Appendix Book - February 22, 2024 Board of Regents Meeting

UNTS Acronym List

FINANCE COMMITTEE

Quarterly Financial Update

AUDIT COMMITTEE

Compliance Background Reports

UNT System Acronym List

FTSE   **Full Time Student Equivalent: is computed by dividing headco**

NACUBO   **National Association of College and University Business Officers**

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

Executive Report

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

From: Clay Simmons, Vice President and Chief Integrity Officer

Dept.: University of North Texas, University Integrity and Compliance

SUMMARY:

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.

PURPOSE:

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.

Ongoing Process: Compliance Program Elements		
Maturity Progress: Framework Assessment Reporting		
Category	**Ongoing Process**	**Maturity Progress**
Risk Assessment		X
Policies and Procedures		X
Training and Communications		

Periodic Testing and Review

UIC continues testing and reviews of

Category	Definition
Risk Assessment	Does the Institution have a comprehensive risk assessment process?
Policies and Procedures	Has the Institution established standards and procedures to

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.

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Reference

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 ta

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

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

Dept.: UNT System Administration Compliance & Ethics Program

SUMMARY: 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.

PURPOSE: 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:

	Framework Category	Ongoing Process	Maturity Progress
1	Risk Assessment	X	X

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Training and Communications	Not started included in consultant proposal scope of services Now expected to start in Q2 FY24 once the new CCO onboards.
Reporting and Accountability	In progress new process will include resources consistent across the System.
Third-Party Management	Not started System-level efforts underway.
DOJ Guidance Question 2: Is the Compliance Program implemented effectively?	
Commitment by Senior and Middle Management	In progress drafting compliance committee charter

Autonomy and Resources   In progress