## 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

- ACT American College Testing: a standardized test used for college admissions
- ASF Assignable Square Feet
- AUX Auxiliary Reserves
- BOR Board of Regents
- BSC Business Service Center
- BSS Business Support Services
- CAE Chief Audit Executive
- CAFR Comprehensive Annual Financial Report
- CIA Chief Internal Auditor
- CIP Capital Improvement Plan
- CIP Construction in Progress
- CM Construction Manager
- CMAR Construction Manager at Risk
- CO Change Order
- COL College of Law
- CP Commercial Paper
- DEI Diversity, Equity and Inclusion
- FTE Full Time Equivalent: generally used in reference to Full Time Student Equivalent (FTSE) but can also be used in reference to Full Time Faculty Equivalent (FTFE). See FTSE or FTFE below for definitions.
- FTIC FirstefTf 1001 8.81466 Tm [)] Time Student

FTSE Full Time Student Equivalent: is computed by dividing headcount enrollment by a set number of semester credit hours based on the rank of the student (Undergraduate FTSE = 15 SCH; Masters and Special Professional FTSE = 12 SCH; Doctoral FTSE = 9

## Executive Report

To: UNT System Board of Regents

From: Susan Alanis, Deputy Chancellor

Department: Finance and Operations

## PURPOSE:

part, and 1 unsubstantiated.

### Incentives and Disciplinary Measures

UIC finalized the Integrity Champion award program, which was earned by 5 employees in the Spring, and 10 more will be given in the Fall, for a total of 15 this year. In the following years we will give 7 in the Spring and 7 in the Fall. Employees will receive an Integrity Champion pin and lanyard, and two \$15 gift certificates good for any UNT campus retail establishment. Employees are nominated by coworkers and the winners are chosen by a committee of UIC division employees according to a rubric.

### Periodic Testing and Review

The project on Visiting Scholars has been completed and is currently in implementation. This project is part of the international compliance enhancement project UIC started earlier in the year and is a finalization

scholars is currently in development to formalize the new processes. UIC continues testing and reviews of the scholarship award process across the institution. This process has been hampered by competing priorities but is still ongoing.

UIC began a new process review to examine compliance with Texas Education Code 51.3525, also known as SB17. UIC is developing tools and reporting documentation to ensure compliance with this wide-ranging and impactful statute in conjunction with OGC.

#### Analysis and Remediation

UIC and Research Integrity and Compliance has completed an evaluation of risks associated with international collaborations in conjunction with the International Compliance Coordination Committee. In the next quartethe team will implement enhancements to controls surrounding international compliance risks based on this evaluation. This will be an ongoing project that we will update the Board on in coming meetings.

# <u>Appendix</u>

Category	Definition	
Risk Assessment	Does the Institution have a comprehensive risk assessment process?	
Policies and Procedures	Has the Institution established standards and procedures to prevent and detect misconduct, including criminal conduct?	
Training and Communications	Do Institution employees receive training regarding ethical conduct and compliance with regulations and policies, and procedures?	
Reporting and Accountability	Does the Institution take reasonable steps to communicate aspects of the compliance and ethics program to the appropriate individuals?	
Third Party Management	Does the Institution have a process to identify and proactively monitor high-risk vendor relationships (e.g., business associates, etc.)?	
Commitment by Senior /Middle Mgmt.	How has the Institution responded to specific instances where compliance raised concerns?	
Autonomy and Resources	Has there been sufficient staffing for compliance personnel to effectively audit, document, analyze, and act on the results of the compliance efforts?	
Incentives and Disciplinary Measures	Does the Chief Compliance Officer promote and enforce the Program consistently through appropriate incentives and disciplinary measures to encourage a culture of compliance and ethics?7 324.89 62.4 re W <sup>*</sup> n BT 10 0 1 261.77 322	

## 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 and Awareness

## SUMMARY:

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

## PURPOSE:

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.

Category	Ongoing Process	Maturity Progress
Risk Assessment	X	
Policies and Procedures	Х	
Training/Communication	X	
Reporting and Accountability	Х	
Third Party Management		X
Commitment by Mgmt.	Х	
Autonomy and Resources	Х	Х
Incentives/ Disciplinary Measures	Х	
Periodic Testing and Review	Х	Х
Investigations of Misconduct	Х	X
Analysis and Remediation	Х	Х

## Departmental Strategic Plan

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.

## Vision:

Category	Definition	
Risk Assessment	Does the Institution have a comprehensive risk assessment process?	
Policies and Procedures	Has the Institution established standards and procedures to prevent and detect misconduct, including criminal conduct?	

Training and

## Executive Report

To:	Liniversity of North	Texas System Roa	rd of Regents, Audit Co	mmittee
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- 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 ReviewNot started – work plan will result from Compliance Risk Assessment			

To: Laura Wright, Chair, UNT System

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

Risk Assessment. The Program launched its first strategic compliance risk survey which is intended tola20(Br