

The State Board of Higher Education Audit

Meeting, at 1:00 p.m. CT., via Zoom Meeting ID: 981 618 1000

Mr. Nick Hacker (Chair)

Mr. Tim Mihalick

Mr. Jeffry Volk

NDUS staff participating:

Chancellor Hagerott

Mr. Darin King

Ms. Terry Meyer

Ms. Dina Cashman

Mr. David Krebsbach

Ms. Kristie Hetzler

Ms. Karol Riedman

Mr. Jerry Rostad

Ms. Mindy Sturn

Others participating:

Ms. Sonja Koble, BSC

President Easton, DSU

Dean Migler, DCB

President Van Horn, Mr. Steve

President Darling, Mr. Corry Ke

Mr. Brent Winiger, MISU

Mr. Keith Johnson, NDSCS

Ms. Sharon Loiland, UND

President Cook, Mr. Bruce Boll

Ms. Lisa Ripplinger, NDSU

Ms. Erica Buchholz, VCSU

President Hirning, Ms. Krista La

Ms. Robyn Hoffman, State Au

Mr. Chris Pieske, Assistant Atto

1.

And;

2.

Mihalick moved, Volk seconded the motion to approve the meeting minutes, as presented.

Volk, Mihalick, and Hacker voted in favor of the motion.

Volk moved, Mihalick seconded, to enter Executive Session to consider (1) the State Auditor's draft operational audit reports for North Dakota State University, and North Dakota State College of Science, and Williston State College, for the biennium ending June 30, 2021, (2) any response from the institutions/entities to the draft report and associated recommendations. The executive session shall be limited to members of the Committee, the Chancellor and staff, Board counsel, representatives of the State Auditor's office, and invited campus officials.

4. The legal authority for closing this portion of the meeting is North Dakota Century Code sections 44-04-

mandatory employee training. She stated the compliance should be more proactive and an outreach role; in 2019/2020 one of the roles was to coordinate and have a compliance champions identified at each institution. That effort was to have a more a compliance program in place that would be managed at a system level, then the COVID pandemic occurred and diverted the compliance from its normal function(s).

She further explained that the [current compliance charter](#) is aligned with IA standards, however, she suggested the committee review the Department of Justice federal guidelines. Those guidelines include seven required elements of federally required components for effective compliance functions. She stated the compliance and ethics organizations that she is certified through, also have a separate code of ethics with three principles and seventeen rules. She also recently attended a national conference for higher education compliance officers and could brief the committee on what is being done on a national level.

The committee requested she begin amending the Compliance Charter as a starting point for them to begin their review at their next committee meeting. The committee noted future discussion will include how to handle anonymous complaints and how draft reports are handled. The committee stated that the compliance role needs to be well defined, proactive, transparent, and communication/collaboration; it should be an outreach and have consulting nature.

11.

Ms. Karol Riedman provided the committee some options to consider for the compliance [reporting structure](#):

	x	Chief Compliance Officer being independent of management
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