Appendix Book - February 16, 2023 Regular Board of Regents Meeting

UNTS Acronym List

AUDIT COMMITTEE

Consolidated Compliance Background Report

American College Testing: a standardized test used for college admissions

Assignable Square Feet

Auxiliary Reserves

Board of Regents

Business Service Center

Business Support Services

Chief Audit Executive

Comprehensive Annual Financial Report

Chief Internal Auditor

Capital Improvement Plan

Construction in Progress

Construction Manager

Construction Manager at Risk

Change Order

College of Law

Commercial Paper

Diversity, Equity and Inclusion

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.

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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

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committee

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1 Compliance & Integrity Program

1 Integrity Program redesign

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Executive Report

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

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

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

SUMMARY:

This serves as the HSC FY23 First Quarter cl9 45 57.52 Tmἁs liittl93.2 (e)1ep9HS (H)13.6 (S)t45 iHer.7.e 45 54Scs

ASSESSMENT:

Policies and Procedures

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?*

Executive Report

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

From: Clay Simmons, Vice President and Chief Integrity Officer

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ASSESSMENT:

<u>Risk Assessment</u>

UIC has commenced a review of departmental scholarships across the university. The goals of this review are to ensure departmental scholarships comply with university policies and procedures and are being used appropriately. This project is in the initial scoping phase and will be more fully described in future reports.

Appendix

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 reason*

Executive Report

To: University of North Texas (UNT) Board of Regents (BOR)

Training and Communications

All UNT Dallas employees must not only be aware of but also understand the rules that govern their respective roles and the values underpinning the UNT Enterprise. Stakeholders, both, internal and external, should receive timely and relevant reminders that UNT Dallas is committed to ethical and responsible behavior. Communication is key to a culture of compliance.

All UNT Dallas employees must successfully complete training identified in the Program, as well as compliance elements that are key in the conduct of their position. Additionally, employees must be trained and periodically reminded of the ways to report suspected misconduct. In Q1 FY23, worked closely with Marketing and Communications, as well as ITSS to provide timely compliance information, including announcements regarding upcoming mandated training. The OIC has also made efforts to communicate the importance of successfully completing required training in a

Additionally, UNT Dallas is seeking ways to promote the Program. This includes publicizing the Trust Line to the entire Trailblazer community through intranet, email, newsletters, and other forms of social media. For FY23, the OIC is drafting a schedule of timely and relevant compliance-related communications using the aforementioned media.

A recommendation in IA Report 22-104; *Compliance Program Effectiveness Assessment* notes that Compliance is not a stated category in the performance evaluation process. This recommendation will require the involvement of Human Resources. The UNTD Compliance Program Effectiveness Assessment PoA&M addresses this recommendation in more detail.

Investigation of Misconduct

UNT Dallas, through the Program, incorporates measures that help ensure employees understand the consequences of engaging in unethical behavior or participating in non-compliant activities. This includes procedures for enforcing and disciplining employees who violate compliance standards or fail to report non-compliant activities. Disciplinary provisions equitably enforced are critical to the credibility and integrity of the Program.

Throughout Q1 FY23, the Title IX Coordinator has met routinely with the president. She completes and goes over the quarterly S.B. 212 report for his review and signature. During this quarter, the Title IX Coordinator and the CCO have been reviewing existing investigation processes and are in the process of updating material involving a variety of investigation elements. Upon completing theses drafts, they will meet with the president to determine next steps. Also, a review of current policies is underway in anticipation of changes to the Title IX regulation by the Biden Administration basis with the president.

All four CCOs are working together to identify and procure a new application to report misconduct. This effort affords the four institutions to leverage their purchasing power, as well as implement a standard, yet discrete, means to report misconduct.