

CRR: International Activities

Compliance Risk Areas

Compliance Risk Areas	Related Governing Laws, Rules, Regulations, or University Policies
<ul style="list-style-type: none"> International Experience for Students 	<ul style="list-style-type: none"> MN Stat. 5.41, Study Abroad Programs Board of Regents Policy: International Education, Research, and Outreach Administrative Policy: Student Travel and Education Abroad: Health and Safety The Forum on Education Abroad: Code of Ethics for Education Abroad, Appendices A and B
<ul style="list-style-type: none"> Faculty and Staff Teaching, Research, and Outreach 	<ul style="list-style-type: none"> Board of Regents Policy: International Education, Research, and Outreach Administrative Policy: Traveling on University Business Foreign Corrupt Practices Act
<ul style="list-style-type: none"> Collaboration with International Institutions 	<ul style="list-style-type: none"> Board of Regents Policy: International Education, Research, and Outreach

General Compliance Question(s)

1. How is compliance in this area monitored and how frequently?
2. What are the current compliance risks in this area (lack of monitoring, lack of resources, education, etc.)?

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3. Estimate the number of allegations of misconduct (violation of law, rule, regulation or University policy) that are received annually related to non-compliance, excluding those allegations filed through the UReport system.
4. Explain any audit findings (federal, state, internal, etc.) from the past three years. **OIA April 2018 re: Global Programs and Strategy Alliance**
5. What are the emerging compliance risks in this area?

Cost of Compliance Measurement Questions

1. How many employees (FTEs) are dedicated to compliance-related activities in this area?
2. What is spent annually, on average, to perform the compliance-related activities conducted by this unit? Please include only those items that require the purchase of goods or services from an outside entity such as outside consulting services, equipment purchases, non-routine supplies, or fees.
3. Please list all training required to maintain University compliance in this subject area. For each training requirement:
 - a. Identify the primary source of the requirement as (1) federal law, (2) state law, (3) administrative regulations, or (4) University policy.
 - b. Identify categories of individuals (e.g., faculty, P&A, students, contractors, etc.) required to take the training.
 - c. Estimate the number of employees in each category required to take the training.
 - d. Identify the frequency (e.g., quarterly, annually) and the length of the training (e.g., 1.5 hours).
4. Estimate the number of employees system-wide who are subject to the compliance requirements in this area.
5. Excluding time required to meet training requirements addressed in Question 3 above, please estimate the time required annually for these employees to comply with other compliance requirements (e.g., record keeping, monitoring, testing, reporting).

International Experience for Students

1. Minnesota Statute 5.41. How is reportable information captured?

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2. Administrative Policy: Student Travel and Education Abroad: Health and Safety
 - a. How many Campus-wide programs in 2019 fall under the four levels of facilitation (notifying, supporting, promoting, and organizing)?
 - b. Does your Office know daily the details (number, names, contact info) of students and faculty are engaged in a Study Abroad Program? If so, (1) how is this tracked and (2) who has access to the information?
3. Administrative Procedure: Preparing for Travel and Education Abroad (Students)
 - a. Explain your Office's standard procedures to ensure each student working through your Education Abroad Office completes the six application, confirmation and pre-departure requirements.
 - b. Explain your Office's standard procedures to ensure each student not working through your Education Abroad Office completes the six application, confirmation and pre-departure requirements.
4. Administrative Procedure: Preparing for Student Travel and Education Abroad (Units)
 - a. Explain your Office's standard procedures to monitor unit compliance with the seven steps identified in this Procedure.
 - b. Does your Office conduct program site visits?
 - c. Does your Office follow the Forum on Education Abroad Code of Ethics for Education Abroad?
 - d. Regarding this Procedure's additional requirements of Education Abroad Offices:
 - i. How do you ensure each student is enrolled in the USDOS STEP prior to travel?
 - ii. What standard procedures are used for the student health disclosure form and process?
 1. How is this information stored and protected?
 2. How is this information shared to support the student's needs abroad?
 - iii. Has your Office supported a student under the age of 18 within the past twelve months?
 - iv. What process do you use to review student applicant conduct

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records?

- v. How do you ensure Program leader requirements are met?
- vi. How do you ensure Program leaders are “adequately trained to support the student program”?
- vii. How do you conduct “due diligence” reviews of affiliates, providers, and/or programs prior to promotion?

5. Administrative Procedure: Travel Approval (ITRACC)

- a. How many applications have been received by an organizing unit since this procedure was amended in October 2014?
- b. How many applications from a student have been received since this procedure was amended in October 2014?
- c. What are the results of the matters reviewed by the ITRAAC since October 2014?
- d. How many times has the ITRAAC suspended travel since October 2014?
- e. How many instances have students traveled without ITRAAC approval?

Faculty and Staff Teaching, Research, and Outreach

- 1. Does GPS Alliance/your Campus compile data regarding faculty and staff teaching, research, and outreach internationally?

Collaboration with International Institutions

- 1. How many agreements does the University of Minnesota/your Campus have with international institutions?
 - a. Where do these agreements reside?
 - b. Do these agreements receive periodic reviews?
 - c. Who has delegated authority to sign agreements with international universities, institutions, and organizations?
- 2. How are the activities undertaken pursuant to these agreements defined and tracked?

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Foreign Corrupt Practices Act

1. How are University employees engaged in international activities trained on this Act?

SAMPLE

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