

Contact: Tom Evans

REVISION TO POLICY MANUAL — COMPLIANCE AND REPORTING

Action Requested: Consider, as first reading, the proposed new subsection 7.08 (B), “Claims Activity Reports” under section 7.08 “Compliance and Reporting” as outlined below.

Executive Summary: The Board of Regents Audit/Compliance and Investment Committee is primarily responsible for reviewing a summary of claims and/or pending lawsuits filed against the Regents and/or Regents institutions. (Policy Manual §1.05D). In June of 2004, the Committee directed the Regent institutions to prepare and submit semi-annual reports on the status of all claims and pending litigation. The initial semi-annual claims reports were presented to the Committee on February 2, 2005, and covered the reporting period of July 1 – December 1, 2004. Since the initial report, the Committee has received four semi-annual claims reports. The last reports were submitted on February 6, 2007, and covered the period of July 1 – December 31, 2006.

The proposed revision to Policy Manual section 7.08 – “Compliance and Reporting” formalizes that reporting process on a periodic basis, and also requires Regent institutions to report promptly to the Board Office the change in status, settlement, receipt and initiation of all significant litigation, claims, complaints, grievances and investigations.

7.08 Compliance and Reporting

B. Claims Activity Reports

1. Each Regent institution shall prepare and submit periodically to the Executive Director a Claims Activity Report of pending and resolved litigation, tort and contract claims; administrative agency complaints; workers’ compensation claims, Faculty and Professional & Scientific staff grievances and disciplinary cases, including formal ethical complaints and investigations; and internal grievances/claims and investigations of merit employees (Policy Manual § 1.05 D).
2. Each Regent institution shall also report promptly to the Executive Director on the receipt, initiation, change in status and settlement of all significant litigation; torts and contract claims; administrative agency complaints; internal discrimination claims; Faculty and Professional & Scientific staff grievances and disciplinary cases, including formal ethical complaints and investigations; and internal grievances/claims and investigations of merit employees.