

## Appendix A

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## List of Recommendations

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- Recommendation 1-1** We recommend the School of Medicine and Health Sciences comply with state laws regarding the purpose and duties of the medical school or take appropriate action to modify state laws.
- Recommendation 1-2** We recommend the School of Medicine and Health Sciences ensure their mission statement is consistent with legislative intent established in state law.
- Recommendation 1-3** We recommend the School of Medicine and Health Sciences, in conjunction with the Medical Center Advisory Council, make improvements with the Medical Center Loan Fund. At a minimum, the School should:
- a) Take appropriate action to increase the maximum loan amount;
  - b) Ensure the interest rate charged does not exceed the maximum rate established by state law; and
  - c) Ensure proper authority exists to operate a permanent revolving loan fund or take appropriate steps to comply with state law.
- Recommendation 1-4** We recommend the School of Medicine and Health Sciences establish a formal process to ensure compliance with state laws. This process should include a periodic review to ensure laws are not outdated, and a plan to take appropriate action to update laws if necessary.
- Recommendation 1-5** We recommend the Medical Center Advisory Council comply with requirements within North Dakota Century Code Chapter 15-52 and, at a minimum:
- a) Advise, consult, and make recommendations related to the School of Medicine and Health Sciences;
  - b) Meet at least the number of times required by state law; and
  - c) Study, consider, and formulate plans for facilitating and implementing, through the School of Medicine and Health Sciences, a unified program for the improvement and maintenance of the health of the people of the state or take appropriate action to modify the state law.
- Recommendation 2-1** DJW recommends the School of Medicine and Health Sciences investigate increasing the number of residency and fellowship positions supported by Medicare Direct Medical Education (DME) and Indirect Medical Education (IME) and carefully review any plans to increase residency or fellowship positions with the Residency Review Committee requirements.
- Recommendation 2-2** DJW recommends the School of Medicine and Health Sciences develop its clinical research programs for the school to be competitive for a Clinical and Translational Science Award (CTSA). This will require additional financial support.

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- Recommendation 2-3** DJW recommends the School of Medicine and Health Sciences provide additional incentives to encourage and reward faculty to commercialize intellectual property arising out of their research.
- Recommendation 2-4** DJW recommends the University of North Dakota continue the arrangement under which the School of Medicine and Health Sciences shares in 80% of the indirect cost pool above the fixed base of \$330,000.
- Recommendation 2-5** DJW recommends the School of Medicine and Health Sciences develop a culture within the school in which major management decisions begin with a formal, internal review process with all key partners and an attempt to build a consensus to support the desired outcome.
- Recommendation 2-6** DJW recommends the University of North Dakota undertake a financial review by an outside firm of all School of Medicine and Health Sciences programs to review how information is tracked, used, and presented to assist in providing appropriate information to the entire management team of the school and to ensure the financial viability of the school in comprehensive but understandable financial statements.
- Recommendation 3-1** We recommend the School of Medicine and Health Sciences establish specific performance measure for monitoring the effectiveness of the operations of the school. Appropriate benchmarks or other standards to measure the school's performance should be identified.
- Recommendation 3-2** We recommend the School of Medicine and Health Sciences make improvements to their "Annual Report" document to make it user friendly and provide for a reasonable means of measuring the performance of the school or establish a better tool to measure the school's performance.
- Recommendation 3-3** We recommend the School of Medicine and Health Sciences formally review the organizational structure and reporting relationships and make the appropriate changes to ensure the structure becomes more efficient and effective. At a minimum, changes should be made to:
- a) Ensure employees are only reporting to one supervisor;
  - b) Establish an organizational chart for each department;
  - c) Ensure managers/supervisors are only responsible for a reasonable number of employees; and
  - d) Have the organizational chart reflect actual responsibilities of employees.
- Recommendation 3-4** We recommend the University of North Dakota ensure areas identified as requiring improvement are adequately addressed, documented, and monitored in the evaluation process of the Dean of the School of Medicine and Health Sciences.

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- Recommendation 3-5** We recommend the School of Medicine and Health Sciences modify their policy related to faculty reviews and evaluations and ensure it complies with State Board of Higher Education and the University of North Dakota policies.
- Recommendation 3-6** We recommend the School of Medicine and Health Sciences make improvements with the faculty evaluation process. At a minimum, the school should:
- a) Complete evaluations on an annual basis in order to comply with State Board of Higher Education and University of North Dakota policies;
  - b) Require signatures on all documents placed in personnel files to ensure compliance with state law; and
  - c) Ensure student survey results used in the evaluation process are obtained from an independent source.
- Recommendation 3-7** We recommend the School of Medicine and Health Sciences conduct regular, full-time staff employee evaluations within established timelines.
- Recommendation 3-8** We recommend the School of Medicine and Health Sciences take appropriate steps to ensure the school provides accurate information.
- Recommendation 3-9** We recommend the School of Medicine and Health Sciences comply with motions passed by the State Board of Higher Education.
- Recommendation 3-10** We recommend the School of Medicine and Health Sciences comply with State Board of Higher Education and University of North Dakota purchasing policies and procedures.
- Recommendation 3-11** We recommend the School of Medicine and Health Sciences discontinue splitting invoices and ensure the Purchasing Office of the University of North Dakota is appropriately used.
- Recommendation 3-12** We recommend the School of Medicine and Health Sciences ensure training is provided to employees on purchasing policies and procedures.
- Recommendation 3-13** We recommend the School of Medicine and Health Sciences make improvements relating to contract terms and conditions.
- Recommendation 3-14** We recommend the School of Medicine and Health Sciences comply with moving expense policies and procedures.
- Recommendation 3-15** We recommend the School of Medicine and Health Sciences make improvements to the moving allowance terms and conditions included in the offer of employment letters. The school should, at a minimum:
- a) List all moving restrictions and conditions;
  - b) Establish a reasonable number of moving days allowed; and
  - c) Ensure compliance with established parameters.

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- Recommendation 3-16** We recommend the School of Medicine and Health Sciences effectively review support for expenditures prior to submitting such information for processing.
- Recommendation 3-17** We recommend the departments of the School of Medicine and Health Sciences make improvements with the processes used in monitoring their budget and financial transactions. At a minimum, the departments should receive training on PeopleSoft and all of its financial related features, functions, and capabilities in an attempt to discontinue using other financial software for monitoring budget and financial transactions.
- Recommendation 3-18** We recommend the School of Medicine and Health Sciences process reports reflecting employees' time charged to federal grants in a more timely fashion. If these reports cannot be processed more timely, another mechanism (timesheets, log books, etc.) will need to be established.
- Recommendation 3-19** We recommend the School of Medicine and Health Sciences establish a formal policy regarding Academic Achievement Waivers.
- Recommendation 3-20** We recommend the School of Medicine and Health Sciences formally review the nonresident tuition rates to make a determination as to whether the rates should be increased.
- Recommendation 3-21** We recommend the School of Medicine and Health Sciences submit the necessary information to the state Department of Labor to obtain formal verification of the employee/independent contractor status of workers not being paid through payroll.
- Recommendation 3-22** We recommend the School of Medicine and Health Sciences no longer directly hire individuals named in grant applications. The school should either:
- a) Work with the University of North Dakota's Office of Human Resources to establish formal procedures for the temporary appointment of individuals named in grant applications; or
  - b) Use a competitive hiring process.
- Recommendation 3-23** We recommend the School of Medicine and Health Sciences conduct a formal review in an attempt to find a pediatric rotation site in a less expensive location.
- Recommendation 3-24** We recommend the School of Medicine and Health Sciences, in conjunction with the Medical Center Advisory Council, develop additional incentives and continue to take appropriate steps for keeping graduating students within the state.