within one business day. ORSP must also report the theft/loss to the University of Toledo Police Department, ORSP, and Ohio State Board of Pharmacy.

The Environmental Health and Radiation Safety department completed successful surveys in calendar year 2022 with the following external agencies:

- Insurance Carrier Annual Assessment (Zurich)
- Radiation Generating Equipment for Clinical Operations at UTMC (Ohio Department of Health (ODH))
- Mental Health Inspection for Kobacker and Detox (Ohio Department of Mental Health)
- Animal Handling American Association for Accreditation of Laboratory Animal Care
- The Joint Commission (TJC) Re-inspection of Kobacker
- BSL3 Biocontainment and Security Inspection (Centers for Disease Control and Prevention)
- Transplant Clinic Survey (ODH)
- Hemodialysis Survey (ODH)
- TJC-focused survey in the Emergency Department

University Institutional Compliance with the Information Technology Security Office on a response letter to the Federal Student Aid Office of the U.S. Department of Education regarding compliance with the Gramm-Leach-Bliley Act cybersecurity requirements and participated in the voluntary Homeland Security Cybersecurity and Infrastructure Security Agency cyber infrastructure evaluation of UToledo. The UToledo Information Technology Security Office requested conducting a no cost review to identify strengths, as well as gaps, and will allow for opportunities in the future such as free penetration testing and IP address scanning.

During the fiscal year, the university underwent an Auditor of State Operational Audit, which resulted in addressing two financial related findings through an implemented action plan.

### **Healthcare Compliance**

It is important that employees be able to readily access compliance materials applicable to their job responsibilities. While University of Toledo Medical Center's (UTMC's) policies and procedures appropriately assigned responsibility to the Board for overseeing and participating in healthcare compliance activities, the Healthcare Compliance team expressly provided for auditing and monitoring of the Board's activities in this area.

An important aspect of an organization's commitment to healthcare compliance is its dedication of sufficient resources to the effort. UTMC's training and education policies document the training's effectiveness rather than just its occurrence.

UTMC's "Mandatory Training" Policy now requires the delivery of training by individuals with substantive expertise in the relevant area, to facilitate thorough and accurate coverage and ensure that trainees' questions are timely addressed.

UToledo conducts risk assessments in all major healthcare compliance areas to identify elevated risk areas for regular auditing.

Errors in coding or billing software may affect large numbers of claims and form the basis of overpayment or other liability on an increasingly frequent basis. Healthcare Compliance now emphasizes the corrective, non-punitive focus of the healthcare compliance program by distinguishing more clearly between these concepts, by retitling policy the "Corrective Action" policy as a disciplinary policy.

While UTMC's current policies appropriately provide taking disciplinary action with discretion to minimize the public embarrassment of employees, Healthcare Compliance now tracks disciplinary actions in a de-identified manner over time to promote and document the consistency of the process and provide transparency within the program.

UTMC's policies in monitoring of corrective action adherence and effectiveness expressly allocate responsibility to healthcare compliance personnel for monitoring adherence to corrective action plans over time and for measuring the effectiveness of such plans.

## Policies and Procedures

University Office of Legal Affairs maintains the university's policy webpage containing 2,189 policies (666 academic, 1,523 clinical) and oversees the university's policy development and review process. The process includes identifying when UToledo requires new policies and distributing campus-wide communications when posting new or revised policies for public comment and become effective. The University Senior Leadership Team reviews all policies and makes recommendations to the president for approval. Individual policy owners must review university policies annually for updates, and the Team reviews each university policy every three years prior to approval by the President.

This report year the University Senior Leadership Team reviewed the following nineteen new key policies and 711 key existing policies later approved by the president:

### Academic Affairs Policies

- [UToledo Policy 3364-71-11 Grades, quality points and grading policy](#)

### COMLS Policies

- [UToledo Policy 3364-81-04-02-08 Research Incentive Program](#)
- [UToledo Policy 3364-81-04-012-03 Graduate Courses](#)
- [UToledo Policy 3364-81-04-016-04 Student Occupational Exposure to Blood Borne Pathogens/Needle Stick and Airborne Pathogens/Tuberculosis](#)
- [UToledo Policy 3364-81-04-016-05 Separation of Roles to Assure Confidentiality in the Provision of Health and Counseling Services to Medical Students and Absence of Conflict of Interest in Medical Student Evaluation, Promotion, and Dismissal](#)
- [UToledo Policy 3364-81-04-018-00 The Learning Environment and Faculty Professionalism](#)
- [UToledo Policy 3364-81-04-026-00 Submission of Official Transcripts for Matriculation into the Medical Doctor Program](#)
- [UToledo Policy 3364-81-12-206-02 Honorarium Policy](#)
- [UToledo Policy 3364-81-12-206-03 Guidelines for Commercial Support-Educational Grants](#)
- [UToledo Policy 3364-81-12-206-04 Conflict of Interest and Disclosure \(Continuing Medical Education\)](#)
- [UToledo Policy 3364-81-21 Supervision of Medical Students](#)

### Human Resources and Employee Benefits Policies

- [UToledo Policy 3364-25-20 Employee assistance program](#)
- [UToledo Policy 3364-25-34 Conflicts with collective bargaining agreements](#)
- [UToledo Policy 3364-25-37 Flexible spending account plan](#)
- [UToledo Policy 3364-25-38 Insurance](#)

### Financial Policies

- [UToledo Policy 3364-40-24 Credit cards](#)

### Information Technology Policies

- [UToledo Policy 3364-65-02 Information security and technology/administrative safeguards](#)
- [UToledo Policy 3364-65-04 Security access safeguards](#)

### Marketing and Communications Policies

- [UToledo Policy 3364-45-07 University websites](#)

To assist departments with locating policy related information and provide transparency into the policy development and review process, the office developed and posted the following additional resources to the online University Policy webpage:

- » Standardized policy glossary (revised)
- » Senior Leadership Team meeting dates
- » Senior Leadership Team members
- » Policy lifecycle and workflow

In collaboration with the university's colleges, the office created a contact list of policy liaisons within each college to receive notices when posting policies for public comment and to solicit feedback from faculty. The Office of Legal affairs posted this list online to the University Policy webpage. The office also added to the online library a list of all policies requiring a three-year review by the Senior Leadership Team in accordance with UToledo Policy 3364-10-01 Formulation and issuance of policies.



## UNIVERSITY POLICY

### UNIVERSITY POLICY WEBSITE

The University of Toledo Policy Website is a compilation of relevant policy, operational procedures, governing documents and handbooks of The University of Toledo. The purpose of the policy website is to ensure faculty, staff, and students have ready access to policies. It is the responsibility of the UT community, including faculty, staff, and students, to familiarize themselves with the policies and comply with the University policies that affect them.

#### Policy Review and Approval Process

Draft policies are posted on the [Policies Posted for Comment](#) page for a thirty day period, during which time the campus community has an opportunity to offer comments or suggestions about the draft policy. Comments submitted for review are answered by the policy's responsible agent.

An email notification of updates and additions to the Policies Posted for Comment is distributed to all University faculty and staff.

The University of Toledo approves, issues, and maintains policies using a consistent process and format. Please see the [3364-10-01 Formulation and issuance of policies](#) for the standard format, vetting, and approval process for the policies.

The Policy Committee is charged with ensuring that the University's policies are accessible, appropriately disseminated, and current. The committee does not decide the appropriateness or validity of policies. The committee is comprised of membership from the Provost's Office, Faculty Senate, Internal Audit and Compliance, Legal Affairs, University Archives, and the UT Medical Center.

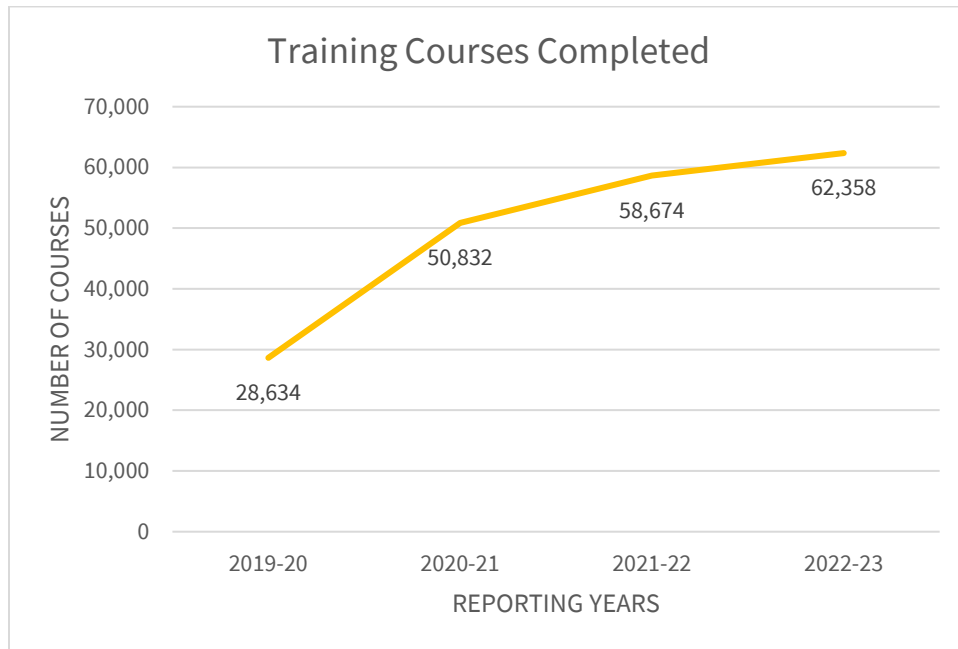
This year the office also revised and implemented UToledo Minors on Campus Procedures to include language regarding background check screenings, registration procedures, and new requirements for submission of a safety action for event form when applicable, proof of insurance, and a required safety plan. Institutional Compliance also added language clarifying an exemption from the policy requirements for minors working or volunteering for the university because they fall under the university's volunteer or employment process.

In addition to the university-wide policies maintained in the University Policy webpage, departments maintain internal departmental policies, procedures, and handbooks specific to their areas of compliance that supplement university policies. These compliance offices and partners also provide updates to university regulations for their respective compliance area. The following chart summarizes departmental updates made during this fiscal year.

Department	Topic
Accessibility and Disability Resources	Course Accessibility Letter for Faculty
	Accommodated testing process
Athletics Compliance	Athletics Compliance Procedures Manual
	Sexual Violence Procedures
College of Medicine and Life Sciences Legal/Compliance	College of Medicine and Life Sciences Procedures on Policy Development
	HIPAA Privacy and Security Procedures Manual (Phase 1)
Diversity, Equity, and Inclusion	Diversity, Equity, and Inclusion Handbook
	Resource Facilitator Handbook
	Residential Mentor Handbook
Environmental Health and Radiation Safety	Nine Workplace Safety Procedures
Facilities & Construction	Facilities Planning and Construction Selection Process
Human Resources	Salary Administration Guidelines
	Standard Operating Procedures for Human Resource process in Banner
	Reference Guide for service enhancement transformation HR Leaders
	Performance Appraisal Process for employees
Information Technology Security Office	Updated information on security standards
Office of Export Control	Export Control training procedures
	Non-disclosure agreement export control review procedures
	Foreign Influence employment screening procedures
Office of Institutional Equity	Investigation Procedures
	Standard Operating Procedures on recordkeeping
Office of International Student and Scholar Services	Internal procedures manual
Police Department	Sixty-eight standard operating procedures
Registrar's Office	Undergraduate and Graduate Catalogs
	Residency Reclassification Affidavit
	State Authorization Compliance and Reciprocity guidelines
	FERPA resources for students, parents, faculty, and staff
Research Compliance Office	Guidelines, training manuals, and materials for Employee Compensation Compliance time and effort certification in Banner
	Conflict of Interest foreign influence assessment procedures
Rocket Health	Twelve Procedures
Title IX Office	One Policy and Procedure
Undergraduate Admissions	Driver and vehicle information database manual

## Training and Education

Training and education are key components of an effective compliance and ethics program. UToledo develops training courses to communicate various regulatory requirements, university regulations, policies, and procedures, as well as expectations for standards of conduct. During this fiscal year, employees completed over 62,000 training courses, which again is a notable increase from the 58,674 courses completed last year and the 50,832 course completions reported in 2021.



Please see the chart below for specific compliance training delivered by the various compliance offices and partners with the total number of employees who completed the training.

Department	Topic	Delivery	No. Trained
Academic Affairs/Population Health	Internship Seminar Master of Public Health/Master of Science in Occupational Health	Mixed	4
Diversity, Equity, and Inclusion	Managing Bias (University of Toledo diversity, equity, inclusion course) (mandatory: assigned to all employees annually)	Online	5,157
Environmental Health and Radiation Safety	Laboratory Bloodborne Pathogens	Mixed	410
	Laboratory Emergency Preparation and Spill Response	Mixed	319
	Laboratory Chemical Hygiene Plan and Hazard Control	Mixed	312
	Laboratory Hazard and Biological Waste	Mixed	310
	Laboratory Safety Recognition and Evaluation	Mixed	286
	Biosafety Training	Mixed	155
	Bloodborne Pathogens	Mixed	101
	Van Driver Training	Online	89
	Vehicle General Safety Procedures	Online	87
	Hazardous Waste Management	Online	81
	Vehicle Defensive Driving	Online	76
	Vehicle Inspection and Equipment Safety	Online	73
	Asbestos	Mixed	70
	Powered Industrial Truck Operations	Online	31
	Non-Medical Radiation Generating Equipment	Online	27
	Radiation Safety	Mixed	25
	Hot Work Training	Online	24
	Ballast Training	Online	23
	Electrical Safety Awareness	Online	23
	Confined Space	Online	22
	Golf Cart Inspection and Maintenance	Online	21
	Fall Protection	Online	19
	Lock-Out/Tag-Out	Online	17
	Golf Cart Operation	Online	14
	Research and Technology Complex 1 Evacuation Procedures	Online	11
	Marking, Labeling, and Placarding	Online	8
	Run Hide Fight	Online	8
	Naloxone	Online	7
	Laser Safety for Research and Instructional Use	Online	6
	Shipping Papers	Online	6
	Bio-Safety Level 3 Security Response	Online	5
	Pesticide Respirator Training for Grounds	In-Person	5
	Code Yellow Specific	Online	4
Controlled Air-Purifying Respirator Training for University of Toledo Police Department	Online	4	
18 Additional Environmental Health & Radiation Safety Courses	Online	37	

Department	Topic	Delivery	No. Trained
Healthcare Compliance	Medicare Fraud, Waste, and Abuse (mandatory: assigned to all UTMC and University of Toledo Physicians employees annually)	Online	1,923
Human Resources	Interviewing Candidates (mandatory: assigned to all employees serving on a University of Toledo search committee for the first time)	Online	501
	Preventing Harassment and Discrimination: Supervisors (assigned upon request)	Online	11
Information Technology	Data Security and Privacy (mandatory: assigned to all employees annually)	Online	5,107
Institutional Compliance	Protecting Youth: Abuse and Neglect Prevention (University of Toledo "Minors on Campus" course) (mandatory: assigned to all employees and affiliates involved in hosting events that include minor-aged participants)	Online	317
Office of Accessibility and Disability Resources	Accommodating People with Disabilities (assigned upon request)	Online	1
Office of Legal Affairs	The Ohio Ethics Law: Building a Culture of Integrity (Ohio Ethics Commission) (mandatory: assigned to all employees annually)	Online	5,125
Office of the Registrar	Family Educational Rights and Privacy Act (assigned upon request)	Online	284
Privacy Office	Health Insurance Portability and Accountability Act (mandatory: assigned to all employees and affiliates within the scope of the University of Toledo healthcare "covered entity")	Online	3,890
	Health Insurance Portability and Accountability Act for Health Plan	Online	2
Research	Occupational Health History for Animal Users	Online	2
	Department of Laboratory Animal Resources Orientation	Mixed	114
	Department of Laboratory Animal Resources - Hazards in Animal Research	Mixed	50
	Department of Laboratory Animal Resources Mouse Wet Lab	Mixed	22
	Department of Laboratory Animal Resources Isoflurane Anesthesia	In-Person	17
	Department of Laboratory Animal Resources Rat Wet Lab	In-Person	11
	Department of Laboratory Animal Resources Breeding Colony Management	In-Person	5
	Department of Laboratory Animal Resources Mouse Blood Collection	Online	4
	Department of Laboratory Animal Resources Mouse Identification	In-Person	2
	Rodent Tumor Monitoring	In-Person	2
	Department of Laboratory Animal Resources Aseptic Technique Wet Lab	Online	2
	5 Additional Research Courses	In-Person	1
	Risk Management	Risk Assessment (course under development) (assigned upon request)	Online
Title IX Office	Building Supportive Communities: Jeanne Clery Act and Title IX (mandatory: assigned to all employees and affiliates biannually)	Online	2,707
Treasurer's Office	Payment Card Industry Data Security Standard (mandatory: assigned to all employees that process credit card transactions)	Online	238

Department	Topic	Delivery	No. Trained
UTMC/Clinical Training	Infection Control	Mixed	1,789
	Safety Program	Mixed	1,745
	Hazardous Materials and Wastes	Mixed	1,720
	Security Management	Mixed	1,572
	Medical Equipment Safety	Mixed	1,554
	Emergency Preparedness	Mixed	1,362
	Life Safety	Mixed	1,359
	Policy Statement	Mixed	761
	National Patient Safety Goals-Hospital	Mixed	708
	Fall Prevention	Mixed	677
	Hazardous Drug Training General Education	Online	642
	Adverse Events/Incident Reporting	Mixed	641
	Heart Failure Overview	Online	634
	Stroke Education	Online	608
	Multi-Drug Resistant Organisms, Clostridioides Difficile, and Hand Hygiene	Online	578
	Pain Management Education	Online	530
	Heart Failure Attestation	Online	516
	Patient Rights	Online	511
	i-Care Attestation	Online	506
	Controlled Air Purifying Respirator Training	Online	505
	Mid-Level/High-Level Infectious Disease Agent Personal Protective Equipment Training	Online	490
	Inmate and In-Custody Patient Care	Online	479
	Impaired Licensed Independent Practitioners	Online	478
	Joint Notice Privacy Practices	Online	477
	Essential Personnel Designation Acknowledgement	Online	461
	Early Warning Signs	Online	452
	Patient Identification Overview	Online	443
	Team Building	Mixed	434
	Suicide Education	Online	419
	Adult-Elder Abuse, Neglect and Exploitation	Online	407
	Child Abuse/Neglect	Online	388
	Bariatric Competency	Online	377
	Age Specific Core Competency	Online	363
	Antimicrobial Stewardship	Online	354
	Teach-Back	Online	338
	Catheter-Induced Urinary Tract Infection Education	Online	292
	Situation, Background, Assessment, Recommendation	Online	286
	Anticoagulation Clinic Education	Online	258
	Central Line-Associated Blood-Stream Infection Education	Online	236
	Surgical Site Infection Education	Online	230
Look-Alike Sound-Alike Drugs	Online	214	
Point-of-Use Cleaning	Online	211	

Department	Topic	Delivery	No. Trained
UTMC/Clinical Training (cont'd)	Adult Restraint	Online	186
	Adult Blood Transfusion	Online	175
	Code Blue/Rapid Response Team/Early Warning Signs	Mixed	175
	Organ, Tissue, Eye Donation after Death	Online	167
	The Joint Commission Preparation	Online	166
	Hand Hygiene Attestation	Online	163
	Pediatric Pain Assessment	Online	163
	Adult Pain Management, Analgesia, Sedation	Online	162
	Influenza Education-Licensed Independent Practitioners	Online	156
	Left Ventricular Assist Device Attestation	Online	151
	Malignant Hyperthermia - Inpatient	Online	139
	Restraint Education-Licensed Independent Practitioners	Online	135
	Stroke Certification Preparation	Online	132
	Out-Patient Suicide Precautions	Online	131
	Ordering Pro Re Nata Medications	Online	130
	Pressure Injury- Prevention	Online	119
	Cultural Competency	Online	116
	Telemetry Units	Online	110
	Immediate Compounding for Nurses	Online	107
	Pyxis Training	Online	101
	Wound Assessment	Online	96
	Rehabilitation Therapy	Online	87
	Risk Evaluation and Mitigation Strategy	Online	85
	Safe Use of Fluoroscopy	Online	85
	Mobilizing the Bariatric Patient	Online	84
	Nursing Swallow Screen	Online	78
	Early Mobility	Online	74
	Moderate Sedation	Online	74
	Sepsis Core Measures	Online	74
	Safe Transfer Training	Online	72
	Stroke Management	Online	70
	De-Escalation	Online	69
	Event Reporting	Online	68
	Restraint Use	Online	68
	Acknowledge + Introduce + Duration + Explain + Thank)	Online	67
	Latex Safety and Health Issues	Online	67
	Medication Reconciliation	Online	64
	Controlled Substance Prescribing	Online	62
	Clinical Grading	Mixed	56
	Accessing Online CARDIAC Resource Materials	Online	54
Heart Failure Competency: Therapies	Online	50	
Titration and Documentation	Online	49	
New Patient Folder	Online	47	
Cell Phone Policy	Online	46	
Pharmacy Team Building	Online	46	
Central Line	Online	44	
Watchman Device Training	Online	44	

Department	Topic	Delivery	No. Trained
UTMC/Clinical Training (cont'd)	Paraslyde Training (Code Green)	Online	40
	Teamwork and Service Excellence	Online	40
	Transcatheter Aortic Valve Replacement Training for Nurses	Online	39
	Trauma for Psychiatry	Online	39
	Clinic Process-Ambulatory	Online	36
	Vaccine i-Form	Online	36
	Ancillary Hospital Orientation	Online	34
	What is Heart Failure?	Online	33
	Laboratory Team Building	Online	32
	Palliative Care Education	Online	32
	Pharmacy Policy and Procedure Attestation	Online	32
	Clinical Lab Safety and Personal Protective Equipment	Online	30
	First Aid	Online	29
	Formaldehyde	Online	29
	Nurse Assistant and Patient Care Technician Suicide Precautions	Online	29
	Flammable/Combustible Liquids	Online	28
	National Institutes of Health Stroke Scale	Online	27
	Operating Room Fire Safety Training	Online	27
	Operating Room Patient Safety	Online	27
	Out-Patient Pharmacy Cultural Competency	Online	27
	Complaint and Grievance Education	Online	26
	Diversity and Cultural Competence for Contractors	Online	25
	Fall Education: Office of Public Safety	Online	25
	Laser Safety Clinical	Online	25
	Senior Behavioral Health Patient Safety	Online	25
	Telephone Standards	Online	25
	Covid Terminal Cleaning Training	Online	24
	Lab Medical Necessity Training for Medical Assistants	Online	24
	Office of Public Safety Team Building	Online	24
	Unsecured Medications Environmental Services	Online	24
	Barricade Doors Behavioral Health	Online	23
	Operating Room Radiation Safety	Online	23
	Pre-Operative Checklist	Online	23
	It Is All in Your Approach	Online	22
	Radiation Generating Equipment Safety	Online	22
	Food And Nutrition Services Workplace Rules	Online	21
	Low-Dose Ketamine Administration-Emergency Department	Online	21
	Smoke Free Tobacco Free	Online	21
	Joint Commission Ambulatory	Online	20
	Vital Signs	Online	20
Confidentiality Statement	Online	19	
Faculty as Teachers	Online	19	
86 Additional UTMC Clinical Training Courses	Mixed	646	

Department	Topic	Delivery	No. Trained
UTMC/Patient Financial Services	Secondary Billing	Online	4
UTMC/Patient Registration	I Make It EASY	Online	83
	Patient Access Procedures Policy	Online	72
	EASY - Customer Service - Registration	Online	66
	Disaster Policy	Online	29
	American District Telegraph System Failure Policy	Online	28
	American District Telegraph System Training and Access Policy	Online	27
	3364-132-18 Patient Access Productivity	Online	25
	Cash Box Policy	Online	25
	Consent to Treat and Informed Consent	Online	25
	Affordable Care Act 1557 Registration Training	Online	24
	Patient Financial Liability Policy	Online	24
	Prisoners Policy	Online	24
	Advanced Directives	Online	19
	Medicare Secondary Payer Annual Test	Online	16
	STAR Registration	Online	16
	Collections	Online	15
	Insurance Plans Out-Of-Network - Registration	Online	15
	Physicians Not in STAR Table	Online	13
	Billing Tree Verifone	Online	12
	Accident Registration	Online	11
Admission Source - Registration	Online	11	
Advance Beneficiary Notice Registration Refresh	Online	10	
Audio Video STAR Refresher	Online	10	
19 Additional UTMC Patient Registration Courses	Online	75	
<b>Training Courses Completed from July 1, 2022, through June 30, 2023</b>			<b>62,358+</b>

Continuous education and professional development of the animal research and the Human Research Protection Program (HRPP) compliance staff included virtual attendance at the annual Public Responsibility in Medicine and Research (PRIM&R) IACUC and the PRIM&R Advancing Ethical Research conferences, and the PRIM&R IRB Bootcamp conference. Compliance staff members also watched free webinars on a variety of topics. Educational outreach to faculty, staff, and students in HRPP included virtual and in-person training and consultation by request. HRPP continues to build relationships/procedures with other offices such as the Jacobson Center for Clinical and Translational Research (e.g., Clinical Trial Agreement reconciliation) and the HIPAA Compliance Officer for approvals associated with IRB protocols. In addition, ORSP also provided training to faculty and students for research projects with a Technology Control Plan or data management plan as required under the Export Administration Regulations (EAR)/International Traffic in Arms Regulations.

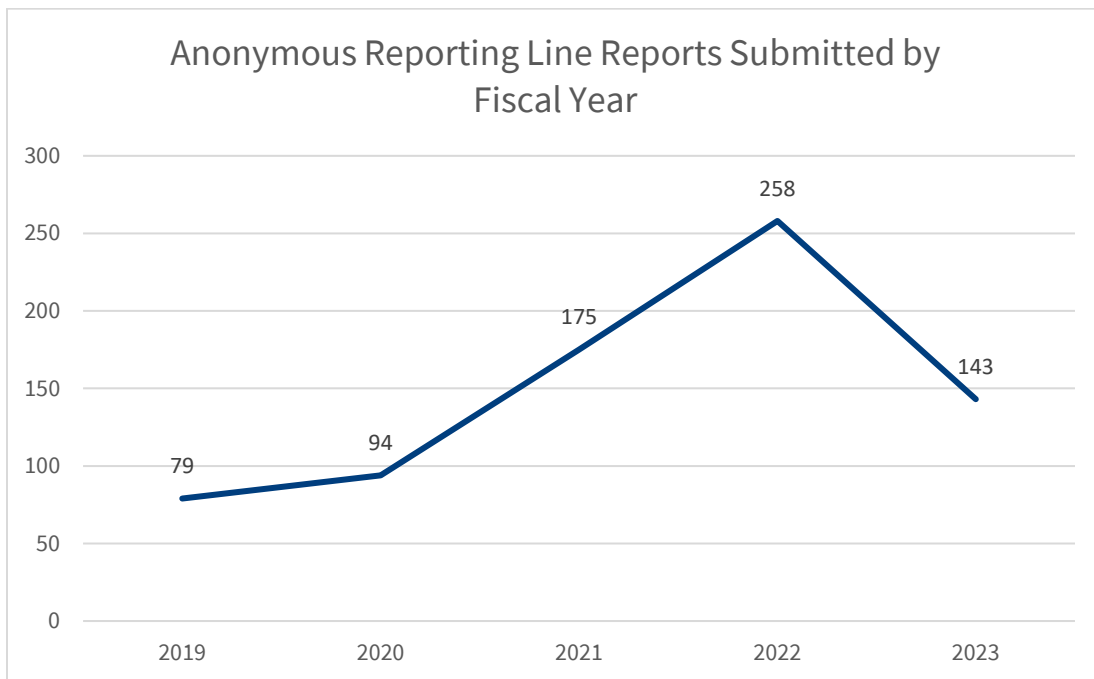
The Athletics Compliance Office revised its rules education efforts during the year to hold smaller group sessions. This developed stronger relationships with each team and department. Athletics Compliance also used summaries of major infraction cases to promote rules education, providing real-life scenarios of NCAA misconduct.

## Reported Concerns and Investigations

Effective compliance and ethics programs have established processes for responding promptly to detected problems and undertaking corrective actions. When members of the university community become aware of or have reason to suspect that employees do not conduct university activities and business in an honest, ethical, and lawful manner, UToledo expects members of the university community to make good faith reports of suspected misconduct.

UToledo encourages employees who are reluctant to report concerns to their direct supervisor to use the Anonymous Reporting Line, a secure and anonymous reporting system administered by an independent third party.

During this past fiscal year, employees submitted 143 new reports through the UToledo Anonymous Reporting Line (and other intake sources such as Maxient, and other sources). This is a decrease from the 258 reports received last year a decrease from 175 the year prior. University Internal Audit triaged submitted reports. Based on the nature of the report, it was either investigated by University Institutional Compliance, University Internal Audit, the Office of Institutional Equity and Human Resources Compliance, or referred to the appropriate compliance partner for review. UToledo investigated and closed one hundred and sixty-two (162) Anonymous Reporting Line cases during the fiscal year.



University Institutional Compliance also received four new reports of potential misconduct made directly to the office and it completed and closed six cases that were under review.

University Institutional Compliance oversees the university's foreign influence compliance program and works with the Research Compliance Office and the Office of Research and Sponsored Programs. Under the foreign influence assessment process, UToledo investigates inquiries found to have potential foreign influence compliance issues. This year, the offices jointly investigated four cases.

## UToledo Anonymous Reporting Line Report (Also Including Other Intake Sources)

January 1, 2022, to December 31, 2022

University Institutional Compliance

### Anonymous Reporting Line Reports Submitted in 2022

During the 2022 calendar year, the UToledo Anonymous Reporting Line received a total of 167 reports. Of these reports 166 contained allegations of suspected misconduct or ethical concerns and one report was an inquiry. University Institutional Compliance and University Internal Audit triaged reports containing allegations of misconduct. Based on the nature of the report, it was either investigated by University Institutional Compliance, the Office of Institutional Equity and Human Resources Compliance, University Internal Audit, or referred to the appropriate compliance partner for review. The Office of Student Conduct and Community Standards receives reports involving students under the UToledo Student Code of Conduct. The University of Toledo Police Department receive reports that are criminal in nature.



## Highest Number of Reports by Issue Type

<p>27% Environmental and Safety Matters</p>	<p>The highest number of reports made to the Anonymous Reporting Line in 2022 were Environmental and Safety Matters with forty-five reports representing 27% of the total reports submitted. This issue type includes any concern regarding health and safety including all COVID-19 related concerns.</p>
<p>25% Offensive or Inappropriate Communication</p>	<p>The second highest number of reports made to the Anonymous Reporting Line in 2022 were Offensive or Inappropriate Communication with forty-three reports representing 26% of the total reports submitted. This issue type includes concerns related to inflammatory, derogatory, unduly critical or insulting communication, and failure to treat one another with respect in accordance with the UToledo ethical standards outlined in the UToledo Employee Standards of Conduct.</p>
<p>10% Other Human Resource Matters</p>	<p>The third highest number of reports made to the Anonymous Reporting Line in 2022 categorized as Other Human Resource Matters with sixteen reports representing 10% of the total reports submitted. This issue type includes interpersonal type matters addressable by leaders and supervisors through the UToledo expectation of an open-door policy and may include assistance from Human Resources. We may also refer the complainant to speak with a university ombudsman as another resource.</p>

### All Issue Types

Reports submitted to the UToledo Anonymous Reporting Line spanned a total of fifteen issue types.

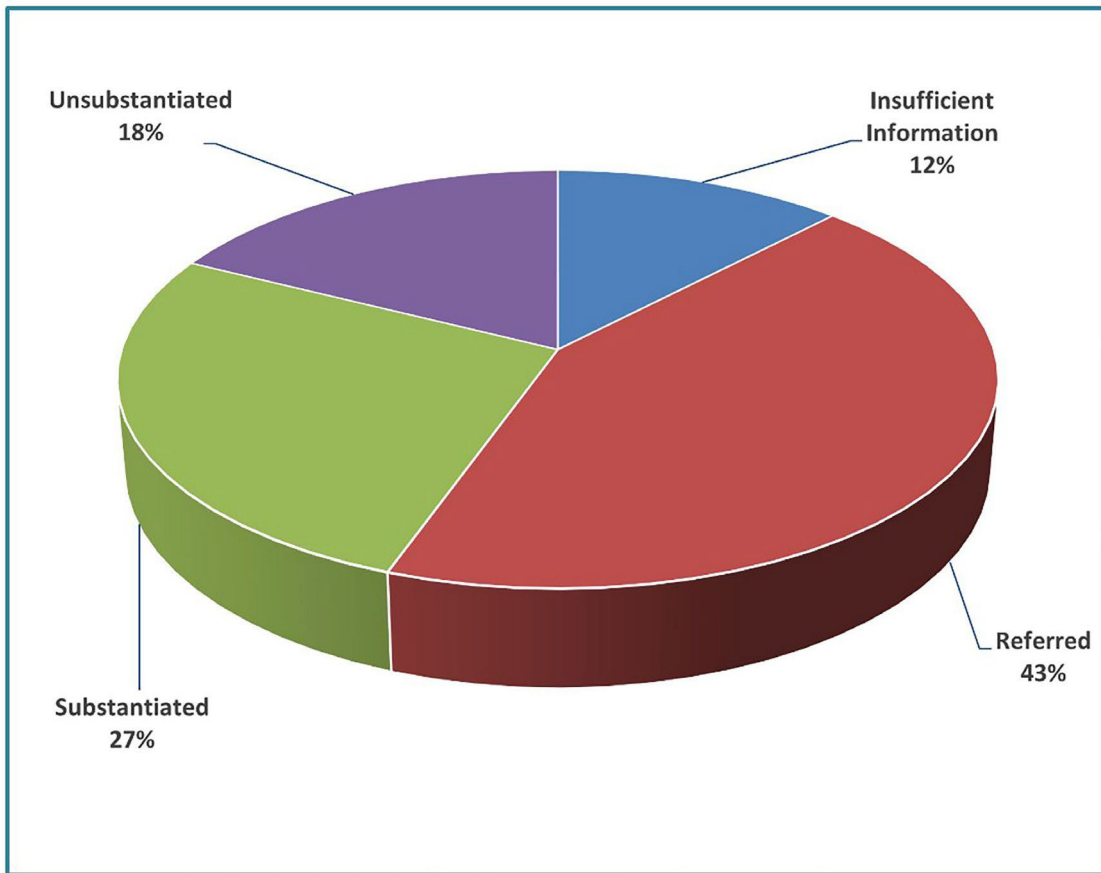
Primary Issue	Total Reports	Percentage of Reports (Rounded)
Environmental and Safety Matters	45	27%
Offensive or Inappropriate Communication	43	26%
Other Human Resource Matters	16	10%
Discrimination or Harassment	15	9%
Other Academic Affairs Matters	15	9%
Conflict of Interest	5	3%
Employee Misconduct	5	3%
Other Financial Matters	5	3%

Primary Issue	Total Reports	Percentage of Reports (Rounded)
Academic Misconduct	5	3%
Data Privacy/Integrity	5	3%
Alcohol/Drug Abuse	2	1%
Sexual Harassment	2	1%
Equal Employment Opportunity Commission or Americans with Disabilities Act Matters	2	1%
Waste, Abuse, or Misuse of Institution Resources	1	0.5%
Inquiry	1	0.5%
<b>Grand Total</b>	<b>167</b>	

### Closed Cases

University Institutional Compliance closed 233 Anonymous Reporting Line cases during the 2022 calendar year, an increase (6%) from the 219 cases closed in 2021. Closed cases include a combination of reports received in 2022 as well as those submitted in a previous year. Below are the outcomes for all cases closed in 2022.

Closed Case Outcomes	Total
Referred	101
Substantiated	63
Unsubstantiated	41
Insufficient Information	28
<b>Grand Total</b>	<b>233</b>



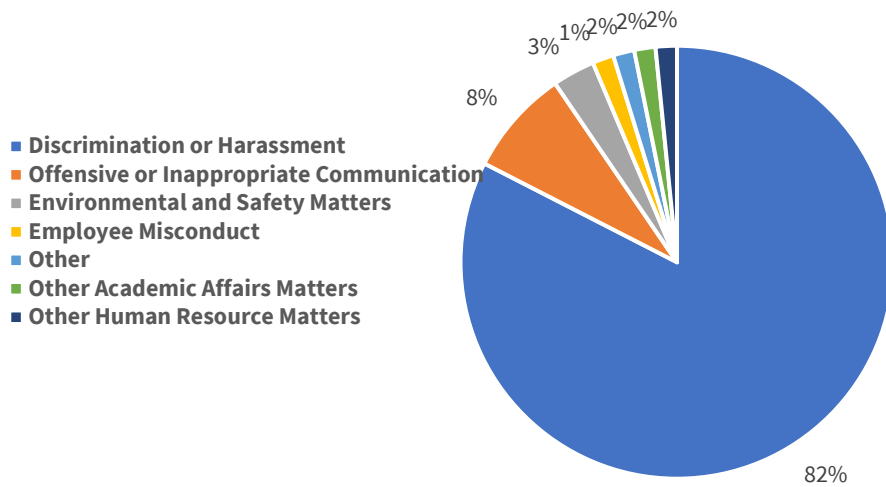
**Closed Cases – Investigations with Substantiated and Unsubstantiated Findings**

In 2022, UToledo closed a total of 104 of the 2383 cases after a University Institutional Compliance, the Office of Institutional Equity and Human Resources Compliance or University Internal Audit investigation, with the following outcomes:

**Substantiated Cases**

Sixty-three (63) cases investigated resulted in a substantiated finding (representing 27% of all closed cases) where investigations yielded evidence to support the complaint and a finding that misconduct occurred. The substantiated cases spanned a range of topics, with the highest in the category of Discrimination or Harassment at 81% (of which involved multiple cases concerning the same employee).

Primary Issue	Total
Discrimination or Harassment	52
Offensive or Inappropriate Communication	5
Environmental and Safety Matters	2
Employee Misconduct	1
Other	1
Other Academic Affairs Matters	1
Other Human Resource Matters	1
<b>Grand Total</b>	<b>63</b>

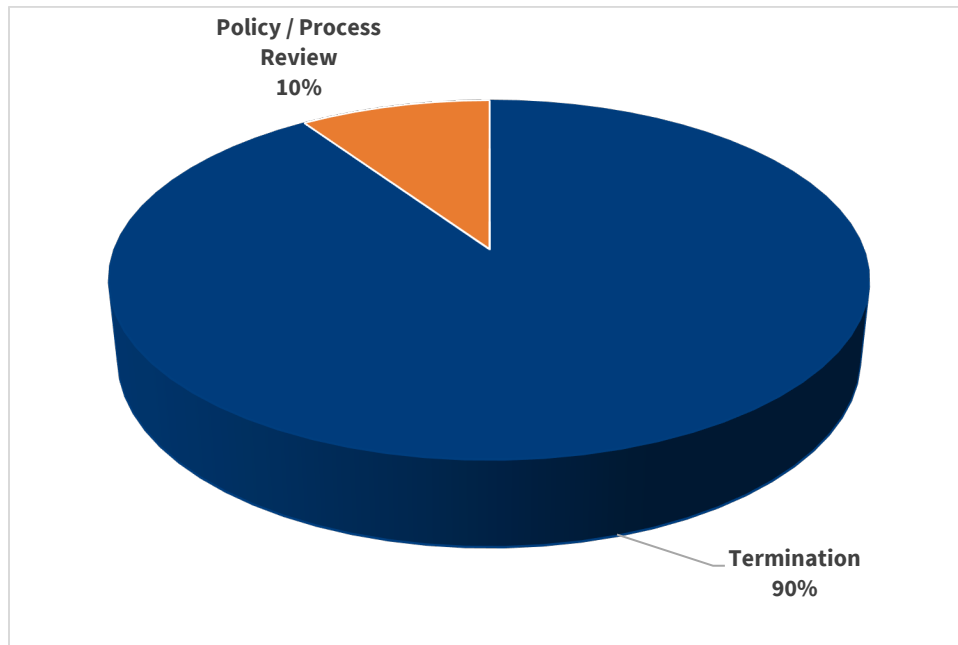


### Substantiated Cases – Action Taken

For the sixty-three cases investigated that resulted in substantiated findings, the university took the appropriate action. Those actions included policy / process reviews, disciplinary action, and termination.

Action Taken	Total
Termination	57*
Policy / Process Review	6
<b>Grand Total</b>	<b>63</b>

\*The fifty-seven cases involved multiple reports regarding the same two employees, which resulted in termination.



### Unsubstantiated Cases

UToledo closed with an unsubstantiated outcome the remaining forty-one cases (17% of closed cases), after an investigation by University Institutional Compliance, University Internal Audit, or the Office of Institutional Equity and Human Resources Compliance yielded insufficient or no evidence to support that misconduct occurred. Despite the unsubstantiated finding, ten of the cases resulted in recommendations for improvements such as a review in a policy, process, or training due to identified weaknesses.

### Closed Cases – Referred or Insufficient Information

University Institutional Compliance, University Internal Audit, or the Office of Institutional Equity and Human Resources Compliance did not investigate one hundred and twenty-nine (129) cases and were either referred out of the system or to another office or closed due to insufficient information.

## Referred

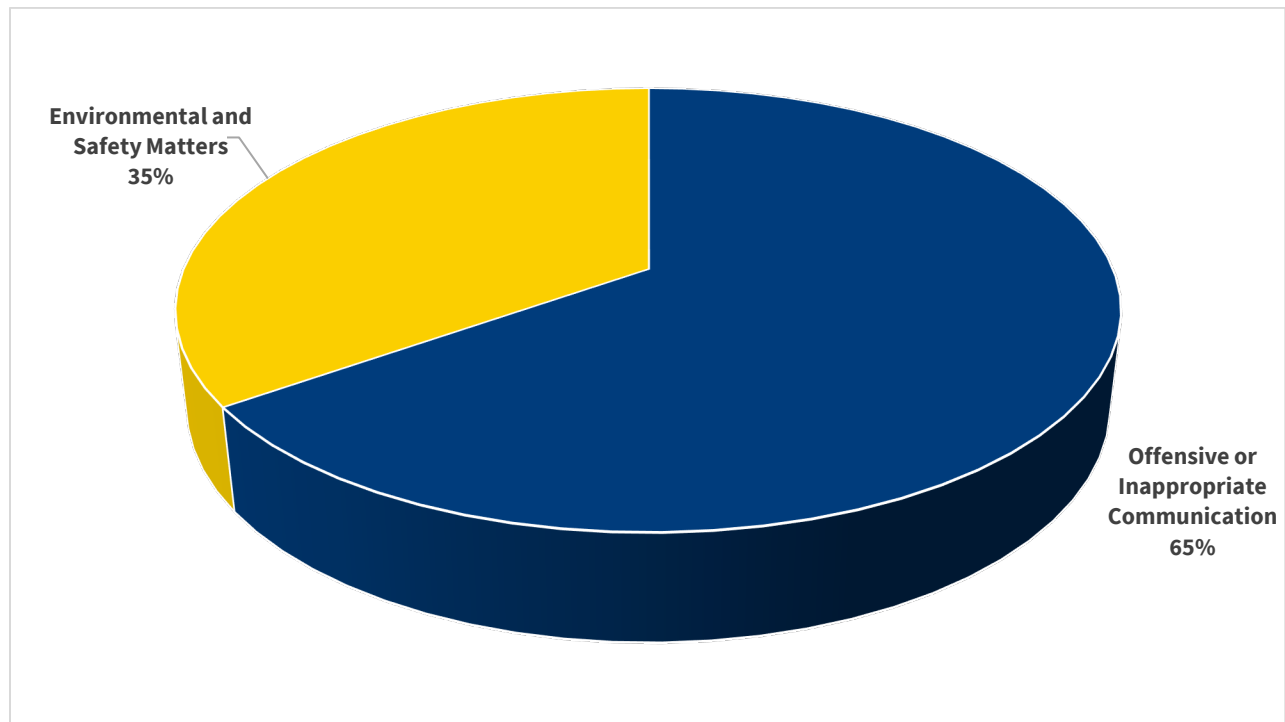
UToledo referred a total of 101 cases (43% of all closed cases) as follows:

- UToledo referred **fifty-five** (55) cases to the University of Toledo Police Department, Student Conduct and Community Standards, or another college or department to address through the appropriate university process and closed out in the Anonymous Reporting Line system. These cases span the range of issues involving student misconduct such as alleged alcohol or drug abuse, grade disputes, COVID-19 policy violations, and interpersonal conflicts. Once the appropriate office receives the report, UToledo closes it in the Anonymous Reporting Line system with a message posted back to the complainant.
- UToledo referred **the remaining forty-six** cases to a college or department to conduct an internal review and report back their findings.

### Referred - Substantiated

Twenty-three (23) of the forty-six cases reviewed internally by a college or department resulted in a substantiated finding with the following issue types.

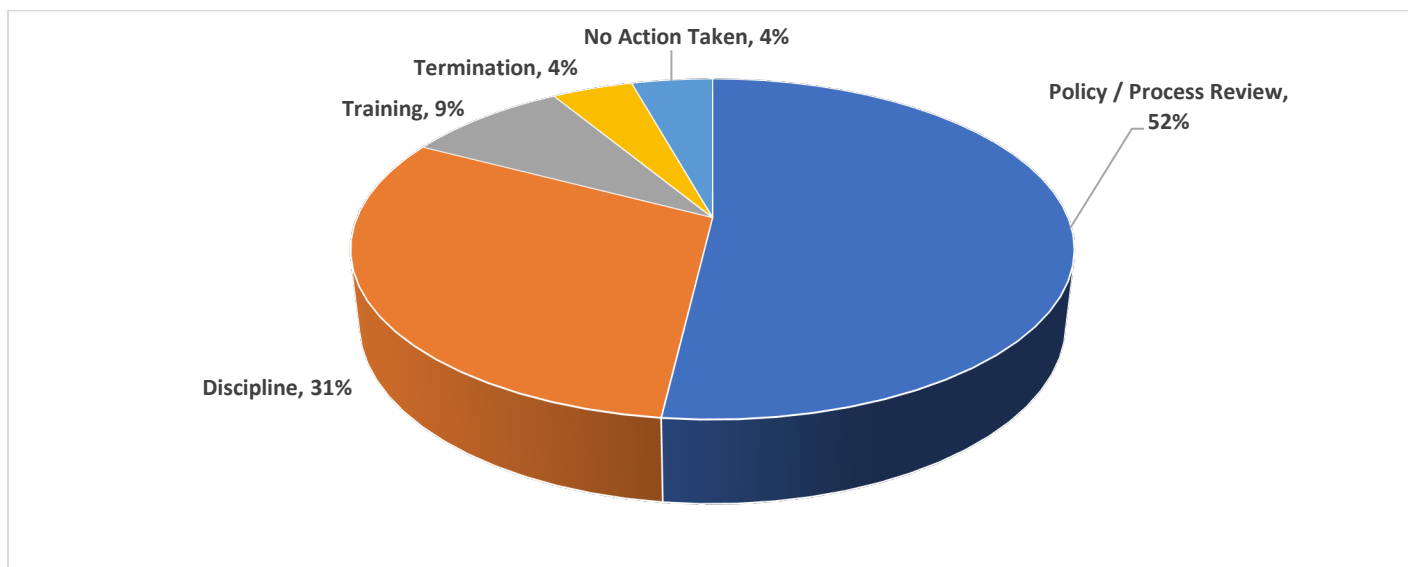
Primary Issue	Total
Offensive or Inappropriate Communication	15
Environmental and Safety Matters	8



### Referred - Substantiated - Action Taken

The actions taken for the twenty-three referred substantiated cases were as follows:

Action Taken	Total
Policy / Process Review	12
Discipline	7
Training	2
Termination	1
No Action Taken	1
<b>Grand Total</b>	<b>23</b>



### Referred - Unsubstantiated

The remaining twenty-three referred cases were **unsubstantiated**. However, twelve required improvements due to identified weaknesses which included policy or process reviews.

### Insufficient Information

For twenty-eight cases (12% of all closed cases), UToledo posted questions to the complainant requesting additional information with no response. UToledo closed these cases due to insufficient information.

## 2022 Anonymous Reporting Line Trends

Due to the ongoing pandemic, it was not surprising that the highest number of reports submitted to the Anonymous Reporting Line in 2022 were in the Environmental and Safety Matters category, with a total of forty-five reports representing 27% of all reports submitted. Consistent communications from leadership, increased awareness surrounding the COVID-19 website and the UToledo COVID Line attributed to reporting of allegations regarding non-compliance with COVID-19 emergency policies.

With forty-three reports, representing 26% of all reports submitted, the second highest reported issue type was Offensive or Inappropriate Communication. This issue type includes concerns related to inflammatory, derogatory, unduly critical, or insulting communication and failure to treat one another with respect in accordance with the UToledo ethical standards outlined in the UToledo Employee Standards of Conduct. UToledo identified this increased trend in reporting in 2020 and again in 2021. In response, the office has worked with Human Resources to develop training and awareness on civility and respect for employees and supervisors as outlined in the 2021 UToledo Anonymous Reporting Line report. Additional actions taken this year towards this effort include:

- Adding a module titled Respecting Others to the annual 2022 Ethics refresher training required of all non-student employees.
- Featuring in the March 2023 edition of *The Compass* articles that highlight the need for respectful interactions which included an article titled Resolving Workplace Conflicts and a “Case Corner” investigation article summarizing outcomes from a harassment and bullying case.
- Launching a superhero theme training on civility titled, Civility Superheroes, during Compliance and Ethics Week held in November 2022 and awarded prizes for completion.

Institutional Compliance repeated the Compliance and Ethics Culture Survey in the Spring of 2023 to gauge the current compliance and ethical culture at UToledo. Results from this survey will help to inform our continued efforts towards improving civil and respectful workplace interactions.

**Other Compliance Offices and Partners Reported Concerns and Investigations** Compliance offices and partners conduct internal reviews/investigations when employees submit reports directly to the department when appropriate, and when referred to them by University Institutional Compliance or University Internal Audit to manage. The compliance offices and partners below reported the following reviews during this report year:

<b>Compliance Office / Partner</b>	<b>Type</b>	<b>Reviewed</b>	<b>Substantiated</b>
Athletics Compliance	NCAA	8	7
COMLS Health Affairs Legal/Compliance	HIPAA Incident	4	0
Office of Institutional Equity and Human Resources Compliance	EEO	72	14
Police Department	Standard of Conduct	8	6
	Traffic Crash	4	1
Registrar's Office	FERPA	3	2
Research Compliance Office	Research Misconduct	2	1
Rocket Health	Patient Advocate Cases - Financial Concerns	14	14
	Patient Advocate Cases - Clinical Care Provided	7	7
	Patient Advocate Cases - Customer Services	7	7
	Incorrect labeling of lab specimens, lost specimens, lab procedures	4	4
	Transport to a higher level of care	4	4
	Near Miss or Situations having a potential claim against UToledo Rocket Health	2	2
<b>Total Compliance Office / Partner Reports Reviewed and Substantiated</b>		<b>139</b>	<b>69</b>

ORSP submitted no new FCOI cases to the UToledo COI Review Committee. In Fiscal Year 2022, the RIO managed three matters. Research Council referred an allegation of research misconduct against four individuals who were not longer employed at the University of Toledo to the Office of Research Integrity (ORI) based on the assessment and recommendation of the Research Council in prior allegations against these individuals. The RIO then dismissed these allegations at the assessment stage. Research Council then referred two other allegations to the inquiry committees. Neither committee recommended proceeding further under the UToledo Research Misconduct Policy to the investigation stage. There was no outside funding in these two allegations. A prior DO decision submitted to ORI for administrative action is still pending, and the American Association of University Professors is arbitrating a prior DO decision.

# Monitoring of Compliance Efforts and Program Assessments

## Compliance and Ethics Culture Survey

Every five years University Institutional Compliance conducts a Compliance and Ethics Culture Survey to gauge the overall ethical culture at UToledo. The office benchmarks the results against prior years' results and uses the results to identify opportunities for improvements to the program including additional training and awareness.

With the UToledo office of Institutional Research, the office conducted its third Compliance and Ethics Culture Survey in 2023. UToledo invited a random sample of employees through a series of emails to participate via a link to the online survey March 1, 2023, through April 6, 2023. Of the 2,981 employees invited, 528 employees (17.7%) responded.

## Ten-Year Trends

The 2023 survey results revealed the following significant advancements of the program since 2013:

2023 Compliance and Ethics Culture Survey Results								
How familiar are you with ...	2013		2018		2023		5-Year Trend (2023-2018)	10-Year Trend (2023-2013)
	Count	% Familiar	Count	% Familiar	Count	% Familiar		
University Institutional Compliance office	364	69%	422	80%	496	94%	15%	27%
UToledo Mission, Vision, and Values	444	84%	481	91%	502	95%	4%	12%
UToledo's policy for reporting misconduct and protection from retaliation	396	75%	481	91%	512	97%	6%	23%
UToledo Anonymous Reporting Line for anonymously reporting compliance and ethical concerns	354	67%	465	88%	512	97%	9%	31%
UToledo Employee Standards of Conduct	454	86%	512	97%	523	99%	2%	13%
<i>% Familiar includes responses of "Very Familiar", "Familiar", or "Somewhat Familiar"</i>								

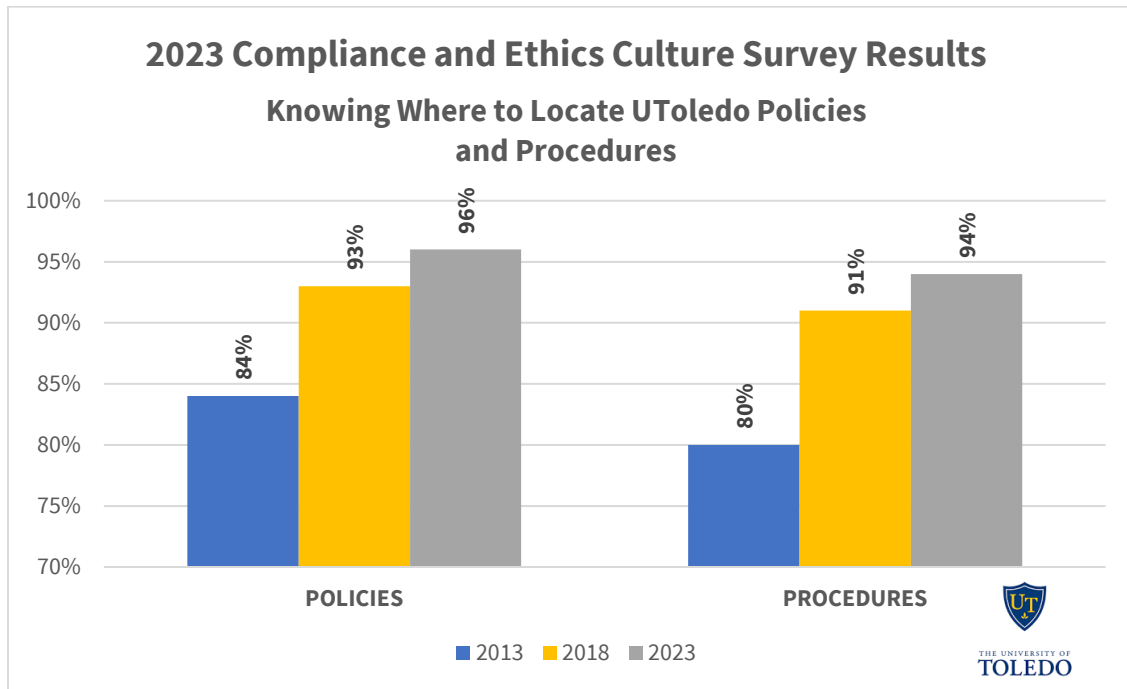
### Awareness Levels

Category	2023	2018	2013
REPORTING CONTACT AND PROTECTION FROM RETALIATION POLICY	97%	91%	75%
UNIVERSITY INSTITUTIONAL COMPLIANCE	94%	80%	69%
UTOLEDO ANONYMOUS REPORTING LINE	97%	88%	67%

Legend: 2023 (Grey), 2018 (Yellow), 2013 (Blue)

THE UNIVERSITY OF TOLEDO

- ❖ Employee awareness of the UToledo Anonymous Reporting Line grew 52% with 97% of employees reporting familiar.
- ❖ There was a 47% increase in employee awareness of the University Institutional Compliance office with 94% familiar.
- ❖ Employee awareness of the UToledo Anonymous Reporting Line and Nonretaliation Policies increased by 36%, with 97% employees reporting familiar with the policy.
- ❖ Familiarity with the UToledo Mission, Vision, and Values increased to 95%, up from 80% in 2013.
- ❖ An impressive 99% of employees reported that they were familiar with the UToledo Employee Standards of Conduct.



Additionally:

- ❖ There was an overall 18% increase in employees reporting knowing where to find information on UToledo policies, with a total of 96% familiar.
- ❖ Knowledge on finding information on UToledo procedures also increased by 19% since 2013, with 94% reporting familiar.



Another positive trend that we found over the ten-year period includes:

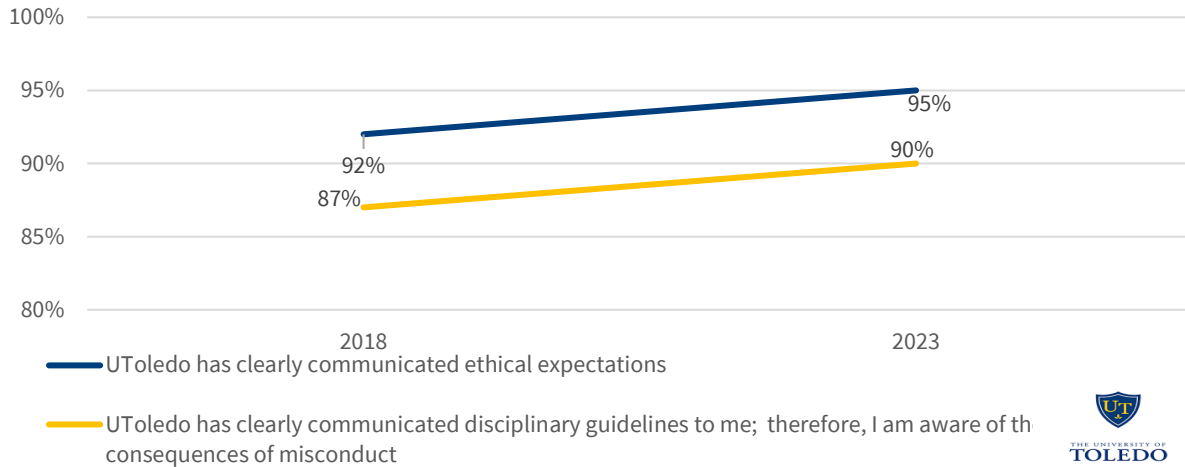
- ❖ Employee responses regarding whether they observed unethical behavior or business misconduct at UToledo within the last 12 months decreased by 3% since 2013, with 12% responding yes.
- ❖ Responses to the question whether UToledo asked employees to bend, break, or circumvent laws, regulations, or university policies or regulations also decreased overall by 4% since 2013 with just 1% responding yes.
- ❖ The number of employees responding that they reported the misconduct they witnessed increased by 27% since 2013, with 41% responding favorably.
- ❖ A 5% increase in the overall satisfaction levels regarding the resolution of reporting misconduct with an 18% increase since 2013.

### Two-Year Trends

Institutional Compliance included new questions in the 2018 survey, repeated in 2023. The following reflects noteworthy results:

## 2023 Compliance and Ethics Culture Survey Results

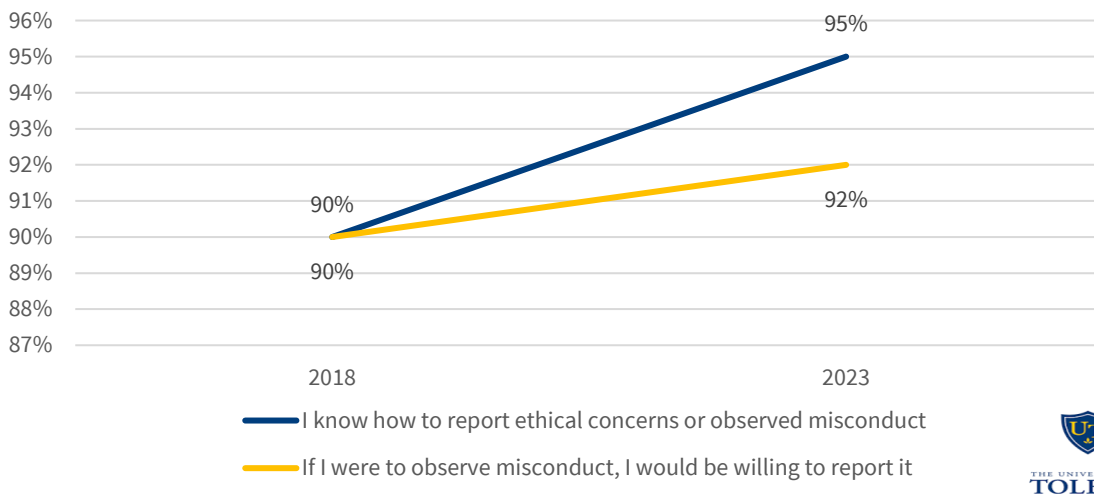
### Ethical Expectations and Consequences



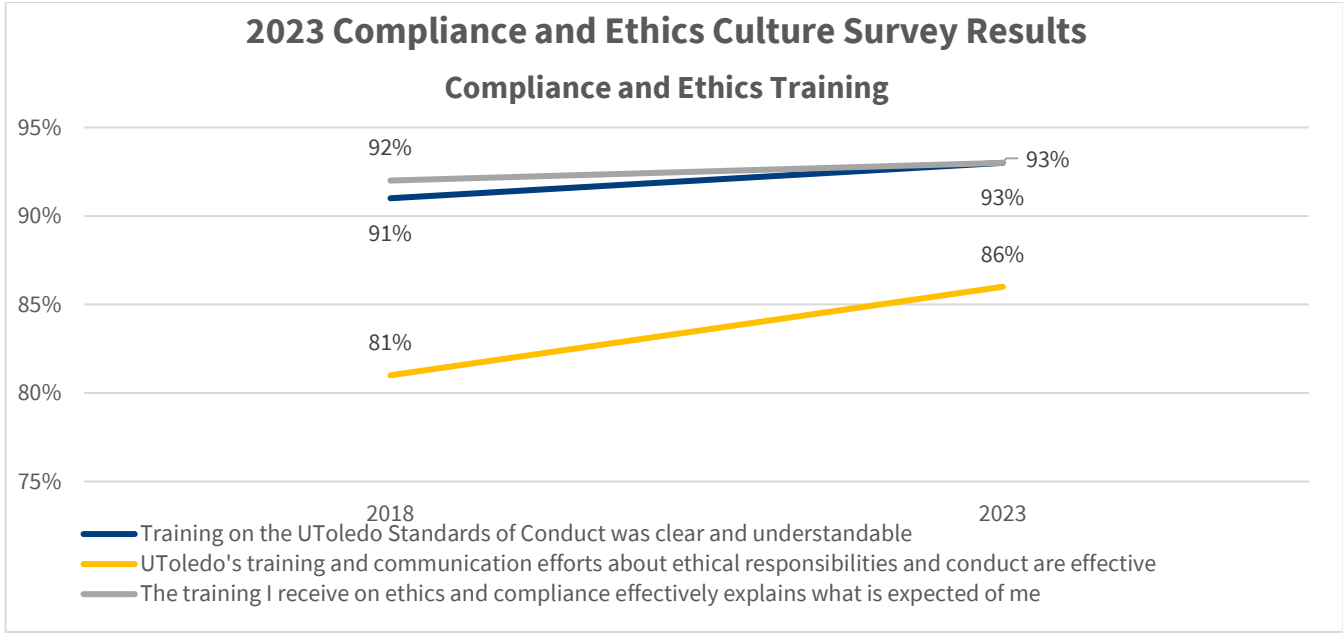
- ❖ There was a 3% increase in employee’s agreement with the statement that UToledo has clearly communicated ethical expectations (95% total in agreement) and disciplinary guidelines, also having awareness of the consequences of misconduct (90% in agreement).

## 2023 Compliance and Ethics Culture Survey Results

### Reporting Ethical Concerns



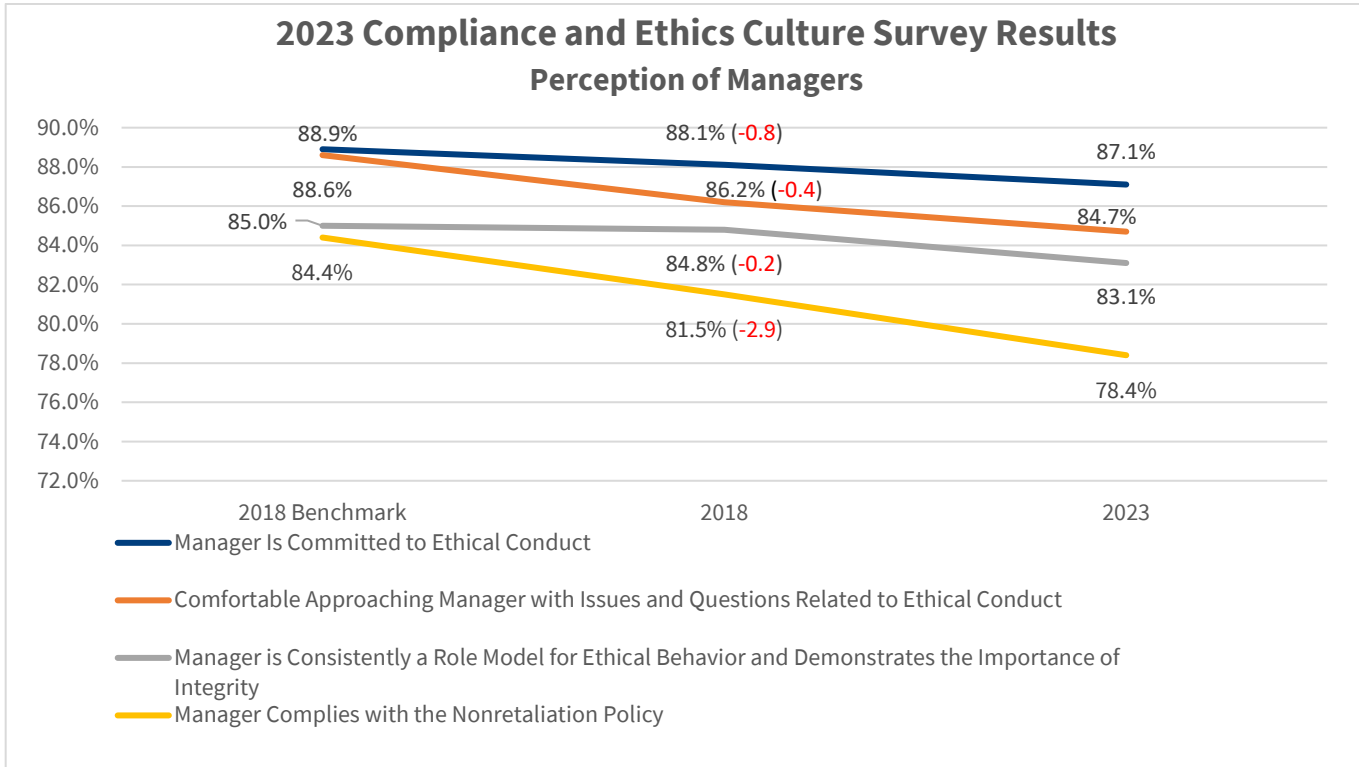
- ❖ An additional 5% reported knowing how to report ethical concerns or observed misconduct, with 95% responding favorably and 92% indicated a willingness to report misconduct which is a 2% increase.



- ❖ There was a 2% increase in agreement that training on the UToledo Employee Standards of Conduct was clear and understandable with 93% total in agreement.
- ❖ A 5% increase in agreement that UToledo training and communication efforts about ethical responsibilities and conduct are effective with a total of 86% agreeing.

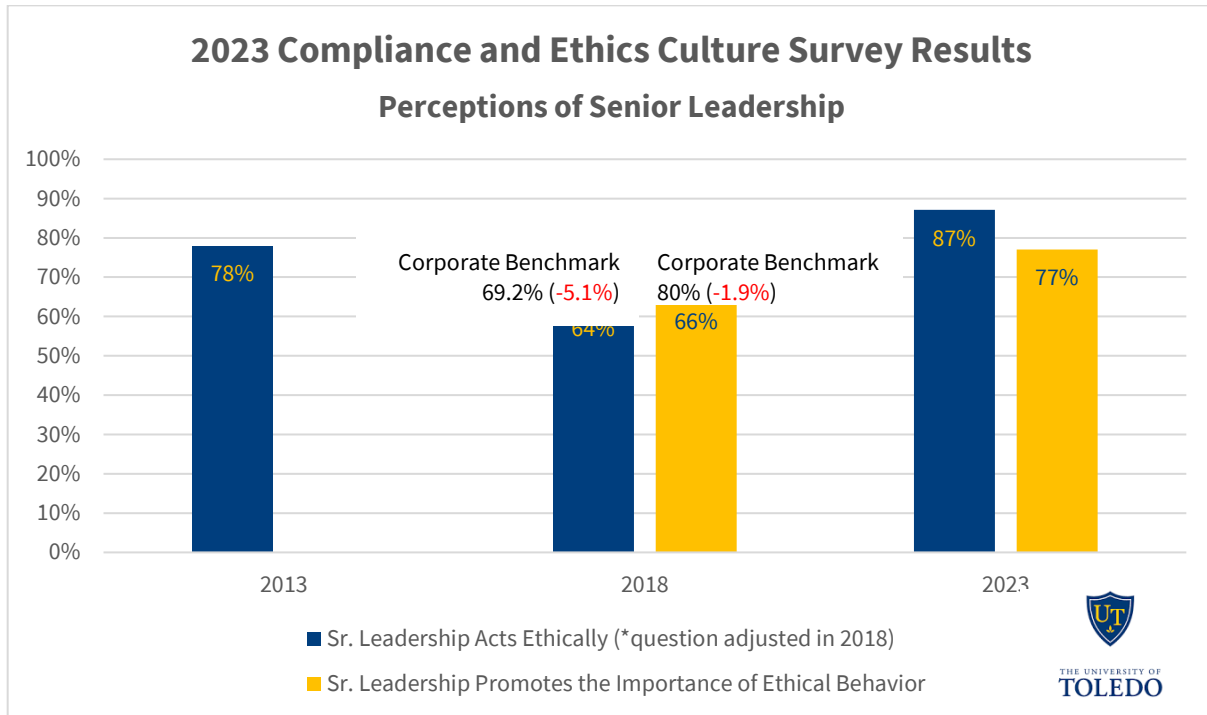
**Improvement Measures**

Areas for improvement based on less favorable responses:



❖ Perceptions of Managers

- One percent (1%) less employees reported believing that:
  - their manager is committed to ethical conduct (87%) and
  - their comfort approaching their manager with issues or questions related to ethical conduct (85%)
- Two percent (2%) less employees reported that their manager is consistently a role model for ethical behavior and demonstrates the importance of integrity and ethical behavior (83%).
- Four percent (4%) less employees believe their manager complies with the nonretaliation policy with 78% reporting favorably.

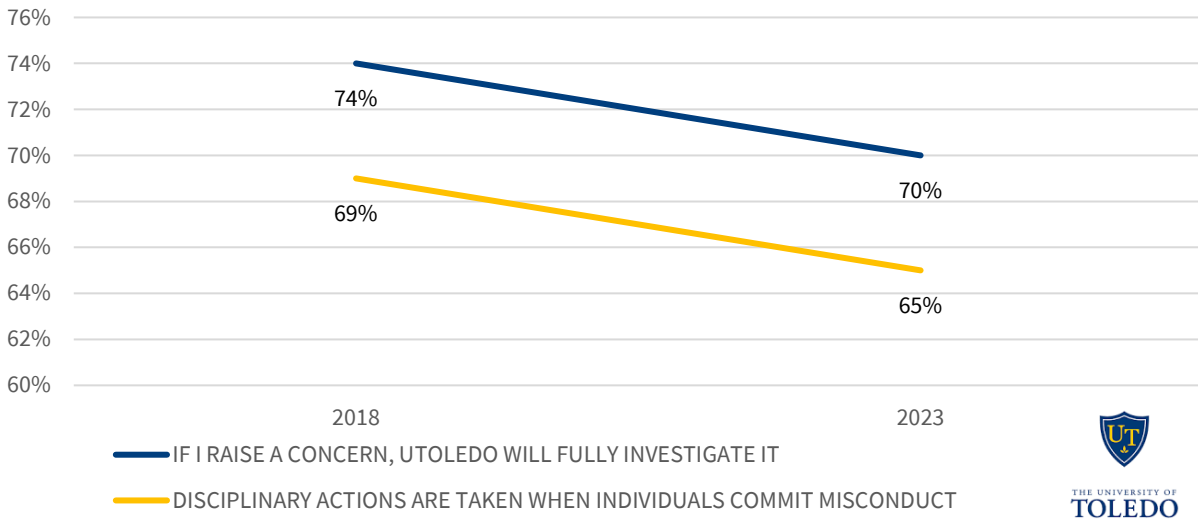


❖ Perceptions of Senior Leadership

- While 2% more employees responded that they believe our senior leadership team always acts ethically (66% responded favorably), there was a 1% decrease in the belief that senior leadership promotes the importance of ethical behavior throughout the university.

## 2023 Compliance and Ethics Culture Survey Results

### Outcomes from Reporting

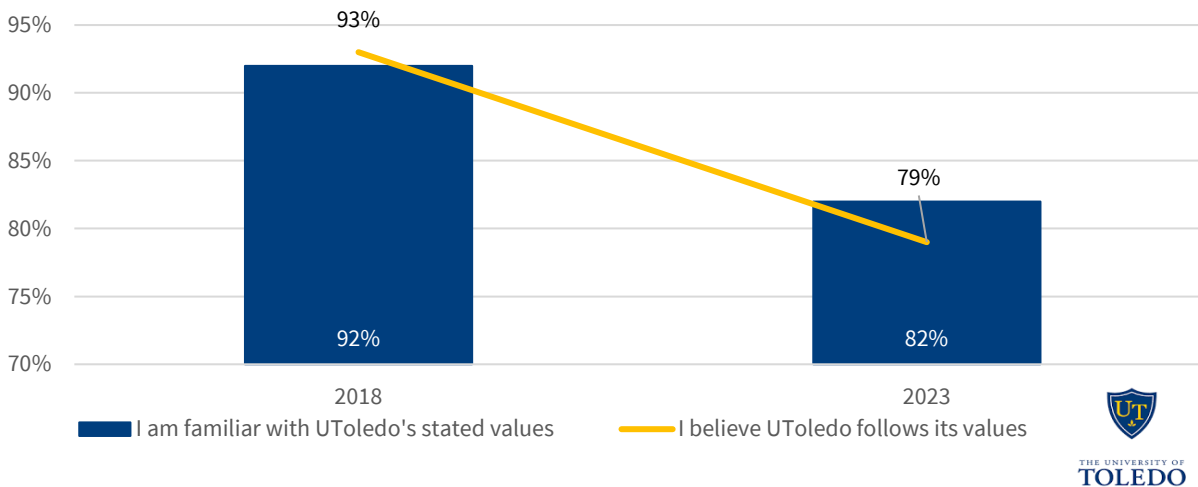


#### ❖ Outcomes from Reporting

- The belief that UToledo takes disciplinary actions when individuals engage in unethical behavior or misconduct dropped 4% with only 65% responding favorably.
- Only 70%, a decrease of 4% from 2018, responded favorably that they believe UToledo would fully investigate if they were to raise a concern about unethical behavior or misconduct.

## 2023 Compliance and Ethics Culture Survey Results

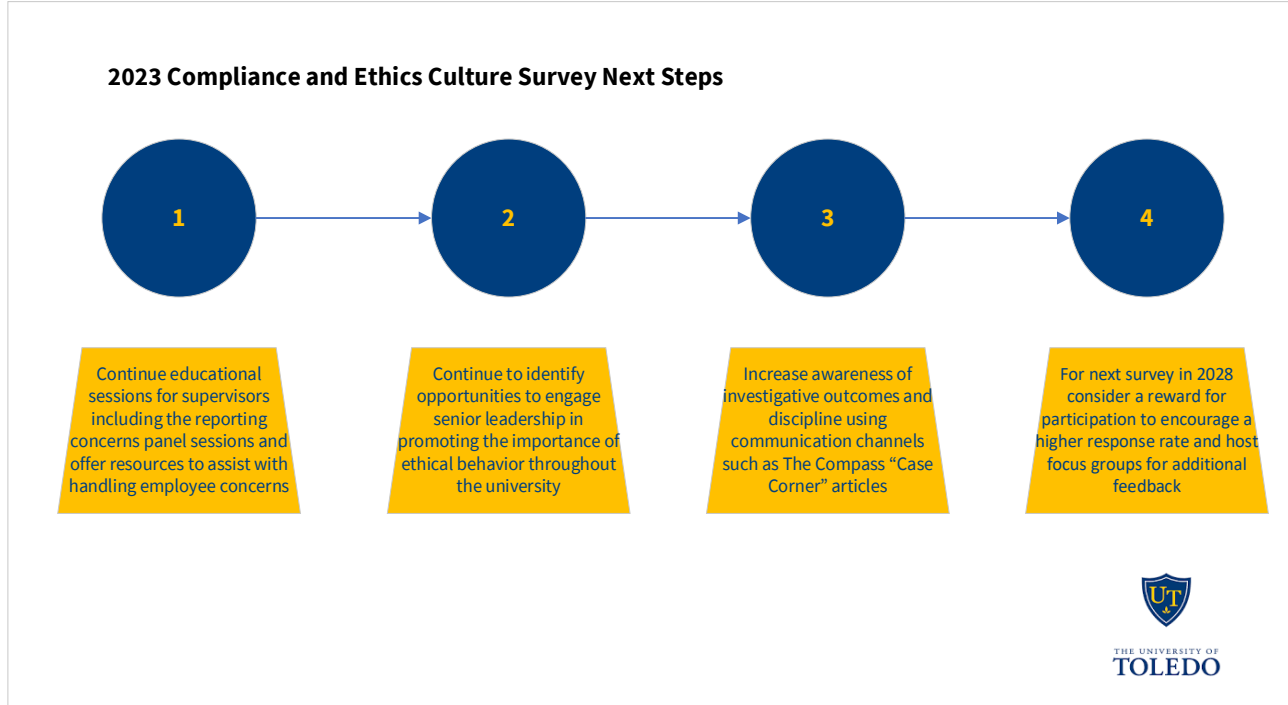
### UToledo Values



- ❖ Although 1% more employees reported familiar with UToledo stated values at 93%, there were 3% less that believe UToledo follows its values with 79% reporting favorably.

### Response to 2023 Survey Results

Based on the results, and to address the weaknesses identified, the office will take the following actions:



**Outside Activity, Conflict of Interest and Commitment Disclosure Reporting** University Institutional Compliance oversees the online outside activity and potential conflict of interest and commitment disclosure reporting. In preparation for the 2022-23 disclosure reporting period, the office developed and executed an Implementation and Communication Plan that included updated training modules, emails, and resources posted to the website and to the disclosure system. On August 30, 2022, the office notified 951 employees by email to submit their annual online disclosure. There were 879 disclosures submitted within the required 30-days of initial notification achieving a 92.4% compliance rate with employee submissions prior to the deadline.

The reporting period for the 2022-23 Potential Outside Activity, Employment, and Conflict of Interest and Commitment disclosure (AA-21) reporting period closed on February 7, 2023. The year ended with 100% completion by all individuals required to submit an online disclosure.

Throughout the year the system automatically notifies individuals (new hires and employees added to research projects) when required to submit a disclosure. Under university policy, the university's foreign influence assessment process includes evaluating any researcher who does not submit an annual disclosure within 90-days from the date notified (60-days delinquent). This year there was one foreign influence review conducted due to delinquent disclosures and there were no red flags identified.

UToledo also performs a foreign influence red flag review for each positive response to a series of questions in the AA-21 regarding monetary interests and outside activities with foreign entities. This reporting period, UToledo completed thirty-five red flag reviews. The following outlines the outcome of those reviews:

- ✓ Thirty-one cleared with no concerns.
- ✓ Three contained at least one red flag or potential risk which resulted in additional awareness provided to the employee and supervisor.
- ✓ One potential red flag review pending review.

By the end of the reporting period:

- ✓ Employees submitted 1,252 disclosures (an increase from 1,164 last year) and forty-nine amendments (an increase from twenty-four last year) with a total of 1,301 disclosures submitted.
  - ° This office reviews disclosures with at least one outside activity with 388 disclosures to review (an increase from 341 last year)
- ✓ UToledo identified potential conflicts in twenty-seven requiring a monitoring plan or annual update to a monitoring plan.
- ✓ Eleven disclosures at varying stages of review (with supervisors, the Office of Research Compliance, and this office)

Over the past year, the office has worked with Research Compliance, Research IT, and a faculty workgroup, to customize questions and system functionality in the new system for reporting outside activities and monetary interests in the 2023-24 reporting period.

During the fiscal year the office also received and completed a total of 19 reviews (increase from 14 last year) of potential conflicts of interest associated with attendance at conferences or events sponsored by vendors, reviewed and provided feedback on 8 research exemption requests (up from 3 last year) prior to coordinating with the provost, president, and Chair of the Board of Trustees for approval as required by state statute, reviewed 100 disclosed relatives for potential conflicts (an increase from 58 last year), and received and completed 93 conflict of interest requests for assistance from employees and departments.

## PROTECTING MINORS ON UTOLEDO CAMPUSES



The University of Toledo is committed to ensuring a safe and supportive environment for all students, staff and visitors. We strive to conduct our operations and maintain all facilities in a manner consistent with the UToledo mission and are focused on exceptional service and inclusive access. Activities involving minors are integral to our mission of serving others and our community, and it is our duty to safeguard the welfare of minors under our care.

[Read the Policy](#)
[Register Your Program](#)

### Youth Protection

During this fiscal year, Institutional Compliance processed a total of thirty-one youth program registrations (28 in-person/ two virtual/ one hybrid), approving twenty-eight registrations.

Throughout the registration and review process, the office identified areas for improvement in communication, monitoring, setting effective time constraints, and incident reporting. This prompted the office to restructure website communications and to provide additional resources to the UToledo community and third-party organizations hosting youth programs on UToledo campuses. These resources included:

- Documented frequently asked questions.
- Development of additional forms for program use
- Clear communication on university insurance requirements
- Development of a Safety Plan Template now required for all youth programs to submit with their registration.
- Modifications to the Innovation Network registration system.
- Discussed overnight camp protocols with UToledo Residence Life to prepare for the upcoming summer camp season.
- Distributed notification of the UToledo Policy 3364-10-17 Minors on Campus requirements, to all previous program sponsors and assisted and guided on the new requirements.
- Drafted university-wide messaging on the Youth Protection Program distributed during Child Abuse Prevention Month in April. Updated the Innovation Network registration pre-screening questions to include additional clarifying information on each of the questions to assist with completion.
- Developed standard operating procedures for processing submitted registrations.
- The Title IX Office conducted trainings with various campus partners about Title IX and the intersection of Minors on Campus (examples: Athletics, Residence Life, Upward Bound, Toledo EXCEL, Recreation Services).

## Privacy Compliance

The office conducted the following university-wide reviews and assessments as part of its Privacy Compliance Program:



In support of the UToledo cyber risk assessment, and in partnership with the Information Technology Security Office, University Institutional Compliance also reviewed multiple cyber insurance questionnaires and provided information around the university's data protection program, compliance with privacy laws and regulations, and university policies and procedures. The Privacy Office also conducted a review of various educational institutions' approaches to implementing cookies banners, as well as research of applicable laws regarding website cookies.

Other privacy activities performed by the office included initiating and completing a data mapping project, which included creating a UToledo personal data map template and met with UToledo departments to generate the mapping exercise, meeting with various department leaders to view and analyze demonstrations of industry-leading solutions that handle customer consent and preference management, and in collaboration with partnering offices, closed several internal audit HIPAA audit recommendations.

### **Monitoring Activities by Compliance Offices and Partners**

Following was among the monitoring activities of the UToledo Title IX Office during Fiscal Year 2023:

- The Red Flag Campaign is rooted in the bystander intervention strategy to raise awareness and address dating violence, stalking and sexual assault. The Red Flag Campaign website notes that it, "encourages friends and other campus community members to say something when they see warning signs ("red flags") for sexual assault, dating violence or stalking a friend's relationship." The Title IX Office worked with the Toledo Police Department to gather data on the number of reports filed for the previous year.
- Hosted weekly tabling on Tuesdays in the Student Union and on Fridays at the Health Science Campus Bistro. The Title IX Office handed out information related to services provided by the office. In total, the Title IX Office hosted sixty-five tabling events and connected with 2,072 people.

- Bystander Intervention/Consent Culture Trainings are 90-minute, interactive and educational trainings/presentation available to students, faculty, and staff. The goals of these presentations are to inform participants about resources that are available to them (on and off campus), how to report and where to report incidents of sexual misconduct, and how to intervene safely. The team presented twenty-four times to 544 individuals.
- UToledo celebrated “Denim Day,” on April 26th, this program encourages students, faculty, and staff to wear their denim in support of sexual assault prevention, to promote awareness and more importantly to overcome one of the most pervasive rape myths related to sexual assault, and that is that the assault occurred based on someone was wearing. The Title IX Office encouraged participants to take a picture in their denim and support the cause using #utoledodenimday2023, with an eye toward ending rape culture.
- Each year, since 2015, the Title IX Office collaborated with campus partners to promote “Cup of Prevention,” an initiative to promote awareness and education campus wide on issues relating to sexual misconduct. The Title IX Office collaborates with various partners including Rocket Dining, Rocket Fuel, Office of Student Involvement and Leadership, and the Four Seasons Bistro on Health Science Campus.
- The flagship event for the Title IX Office “What Were You Wearing?” is a week-long art installation. The exhibit is an installation answering the questions frequently asked of survivors, featuring narratives and re-creations of outfits based on survivors' experiences. This event occurs yearly during Sexual Assault Awareness Month. The University Libraries partnered in hosting the event. This year, the installation returned to the Mulford Library on the Health Science Campus as well as featured in Carlson Library on Main Campus.
- UToledo celebrated the enactment of the 50th year of Title IX, which was June 23, 1972. The Title IX Office along with its collaborative partners celebrated this historic year with various events and programming throughout the year. The Title IX Office hosted a kickoff to commemorate the year and seventy-five people attended the event.
- UToledo expanded the Purple Ribbon Campaign this year. In collaboration with UToledo Facilities and Construction and Supply Chain and The Bethany House as part of Domestic Violence Awareness Month, the office attached ribbons with QR codes of stories of those impacted by domestic violence on light poles at Centennial Mall on Main Campus and in the courtyard of UTMC and Mulford Library on The University of Toledo’s Health Science Campus.
- The Title IX Office hosted the 2023 Title IX Summit. The Title IX Summit brought together local, regional, and national experts that provided educational and networking opportunities highlighting Title IX and its intersections with matters of diversity, equity, inclusion, and accessibility. There were over two hundred attendees.

- Empty Place at the Table is an installation in which tables in UToledo dining facilities around campus in the month of October tell the sobering stories of those who lost their lives to domestic violence in collaboration with The Bethany House and The Silent Witness Project.
- UToledo hosts Healthy Relationships Month yearly in February. The Title IX Office collaborates with student organizations and Recreational Services to promote healthy relationships via banners hanging in the REC. Additionally, Title IX focuses on healthy relationships via social media campaigns.
- Ongoing review of Policy, Procedures, and compliance efforts pursuant to federal guidelines

During this fiscal year, the Office of Accessibility and Disability Resources continued its work to implement the recommendations set forth in University's internal audit report related to website accessibility at UToledo. These recommendations included development and adoption of the Technology Accessibility Policy. Throughout 2022-23, the office also continued issuing training evaluations following training sessions to assess the effectiveness of the content and trainers, and whether improvements are necessary.

Following is among the examples of how ORSP monitored compliance efforts and engaged in program assessments during Fiscal Year 2023:

- Two IRB Compliance Oversight Review and Evaluation committees-initiated investigation of potential compliance issues with human research subject protocols
- Updated existing automated daily and monthly e-mail notifications sent to sponsored program personnel regarding renewal of pending and expired COI disclosures and missing disclosures.
- Integration of InfoEd research administration database with IRB Manager (protocol and committee management software for IRB, IACUC and IBC) and UToledo systems initiated. Launch of InfoEd system expected in Fall 2023
- Continued to revise existing and created new HRPP/IRB written procedures.
- Research compliance staff conduct IACUC post-approval monitoring which includes periodic monitoring of IACUC protocols for compliance and biannual inspection of all animal care housing and use areas. Compliance staff also conduct IBC periodic post-approval monitoring of IBC protocols for compliance.
- ORSP performed congruency analyses of sponsored projects with/for required protocols (i.e., IRB, IACUC, IBC) for incoming awards (~370 awards annually).
- ORSP assesses controlled substance and dangerous drug records/infrastructure biannually.

- Ensured UToledo complied with federal Bayh-Dole reporting requirements for subject inventions developed on campus. Conducted presentations and training for New Faculty/ New Employee Orientations and in other venues and meetings regarding the UToledo intellectual property policy, state law regarding intellectual property, and the Bayh-Dole Act.
- Renewed the UToledo software subscription to Visual Compliance for export control and restricted party screening for eleven participating departments.
- Reviewed five Experimental/Technical Service Agreements subject to regulation by the EAR from three Colleges to determine that they required no export licenses for release of related technology to foreign nationals working or studying at UToledo.
- Processed approximately 129 Material Transfer Agreements (MTAs) in Fiscal Year 2023. Reviewed six MTAs from three Colleges for material exports subject to the EAR to determine that they required no export licenses by UToledo to send approved materials to foreign recipients in their respective destination countries.
- Reviewed 26 Deemed Export Certification requests for H-1B visa petitions from nine Colleges/units to determine that they required no export licenses by UToledo to release technology to foreign nationals employed by UToledo.
- Submitted twenty-nine new federal E-Verify cases for eleven active sponsored programs with the Federal Acquisition Regulation 52.222-54 Employment Eligibility Verification contract clause from three Colleges and units.

To improve project delivery, customer satisfaction, and compliance, Facilities and Construction's Planning, Design, and Capital Projects unit published a weekly report containing the number of projects awarded to each continuing service vendor. The unit is working to enhance this report to include a differentiation between rotated/justified work and hard-bid work to vendors.



## Enforcing and Promoting Standards Through Incentives and Discipline

Complying with all applicable laws, university policies, procedures, and standards of conduct is an expectation of all members of the university community. UToledo promotes and enforces consistently the compliance and ethics program through the application of appropriate incentives and, when necessary, appropriate disciplinary measures resulting from instances such as employees engaging in misconduct or noncompliance and failing to take reasonable steps to prevent or detect misconduct, noncompliance, and criminal conduct. University Institutional Compliance, in consultation with the president and the Board of Trustees Finance and Audit Committee, provides guidance and recommendations for appropriate incentives and disciplinary measures to encourage a culture of compliance and ethics.

When UToledo identifies failures in compliance and ethics, the program requires addressing issues in a timely manner through appropriate measures, including education or disciplinary action.

### Incentives

University Institutional Compliance has a process for identifying and recognizing employees who exemplify the expectations of the compliance and ethics program and the values of the university. Three times per year, Institutional Compliance recognizes employees in an article in *The Compass* newsletter. This year we recognized in the Information Technology Security Office for their contributions in raising security awareness, certain colleges, for their efforts with employee submission of required outside activity disclosures, and Facilities & Construction for their support of the compliance and ethics program by translating important university policies, training, and the 2022 compliance and ethics culture survey. The office also developed and implemented The Compass Award, which is a signed certificate of acknowledgment, presented to those individuals recognized in each issue of *The Compass*.

The office also engages employees annually to offer incentives for participating in its Compliance and Ethics Week awareness campaign. This year the office recorded the highest rate of involvement with 120 employees participating. Activities commenced during the week November 7-11, 2022, and included two engaging activities for employees to win prizes:



- ❖ Training - Developed and published a training video with a superhero theme relating to the ethics topic of Civility Superheroes. Recipients viewed a total of 326 videos.

- ❖ Compliance and Ethics Word Scramble: Institutional Compliance asked employees to unscramble six compliance and ethics related words by using the clues provided and submit the completed word scramble to the Institutional Compliance office via email. Employees submitted a total of 111 scrambles.



Institutional Compliance randomly selected fifty employees to receive prizes for their participation.

Complimentary to the incentives offered by University Institutional Compliance, Environmental Health and Safety and the University of Toledo Police Department host annual awards ceremonies to promote a culture of ethics, safety, and compliance at the university. The University of Toledo Police Department issued a total of fifteen awards to department employees for their outstanding service during the year.

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### **Appropriate Discipline**

University Institutional Compliance provides guidance to supervisors and members of the senior leadership team on appropriate disciplinary action up to and including termination when it identifies misconduct, noncompliance, or criminal conduct. As part of this process, University Institutional Compliance collaborates with Human Resources, the office of Contract Compliance, and the Office of Legal Affairs to ensure that supervisors provide disciplinary action consistently and in compliance with applicable laws, regulations, policies, and collective bargaining agreements. It is the responsibility of the supervisor or appropriate senior leader to implement disciplinary action, including reporting to law enforcement when appropriate, and completing other corrective actions.

Circumstances of each substantiated case will differ, therefore, discipline may range from improvement plans that include remedial training or verbal counseling, to formal discipline such as suspension of duties or termination from employment. The office monitors the completion of recommended corrective actions and escalates issues as appropriate to senior leadership, the president, and the Board. These efforts serve to ensure that the program remains effective, discipline is consistent, and that the university is taking steps to prevent the reoccurrence of misconduct, noncompliance, or criminal activity.

## Appendix: Compliance Officers/Committees/Partners

<u>Institutional Compliance Department</u>	<u>Compliance Partners</u>
<p>David Cutri, Executive Director            Elliott Nickeson, Assistant Director/Clery            Christopher Evans, Institutional Compliance            Kurt Soltman, Americans with Disabilities Act            Brian Lutz, Athletics            Kenneth Schank, Athletics            C'Shalla Parker, University Privacy Officer            Paul Muneio, UTP Compliance</p>	<p>Robin Zubke, Financial Aid            Jennifer Burton, Human Resources            Precious Tate, Human Resources            Courtney Youngs, Human Resources            Shelby Zeides, Human Resources            Jessica Bergman, International Students and Scholars            Colleen Miller, Legal Affairs            Alana Malik, Provost's Office            Nicole Lederer, Research            Gabrielle McMunn, Research            Marina Muchnik, Research            Mahesh Pillai, Research            Gary Rafe, Research            Madison Rowe-Stanley, Research            Tyara Vazquez, Research            Vicky Kulicke, Title IX            Michelle McDevitt, Title IX            Zoe Zulakis, Title IX            Melissa Coduti, Healthcare            Nikki Joyner, Clinical Research            Kimberly Fenneken, Practice Plan Clinics            Zachary Wurtz, Healthcare Systems/EPIC            Jessica Altman, Coding Auditor/Educator            Roberta Jordan, Medical Accreditation            Brandy Robinson, Medical Accreditation            Jill Hassen, Mental Health            Margaret Anton, Patient Financial Services</p>
<p><u>Institutional Ethics and Compliance Committee</u></p> <p>Elliott Nickeson, Chair            David Cutri, Co-Chair            Gina Roberts, Enrollment Management            Jason Toth, Facilities and Construction            Heather Lorenz, Health and Safety            Bethany Ziviski, Human Resources            Angela Paprocki, Provost's Office            Constance Schall, Research            Gary Rafe, Research Compliance            Vicky Kulicke, Title IX            David Walczak, College of Medicine            Russell Smith, UTMC            Christine Stesney-Ridenour, UTMC</p>	<p><u>Note:</u> UToledo is actively recruiting to fill compliance vacancies in Human Resources, International Students and Scholar Services, Infectious Diseases/Ryan White, Medical Records, and Mental Health.</p>

