NSU Florida

Frequently Asked Questions (FAQs) for the Office of University Compliance and Integrity (OUCI)

1. **What is compliance?**
   At Nova Southeastern University, compliance means understanding and following the applicable laws, regulations, and University policies that govern our work and responsibilities. It is about doing the right thing, even when no one is watching and fostering a culture of integrity, accountability, and ethical behavior throughout the institution. Compliance at NSU ensures we proactively manage risk and support the University's mission and goals.

2. **Who is responsible for compliance?**
   Compliance functions at the University are integrated into practices and procedures that take place throughout the University every day. Compliance with laws, regulations, and University policies is everybody's responsibility. University Compliance, and Operational Risk Areas (ORA) compliance partners, promote and oversee efforts through training, communication, monitoring, assessment, reporting, and corrective actions.

   The Vice President of Compliance and Integrity and Chief Compliance Officer provides centralized leadership and high-level oversight for the University's compliance programs and activities; provides guidance and advice to senior management and staff on compliance matters; and works to promote a culture of compliance and ethical behavior.

3. **How are Operational Risk Areas (ORA) considered?**
   Operational Risk Areas (ORAs) are a key focus of NSU's compliance strategy. ORAs are identified in alignment with industry standards and peer institutions. ORAs are logical groupings of compliance responsibilities (e.g., research, athletics, environmental health and safety).

4. **Why is compliance important at NSU?**
   NSU is committed to operating with the highest standards of ethics and legal responsibility. Compliance helps safeguard our students, employees, finances, reputation, and institutional accreditation. It also ensures the University maintains eligibility for federal and state funding and other vital resources. An effective compliance program fosters transparency, encourages ethical behavior, and helps prevent violations that could result in legal or reputational harm.

5. **What is the role of the Office of University Compliance and Integrity (OUCI)?**
   The OUCI supports a university-wide effort to build and maintain an effective central compliance program. Some of the OUCI responsibilities include but are not limited to:
   a. Promoting a culture of ethics and compliance
   b. Coordinating risk assessments
   c. Overseeing policy development
   d. Administering the compliance hotline
   e. Supporting compliance training and awareness programs
   f. Serving as a resource for questions about compliance obligations

6. **Who is the Vice President of Compliance and Integrity and Chief Compliance Officer at NSU?**
   Sonya Miller, Vice President for Compliance and Chief Integrity Officer, 954-262-4241.
   The Vice President of Compliance and Integrity and Chief Compliance Officer at NSU leads the OUCI and serves as a key advisor to university leadership on matters of institutional risk and compliance. The officer ensures alignment between compliance activities and NSU's strategic goals while maintaining independent oversight of university compliance efforts.

7. **What is NSU's Compliance & Ethics Hotline?**
   NSU provides a confidential, third party-operated hotline that allows employees, students, and others to report suspected compliance issues or unethical behavior. The hotline can be accessed 24/7 via phone and offers the option to remain anonymous. Reports are promptly reviewed and addressed in a manner consistent with university policy. **NSU Ethics and Compliance Reporting Hotline** (toll free at 888-609-NOVA (888-609-6682).

8. **What if I'm not sure whether something is a compliance issue?**
   If you're unsure, it's best to speak up. You can consult your supervisor, the Office of University Compliance, or use the hotline. Reporting in good faith is always encouraged. Retaliation for raising a concern is strictly prohibited [insert link to non-retaliation policy here].

9. **Why do I have to complete compliance training?**

Compliance training ensures that every member of the NSU community understands their responsibilities and the regulatory landscape affecting their role. Training helps prevent unintentional misconduct, promotes a culture of integrity, and keeps the University in good standing with regulatory agencies. This encompasses all training assigned to you as part of your role within the University. Participation in training is mandatory for all employees and tailored based on job function and risk level.

10. **How does NSU promote a culture of compliance?**
    NSU fosters a culture of compliance through leadership support, transparent policies, accessible reporting channels, ongoing training, communication, and accountability mechanisms. By integrating compliance into everyday operations and encouraging ethical decision-making, the University empowers all community members to uphold NSU's core values.