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

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 1 01 3.8166 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:

The Finance and Operations Department strives to provide transparent and informative financial
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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.

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*n BT 10 0 1 261.77 322

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.

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

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: 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

As

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 Third Quarter compliance report on the effectiveness of the System Administration Compliance & Ethics Program. The Program continues implementing the compliance infrastructure

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 to la20(8r