

Appendix Book - May 16-18, 2024 Board of Regents Meeting

UNTS Acronym List

UNTS Acronym List rv 3.3.21

FINANCE COMMITTEE

Quarterly Financial Update

Executive Report - Quarterly Financial Update

AUDIT COMMITTEE

Quarterly Compliance Background Reports

UNT FY24 2nd Quarter Compliance Report

HSC FY24 2nd Quarter Compliance Report

UNT Dallas FY24 2nd Quarter Compliance Report

UNTSA FY24 2nd Quarter Compliance Report

: UNT System Board of Regents
:
Susan Alanis, Deputy Chancellor
Finance and Operations

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The Finance and Operations Department strives to provide transparent and informative financial reporting (06/17 0 Tc[Tc[Tc]0 TJ E2 620 1 28.21 5Tc]0 TJ E2 4 TJ E2 60 0i3] TJ) TJ ET



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

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

University of North Texas Health Science Center at Fort Worth
Office of Institutional Integrity and Awareness

This serves as the HSC FY2024 Second Quarter compliance report on the effectiveness of compliance program to UNT Board of Regents Audit Committee. This is provided in accordance with the UNT System Audit Committee charter

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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. As a reminder, the table below reiterates the categories and relevant information from the assessment. Please see appendix for definitions. Bolded categories are reported for this quarter.

| Compliance Program Elements Framework Assessment Reporting | | |
|---|---|---|
| | | |
| Risk Assessment | X | |
| Policies and Procedures | X | |
| | | |
| | | |
| Third Party Management | | X |
| Commitment by Mgmt. | X | |
| Autonomy and Resources | X | X |
| Incentives/ Disciplinary Measures | X | |
| | | X |
| | | X |
| | | X |

Over the last few months the Office of Integrity and Awareness has embarked on a strategic plan through FY30. The vision and vision objectives are aligned with HSC Vision Objectives and UNT System Focus areas. Key results are currently being finalized and the fully documented plan is expected in early summer of 2024.

| | |
|-------------------------|--|
| | |
| Risk Assessment | |
| Policies and Procedures | |
| Training and | |

Executive Report

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

From: Keith Maddox, Chief Compliance Officer

Dept.: University of North Texas at Dallas
Office of Compliance and Integrity

SUMMARY:

This serves as the Dallas FY24 Second Quarter compliance report on the effectiveness of the compliance program to UNT Board of Regents Audit Committee. This is provided in accordance with the UNT System Audit Committee charter.

PURPOSE:

The purpose of this report is to demonstrate the progress of identified areas noted in the Compliance Program Effectiveness Assessment provided by Protiviti. During the second quarter of FY24, the Chief Compliance Officer (CCO) was onboarded. The new CCO has been assessing the system and working with Protiviti to help advance the maturity of the program, including developing processes, policies, and procedures to ensure an effective compliance program per the Department of Justice guidance and the previous Protiviti review.

Risk Assessment

| | |
|---|--|
| DOJ Guidance Question 2: Is the Compliance Program implemented effectively? | |
| Commitment by Senior and Middle Management | Started - CCO meets regularly with interim President and Cabinet members |
| Autonomy and Resources | Started - CCO has been hired with evaluation of additional staffing under review. |
| Incentives and Disciplinary Measures | Not started - CCO is evaluating program to determine actions needed for enforcement and consistency. |
| | |
| DOJ Guidance Question 3: Does the Compliance Program Work in Practice? | |
| Continuous Improvement, Periodic Testing, and Review | Not started - work plan will result from Compliance Risk Assessment |

: Laura Wright, Chair, UNT System

The following is a summary of the activities toward the desired compliance program maturity level reported this quarter:

The Program launched its first strategic compliance risk survey which is intended to la200r