

Appendix Book - February 22, 2024 Board of Regents Meeting

UNTS Acronym List

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AUDIT COMMITTEE

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UNT System Acronym List

FTSE Full Time Student Equivalent: is computed by dividing headco

Southern states

SAT **Scholastic Aptitude Test: A standardized test for college admissions**

SCH **Semester Credit Hour: the unit of measuring educational credit, usually based on the number of classroom/instructional hours per week throughout a term**

SF **Student Fees**

SF **Square Feet**

SFP **Statement of Financial Positio**

: University of North Texas System Board of Regents, Audit Committee

: Clay Simmons, Vice President and Chief Integrity Officer

University of North Texas, University Integrity and Compliance

This serves as the UNT FY24 First Quarter compliance report on the effectiveness of its compliance and ethics program. University Integrity and Compliance (UIC) continues to build out the compliance and ethics function at UNT and conduct ongoing training, monitoring, and reviews across UNT.

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The purpose of this report is to demonstrate progress of identified areas noted in the Compliance Program Effectiveness Assessment provided by Protiviti. See Appendix for Definitions.

Compliance Program Elements Framework Assessment Reporting		
Risk Assessment		
Policies and Procedures		
Training and Communications		

UIC continues testing and reviews of

Category	Definition
Risk Assessment	
Policies and Procedures	

Executive Report

To: University of North Texas System Board of Regents, Audit Committee

From: Desiree K. Ramirez, CCEP, CHC, Executive Vice President, Chief Integrity and Privacy Officer

Dept.: University of North Texas Health Science Center at Fort Worth
Office of Institutional Integrity

During the first quarter there were over 350 visits to the Code from more than 284 unique visitors, marking a sustained daily visitor increase across reporting periods. Additionally, more than 21% returned to the Code during this reporting period, a continued increase over the first (16%) and second (17%) reports. 91% of new hires completed the Code's Certification of Commitment.

It was also noted that the Code of Culture continues to help connect employees to policies. 31 policies were accessed during the quarter with Employee Ethics and Standards of Conduct, Student Code of Conduct, and Non-Retaliation continuing to be amongst the top 5 accessed.

Investigations of Misconduct

The compliance and integrity program must have an efficient and trusted mechanism by which employees and students can anonymously or confidentially report allegations of a breach of the company's code of conduct, policies, or suspected or actual misconduct. HSC encourages employees and students to report any suspected compliance concerns. FY24 first quarter yielded 8 Trustline calls. Six issues were closed, 1 currently under review by the Office of Integrity and 1 under review by the UNT System Office of Equal Opportunity.

The Office of Integrity is in the implementation phase of a case management software as continuous improvement to our investigations process. This software will assist with streamlined investigation reports, documentation, workflow and analytics.

Analysis and Remediation

Integrity and Awareness staff are currently completing Root Cause Analysis Training. This training will assist us to proactively identify risk and create education and training for emerging and trending issue from investigations and reporting.

Reference

Category	Definition
Risk Assessment	
Policies and Procedures	
Training and Communications	
Reporting and Accountability	

: Laura Wright, Chair, UNT System Board of Regents
Melisa Denis, Chair, Audit Committee

: Renaldo Stowers, Deputy General Counsel & Chief Compliance Officer
Steve Hill, Director of Compliance

: UNT System Administration Compliance & Ethics Program

This serves as the FY24 Second Quarter compliance report on the effectiveness of the System Administration Compliance & Ethics Program. The Program is in the implementation phase of a redesign of the compliance program infrastructure.

To inform the Board of progress made in achieving the desired level of maturity of the System Administration compliance program, including implementation of recommendations from the 2022 external compliance program assessment.

The table below summarizes compliance framework categories where a defined initiative is ongoing and those where notable progress toward maturity was made this quarter:

1	Risk Assessment		

DOJ Guidance Question 2: Is the Compliance Program implemented effectively?	