



NDUS Compliance Office  
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**FY 2017-2018 Compliance Update  
 Provided by Karol Riedman  
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FRAUD HOTLINE REPORTS (Administered by Eide Bailly)

- Total reports for 2017-18 = 18
- 16 investigated and closed; Remaining two in process and expected to be closed by June 30, 2018.

SYSTEM LOSS RUN REPORTS

- Total reports for FY 2017-18

CAMPUS	TOTAL CLAIMS LISTED	AUTO LIABILITY (STATE FLEET)	GENERAL LIABILITY	MEDICAL MALPRACTICE	CLAIMS STILL OPEN
BSC	2	1	1		1
DCB	0				0
DSU	6	1	5		2
LRSC	0				0
MaSC	0		1		0
MSU	2		2		2
NDSCS	1	1			0
NDSU	16	9	7		5
NDUSO	2		2		2
UND/MED	23	12	6	4	9
VCSU	2		2		1
WSC	0				0
<b>TOTAL</b>	<b>54</b>	<b>24</b>	<b>26</b>	<b>4</b>	<b>22</b>

DATA INCONSISTENCIES PROJECT

- Updated Status, 2015-17 HB 1003 Section 42: All 25 objectives have now been completed
- 2017-19 SB 2003 Section 38 listed additional items for study; assistance from Compliance has not been requested

### EMPLOYEE TRAINING

- Integrated training and reporting system - Implementation of Blackboard LMS and additional complications discovered in the original objective have caused this project to be suspended.
- Mandatory annual Theft, Fraud and Code of Conduct training re-written and deployed; NDUS achieved 100% compliance at 3-31-2018
- Assisted in developing mandatory P-Card training; will monitor compliance.

### ETHICS AND COMPLIANCE PROGRAM

- Updating and revision continues
- Masters of Public Administration completed June 2018. Capstone portfolio thesis considered the effect of an ethical organizational culture on compliance programs and activities in the higher education environment.

### POLICIES AND PROCEDURES WORK 2017-18

- SBHE 401.2 Political Activities – on hold
- SBHE 803.3/NDUS 803.3 Surplus Property - on hold
- SBHE 603.1/NDUS 603.1 Title IX – on hold
- SBHE 607.5 Faculty Leave – SBHE voted to take no action
- SBHE 410 Responsible Conduct of Research – adopted
- Future policy/procedure - Standardization of required HIPAA vs FERPA designation documentation

### OTHER MAJOR ACTIVITIES

- EPSCoR state jurisdictional research award – administrative issues
  - Facilitated re-organization of administrative office
  - Assisted in re-organizing state Steering Committee
  - Resource for state EPSCoR office and liaison between participants
- Major Investigations
  - DSU – report completed
  - NDSCS – Referred to outside forensic investigation firm
- Conducted various surveys at request of SBHE

### PLANNED UPCOMING ACTIVITIES

- Continued advisory role with EPSCoR state office
- Consider cost/benefit to analyze, standardize, track HLC compliance matrix items
- Review of SBHE policies and NDUS procedures last updated prior to 2005 to determine need for review and updating
- Improve and streamline fraud investigation and compliance activities at campuses
- Develop an improved process for assessing, investigating and resolving complaints/reports to increase efficiency and relieve workload.