



# COMPLIANCE ALERT

Brought to you by: Ethics, Compliance and Audit Services



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## Audit and Investigations

### Federal Aid Headaches in West Virginia

Last month, the federal government placed cash restrictions on West Virginia's entire higher education system, affecting their distribution of federal student aid. This government action was a result of regularly submitting late audit statements for the past 3 years.

## Cybersecurity

### Traveling with Electronic Devices

UC has provided a guidance for traveling with electronic devices. It briefly reviews relevant policies, provides answers to frequently asked questions, and contact information for Campus Export Control Leads for licensing requirements.

### October is National Cyber Security Awareness Month!

2017 marks the 14th year of National Cyber Security Awareness Month (NCSAM). The goal of NCSAM – celebrated every October – is to raise awareness about the importance of cybersecurity and ensure that all Americans have the resources they need to stay safer and more secure online.

### **Cybersecurity Awareness Resources at UC**

In support of NCSAM, a systemwide workgroup at the University of California has developed and compiled a variety of resources designed to support the university community in promoting cybersecurity awareness. These include posters, video shorts, outreach presentations, tips and factsheets, ideas for getting awareness messages out to their intended audiences, and more. The UC IT Blog will also run a series of

## Featured Resource:

### UC Whistleblower Information

- ◇ **UC Whistleblower Confidential Hotline:**  
You may report improper government activities through the Universitywide confidential hotline at (800) 403-4744 or by filing [a report online](#).
- ◇ Have a question? Consider taking a look at: [UC's Frequently Asked Questions \(FAQs\)](#).
- ◇ Campus websites and contacts for locally designated officials are available through the following link: [UC Whistleblower Campus Resources](#).
- ◇ UC's Whistleblower Policy and Whistleblower Protection Policy are now available in multiple languages:

Language	Whistleblower Policy	Whistleblower Protection Policy
English	<a href="#">Direct Link</a>	<a href="#">Direct Link</a>
Spanish	<a href="#">Direct Link</a>	<a href="#">Direct Link</a>
Tagalog	<a href="#">Direct Link</a>	<a href="#">Direct Link</a>
Traditional Chinese	<a href="#">Direct Link</a>	<a href="#">Direct Link</a>

cybersecurity-related articles and spotlights throughout the month of October.

Check out this NCSAM "Toolkit" at [ucal.us/ncsam](http://ucal.us/ncsam).

Additional cybersecurity awareness information, resources, and contacts are also available on UC's Information Security Awareness website: <https://security.ucop.edu/resources/security-awareness/index.html>.

Information about the national NCSAM campaign is available at <https://staysafeonline.org/ncsam/about/>.



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## Cybersecurity for the Travelling Scientist

As researchers travel domestically and internationally, concerns over cybersecurity have increased. Several options are available for researchers travelling with electronic devices and requiring protection for sensitive research data, including: using virtual private networks, encryption, and recommending steps for preventing potential theft.

## Back-to-School Cybersecurity

Millions of students across the United States will be starting classes over the next couple of months, including here at UC. The new school year is an exciting time for students -- for faculty and staff as well.

It's also an exciting time for hackers, identity thieves, and other unscrupulous types who take advantage of people during this busy time of year.

### **Watch out for typical beginning-of-the-year scams:**

- Email supposedly containing "important information about your UC account," or a "problem with your registration";
- Scams specifically designed to cheat students out of money, such as scholarship scams, textbook rental or book-buying scams, housing scams, tutoring scams, and work-from-home scams;
- "Tech support" scams where you get a call supposedly from "ResNet" or "the Service Desk" or even "Microsoft" or "Apple" telling you there's a problem with your computer;
- IRS impersonators demanding that students or their parents wire money immediately to pay a fake "federal student tax";
- Messages asking for your login information, no matter how legitimate they may look. No one other than you needs to know your passwords.
- Fake friend requests;
- Fake Dropbox or Google Doc notices;
- And the list goes on...

### **Keep What's Private Private.**

The start of the school year is also a great time to think about your online presence. What you post online can live forever, and you can't fully control who sees it. To better own your online presence:

- Choose your privacy and security settings; don't use defaults.
- If you wouldn't want your employer, landlord, professors, or grandma to see it, don't post it.
- Don't share info or pix about others that you wouldn't want shared about you.

## Why Privacy Pros Should Check Out NIST's New Workforce Framework

The National Institute of Standards and Technology (NIST) recently issued the latest Cybersecurity Workforce Framework as a special publication. In this new revision, the scope of cybersecurity is further expanded to include additional disciplinary components, including information valuable to privacy professionals in the public and private sectors.

## **General Compliance**

### National Compliance and Ethics Week

Corporations and public organizations will be recognizing November 5-11 as Corporate Compliance and Ethics Week for 2017. The Society of Corporate Compliance and Ethics (SCCE) offers some sample resources and articles to help institutions promote compliance and engage their staff.

## **Health Sciences Compliance**

### Aetna Mailer Accidentally Reveals HIV Status of up to 12,000 Customers

Health plan insurer Aetna possibly disclosed the HIV status of approximately 12,000 customers through mailers that exposed personal health information through the address window when the contents inside shifted position.

## **Human Resources Compliance**

### New Bill Aims to Protect Privacy and Safety of Domestic Violence Survivors

Governor Brown approved Senate Bill 331, entitled Evidentiary privileges: domestic violence counselor-victim privilege. The bill was authored by Senator Jackson and sponsored by the University of California in order to extend confidentiality privileges to domestic violence victims.

- Full bill text available at: [Senate Bill 331](#).
- [Statement from UC President Napolitano](#).



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UNIVERSITY OF CALIFORNIA

## [Federal Sex-Assault Investigations Are Being Resolved More Often. These 11 Cases Show How.](#)

As the Office for Civil Rights continues Title IX investigations, it has increasingly used administrative closures to resolve cases. This type of resolution includes issuing a closure letter but, makes detailed information on the investigation’s scope and findings less openly available. At the current pace, Title IX investigation resolutions are expected to surpass previous years.

## [Betsy DeVos Signals a Pullback on Campus Sex Misconduct Enforcement](#)

Secretary DeVos of the Department of Education has indicated potential changes to the federal government’s regulations on handling campus sexual misconduct. In response, UC President Napolitano [issued a statement](#) affirming UC’s continued support for sexual violence and sexual harassment survivors.

## [In Focus, What Does Unwinding DACA Mean for HR?](#)

The Trump administration recently announced it was ending the Deferred Action for Childhood Arrivals (DACA) program. The [University of California announced](#) it had decided to sue the Trump administration for unlawfully repealing DACA.

## Research Compliance

### [Updated Appendix Policy Eliminates Clinical Trial-Related Materials for NIH/AHRQ/NIOSH Applications](#)

The National Institutes of Health (NIH), Agency for Health Research and Quality (AHRQ), and the National Institute for Occupational Safety and Health (NIOSH) will be restricting the types of appendix materials that can be attached to applications submitted on or after January 25, 2018. For clinical trials, the new PHS Human Subjects and Clinical Trials Information Form is required but, not allowable as an appendix material.

### [NSF Reiterates Policy on Teaching Good Research Habits Despite its Limitations](#)

The National Science Foundation (NSF) continues to support Responsible Conduct of Research (RCR) training for researchers in universities to promote ethical research habits.

### [In Reversal, Cambridge University Press Restores Articles After China Censorship Row](#)

Cambridge University Press restored over 300 articles that were removed from an academic journal website after receiving a removal request from a Chinese agency. The publisher had received criticism over academic freedom concerns in China.

## Policy

### [Recent UC Policy Updates](#)

#### [AM-U538-23: University Extension Concurrent Courses:](#)

The purpose of this policy is to provide background and guidance on how to account for University Extension Concurrent courses. This policy was updated to conform to a template and was reformatted for web accessibility.

#### [AM-F117-73: Supplemental Home Loan Program:](#)

This policy outlines the accounting requirements for Supplemental Home Loan Program (SHLP) loans and was updated to conform to a new template, remove outdated loan references, and was reformatted to meet web accessibility guidelines.

#### [BFB-BUS-76: Engagements with The Regents’ Audit Firm:](#)

This policy underwent technical updates and was remediated to meet web accessibility guidelines.

#### [Information Technology Accessibility:](#)

The University seeks to deploy information technology that has been designed, developed, or procured to be accessible to people with disabilities, including those who use assistive technologies. This policy was revised to meet Web Content Accessibility Guidelines (WCAG) 2.0 and provides updated policy contact information.

#### [Anatomical Donation/Materials Programs:](#)

This policy underwent minor technical revisions and was remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0. The minor technical edits are:

- Updated the title of the Responsible Office/Officer.
- Added capitals and acronyms for consistency and correcting a spelling error.
- Changed the term “infected” to “test positive”.
- Corrected date of Uniform Anatomical Gift modification and updated current citation.

#### [Dual Use Research of Concern:](#)

This policy has undergone the following technical revisions:

- Misleading language from bullets 2 and 3 under the ICDUR responsibilities removed and replaced with new language more closely aligned with what is required by DHS and actual practice at UC campuses.



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- Removed paragraph 1 under IRE Review Process and replaced with new language to more clearly define the IRE's responsibility in compliance with DHS policy.
- Policy contact information updated.
- Remediated to meet web accessibility guidelines.

## PPSM-3: Types of Appointment:

This policy describes the types of appointments covered by personnel policies applicable to employees in the Professional & Support Staff, Managers & Senior Professionals, and Senior Management Group personnel groups. It was remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0, in addition to undergoing the following revisions:

- Incorporation into PPSM 24 and PPSM 61 policies.
- Additions/clarification of existing language to each appointment type.
- Clarification of existing health and welfare benefits language.

## Sexual Violence and Sexual Harassment:

As of September 1, 2017, this policy has undergone technical revisions:

- Updated the Responsible Office/Officer.
- Added links of the Staff and Faculty Adjudication Frameworks to Appendix II: University Disciplinary Procedures.
- Remediated to meet Web Content Accessibility Guidelines.

## Privacy

### Protecting College Records: Schools Routinely Hand Out Private Student Data

Colleges are currently permitted to share student directory information. Although, there are growing concerns over minimal protections which put student data at risk for misuse.

### House Committee Backs Stronger Email/Data Privacy

The House Appropriations Committee has added in the 2018 appropriations bill language requiring the government to obtain a warrant in order to search any cloud-based data and emails.

### Even Teenagers Are Creeped Out by Snapchat's New Map Feature

A new opt-in feature by Snapchat allows users to share their exact location on a map with their contacts. However, there are

privacy considerations over how much geolocation information users share with others and how it is utilized by the company.

### U.S. Appeals Court Upholds Gag Orders on FBI Data Surveillance

A U.S. appeals court confirmed that the Federal Bureau of Investigation (FBI) could continue to issue national security letters, allowing the federal agency to search an organization's data and restrict public disclosure of the surveillance.

### The Age of AI Surveillance is Here

A new integration between artificial intelligence and public images has advanced a technique, called deep learning. Once the technique is introduced to technology through software, a large network is created, capable of processing large amounts of images and videos. The process finds patterns that can improve the accuracy of facial recognition systems.

### After 2016 Hacks, House Democratic Committee Switches to Encrypted Messaging

After facing a cyberattack in 2016, which resulted in the public release of various documents with sensitive information, the Democratic Congressional Campaign Committee (DCCC) has installed end-to-end encryption software for all internal communications.

### To Protect Genetic Privacy, Encrypt Your DNA

In order to mask and protect their genetic privacy, participants of genomic sequencing must ensure researchers are encrypting DNA data to reduce the risk of being identified. This process serves as an alternative to redacting DNA sequences, which limited DNA sequence usefulness to researchers.

### China's New Wave of Internet Censorship: Name Verification for Online Commenting

China's Cyberspace Administration recently announced citizens will no longer be able to post online comments anonymously effective October 1. Internet service providers will be required to verify the identity of any user before they are able to post content on their platform.

### Bitcoin Blockchain Analysis Could Fight Sex Trafficking: UC Berkeley PhD Research

A UC Berkeley Ph.D. candidate used blockchain analysis and stylometry to find connections between bitcoin users and sex trafficking transactions. However, the process could misidentify bitcoin users and is not considered conclusive evidence.