April and May 2017 Compliance Update  
Provided by Karol Riedman  
June 7, 2017

**FRAUD HOTLINE/OTHER COMPLAINTS**
- Beginning 7/1/16; 19 complaints received, 12 via hotline.
- 16 closed, 2 in process, 1 report pending
- All complaints prior to 7/1/16 are closed.
- Fraud Investigation Report template is in use and providing efficiencies.
- Internal investigation training for campus investigators planned for October 2017.

**DATA INCONSISTENCIES PROJECT**
- Project complete; collecting Phase 2 topics

**EPSCoR RESEARCH COMPLIANCE REVIEW**
- Report final and distributed
- Third party audit of UND EPSCoR grants in process.
- Administrative reorganization options to reduce redundancy and increase efficiency are in discussion

**POLICIES AND PROCEDURES CONTINUING WORK**
- **SBHE 401.2** Political Activities
  - As the election drew near, additional concerns were identified
  - This policy is now on hold and will be revisited in October 2017.
- New **NDUS procedure 603.1** and revised **SBHE policy 603.1** regarding harassment/Title IX issues
  - Still in development to add bullying issues and campus consistency.
- **SBHE 607.5** faculty leave policy
  - SBHE first read and amended; tabled for further consideration

**EMPLOYEE TRAINING**
- Rewriting mandatory Theft, Fraud and Code of Conduct training
- Exploring system-wide application to deploy, remind, track and report on employee compliance with mandatory trainings
RISK MANAGEMENT – CLAIMS

- Note: Many of the new auto claims related to winter weather and icy roads

Claim Status at 3/31/2017

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OTHER CONTINUING ACTIVITIES

- NDUS Ethics and Compliance Program
- Drafting Compliance Charter
- Designing a system-wide process for correct handling of surplus property in compliance with NDCC, in coordination with OMB and ND State Surplus
- Coordination of system-wide mandatory trainings
- Working with campuses to standardize required HIPAA vs FERPA designation documentation
- Analyze, standardize, track HLC compliance matrix items
- Review of SBHE policies and NDUS procedures last updated prior to 2000 to determine need for review and updating
- Investigating, answering and resolving various compliance questions and complaints