



UNT | SYSTEM™

Board of Regents Schedule of Events

May 19-20, 2016

University of North Texas System Building
1901 Main St, Room 712 A&B
Dallas, TX 75201

Thursday, May 19, 2016

9:00 am CONVENE FULL BOARD

CHANCELLOR'S REMARKS

- Accomplishments this Spring
- Contracting and Improvement Initiatives
- Summer and Fall 2016 Progress

PRESENTATION OF CERTIFICATE OF APPRECIATION

- UNT System Board of Regents: Presentation of Certificate of Appreciation to Student Regent Courtney Haning

Recess Full Board to Strategic and Operational Excellence Committee.

9:15 am STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE

Call to Order

- Approval of minutes of the February 25, 2016 meeting

Briefings:

UNT System Administration and Institutional Strategic Plan Review

- Lee Jackson, UNTS, Chancellor
- Neal Smatresk, UNT, President
- Michael Williams, UNTHSC, President
- Bob Mong, UNTD, President

Business Process Improvements – UNTHSC Continuous Improvement

- Stephen Barrett, UNTHSC, VP of Operations

BACKGROUND MATERIAL

- Strategic Plan Reports
- Quarterly Operations Report (*Revised material – 05.16.16*)

Adjourn Strategic & Operational Excellence Committee.

10:30 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Call to Order

- Approval of minutes of the February 25-26, 2016 meeting

Briefings:

Overview of Program Performance Assessment (Calendar Topic)

- Lee Jackson, UNTS, Chancellor
- Rosemary Haggett, UNTS, VC for Academic Affairs & Student Success

Commit!: Lifting Educational Outcomes for 750,000 Students

- Todd Williams, Commit!, Executive Director
- Sagar Desai, Commit!, Chief Operating Officer

The Commit! Partnership with UNT Dallas

- Bob Mong, UNTD, President
- John Gasko, UNTD, Dean of Education

BACKGROUND MATERIAL:

- Quarterly Academic Measures Report (*Revised material – 05.18.16*)
- UNT System Institutions Academic Program Inventory

Recess Academic Affairs and Student Success Committee.

12:00 pm LUNCH

1:00 pm FINANCE AND FACILITIES COMMITTEE

Call to Order

- Approval of minutes of the February 25-26, 2016 meeting

Briefings:

Budget to Actual Performance (Calendar Topic)

- Janet Waldron, UNTS, VC for Finance

Financial Transformation Update

- Overview: Janet Waldron, UNTS, VC for Finance
- Reconciliation Status: Dan Stephens, UNTS, AVC & Controller
- IT Security Work: Robert Jones, UNTS, ERP Application Development Director

- Staff Training Plan: Donna Asher, UNTS, AVC Business Services
- Board Governance/Education: Shawn Kilchrist, Deloitte, Advisory Director
- Internal Audit Update: Tracy Grunig, UNTS, Chief Audit Executive

Advancement Opportunities at the Dallas Municipal Building

- Lee Jackson, UNTS, Chancellor
- Bob Mong, UNTD, President
- Judge Royal Furgeson, UNTD, Dean of the College of Law

BACKGROUND MATERIAL

- Quarterly Operations Report (*Revised material – 05.16.16*)

Recess Finance and Facilities Committee.

3:00 pm AUDIT COMMITTEE

Call to Order

- Approval of minutes of the February 25-26, 2016 meeting

Briefing:

Quarterly Report of Audit Activities

- Tracy Grunig, UNTS, Chief Audit Executive

BACKGROUND MATERIAL:

- UNT System Consolidated Quarterly Compliance Report, December 2015 through February 2016

Adjourn Audit Committee.

4:00 pm EXECUTIVE SESSION

Government Code, Chapter 551, Section .071 - Consultation with Attorneys Regarding Legal Matters or Pending and/or Contemplated Litigation or Settlement Offers

- Consultation with counsel regarding confidential legal matters, including pending, threatened, and contemplated litigation or settlement offers
- Consultation with counsel regarding legal obligations related to tenure and tenure revocation proceedings
- Consultation with counsel regarding contemplated, ongoing and/or finalized investigations and any findings, conclusions or recommendations related to those investigations
- Consultation with counsel on the status of negotiations and/or compliance with contracts and agreements, including but not limited to research grants and contracts, including legal obligations and duties and any and all related facts
- Consultation with counsel regarding legal duties and responsibilities of members of the Board of Regents, and System and University officers and employees

- Consultation with counsel regarding implementation of HB 699 regarding campus sexual assault policies, including legal aspects of Agenda Item 3

Government Code, Chapter 551, Section .074 - Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Discipline, or Dismissal of Officers or Employees

- Consideration of individual personnel matters related to the appointment, employment, evaluation, reassignment, discipline and dismissal of System and Institution officers or employees
- Consideration of individual personnel matters related to an extension of the administrative appointment of Janet Waldron, Vice Chancellor for Finance, and possible action
- Consideration of individual personnel matters related to Agenda Items 2, 5, 6, and 7

5:30 pm Reconvene the Board in Open Session (Room #712) to consider action on Executive Session items, if any

RECESS

Friday, May 20, 2016

9:00 am CONVENE FULL BOARD

Recess Full Board to Academic Affairs and Student Success Committee.

9:05 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Action Items:

3. UNTS Approval of University of North Texas, University of North Texas Health Science Center, and University of North Texas at Dallas policies related to *Prohibition of Sexual Assault and Retaliation*
4. UNTS Approval and Ratification of 2016-2017 Admission Standards for UNT System Institutions
5. UNT Approval of UNT Tenure Recommendations
6. UNTHSC Approval of UNTHSC Tenure Recommendations
7. UNTD Approval of UNT Dallas Tenure Recommendations
8. UNTD Authorize a New UNT Dallas Bachelor of Science Degree in Public Health
9. UNTD Approval of Change to UNT Dallas Mission Statement

Adjourn Academic Affairs and Student Success Committee.

9:45 am FINANCE AND FACILITIES COMMITTEE

Action Items:

- 10. UNTS Adoption of Resolution Authorizing Cash Defeasance of Series 2012A Bonds
- 11. UNTS Twenty-Second Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale, and Delivery of Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Forward Delivery Series 2018; and Approving and Authorizing Instruments and Procedures Relating Thereto
- 12. UNTS Authorization to Amend the UNTS FY16 Capital Improvement Plan to Renovate the First Floor of Sage Hall
- 13. UNT Request for Increase of the Recreational Facility Fee
- 14. UNT Delegation of Authority to Negotiate and Execute a Multi-Year Agreement for UNT with the Dallas Cowboys

Adjourn Finance and Facilities Committee.

10:15 am CONVENE THE FULL BOARD

RECESS FOR EXECUTIVE SESSION (Room #711)

Government Code, Chapter 551, Section .071 - Consultation with Attorneys Regarding Legal Matters or Pending and/or Contemplated Litigation or Settlement Offers

- Consultation with counsel regarding confidential legal matters, including pending, threatened, and contemplated litigation or settlement offers
- Consultation with counsel regarding confidential legal matters, including legal obligations related to tenure and tenure revocation proceedings

Government Code, Chapter 551, Section .074 - Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Discipline, or Dismissal of Officers or Employees

- Consideration of the recommendation to terminate for adequate cause the tenured employment of Dr. Patrick Cammarata, Professor, North Texas Eye Research Institute, UNT Health Science Center, and possible action

11:15 am CONVENE THE FULL BOARD

CONSENT AGENDA

- 1. UNTS Approval of the Minutes of the February 25-26, 2016 Board Meeting and the April 1-2, 2016 Special Called Board Meeting
- 2. UNT Approval of Tenure for New UNT Faculty Appointees

ACTION ITEMS:

- 3. UNTS Approval of University of North Texas, University of North Texas Health Science Center, and University of North Texas at Dallas policies related to *Prohibition of Sexual Assault and Retaliation*

4. UNTS Approval and Ratification of 2016-2017 Admission Standards for UNT System Institutions
5. UNT Approval of UNT Tenure Recommendations
6. UNTHSC Approval of UNTHSC Tenure Recommendations
7. UNTD Approval of Tenure Recommendation for UNT Dallas Faculty Appointees
8. UNTD Authorize a New UNT Dallas Bachelor of Science Degree in Public Health
9. UNTD Approval of Change to UNT Dallas Mission Statement
10. UNTS Adoption of Resolution Authorizing Cash Defeasance of Series 2012A Bonds
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12. UNTS Authorization to Amend the UNTS FY16 Capital Improvement Plan to Renovate the First Floor of Sage Hall
13. UNT Request for Increase of the Recreational Facility Fee
14. UNT Delegation of Authority to Negotiate and Execute a Multi-Year Agreement for UNT with the Dallas Cowboys

11:30 am ADJOURNMENT



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MINUTES

BOARD OF REGENTS Strategic and Operational Excellence Committee February 25, 2016

Friday, February 25, 2016

The Strategic and Operational Excellence Committee of the Board of Regents of the University of North Texas System convened on Thursday, February 25, 2016 in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas, with the following members in attendance: Regents Gwyn Shea, A.K. Mago, and Al Silva.

There being a quorum present, the meeting was called to order at 10:40 a.m. by Regent Gwyn Shea in the absence of Regent Milton Lee, Committee Chairman. The minutes of the November 19, 2015 Strategic and Operational Excellence Committee meeting were approved on a 3-0 vote following a motion by Regent A.K. Mago and seconded by Regent Al Silva. The **Committee Charter and Annual Schedule** were also reviewed.

The Committee had two briefings planned for this meeting. The first, **UNT System and Institutional Strategic Plans Review**, was introduced by Chancellor Lee Jackson who presented the UNT System Strategic Plan. Institutional Strategic Plans were then presented by UNT Dallas President Bob Mong, UNT President Neal Smatresk, and UNT Health Science Center President Michael Williams, respectively.

The second briefing, **Business Process Improvement – Implementation of Prior Administrative Improvement Studies Recommendations**, was delivered by Associate Vice Chancellor for Finance and Administration Donna Asher and Associate Vice Chancellor and Chief Information Officer Rama Dhuwaraha.

There being no further business, the Committee meeting adjourned at 12:30 p.m.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: March 9, 2016



Quarterly Strategic Plan Review for System and Campuses: Progress on UNT System and Institutional Strategic Plans

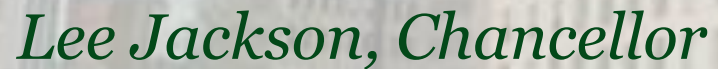
Board of Regents Meeting
Strategic & Operational Excellence Committee
May 19, 2016

The logo for the University of North Texas System, featuring the word "UNT" in a bold, green, sans-serif font, followed by a vertical bar and the word "SYSTEM" in a black, serif font with a trademark symbol.

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The main title of the document, "UNT System Strategic Planning", written in a large, black, serif font, centered on the page.

UNT System Strategic Planning

The name of the Chancellor, "Lee Jackson, Chancellor", written in a smaller, green, italicized serif font below the title.

Lee Jackson, Chancellor

UNTS Strategic Plan At-a-Glance

| UNTS Theme | Key Goal/Initiative | Initiative Description | Milestones | Timeline | | | | |
|---|--|--|--|----------|----------|----------|----------|----------|
| | | | | 1st Year | 2nd Year | 3rd Year | 4th Year | 5th Year |
| UNTS Theme: STUDENT SUCCESS Create a culture where every student is prepared to succeed. | Key Goal/Initiative: 1. U.P.12: Close the gap of success for all students by ensuring all students are prepared to succeed. | 1.1 Develop a shared vision for student success, aligned with the UNT System's strategic plan, and ensure all programs are U.P.12 compliant. | 1.1.1 Develop a shared vision for student success, aligned with the UNT System's strategic plan, and ensure all programs are U.P.12 compliant. | | | | | |
| | Key Goal/Initiative: 2. U.P.12: Close the gap of success for all students by ensuring all students are prepared to succeed. | 2.1 Develop and implement a shared vision for student success, aligned with the UNT System's strategic plan, and ensure all programs are U.P.12 compliant. | 2.1.1 Develop and implement a shared vision for student success, aligned with the UNT System's strategic plan, and ensure all programs are U.P.12 compliant. | | | | | |
| UNTS Theme: FACULTY DEVELOPMENT Enhance the quality of the faculty and support their professional growth. | Key Goal/Initiative: 1. U.P.12: Enhance the quality of the faculty and support their professional growth. | 1.1 Establish a faculty development program that includes all faculty members and supports their professional growth. | 1.1.1 Establish a faculty development program that includes all faculty members and supports their professional growth. | | | | | |
| | Key Goal/Initiative: 2. U.P.12: Enhance the quality of the faculty and support their professional growth. | 2.1 Develop and implement a faculty development program that includes all faculty members and supports their professional growth. | 2.1.1 Develop and implement a faculty development program that includes all faculty members and supports their professional growth. | | | | | |
| | Key Goal/Initiative: 3. U.P.12: Enhance the quality of the faculty and support their professional growth. | 3.1 Develop and implement a faculty development program that includes all faculty members and supports their professional growth. | 3.1.1 Develop and implement a faculty development program that includes all faculty members and supports their professional growth. | | | | | |
| | Key Goal/Initiative: 4. U.P.12: Enhance the quality of the faculty and support their professional growth. | 4.1 Develop and implement a faculty development program that includes all faculty members and supports their professional growth. | 4.1.1 Develop and implement a faculty development program that includes all faculty members and supports their professional growth. | | | | | |
| UNTS Theme: INSTITUTIONAL EFFECTIVENESS Measure and improve the quality of the institution. | Key Goal/Initiative: 1. U.P.12: Measure and improve the quality of the institution. | 1.1 Establish a system of institutional effectiveness that includes all departments and supports continuous improvement. | 1.1.1 Establish a system of institutional effectiveness that includes all departments and supports continuous improvement. | | | | | |
| | Key Goal/Initiative: 2. U.P.12: Measure and improve the quality of the institution. | 2.1 Develop and implement a system of institutional effectiveness that includes all departments and supports continuous improvement. | 2.1.1 Develop and implement a system of institutional effectiveness that includes all departments and supports continuous improvement. | | | | | |
| UNTS Theme: COMMUNITY ENGAGEMENT Engage the community and support the institution's mission. | Key Goal/Initiative: 1. U.P.12: Engage the community and support the institution's mission. | 1.1 Develop a community engagement program that includes all departments and supports the institution's mission. | 1.1.1 Develop a community engagement program that includes all departments and supports the institution's mission. | | | | | |
| | Key Goal/Initiative: 2. U.P.12: Engage the community and support the institution's mission. | 2.1 Develop and implement a community engagement program that includes all departments and supports the institution's mission. | 2.1.1 Develop and implement a community engagement program that includes all departments and supports the institution's mission. | | | | | |
| UNTS Theme: FINANCIAL STEWARDSHIP Manage the institution's resources effectively. | Key Goal/Initiative: 1. U.P.12: Manage the institution's resources effectively. | 1.1 Develop a financial stewardship program that includes all departments and supports the institution's mission. | 1.1.1 Develop a financial stewardship program that includes all departments and supports the institution's mission. | | | | | |
| | Key Goal/Initiative: 2. U.P.12: Manage the institution's resources effectively. | 2.1 Develop and implement a financial stewardship program that includes all departments and supports the institution's mission. | 2.1.1 Develop and implement a financial stewardship program that includes all departments and supports the institution's mission. | | | | | |

UNTS Initiatives 1.1 & 2.1 & Metrics

| Initiatives | Measures | 5 Year Target |
|--|---|---------------|
| <p>1.1 Require clear goals for each academic, student support, and research program on UNTS campuses, working closely with Presidents, Provosts, and other leaders to establish clear understanding of targets for above average peer performance in the areas most important to each program. (UNTS VC: Haggett) (08/31/21)</p> | <p>M: Certify goals for all programs</p> | <p>100%</p> |
| <p>2.1 Develop and maintain a formal assessment with each campus annually to review progress and promote innovation opportunities (UNTS VC: Haggett) (08/31/21)</p> | <p>M: Formal progress assessments completed each year</p> | <p>1</p> |

Initiative 4.1:

Manage total expenditures by establishing meaningful measures in each higher education expenditure category and reporting consistently.

4.1.1 → Implement an industry focused accounting and budget quality control program for financial transaction processing and reporting.

Supporting Actions:

- Include “Function” field in new Chart of Accounts based on NACUBO (National Association of College and University Business Officers) expenditure categories.
- Develop data definitions in collaboration with functional teams from UNTS and each component institution.
- Develop and establish a training program.
- Develop and present budgets by NACUBO function.
- Use common definitions in financial transaction processing and reporting.
- Develop process for review of transaction classification.

Initiative 4.1:

Manage total expenditures by establishing meaningful measures in each higher education expenditure category and reporting consistently.

4.1.2 → Demonstrate cost-effectiveness and value across System service teams.

Supporting Actions:

- In collaboration with each component institution, create informative measures that provide leadership with critical financial performance information.
- In collaboration with each component institution, create a dashboard reporting tool that provides internal and external leadership with critical financial and performance metrics.

Progress Update

- The new Chart of Accounts allows for coding expenditures by NACUBO (National Association of College and University Business Officers) classification.
- Initial Chart of Accounts training included discussion of NACUBO classification expectations.
- System-wide functional teams are refining data definitions for consistent reporting.
- Detailed training is being planned.
- End goal is to strengthen financial reporting by NACUBO classification for tracking and benchmarking.

UNT Strategic Planning

Neal Smatresk, President

Discussion of Strategic Plan Changes

UNT Strategic Initiatives

4.1 - Increase philanthropic support

4.2 - Increase number of donors

6.5 - Increase the number of National Merit Scholars

| | |
|---|--------|
| • National Merit Scholars Donors <i>(President's Leadership Board)</i> | \$761k |
| • Sponsorships / Ticket Sales | \$141k |
| • Gifts raised at event | \$ 48k |
| <hr/> | |
| Total | \$950k |



UNT Strategic Initiatives

1.4 - Review and improve comparative status and rankings of academic programs



In March 2016, *U.S. News and World Report* ranked several UNT graduate school programs as some of the finest in the nation.

In all, **seven UNT graduate programs made the top 50 list for 2017 Best Graduate Schools.**



Top 50 Programs

UNT is listed among the Top 50 Programs in the 2017 *US News & World Report* graduate program rankings, included are:

| | Rank |
|------------------------------------|------|
| • Health Librarianship | 6 |
| • School Library Media | 8 |
| • City Management and Urban Policy | 13 |
| • Rehabilitation Counseling | 15 |
| • Library and Information Studies | 21 |
| • Public Management Administration | 29 |
| • Audiology | 48 |



Top 100 Programs

UNT has additional rankings among the Top 100 Programs in the 2017 *US News & World Report* which include:

| | Rank |
|--|------|
| • Fine Arts - Graduate Program | 59 |
| • Political Science - Graduate Program | 61 |
| • Public Affairs - Graduate Program | 63 |
| • Materials Engineering - Graduate Program | 86 |



Top Online Programs

In January 2016, U.S. News and World Report ranked online programs.

- Master of Business Administration ranked 15th of 228
- Master of Criminal Justice program tied for 18th of 54
- UNT's online bachelor's programs tied for 86th of 301

Other Recent Rankings

Since February of 2016 include:

- UNT is the only public school in Texas to be listed as a member of the inaugural Excellence in Community College Transfer Honor Roll by Phi Theta Kappa.
- UNT is ranked 32nd of 250 on *Forbe's* 2016 list of Best Mid-Size Employers in the U.S. with more than 1,000 employees.
- For 8th consecutive year, the Arbor Day Foundation has honored UNT as a Tree Campus USA University for its dedication to campus forestry management and environmental stewardship.



College of Visual Arts & Design

The online animation, graphic design and game art school rating resource Animation Career Review [ACR] released its Dec. 2015 rankings

- Of the top 10 graphic design schools and colleges in the southwest, UNT ranked 1st
- Of the top 25 public graphic design schools and colleges in the nation, UNT ranked 5th
- Of the top 50 graphic design schools and colleges in the nation, UNT ranked 22nd

UNT Strategic Initiatives

6.2 - Implement robust CRM and marketing automation software

- **MAP LAUNCH – 04/14/2016**
- **CRM LAUNCH – 05/11/2016**

UNT Strategic Initiatives

1.1 - Establish off-site instructional facilities

- **FRISCO**

2.2 - Strengthen faculty in key established and emerging areas

- **HIRING RESEARCHERS**

Challenges

5.2 - Work with UNT System to improve shared and campus administrative functions to develop high quality services and data systems

- **DATA WAREHOUSE**
- **FINANCIAL TRANSFORMATION**

UNT Health Science Center Strategic Planning

Michael Williams, President

Discussion of Strategic Plan Changes

Key Objective 2.2: Increase Number of GME Slots by Adding New GME Programs

- Increased 5-Year target to 450 residency slots
- Residency slots being converted from AOA to ACGME
- Submitting Request For Applications for 9 programs

Key Objective 2.5: Increase Philanthropy

- On-track to finish FY16 with \$6-\$8M of “cash in the door”
- MD school commitments on-track
- Several new endowed scholarships established
- MD School naming gift verbally committed but unlikely to be confirmed until 9/16 or 10/16

Key Objective 4.1: Create Nationally Recognized Best Place To Work Environment

- Changed measure to “Number of Best Place to Work campus initiatives” to better reflect intent and measure progress
- Recognized by Ft Worth Business Press
- Two initiatives underway for 2016 – on-site daycare and wellness initiatives
- Team member engagement baseline established – 52% engaged or highly engaged vs 30% national average

UNT Dallas Strategic Planning

Bob Mong, President

Discussion of Strategic Plan Changes

One Year Enrollment Targets

| | FY 16 | FY 17 | Increase (%) |
|-----------------------|--------|--------|--------------|
| Headcount (Fall) | 2,488 | 3,000 | 21% |
| Semester Credit Hours | 58,102 | 70,059 | 21% |

(Includes College of Law)

Leading Indicators

- Institutional Student Information Report's (ISIR's):
 - 3,065 (FY16)
 - 10,681 (FY 17 as of 5/2/16)
- Transfer Students
 - 163 applications ahead of last year (41% increase)
 - 214 admitted students ahead of last year (81% increase)
- Freshman:
 - 40 more students admitted over last year (3%)
 - Due to demand, adding additional orientation sessions

Plans To Reach Target Enrollment

- Increase articulation agreements with community colleges
- Expand community outreach (High Schools, Churches, Not for Profits, etc.)
- Escalate experiential learning initiatives
- Strategically market programs and improve public relations
- Reorganized enrollment management
- Improve retention rates
- Admit third cohort of law students

Plans To Reach Target Enrollment

- College of Education
 - Enthusiastic Dean began employment
 - Pursue gold standard accreditations
 - Develop philanthropic plan to raise funds to initiate “grow-your-own” teacher pipelines
- College of Business
 - Launch the hospitality management program
 - Implement graduate level accounting options
 - Embed professional certification opportunities in existing programs

Plans To Reach Target Enrollment

- School of Human Services
 - Restructure the HSML undergraduate program
 - Complete CACREP Accreditation for the Masters in Counseling Program
 - Pursue CDFS and HSML accreditation process
- School of Liberal Arts and Sciences
 - Launch KJAG student radio
 - Expand programs (BAAS, Spanish, MA's in Psychology and Sociology)
 - Enhance Public Health programs throughout the DFW area



Business Process Improvements: UNTHSC Continuous Improvement

Stephen Barrett, Vice President, Operations

May 19, 2016



Continuous Improvement

- Continuous Improvement is a values-based process based on two important principles:
 - Respect for people
 - Continuous and consistent improvement to help us reach our 2020 strategic goals
- Continuous Improvement eliminates unnecessary work and empowers teammates to spend their time on more fulfilling efforts that create solutions for a healthier community

Continuous Improvement

- Transforming Solutions, Inc. (TSI)
 - Three (3) pilot projects
 - Budgeting
 - Contract Administration
 - Hiring
 - Training
 - 17 Internal Team Members

Budgeting

- Findings
 - Lack of transparency, limited surplus funds for reserves and strategic projects
- Recommendation
 - Build in milestones for communication, implement Zero-Based Budgeting (ZBB)
- Status
 - ZBB on hold for this year due to timing, beginning to implement communication and schedule changes
- Measure
 - Budget process satisfaction, on time budget development, available reserves and strategic funding
- Target
 - FY 2017 budget completed on time with improved satisfaction, ZBB implemented for FY 2018 budget cycle

Contract Administration

- Findings
 - Limited contract management system, limited understanding of process metrics (KPI, SLA's), inconsistent use of policy and procedures
- Recommendation
 - Implement new contract management system, develop KPI & SLA's, improve contract training, website improvements
- Status
 - New contracts system selected and beginning implementation, implemented Contracts 101 and quarterly roundtable
- Measure
 - Contract approval time, contract process satisfaction, contract compliance
- Target
 - < 50% reduction in approval time, improved satisfaction, 100% compliance

Hiring

- Findings
 - Wide variance in time to fill positions, limited process measurement
- Recommendation
 - Implement Talent Acquisition Management System (TAMS) in PeopleSoft, apply more structure to application process, additional process / policy work on position management
- Status
 - Exploring being pilot group for TAMS, developing training and providing hiring tool kit for hiring managers
- Measure
 - Time to fill position, process satisfaction, implement TAMS
- Target
 - Average time to fill a position is 45 days, improved satisfaction, successful implementation of TAMS

Additional Projects

- Two (2) complex projects
 - Clinical Education, Rotation Management (3rd & 4th Year)
 - Grants and Contracts
- Three (3) rapid improvement projects
 - Seniors Assisting in Geriatric Education (SAGE)
 - Records Management
 - Project Prioritization
















Next Steps



- Develop governance structure
- Hire two (2) FTE's
- Additional training
- Kickoff two (2) new projects

UNT System Administration Strategic Plan At-a-Glance

| UNTS Theme | Key Objectives | Initiatives | Measures | Baseline | 2016 | Targets | | | |
|---|---|---|---|----------|------|---------|--------|----------|----------|
| | | | | | | 2 Year | 5 Year | Optional | Optional |
| LEARNING & DISCOVERY: Create and continuously improve vibrant and innovative academic communities | 1. UNTS: Guide and support high performing standards and goals for every academic, research, and clinical program (UNT System) (08/31/31) | 1.1 Require clear goals for each academic, student support, and research program on UNTS campuses, working closely with Presidents, Provosts, and other leaders to establish clear understanding of targets for above average peer performance in the areas most important to each program. (UNTS VC: Haggett) (08/31/21) | M: Certify goals for all programs | | | | 100% | | |
| | 2. UNTS: Maintain a thorough, regular evidence-based process of consistent performance reporting and innovation to improve continuously (UNT System) (08/31/31) | 2.1 Develop and maintain a formal assessment with each campus annually to review progress and promote innovation opportunities (UNTS VC: Haggett) (08/31/21) | M: Formal progress assessments completed each year | | | | 1 | | |
| SUSTAINABLE GROWTH, FINANCE & RESOURCES: Achieve exceptional service and value for all customers including students | 3. UNTS: Instill performance standards with peer benchmarks, improvement goals, regular reporting, and customer feedback across System Administration and institutions (UNT System) (08/31/31) | 3.1 Establish service level goals and targets for all appropriate administrative and student services, measure performance against benchmark data, and assist campus officials in doing the same for key campus-based services (UNTS VC: Waldron) (08/31/21) | M: Meeting service level targets | | | | 100% | | |
| | | 3.2 Implement technology tools to track service performance on a continuing basis across all key services (UNTS VC: Waldron) (08/31/21) | M: Automate and report all service performance | | | | 100% | | |
| | | 3.3 Create a culture of service excellence. (UNTS VC: Waldron) (08/31/21) | M: Customer satisfaction with quality of service | | | | 100% | | |
| | 4. UNTS: Manage total expenditures and student-borne costs, and be able to provide a strong and sustainable value proposition for a UNTS education (UNT System) (08/31/31) | 4.1 Manage total expenditures by establishing meaningful measures in each higher education expenditure category and reporting consistently. (UNTS VC: Waldron) (08/31/21) | M: Value-added budget reporting format | | | | 100% | | |
| | | 4.2 Maintain appropriate tuition and financial aid strategies to reduce student costs to degree, constrain student debt, and maintain quality and competitive position. (UNTS VC: Waldron) (08/31/21) | M: Measure & report cost to degree compared to targets/peers | | | | 100% | | |
| | | 4.3 Improve financial net position. (UNTS VC: Waldron) (08/31/21) | M: # of weeks of operating cash reserves | | | | 18 | | |
| | 5. UNTS: Provide comprehensive support and guidance in core system services that are excellent, timely, cost effective, and responsive (UNT System) (08/31/31) | 5.1 Establish and maintain high performance standards for all financial management responsibilities (UNTS VC: Waldron) (08/31/21) | M: Monitor performance regularly | | | | 4 | | |
| | | 5.2 Provide services and leadership in master planning, real estate services, development and delivery of capital facilities through collaborative processes with campus leadership, achieving high functionality, cost effectiveness, and innovation. (UNTS VC: Maguire) (08/31/21) | M: Customer satisfaction with quality of service | | | | 100% | | |
| | 5.3 Provide valuable guidance to UNTS and its institutions to maintain full compliance with all relevant laws, regulations, and standards. (UNTS VC: Footer) (08/31/21) | M: Customer satisfaction with quality of service | | | | 100% | | | |
| QUALITY EXPERIENCES FOR LIFETIME SUCCESS: Provide quality experiences for lifetime success for all students | 6. UNTS: Ensure the design of quality experiential learning, leadership, and teamwork activities in all academic programs and a more comprehensive student record of experience beyond the transcript (UNT System) (08/31/31) | 6.1 Broaden the exposure of all UNTS students to career-related experiences and leadership and team-based activities. (UNTS VC: Haggett) (08/31/21) | M: Graduates with career-related experience | | | | 100% | | |
| | | 6.2 Establish a comprehensive portfolio opportunity for all students to recognize their significant achievements in addition to those reflected on transcripts (UNTS VC: Haggett) (08/31/21) | M: Percentage of students utilizing student portfolio product | | | | 100% | | |
| | 7. UNTS: Develop alumni engagement through student mentorships, alumni surveys, and alumni education opportunities (UNT System) (08/31/31) | 7.1 Promote the building of broader alumni participation in student support programs and continuing educational opportunities. (UNTS VC: Haggett) (08/31/21) | M: Yearly percentage increase in alumni engagement | | | | 10% | | |
| PEOPLE & TEAMWORK: Develop the fullest potential of every team member | 8. UNTS: Establish a culture of employee engagement, assessment and satisfaction (UNT System) (08/31/31) | 8.1 Create a culture of leadership collaboration, empowerment, and accountability. (UNTS VC: Waldron) (08/31/21) | M: Leadership training program participation | | | | 100% | | |
| | | 8.2 Regularly assess employee engagement and satisfaction and incorporate findings into all evaluations of administrators. (UNTS VC: Waldron) (08/31/31) | M: % employee engagement and satisfaction | | | | 100% | | |
| | 9. UNTS: Become a "Best Place to Work" (UNT System) (08/31/31) | 9.1 Select an externally sponsored Best Place to Work program and become recognized. (UNTS VC: Waldron) (08/31/31) | M: Recognition by Best Place to Work program | | | | 100% | | |

UNT System Administration Strategic Plan: FY17 Scorecard

| KPIs | EOY Target | EOY Variance | YTD Target | YTD Variance | YTD Actual | Status |
|---|------------|--------------|------------|--------------|------------|---|
| 1.1 Require clear goals for each academic, student support, and research program on UNTS campuses, working closely with Presidents, Provosts, and other leaders to establish clear understanding of targets for above average peer performance in the areas most important to each program. | 20% | -20% | | 0% | |  As of 03/18/16 |
| 2.1 Develop and maintain a formal assessment with each campus annually to review progress and promote innovation opportunities | 1 | -1 | | 0 | |  As of 03/18/16 |
| 3.1 Establish service level goals and targets for all appropriate administrative and student services, measure performance against benchmark data, and assist campus officials in doing the same for key campus-based services | | 0% | | 0% | |  As of 03/18/16 |
| 3.2 Implement technology tools to track service performance on a continuing basis across all key services | 20% | -20% | | 0% | |  As of 03/18/16 |
| 3.3 Create a culture of service excellence | 80% | -80% | | 0% | |  As of 03/18/16 |
| 4.1 Manage total expenditures by establishing meaningful measures in each higher education expenditure category and reporting consistently. | | 0% | | 0% | |  As of 03/18/16 |
| 4.2 Maintain appropriate tuition and financial aid strategies to reduce student costs to degree, constrain student debt, and maintain quality and competitive position. | | 0% | | 0% | |  As of 03/18/16 |
| 4.3 Improve financial net position. | | 0 | | 0 | |  As of 03/18/16 |
| 5.1 Establish and maintain high performance standards for all financial management responsibilities | 4 | -4 | | 0 | |  As of 03/18/16 |
| 5.2 Provide services and leadership in master planning, real estate services, development and delivery of capital facilities through collaborative processes with campus leadership, achieving high functionality, cost effectiveness, and innovation. | | 0% | | 0% | |  As of 03/18/16 |
| 5.3 Provide valuable guidance to UNTS and its institutions to maintain full compliance with all relevant laws, regulations, and standards. | | 0% | | 0% | |  As of 03/18/16 |
| 6.1 Broaden the exposure of all UNTS students to career-related experiences and leadership and team-based activities | | 0% | | 0% | |  As of 03/18/16 |
| 6.2 Establish a comprehensive portfolio opportunity for all students to recognize their significant achievements in addition to those reflected on transcripts | | 0% | | 0% | |  As of 03/18/16 |
| 7.1 Promote the building of broader alumni participation in student support programs and continuing educational opportunities | 10% | -10% | | 0% | |  As of 03/18/16 |
| 8.1 Create a culture of leadership collaboration, empowerment, and accountability | | 0% | | 0% | |  As of 03/18/16 |


















| | | | | | | |
|---|--|----|--|----|--|---|
| 8.2 Regularly assess employee engagement and satisfaction and incorporate findings into evaluations of all administrators | | 0 | | 0 | |  As of 03/18/16 |
| 9.1 Select an externally sponsored Best Place to Work program and become recognized. | | 0% | | 0% | |  As of 03/18/16 |






 Not Started
 Deferred
 On Target
 Off Target
 Waiting on Someone
 Critical
 Achieved



UNT - Institutional Strategic Plan At A Glance

| | | | | | Sep-Aug 2015-2016 | Sep-Aug 2017-2018 | Sep-Aug 2020-2021 | Sep-Aug 2025-2026 | Sep-Aug 2030-2031 |
|---|---|---|---|------|-------------------|-------------------|-------------------|-------------------|-------------------|
| UNTS Theme | UNT Key Objectives | UNT Initiatives | UNT Measures | | FY16 | FY18 | FY21 | FY26 | FY31 |
| LEARNING & DISCOVERY: Create and continuously improve vibrant and innovative academic communities | 1. UNT: Strengthen the quality, numbers and accessibility of academic offerings to address evolving student and regional economic and workforce needs. | 1.1 Establish off-site instructional facilities - Finley Graves (8/31/21) | M: total # of off-site instructional facilities | | 2 | 4 | 5 | 5 | 5 |
| | | 1.2 Increase SCH through distance education offerings - Finley Graves (8/31/21) | M: total # distance education SCH | | 157,481 | 173,458 | 198,165 | 239,889 | 271,674 |
| | | 1.3 Achieve re-accreditation through the Southern Association of Colleges and Schools Commission on College - Bob Brown (12/31/17) | M: % of reaccreditation process complete | | 97% | - | - | - | - |
| | | 1.4 Review and improve comparative status and rankings of academic programs - Finley Graves (8/31/31) | M: # of programs nationally ranked in top 100 in their field | | | | | | |
| | | 1.5 Evaluate and adjust academic programs within colleges and schools to address emerging needs - Finley Graves (08/31/21) | M: % of programs reviewing curricula on a 3-year cycle | | 0% | 50% | 100% | 100% | 100% |
| | 2. UNT: Enhance research activities in key established and emerging areas of strength to promote innovation, entrepreneurialism and increase research funding. | 2.1 Initiate Institutes of Research Excellence and establish functional governance model - Tom McCoy (08/31/31) | M: \$ grant revenue received annually | | 0 | \$4M | \$8M | \$13M | \$25M |
| | | 2.2 Strengthen faculty in key established and emerging areas - Tom McCoy (08/21/2021) | M: net increase in total # of additional new faculty hired in identified key areas | | 1 | 5 | 12 | 20 | 50 |
| | | 2.3 Increase private sponsored research agreements (SRAs) - Tom McCoy (08/31/21) | M: total # of new SRAs executed annually | | 2 | 6 | 12 | 17 | 25 |
| | | 2.4 Build intellectual property portfolio - Tom McCoy (08/31/31) | M: total # of new licenses executed annually | | 1 | 2 | 4 | 5 | 7 |
| | | 2.5 Optimize and expand research space - Tom McCoy (08/31/21) | M: # of square feet of research space | | 280,691 SF | 300,000 SF | 315,000 SF | 320,000 SF | 400,000 SF |
| 2.6 Establish plan and schedule for participation in Texas National Research University Fund - Tom McCoy (08/31/21) | | M: total annual restricted research expenditures as a % of \$45M | | 40% | 44% | 67% | 111% | 178% | |
| 2.7 Increase graduate student funding - Finley Graves (08/31/21) | | M: average UNT graduate stipends compared to average in OSU Graduate Stipend Study | | 109% | 110% | 112% | 113% | 115% | |
| 2.8 Align promotion and tenure standards to our national prominence goal - Finley Graves (08/31/16) | | M: % of department P&T standards reviewed and improved to aspirant standards on 5-year cycle | | 100% | - | - | - | - | |
| | | | | | Sep-Aug 2015-2016 | Sep-Aug 2017-2018 | Sep-Aug 2020-2021 | Sep-Aug 2025-2026 | Sep-Aug 2030-2031 |
| | | | | | FY16 | FY18 | FY21 | FY26 | FY31 |
| SUSTAINABLE GROWTH, FINANCE & RESOURCES: Achieve exceptional service and value for all customers including students | 3. UNT: Improve management of fiscal and physical resources to enhance efficiencies and cost savings. | 3.1 Improve financial net position - Bob Brown (08/31/21) | M: # of weeks of operating funds in reserves | | 15 | 16 | 17 | 20 | 22 |
| | | 3.2 Establish user friendly financial dashboards - Bob Brown (08/31/21) | M: # of interactive dashboards | | 2 | 5 | 7 | 9 | 15 |
| | | 3.3 Improve and expand campus physical infrastructure - Bob Brown (08/31/21) | M: % of facilities with renovation age greater than 25 years | | 69% | 67% | 65% | 58% | 50% |
| | 4. UNT: Increase key measures of engagement and fundraising. | 4.1 Increase philanthropic support - David Wolf (08/31/21) | M: total \$ annual cash received | | \$12.5M | \$14M | \$16M | \$20M | \$25M |
| | | 4.2 Increase number of donors - David Wolf (08/31/21) | M: increase the total # of donors | | 10,000 | 10,500 | 11,250 | 12,500 | 13,750 |
| | | 4.3 Expand alumni network and engagement - David Wolf (08/31/21) | M: increase total # UNT Alumni Association members | | 9,000 | 10,500 | 12,000 | 14,000 | 16,000 |
| | | 4.4 Increase new investment into UNT Foundation and University Endowments (permanent and quasi) - David Wolf (08/31/21) | M: new gift \$ additions to endowments and quasi-endowments per year | | \$3.0M | \$4.0M | \$5.5M | \$7.5M | \$10M |
| | 5. UNT: Improve student and administrative customer service. | 5.1 Implement mobile application that provides enterprise solution for most valued functions and information to current and prospective students - Shannon Goodman (08/31/18) | M: % of process complete | | 8% | 100% | - | - | - |
| | | 5.2 Work with UNT System to improve shared and campus administrative functions to develop high quality services and data systems - Bob Brown (08/31/21) | M: % of service level targets met | | 90% | 92% | 96% | 98% | 98% |
| | 6. UNT: Adopt focused strategies to improve the quality and diversity of the student population. | 6.1 Increase enrollment by developing and implementing a robust student enrollment plan - Shannon Goodman (08/31/21) | M: total # of headcount enrollment (Denton & off-site instructional facilities) | | 37,175 | 38,557 | 40,665 | 43,010 | 45,263 |
| 6.2 Implement robust CRM and marketing automation software - Shannon Goodman (08/31/18) | | M: % of process complete | | 50% | 100% | - | - | - | |
| 6.3 Achieve minority-serving institution (MSI) status - Joanne Woodard (08/31/18) | | M: % complete | | 50% | 100% | - | - | - | |
| 6.4 Achieve Hispanic-serving institution (HSI) status - Joanne Woodard (08/31/21) | | M: % complete | | 60% | 80% | 100% | - | - | |
| 6.5 Increase the number of National Merit Scholars - Shannon Goodman (08/31/21) | | M: # of new National Merit Scholars annually | | 15 | 17 | 20 | 25 | 30 | |
| 6.6 Improve the overall quality of the entering class (FTIC) - Shannon Goodman (08/31/21) | | M: % of entering FTIC students in top 25% of high school class | | 55% | 56.10% | 58.80% | 62.60% | 66.50% | |
| | | | | | Sep-Aug 2015-2016 | Sep-Aug 2017-2018 | Sep-Aug 2020-2021 | Sep-Aug 2025-2026 | Sep-Aug 2030-2031 |
| | | | | | FY16 | FY18 | FY21 | FY26 | FY31 |
| QUALITY EXPERIENCES FOR LIFETIME SUCCESS: Provide quality experiences for lifetime success for all students | 7. UNT: Foster and support student persistence and success. | 7.1 Increase retention numbers by creating a comprehensive retention program designed to identify and address students' academic and well-being - Elizabeth With (08/31/21) | M: % first year (fall-to-fall) FTIC retention | | 79.17% | 79.71% | 80.61% | 83.16% | 85.42% |
| | | 7.2 Improve 6-year graduation rate (UNT Only, cohort based) - Shannon Goodman (08/31/21) | M: % six year graduation rate | | 51.30% | 52.80% | 53.40% | 54.40% | 55.40% |
| | | 7.3 Increase degrees awarded - Shannon Goodman (08/31/21) | M: total # degrees awarded | | 8228 | 8,853 | 9,140 | 9,526 | 9,958 |
| | 8. UNT: Prepare all students to be competitive in the marketplace. | 8.1 Expand professional development and internship opportunities available to students - Finley Graves (08/31/21) | M: # of programs included in QEP | | 0 | 20 | 50 | 100 | 125 |
| | | 8.2 Establish new and expand current programs to improve student career preparedness - Elizabeth With (08/31/21) | M: % of students participating in professional development and internship opportunities | | 25% | 33% | 50% | 55% | 60% |
| | | | | | Sep-Aug 2015-2016 | Sep-Aug 2017-2018 | Sep-Aug 2020-2021 | Sep-Aug 2025-2026 | Sep-Aug 2030-2031 |
| | | | | | FY16 | FY18 | FY21 | FY26 | FY31 |
| PEOPLE & TEAMWORK: Develop the fullest potential of every team member | 9. UNT: Recruit, retain, develop and support an outstanding team of faculty and staff. | 9.1 Establish a program to improve mentoring, training and career development support for staff - Bob Brown (12/31/21) | M: % of staff participation | | 50% | 60% | 80% | 85% | 90% |
| | | 9.2 Increase participation of staff mid-level managers receiving training for upper-level responsibility - Bob Brown (08/31/21) | M: % of staff mid-level manager participation | | 10% | 20% | 30% | 35% | 35% |
| | | 9.3 Expand mentoring and career development for new full-time faculty - Finley Graves (08/31/18) | M: % new full-time faculty participating in mentoring programs | | 50% | 100% | - | - | - |
| | | 9.4 Ensure robust academic leadership development - Finley Graves (08/31/21) | M: # of faculty participating in leadership development programs | | 82 | 95 | 110 | 120 | 120 |
| | 10. UNT: Develop a common sense of purpose based on best practices | 10.1 Develop and implement a campus climate assessment process - Joanne Woodard (08/31/21) | M: % of employee engagement and satisfaction | | 25% | 50% | 100% | 100% | 100% |

UNT Strategic Plan : FY16 Scorecard

| KPIs | EOY Target | EOY Variance | YTD Target | YTD Variance | YTD Actual | Status |
|--|--------------|--------------|-------------|--------------|--------------|---|
| 1.1 Establish off-site instructional facilities | 2 | -1 | 1 | 0 | 1 |  As of 05/04/16 |
| 1.2 Increase SCH through distance education | 157,481 | 0 | 157,481 | 0 | 157,481 |  As of 05/04/16 |
| 1.3 Achieve re-accreditation through the Southern Association of Colleges and Schools Commission on Colleges (SASCOC). | 97% | 0% | 97% | 0% | 97% |  As of 05/05/16 |
| 1.4 Review and improve comparative academic/scholarship status and rankings of academic programs | | 0 | | 0 | |  As of 05/04/16 |
| 2.1 Initiate Institutes of Research Excellence and establish functional governance model | \$0 | \$0 | \$0 | \$0 | \$0 |  As of 05/03/16 |
| 2.2 Strengthen faculty in key established and emerging areas | 1 | 2 | 1 | 2 | 3 |  As of 05/04/16 |
| 2.3 Increase private Sponsored Research Agreements (SRAs) | 2 | 0 | 2 | 0 | 2 |  As of 05/04/16 |
| 2.4 Build intellectual property portfolio | 1 | 1 | 1 | 1 | 2 |  As of 05/04/16 |
| 2.5 Optimize and expand research space | 280,691 | 0 | 280,691 | 0 | 280,691 |  As of 05/04/16 |
| 2.6 Establish plan and schedule for participation in Texas National Research University Fund | 40% | -40% | 40% | -40% | |  As of 05/04/16 |
| 2.7 Increase graduate student funding | 109% | 0% | 109% | 0% | 109% |  As of 05/04/16 |
| 2.8 Align promotion and tenure standards to our national prominence goals | 100% | 0% | 100% | 0% | 100% |  As of 05/03/16 |
| 3.1 Improve financial net position | 15 | 0 | 15 | 0 | 15 |  As of 05/04/16 |
| 3.2 Establish user friendly financial dashboards | 2 | -1 | 1 | 0 | 1 |  As of 05/04/16 |
| 3.3 Improve and expand campus physical infrastructure | 69% | 0% | 69% | 0% | 69% |  As of 05/04/16 |
| 4.1 Increase philanthropic support | \$12,500,000 | \$-1,266,697 | \$9,000,000 | \$2,233,303 | \$11,233,303 |  As of 05/04/16 |
| 4.2 Increase number of donors | 10,000 | -1,738 | 6,500 | 1,762 | 8,262 |  As of 05/04/16 |

| | | | | | | |
|---|-------------|-------------|-------------|-------------|-------------|---|
| 4.3 Expand alumni network and engagement | 9,000 | 150 | 6,500 | 2,650 | 9,150 |  As of 05/04/16 |
| 4.4 Increase new investment into UNT Foundation and University Endowments (permanent and quasi) | \$3,000,000 | \$2,831,519 | \$2,250,000 | \$3,581,519 | \$5,831,519 |  As of 05/04/16 |
| 5.1 Implement a mobile application that provides an enterprise solution for most valued functions and information to current and prospective students | 8% | 0% | 8% | 0% | 8% |  As of 05/04/16 |
| 5.2 Work with UNT System to improve shared and campus administrative functions to develop high quality services and data systems | 90% | -90% | | 0% | |  As of 05/04/16 |
| 6.1 Increase enrollment by developing and implementing a robust student enrollment plan | 37,175 | 0 | 37,175 | 0 | 37,175 |  As of 05/04/16 |
| 6.2 Implement robust CRM and Marketing Automation Software | 50% | 0% | 50% | 0% | 50% |  As of 05/04/16 |
| 6.3 Achieve minority-serving institution (MSI) status | 50% | 0% | 50% | 0% | 50% |  As of 05/04/16 |
| 6.4 Achieve Hispanic-serving institution (HSI) status | 60% | 0% | 60% | 0% | 60% |  As of 05/04/16 |
| 6.5 Increase the number of National Merit Scholars | 15 | 0 | 15 | 0 | 15 |  As of 05/04/16 |
| 6.6 Improve the overall quality of the entering class (FTIC) | 55% | 0% | 55% | 0% | 55% |  As of 05/04/16 |
| 7.1 Increase retention numbers by creating a comprehensive retention program designed to identify and address students' academic and well-being needs | 79.17% | 0% | 79.17% | 0% | 79.17% |  As of 05/05/16 |
| 7.2 Improve 6-year graduation rate | 51.30% | 0% | 51.30% | 0% | 51.30% |  As of 05/05/16 |
| 7.3 Increase degrees awarded | 8,228 | 0 | 8,228 | 0 | 8,228 |  As of 05/05/16 |
| 8.1 Expand professional development and internship opportunities available to students | 0 | 0 | 0 | 0 | 0 |  As of 05/04/16 |
| 8.2 Establish new and expand current programs to improve student career preparedness | 25% | -5% | 25% | -5% | 20% |  As of 05/04/16 |
| 9.1 Establish a program to improve mentoring, training and career development support for staff | 50% | -50% | | 0% | |  As of 05/04/16 |
| 9.2 Increase participation of staff mid-level managers receiving training for upper-level responsibility | 10% | -10% | | 0% | |  As of 05/04/16 |
| 9.3 Expand mentoring and career development for new full-time faculty | 50% | 42.60% | 50% | 42.60% | 92.60% |  As of 05/04/16 |









| | | | | | | |
|--|-----|----|-----|----|-----|---|
| 9.4 Ensure robust academic leadership development | 82 | 0 | 82 | 0 | 82 |  As of 05/04/16 |
| 10.1 Develop and implement a campus climate assessment process | 25% | 0% | 25% | 0% | 25% |  As of 05/04/16 |

 Not Started
  Deferred
  On Target
  Off Target
  Waiting on Someone
  Critical
  Achieved

UNTHSC Strategic Plan At-a-Glance

| UNTS Theme | Key Objectives | Initiatives | Measures | Baseline | 2016 | Targets | |
|--|---|--|---|-------------|-------------|---------------|---------------|
| | | | | | | 2 Year | 5 Year |
| LEARNING & DISCOVERY | 1. Transform to high-performing health science center | 1.1 Restructure to high-performing schools and institutes (Thomas Yorio) (08/31/20) | M: Number of schools and institutes recognized as a high performing school or institute | 2 | 4 | 5 | 5 |
| | | 1.2 Expand educational, clinical and research programs with external partners (Thomas Yorio) (08/31/20) | M: # of new signed partnership agreements | 0 | 1 | 3 | 5 |
| | | 1.3 Develop high-performing Patient Safety Institute (Michael Hicks) (08/31/20) | M: # of clinical academic programs for which core curriculum is implemented | 0 | 1 | 2 | 4 |
| SUSTAINABLE GROWTH, FINANCE & RESOURCES | 2. Strengthen HSC long-term viability | 2.1 Develop successful, financially-sustainable practice plan that aligns with the mission of HSC (Michael Hicks) (08/31/20) | M: % of clinics that are financially sustainable | 25% | 50% | 100% | 100% |
| | | 2.2 Increase number of GME slots by adding new GME programs (Thomas Yorio) (08/31/20) | M: # of total GME slots | 360 | 390 | 410 | 450 |
| | | 2.3 Create a culture of continuous improvement (Stephen Barrett) (08/31/20) | M: # of process improvement projects completed | 0 | 3 | 9 total | 15 |
| | | 2.4 Improve net financial position (John Harman) (08/31/20) | M: # of weeks of operating cash reserves | 19.1 | 11 | 13 | 22 |
| | | 2.5 Increase philanthropy (Doug White) (08/31/20) | M: Total donor funds received 2016-2020 | \$3,428,423 | \$7,500,000 | \$ 25,000,000 | \$ 50,000,000 |
| QUALITY EXPERIENCES FOR LIFETIME SUCCESS | 3. Create student outcomes and experiences that deliver value and extraordinary service to others | 3.1 Enhance student services for career counseling (Thomas Yorio) (08/31/20) | M: Percent of graduating students during academic year who receive career services | 41.38% | 41.38% | 60% | 75% |
| | | 3.2 Improve quality of teaching (Thomas Yorio) (08/31/20) | M: Number of programs with >90% student satisfaction with quality of teaching | 5 | 5 | 8 | 12 |
| | | 3.3 Improve quality of education (Thomas Yorio) (08/31/20) | M: Number of programs with >90% student satisfaction with quality of education | 3 | 3 | 8 | 12 |
| PEOPLE & TEAMWORK | 4. Build culture based on values | 4.1 Create a nationally recognized best places to work environment (Steve Sosland) (08/31/20) | M: # of Best Place to Work campus initiatives | 0 | 2 | 5 | 7 |
| | | 4.2 Create Leadership Institute (Steve Sosland) (08/31/20) | M: # of external clients | 0 | 3 | 4 | 8 |
| | | 4.3 Create a customer service culture (Stephen Barrett) (08/31/20) | M: Customer satisfaction with quality of service | 0 | 100% | 100% | 100% |

UNTHSC Strategic Plan: FY16 Scorecard

| KPIs | EOY Target | EOY Variance | YTD Target | YTD Variance | YTD Actual | Status |
|---|-------------|--------------|-------------|--------------|-------------|---|
| 1.1 Restructure to high-performing schools and institutes | 4 | 0 | 4 | 0 | 4 |  As of 04/27/16 |
| 1.2 Expand educational, clinical & research programs with external partners | 3 | -2 | 1 | 0 | 1 |  As of 05/04/16 |
| 1.3 Develop high-performing Patient Safety Institute | 1 | -1 | 1 | -1 | 0 |  As of 05/04/16 |
| 2.1 Develop successful, financially sustainable practice plan that aligns with the mission of HSC | 50% | 0% | | 50% | 50% |  As of 04/26/16 |
| 2.2 Increase number of GME slots by adding new GME programs | 390 | 0 | 390 | 0 | 390 |  As of 05/04/16 |
| 2.3 Create a culture of continuous improvement | 3 | -3 | 3 | -3 | 0 |  As of 04/26/16 |
| 2.4 Improve net financial position | 11 | -11 | | 0 | |  As of 04/27/16 |
| 2.5 Increase philanthropy | \$7,500,000 | \$-2,900,000 | \$7,500,000 | \$-2,900,000 | \$4,600,000 |  As of 04/26/16 |
| 3.1 Enhance student services for career counseling | 41.38% | 0% | 41.38% | 0% | 41.38% |  As of 04/27/16 |
| 3.2 Improve quality of teaching | 5 | -1 | 5 | -1 | 4 |  As of 04/27/16 |
| 3.3 Improve quality of education | 3 | 0 | 3 | 0 | 3 |  As of 04/27/16 |
| 4.1 Create a nationally recognized best places to work environment | 2 | 98 | | 100 | 100 |  As of 05/04/16 |
| 4.2 Create Leadership Institute | 1 | 2 | 1 | 2 | 3 |  As of 04/28/16 |
| 4.3 Create a customer service culture | 100% | -100% | | 0% | |  As of 05/04/16 |


















 Not Started
  Deferred
  On Target
  Off Target
  Waiting on Someone
  Critical
  Achieved














UNT Dallas Strategic Plan At-a-Glance


Targets

| UNTS Theme | Key Objectives | Initiatives | Measures | Targets | | | | | |
|---|---|---|---|---|---------|----------------|----------------|-----------------|--|
| | | | | Baseline | 2016 | 2018 2 Year | 2021 5 Year | 2026 10 Year | |
| LEARNING & DISCOVERY: 1. Create and continuously improve vibrant and innovative academic communities | 1. Align our work to our market's greatest needs (UNT Dallas) (08/31/21) | 1.1 Reduce the gap between UNT Dallas program offerings and the market needs (Shumway) (08/31/21) | # of priority programs identified | | 5 | 6 | 10 | | |
| | | 2.1 Establish hallmark programs in each academic school (Shumway) (08/31/21) | # of hallmark programs identified | | 1 | 3 | 5 | | |
| | 3. Recruit and retain outstanding teacher-scholars (UNT Dallas) (08/31/21) | 3.1 Align UNT Dallas mission/vision to recruit outstanding teacher-scholars in terms of teaching, teaching service, university service, service to profession, and research. (Maniz) (08/31/21) | % of faculty hires that qualify as outstanding teacher-scholars | | 0% | 75% | 100% | | |
| | | 3.2 Retain outstanding teacher-scholars to include teaching, teaching service, university service, service to profession, and research. (Maniz) (08/31/21) | % of faculty identified as outstanding teacher-scholars | | 0% | 40% | 100% | | |
| | 4. Benchmark with similar aspirational universities regionally, nationally, and best in class (UNT Dallas) (08/31/21) | 4.1 Identify areas of excellence compared to regional peers (Shi) (08/31/21) | # of regional peers | | 5 | 5 | 5 | | |
| | | 4.2 Identify areas of excellence compared to national peers (Shi) (08/31/21) | # of national peers | | 3 | 3 | 3 | | |
| | | 4.3 Identify areas of excellence compared to best in class peers (Shi) (08/31/21) | # of best in class peers | | 3 | 3 | 3 | | |
| | | 4.4 Identify areas of excellence compared to AACSCU peers (Shi) (08/31/21) | # of AACSCU peers | | 44 | 44 | 44 | | |
| | SUSTAINABLE GROWTH, FINANCE & RESOURCES: 2. Achieve exceptional service and value for all customers including students | 5. Use data strategically to guide better decision making (UNT Dallas) (08/31/21) | 5.1 Commit to Proactive, Informed Data-Driven Decision-Making Via Data Improvement (Jarrell) (08/31/21) | Retrieval and accurate data is housed in the data warehouse | | | | 100% | |
| | | | 5.2 Improve the Availability and Visibility of Data Among Functional Units (Jarrell) (08/31/21) | % of constituents have access to reliable data to make informed decisions | | | | 100% | |
| 5.3 Implement New and Enhanced Visualization Tools and Techniques for Planning and Forecasting (Jarrell) (08/31/21) | | | % completion of Data Warehouse to enhance planning and forecasting. | | | | 100% | | |
| 6. Increase philanthropic support (UNT Dallas) (08/31/21) | | 6.1 Commit to ambitious fundraising goals (Rodriguez) (08/31/21) | Total Cash Received 2016-2021 | | 800,000 | 2,000,000 | 5,000,000 | | |
| | | 6.2 Develop goal and strategy for first capital campaign (Rodriguez) (08/31/21) | Capital campaign plan completion | | 0% | 40% | 100% | | |
| | | 6.3 Increase value of endowments (permanent and quasi) (Rodriguez) (08/31/21) | New gift dollar additions to endowments and quasi-endowments | | 25,000 | 100,000 | 3,000,000 | | |
| 7. Increase enrollment, retention, and completion rates (UNT Dallas) (08/31/21) | | 7.1 Grow student enrollment (Edelman) (08/31/21) | Increase student headcount | | 2,488 | 3,480 | 5,000 | | |
| | | 7.2 Exceed state student retention rates in areas that include race, age, FTIC, full-time, and part-time. (Edelman) (08/31/21) | % above state retention rate for each category | | | | 10% | | |
| | | 7.3 Improve 4-year graduation rate (Edelman) (08/31/21) | Four year graduation rate | | 7.6% | | 25% | | |
| | | 7.4 Improve 6-year graduation rate (Edelman) (08/31/21) | Six-year graduation rate | | 0% | 0% | 50% | | |
| 8. Improve student and administrative customer service (UNT Dallas) (08/31/21) | | 8.1 Increase information resources to University stakeholders (Robertson) (08/31/18) | Increase the # of resources | | 2 | 3 | 6 | | |
| | | 8.2 Develop a One-Stop-Shop to welcome and retain students (Robertson) (08/31/17) | Creation of one-stop shop | | 80% | 100% | | | |
| | | 8.3 Create a customer-oriented culture (Robertson) (08/31/26) | Net Promoter Score | | 0 | | | 25 | |
| 9. Keep tuition and fees affordable (UNT Dallas) (08/31/21) | | 9.1 Remain among the most affordable 4-year university within the North Texas region (Fashina) (08/31/21) | Remain in the lowest quartile of cost of tuition and fees within the region | | | 100% | 100% | | |
| 10. Build active residential life and additional facilities to make UNTD more vibrant (UNT Dallas) (08/31/21) | | 10.1 Tie pending construction to increased academic and student activities along with implementation of 1st year experience programing (Chapple) (08/31/21) | # of programs developed | | 0 | 2 | 6 | | |
| 11. Develop more meaningful private-public partnerships (UNT Dallas) (08/31/21) | 11.1 Build the number of private-public partnerships (Lumzy) (08/31/21) | # of partnerships | | 1 | 7 | 20 | | | |
| 12. Improvement management of fiscal resources (UNT Dallas) (08/31/21) | 12.1 Improve financial net position through growth in reserves. (Fashina) (08/31/21) | # of weeks of operating funds in reserve | | 9 | | 12 | | | |
| QUALITY EXPERIENCES FOR LIFETIME SUCCESS: 3. Provide quality experiences for lifetime success for all students | 13. Active Learning: every student graduates with one of more of these experiential credentials: a paid internship; a demanding research effort; a scholarly work-related project; extensive service learning participation (UNT Dallas) (08/31/21) | 13.1 Demonstrated Competencies: All graduates demonstrate outstanding oral and written communication skills (Balas) (08/31/21) | Score of 90% for the "Communication" rubric | | 0 | 40% | 85% | | |
| | | 13.2 Demonstrated Competencies: All graduates demonstrate strong critical thinking and analytical abilities (Balas) (08/31/21) | Score of 85% for the "Initiative/Problem Solving" rubric | | 0 | 40% | 78% | | |
| | | 13.3 Demonstrated Competencies: All graduates demonstrate ethical decision making (Balas) (08/31/21) | Score of 90% for the "Leadership and Ethics" rubric | | 0 | 50% | 80% | | |
| | 13.4 Demonstrated Competencies: All graduates demonstrate ability to work well with others (Balas) (08/31/21) | 13.4 Demonstrated Competencies: All graduates demonstrate ability to work well with others (Balas) (08/31/21) | Score of 95% for the "Teamwork" rubric | | 0 | 50% | 90% | | |
| | | 13.5 Pathway to Social and Economic Mobility: Become a national leader in producing graduates who make better than expected earning after graduation (Edelman) (08/31/25) | % of Alumni that will earn more than the prevailing entry wages after one year | | 0% | 0% | 0% | 75% | |
| | | 13.6 Enhance and expand Experiential Learning Experiences (Lacy) (08/31/21) | % of graduating students will complete a professional portfolio of work | | 10% | 40% | 80% | | |
| | 14. Develop expertise serving under-resourced college students (UNT Dallas) (08/31/21) | 13.7 Be known for conducting service learning projects in the community (Lacy) (08/31/21) | % of participating community partners that report levels of satisfaction | | 10% | 40% | 70% | | |
| | | 14.1 Benchmark with Best-In-Class Institutions (Chapple) (08/31/21) | # of Best-In-Class Institutions | | 5 | 5 | 5 | | |
| | | 14.2 Expand Mentorship Programs (Chapple) (08/31/21) | # of mentorship programs | | 0 | 2 | 3 | | |
| | | 14.3 Obtain Title III Grants for developing universities (Chapple) (08/31/21) | # of grants obtained | | 0 | 1 | 4 | | |
| PEOPLE & TEAMWORK: 4. Develop the fullest potential of every team member | 15. Build a strong culture based on our shared values (UNT Dallas) (08/31/21) | 15.1 Practice inter-professional cooperation and respect (Finney) (08/31/21) | Recognition by Best Place to Work program | | 0% | 0% | 100% | | |
| | | 15.2 G.R.E.A.T Communications - Genuine Relevant Effective and Timely Communication (Jolly) (08/31/21) | % of primary audiences who articulate the university's institutional mission | | 10% | 40% | 80% | | |
| | | 15.3 Establish traditions (Chapple) (08/31/21) | # of traditions | | 2 | 4 | 6 | | |
| | 15.4 Serve different student constituencies well (Skinner) (08/31/21) | Satisfaction of quality of service | | 59% | 65% | 80% | | | |

UNT Dallas Strategic Plan: FY 15/16 Scorecard

| KPIs | EOY Target | EOY Variance | YTD Target | YTD Variance | YTD Actual | Status |
|--|------------|--------------|------------|--------------|------------|---|
| 1.1 Reduce the gap between UNT Dallas program offerings and the market needs | 5 | -1 | 4 | 0 | 4 |  As of 04/20/16 |
| 2.1 Establish hallmark programs in each academic school | 1 | -1 | 0 | 0 | 0 |  As of 04/21/16 |
| 3.1 Align UNT Dallas mission/vision to recruit outstanding teacher-scholars in terms of teaching, teaching service, university service, service to profession, and research. | 0% | 0% | 0% | 0% | 0% |  As of 04/20/16 |
| 3.2 Retain outstanding teacher-scholars to include teaching, teaching service, university service, service to profession, and research. | 0% | 0% | 0% | 0% | 0% |  As of 04/20/16 |
| 4.1 Identify areas of excellence compared to regional peers | 5 | 0 | 5 | 0 | 5 |  As of 05/02/16 |
| 4.2 Identify areas of excellence compared to national peers | 3 | 0 | 3 | 0 | 3 |  As of 04/25/16 |
| 4.3 Identify areas of excellence compared to best in class peers | 3 | 0 | 3 | 0 | 3 |  As of 04/25/16 |
| 4.4 Promote upward social mobility compared with AASCU Re-imagining the First Year of College Initiative | 44 | 0 | 44 | 0 | 44 |  As of 04/25/16 |
| 5.1 Commit to Proactive, Informed Data-Driven Decision-Making Via Data Improvement | | 0% | | 0% | |  As of 04/20/16 |
| 5.2 Improve the Availability and Visibility of Data Among Functional Units | | 0% | | 0% | |  As of 04/20/16 |
| 5.3 Implement New and Enhanced Visualization Tools and Techniques for Planning and Forecastings | | 0% | | 0% | |  As of 04/20/16 |
| 6.1 Commit to ambitious fundraising goals | \$800,000 | \$-218,000 | \$582,000 | \$0 | \$582,000 |  As of 04/25/16 |
| 6.2 Develop goal and strategy for first capital campaign | 0% | 0% | 0% | 0% | 0% |  As of 04/21/16 |
| 6.3 Increase value of endowments (permanent and quasi) | \$25,000 | \$-25,000 | | \$0 | \$0 |  As of 04/20/16 |
| 7.1 Grow student enrollment | 2,488 | 0 | 2,488 | 0 | 2,488 |  As of 03/29/16 |
| 7.2 Exceed state student retention rate for each of 11 demographic areas that include race, age, transfer, FTIC, full-time, part-time, credit completion, Pell, non-Pell, HS GPA, and ACT/SAT. | | 0% | | 0% | |  As of 03/18/16 |
| 7.3 Improve 4-year graduation rate | | 0% | | 0% | |  As of 03/18/16 |

| | | | | | | |
|--|------|-------|-----|------|-----|---|
| 7.4 Improve 6-year graduation rate | 0% | 0% | | 0% | |  As of 03/29/16 |
| 8.1 Increase information resources to University stakeholders | 2 | -2 | 0 | 0 | 0 |  As of 04/20/16 |
| 8.2 Develop a One-Stop-Shop to welcome and retain students | 80% | -50% | 80% | -50% | 30% |  As of 03/29/16 |
| 8.3 Create a customer-oriented culture | 0 | 0 | 0 | 0 | 0 |  As of 04/20/16 |
| 9.1 Remain among the most affordable 4-year universities in the North Texas region | 100% | -100% | | 0% | |  As of 04/25/16 |
| 10.1 Tie pending construction to increased academic and student activities along with implementation of 1st year experience programing | 0 | 0 | 0 | 0 | 0 |  As of 04/25/16 |
| 11.1 Build the number of private-public partnerships | 1 | -1 | | 0 | |  As of 04/06/16 |
| 12.1 Improve financial net position through growth and reserves. | 9 | -2 | 7 | 0 | 7 |  As of 04/25/16 |
| 13.1 Demonstrated Competencies: All graduates demonstrate outstanding oral and written communication skills | 0% | 0% | 0% | 0% | 0% |  As of 04/20/16 |
| 13.2 Demonstrated Competencies: All graduates demonstrate strong critical thinking and analytical abilities | 0% | 0% | 0% | 0% | 0% |  As of 04/20/16 |
| 13.3 Demonstrated Competencies: All graduates demonstrate ethical decision making | 0% | 0% | 0% | 0% | 0% |  As of 04/20/16 |
| 13.4 Demonstrated Competencies: All graduates demonstrate ability to work well with others | 0% | 0% | 0% | 0% | 0% |  As of 04/20/16 |
| 13.5 Pathway to Social and Economic Mobility: Become a national leader in producing graduates who make better than expected earning after graduation | 0% | 0% | 0% | 0% | 0% |  As of 04/20/16 |
| 13.6 Enhance and expand Service Learning Experiences | 10% | -10% | | 0% | |  As of 04/20/16 |
| 13.7 Be known for conducting service learning projects in the community | 10% | -10% | | 0% | |  As of 04/20/16 |
| 14.1 Benchmark with Best-In-Class Institutions | 5 | 0 | 5 | 0 | 5 |  As of 04/25/16 |
| 14.2 Expand Mentorship Programs | 0 | 0 | 0 | 0 | 0 |  As of 04/25/16 |
| 14.3 Obtain Title III Grants (for developing universities) | 0 | 0 | 0 | 0 | 0 |  As of 04/25/16 |

| | | | | | | |
|---|-----|------|-----|----|-----|---|
| 15.1 Practice inter-professional cooperation and respect | 0% | 0% | 0% | 0% | 0% |  As of 04/25/16 |
| 15.2 G.R.E.A.T Communications (Genuine Relevant Effective and Timely Communication) | 10% | -10% | | 0% | |  As of 04/20/16 |
| 15.3 Establish new traditions on campus | 2 | -1 | 1 | 0 | 1 |  As of 04/20/16 |
| 15.4 Serve different student constituencies well | 59% | 0% | 59% | 0% | 59% |  As of 04/20/16 |

 Not Started
  Deferred
  On Target
  Off Target
  Waiting on Someone
  Critical
  Achieved



UNT | SYSTEM™

MINUTES

BOARD OF REGENTS Academic Affairs and Student Success Committee February 25-26, 2016

Thursday, February 25, 2016

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System convened on Thursday, February 25, 2016, in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas with the following members in attendance: Regents Al Silva, A.K. Mago, and Gwyn Shea.

There being a quorum present the meeting was called to order by Committee Chairman Silva at 8:25 a.m. Pursuant to a motion by Regent A.K. Mago seconded by Regent Gwyn Shea, the Committee approved the minutes of the November 20, 2015, meeting of the Academic Affairs and Student Success Committee on a 3-0 vote. Chairman Silva asked Vice Chancellor for Academic Affairs and Student Success Rosemary Haggett to present updates on **Spring Enrollment** and **Accreditation Site Visits**, after which the **Committee Charter** and **Annual Schedule** were reviewed.

The Committee had three briefings planned for this meeting. The first, **Research Funding**, was introduced by Vice Chancellor Rosemary Haggett, with presentations by UNT Vice President for Research Tom McCoy and UNT Health Science Center Vice President for Research David Cistola. Discussion followed.

The second briefing, **Enrollment Management**, was introduced by Vice Chancellor Rosemary Haggett, with presentations by UNT Vice President for Enrollment Shannon Goodman, UNT Dallas Vice President for Enrollment Management Stephanie Holley, and UNT Health Science Center Provost Tom Yorio. Discussion followed.

Because of time constraints, the third briefing, **Student Success**, was postponed until the May Board of Regents meeting.

There being no further business, the Committee meeting recessed at 10:40 a.m. until Friday, February 26, 2016 at approximately 9:00 a.m. at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas.

Friday, February 26, 2016

The University of North Texas System Board of Regents convened on Friday, February 26, 2016, at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas with the following members in attendance: Regents Al Silva, A.K. Mago, and Gwyn Shea.

There being a quorum present the meeting was called to order by Committee Chairman Silva at 9:01 am. The Committee had one action item to consider.

2016-11 UNTS Review of University of North Texas, University of North Texas Health Science Center at Fort Worth, and University of North Texas at Dallas policies related to *Carrying of Concealed Handguns on Campus*

Pursuant to a motion by Regent A.K. Mago and seconded by Regent Gwyn Shea, the Committee approved the above item on a 3-0 vote.

An action item, **Approval of University of North Texas, University of North Texas Health Science Center at Fort Worth, University of North Texas at Dallas, and UNT System Administration policies related to *Prohibiting Sexual Harassment, Sexual Violence, and Retaliation***, was withdrawn by UNT System Administration.

There being no further business, the Committee meeting adjourned at 9:06 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: March 9, 2016

Overview of Program Performance Assessment

The background of the slide features a large, faint watermark of the University of North Texas System seal. The seal is circular and contains a central five-pointed star. Inside the star is a lamp of knowledge resting on a stack of books. The words "UNIVERSITY OF NORTH TEXAS" are written along the top inner edge of the seal, and "SYSTEM" is written along the bottom inner edge. The seal is surrounded by a laurel wreath.

Presented on: May 19, 2016

Lee Jackson, Chancellor, UNT System

Rosemary Haggett, Vice Chancellor, UNT System

What does AGB say about the Board's role in program assessment?

The academic affairs committee has the basic responsibility to...

“Ensure that the institution assesses educational quality and uses the assessment for continuous improvement.”

“...Boards can play an important role in the overall process of assessment by ensuring that [assessment] is done and by requesting regular reports on the outcomes of student learning assessment and the actions taken in response to the outcomes.”

- AGB Effective Committee Series, “The Academic Affairs Committee”

When the Board has reviewed its own knowledge and effectiveness, the following has been considered important:

“The Board has a process to evaluate effectiveness of the educational programs of the System.”



Academic Programs within UNT System

| DEGREE AWARDED | UNT | | | UNTHSC | | | UNT | | |
|---|----------|--------|----------|--------|----------|----------|--------|----------|--|
| | BACHELOR | MASTER | DOCTORAL | MASTER | DOCTORAL | BACHELOR | MASTER | DOCTORAL | |
| Accounting | ▲ | | | ▲ | | | | | |
| Anthropology | | | | | | | | | |
| Applied Anthropology | | | | | | | | | |
| Applied Arts and Sciences | | | | | | | | | |
| Applied Behavior Analysis | | | | | | | | | |
| Applied Gerontology | | | | | | | | | |
| Applied Technology and Per | | | | | | | | | |
| Art Education | | | | | | | | | |
| Art History | | | | | | | | | |
| Audiology | | | | | | | | | |
| Aviation Logistics | | | | | | | | | |
| Behavior Analysis | | | | | | | | | |
| Behavioral Science | | | | | | | | | |
| Biochemistry | | | | | | | | | |
| Biochemistry and Molecular | | | | | | | | | |
| Biology | | | | | | | | | |
| Biomedical Engineering | | | | | | | | | |
| Biomedical Sciences | | | | | | | | | |
| Biostatistics | | | | | | | | | |
| Business | | | | | | | | | |
| Business Administration | | | | | | | | | |
| Business Analytics | | | | | | | | | |
| Business Computer Informa | | | | | | | | | |
| Business Integrated Studies | | | | | | | | | |
| Chemistry | | | | | | | | | |
| Child Development and Fam | | | | | | | | | |
| Clinical Health Psychology | | | | | | | | | |
| Clinical Mental Health Coun | | | | | | | | | |
| Clinical Psychology | | | | | | | | | |
| Communication and Techno | | | | | | | | | |
| Communication Design | | | | | | | | | |
| Communication Studies | | | | | | | | | |
| Community Health | | | | | | | | | |
| Composition (Music) | | | | | | | | | |
| Computer Engineering | | | | | | | | | |
| Computer Science | | | | | | | | | |
| Computer Science and Engine | | | | | | | | | |
| Construction Engineering Techn | | | | | | | | | |
| Converged Broadcast Media | | | | | | | | | |
| Counseling | | | | | | | | | |
| Counseling Psychology | | | | | | | | | |
| Creative Writing | | | | | | | | | |
| Criminal Justice | | | | | | | | | |
| Curriculum and Instruction | | | | | | | | | |
| Dance | | | | | | | | | |
| Design | | | | | | | | | |
| Development and Family Stud | | | | | | | | | |
| Digital Retailing | | | | | | | | | |
| Documentary Production and | | | | | | | | | |
| Early Childhood Studies | | | | | | | | | |
| Ecology for Environmental Sci | | | | | | | | | |
| Economics | | | | | | | | | |
| Education - Elementary, Midd | | | | | | | | | |
| Educational Leadership | | | | | | | | | |
| Educational Psychology | | | | | | | | | |
| Electrical Engineering Technol | | | | | | | | | |
| Emergency Administration an | | | | | | | | | |
| Engineering Technology | | | | | | | | | |
| English | | | | | | | | | |
| English as a Second Language (ESL) | | | | | | | | | |
| Entrepreneurship | | | | | | | | | |
| Environmental and Occupational Health Sciences | | | | | | | | | |
| Environmental Science | | | | | | | | | |
| Epidemiology | | | | | | | | | |
| Fashion Design | | | | | | | | | |
| Finance | | | | | | | | | |
| French | | | | | | | | | |
| General Business | | | | | | | | | |
| Geography | | | | | | | | | |
| German | | | | | | | | | |
| Health Administration | | | | | | | | | |
| Health Promotion (Community | | | | | | | | | |
| Higher Education | | | | | | | | | |
| History | | | | | | | | | |
| Home Furnishings Merchandisi | | | | | | | | | |
| Hospitality Management | | | | | | | | | |
| Human Services Management | | | | | | | | | |
| Information Science | | | | | | | | | |
| Information Technology | | | | | | | | | |
| Integrative Studies | | | | | | | | | |
| Interdisciplinary Art and Design | | | | | | | | | |
| Interdisciplinary Studies | | | | | | | | | |
| Interior Design | | | | | | | | | |
| International Studies | | | | | | | | | |
| International Sustainable Touri | | | | | | | | | |
| Jazz Studies | | | | | | | | | |
| Journalism | | | | | | | | | |
| Kinesiology | | | | | | | | | |
| Law | | | | | | | | | |
| Learning Technologies | | | | | | | | | |
| Library Science | | | | | | | | | |
| Linguistics | | | | | | | | | |
| Logistics and Supply Chain Management | | | | | | | | | |
| Long-term Care, Senior Housing and Aging Services | | | | | | | | | |
| Management | | | | | | | | | |
| Marketing | | | | | | | | | |
| Materials Science and Enginee | | | | | | | | | |
| Mathematics | | | | | | | | | |
| Mechanical and Energy Engine | | | | | | | | | |
| Mechanical Engineering Techn | | | | | | | | | |
| Medical Laboratory Sciences | | | | | | | | | |
| Merchandising | | | | | | | | | |
| Music | | | | | | | | | |
| Music - General, Choral and In | | | | | | | | | |
| Music Education | | | | | | | | | |
| Music Theory | | | | | | | | | |
| Nuclear Engineering Technolo | | | | | | | | | |
| Operations and Supply Chain M | | | | | | | | | |
| Organizational Behavior and H | | | | | | | | | |
| Osteopathic Medicine | | | | | | | | | |
| Performance | | | | | | | | | |
| Pharmacy | | | | | | | | | |
| Philosophy | | | | | | | | | |
| Physical Therapy | | | | | | | | | |
| Physician Assistant Studies | | | | | | | | | |
| Physics | | | | | | | | | |
| Political Science | | | | | | | | | |
| Professional and Technical Co | | | | | | | | | |
| Psychology | | | | | | | | | |
| Public Administration and Management | | | | | | | | | |
| Public Health | | | | | | | | | |
| Public Health Practice | | | | | | | | | |
| Public Health Sciences | | | | | | | | | |
| Public Leadership | | | | | | | | | |
| Radio, Television and Film | | | | | | | | | |
| Real Estate | | | | | | | | | |
| Recreation, Event and Sport Management | | | | | | | | | |
| Rehabilitation Counseling | | | | | | | | | |
| Rehabilitation Studies | | | | | | | | | |
| Religious Studies | | | | | | | | | |
| Retailing | | | | | | | | | |
| Risk, Insurance and Financial Services | | | | | | | | | |
| School Counseling | | | | | | | | | |
| Social Science | | | | | | | | | |
| Social Work | | | | | | | | | |
| Sociology | | | | | | | | | |
| Spanish | | | | | | | | | |
| Special Education | | | | | | | | | |
| Speech-Language Pathology | | | | | | | | | |
| Studio Art | | | | | | | | | |
| Taxation | | | | | | | | | |
| Teaching | | | | | | | | | |
| Theater | | | | | | | | | |
| Visual Arts Studies | | | | | | | | | |

Examples of Prior Program Assessment Methods Used in the Last Five Years



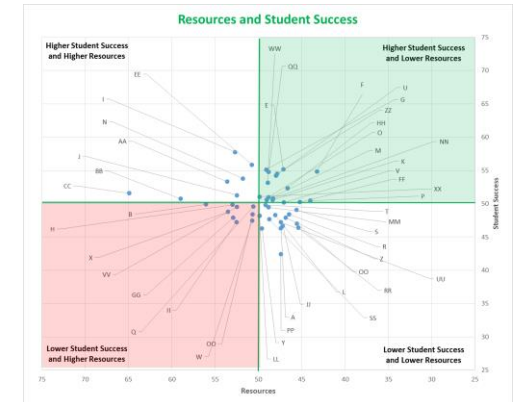
UNTD benchmarked curricula to national standards by using Major Field Tests (ETS Comparative Data).



SACSCOC and THECB performed program and curriculum reviews.



UNT reviewed programs by resources and faculty productivity.



UNTD looked to use a peer review process to evaluate programs, which requires closer tracking of student learning outcomes.



Discipline-specific accrediting bodies performed rigorous program reviews.



UNTHSC brought in external evaluator teams every 5 years to conduct comprehensive reviews of all academic programs and units.

UNT System Strategic Plan Initiative 1 states:

“Require clear goals for each academic, student support, and research program on UNTS campuses, working closely with Presidents, Provosts, and other leaders to establish clear understanding of targets for above average peer performance in the areas most important to each program.”

New Approach to System-Wide Program Review

- Quarterly Meetings held with President, Provost, Chancellor & Vice Chancellor of Academic Affairs and Student Success
- Seek to answer questions addressing:
 - Enrollment
 - Successful Graduation
 - Job Placement and Graduate School Enrollment
 - Faculty Productivity
 - Research Goals
 - State Funding
 - Accreditation review goals, etc.

How will we know progress is evident?

- Is the program meeting enrollment goals? (*# of declared major*)
- Is it successfully graduating students? (*# of degrees, avg. time-to-degree, 4 yr. & 6 yr. graduation rates, avg. total SCH at graduation*)
- Are program graduates succeeding in post-graduate job placement or graduate/professional school enrollment? (*% grads employed and/or enrolled in grad or professional schools in TX*)
- Are the faculty of this program productive in teaching, and is the division between Tenure/ Tenure Track and non T/TTF consistent with expectations? (*SCH generated per faculty member; # of Tenure/Tenure Track faculty and non T/TTF FTE supporting this degree; faculty workload data*)
- What are the research goals for this program, are they being met, and how do peers perform in this discipline? (*research funding of faculty supporting this degree; other measures of faculty scholarly/creative activities*)

How will we know progress is evident? (Cont'd)

- What is the level of state funding for this program? (*Formula funding matrix average for courses offered in this degree*)
- What goals were set, if any, for this program in its most recent accreditation review, and are those being met? (*regional/national accreditation status*)
- How is this program viewed by its current and past students, based on survey data, net promoter scores, etc.? (*student opinion data*)
- Are there meaningful state or national rankings for this program that are valuable, and has the institution established a goal to improve rankings? (*rankings, if any*)
- Who else offers this same degree in the North Texas region?
- How will this program help address the goals of the State of Texas 60x30 plan for additional postsecondary credentials by 2030?

Report Back to Board in Fall/Spring

| DEGREE AWARDED | UNT | | | UNTHSC | | UNTD | |
|---|----------|--------|----------|--------|----------|----------|--------|
| | BACHELOR | MASTER | DOCTORAL | MASTER | DOCTORAL | BACHELOR | MASTER |
| Accounting | ▲ | | | ▲ | | | |
| Anthropology | | | | | | | |
| Applied Anthropology | | | | | | | |
| Applied Arts and Sciences | | | | | | | |
| Applied Behavior Analysis | | | | | | | |
| Applied Gerontology | | | | | | | |
| Applied Technology and Per | | | | | | | |
| Art Education | | | | | | | |
| Art History | | | | | | | |
| Audiology | | | | | | | |
| Aviation Logistics | | | | | | | |
| Behavior Analysis | | | | | | | |
| Behavioral Science | | | | | | | |
| Biochemistry | | | | | | | |
| Biochemistry and Molecular | | | | | | | |
| Biology | | | | | | | |
| Biomedical Engineering | | | | | | | |
| Biomedical Sciences | | | | | | | |
| Biostatistics | | | | | | | |
| Business | | | | | | | |
| Business Administration | | | | | | | |
| Business Analytics | | | | | | | |
| Business Computer Informa | | | | | | | |
| Business Integrated Studies | | | | | | | |
| Chemistry | | | | | | | |
| Child Development and Fam | | | | | | | |
| Clinical Health Psychology | | | | | | | |
| Clinical Mental Health Coun | | | | | | | |
| Clinical Psychology | | | | | | | |
| Communication and Techno | | | | | | | |
| Communication Design | | | | | | | |
| Communication Studies | | | | | | | |
| Community Health | | | | | | | |
| Composition (Music) | | | | | | | |
| Computer Engineering | | | | | | | |
| Computer Science | | | | | | | |
| Computer Science and Engine | | | | | | | |
| Construction Engineering Tech | | | | | | | |
| Converged Broadcast Media | | | | | | | |
| Counseling | | | | | | | |
| Counseling Psychology | | | | | | | |
| Creative Writing | | | | | | | |
| Criminal Justice | | | | | | | |
| Curriculum and Instruction | | | | | | | |
| Dance | | | | | | | |
| Design | | | | | | | |
| Development and Family Stud | | | | | | | |
| Digital Retailing | | | | | | | |
| Documentary Production and | | | | | | | |
| Early Childhood Studies | | | | | | | |
| Ecology for Environmental Sci | | | | | | | |
| Economics | | | | | | | |
| Education - Elementary, Midd | | | | | | | |
| Educational Leadership | | | | | | | |
| Educational Psychology | | | | | | | |
| Electrical Engineering Technol | | | | | | | |
| Emergency Administration an | | | | | | | |
| Engineering Technology | | | | | | | |
| English | | | | | | | |
| English as a Second Language (ESL) | | | | | | | |
| Entrepreneurship | | | | | | | |
| Environmental and Occupational Health Sciences | | | | | | | |
| Environmental Science | | | | | | | |
| Epidemiology | | | | | | | |
| Fashion Design | | | | | | | |
| Finance | | | | | | | |
| French | | | | | | | |
| General Business | | | | | | | |
| Geography | | | | | | | |
| German | | | | | | | |
| Health Administration | | | | | | | |
| Health Promotion (Community | | | | | | | |
| Higher Education | | | | | | | |
| History | | | | | | | |
| Home Furnishings Merchandisi | | | | | | | |
| Hospitality Management | | | | | | | |
| Human Services Management | | | | | | | |
| Information Science | | | | | | | |
| Information Technology | | | | | | | |
| Integrative Studies | | | | | | | |
| Interdisciplinary Art and Desig | | | | | | | |
| Interdisciplinary Studies | | | | | | | |
| Interior Design | | | | | | | |
| International Studies | | | | | | | |
| International Sustainable Touri | | | | | | | |
| Jazz Studies | | | | | | | |
| Journalism | | | | | | | |
| Kinesiology | | | | | | | |
| Law | | | | | | | |
| Learning Technologies | | | | | | | |
| Library Science | | | | | | | |
| Linguistics | | | | | | | |
| Logistics and Supply Chain Management | | | | | | | |
| Long-term Care, Senior Housing and Aging Services | | | | | | | |
| Management | | | | | | | |
| Marketing | | | | | | | |
| Materials Science and Enginee | | | | | | | |
| Mathematics | | | | | | | |
| Mechanical and Energy Engine | | | | | | | |
| Mechanical Engineering Techn | | | | | | | |
| Medical Laboratory Sciences | | | | | | | |
| Merchandising | | | | | | | |
| Music | | | | | | | |
| Music - General, Choral and In | | | | | | | |
| Music Education | | | | | | | |
| Music Theory | | | | | | | |
| Nuclear Engineering Technolo | | | | | | | |
| Operations and Supply Chain m | | | | | | | |
| Organizational Behavior and H | | | | | | | |
| Osteopathic Medicine | | | | | | | |
| Performance | | | | | | | |
| Pharmacy | | | | | | | |
| Philosophy | | | | | | | |
| Physical Therapy | | | | | | | |
| Physician Assistant Studies | | | | | | | |
| Physics | | | | | | | |
| Political Science | | | | | | | |
| Professional and Technical Co | | | | | | | |
| Psychology | | | | | | | |
| Public Administration and Management | | | | | | | |
| Public Health | | | | | | | |
| Public Health Practice | | | | | | | |
| Public Health Sciences | | | | | | | |
| Public Leadership | | | | | | | |
| Radio, Television and Film | | | | | | | |
| Real Estate | | | | | | | |
| Recreation, Event and Sport Management | | | | | | | |
| Rehabilitation Counseling | | | | | | | |
| Rehabilitation Studies | | | | | | | |
| Religious Studies | | | | | | | |
| Retailing | | | | | | | |
| Risk, Insurance and Financial Services | | | | | | | |
| School Counseling | | | | | | | |
| Social Science | | | | | | | |
| Social Work | | | | | | | |
| Sociology | | | | | | | |
| Spanish | | | | | | | |
| Special Education | | | | | | | |
| Speech-Language Pathology | | | | | | | |
| Studio Art | | | | | | | |
| Taxation | | | | | | | |
| Teaching | | | | | | | |
| Theater | | | | | | | |
| Visual Arts Studies | | | | | | | |

Questions & Discussion?



Commit!: Lifting Educational Outcomes for 750,000 students May 19, 2016

Data is just numbers. Behind the numbers are
thousands of stories...





Dallas County

2011

What Happens in Dallas County is Important to Texas and the U.S.

1%
of students
in US

10%
in Texas

**If Dallas County were
a state, we would
rank...**

- **33rd in the country in K-12 enrollment**
- **49th in our average SAT score of 1362 and 46th in our average ACT score of 19.2**
- **40th with 54% of 25+ year-olds with some college or higher**

Many Systems, All Fragmented



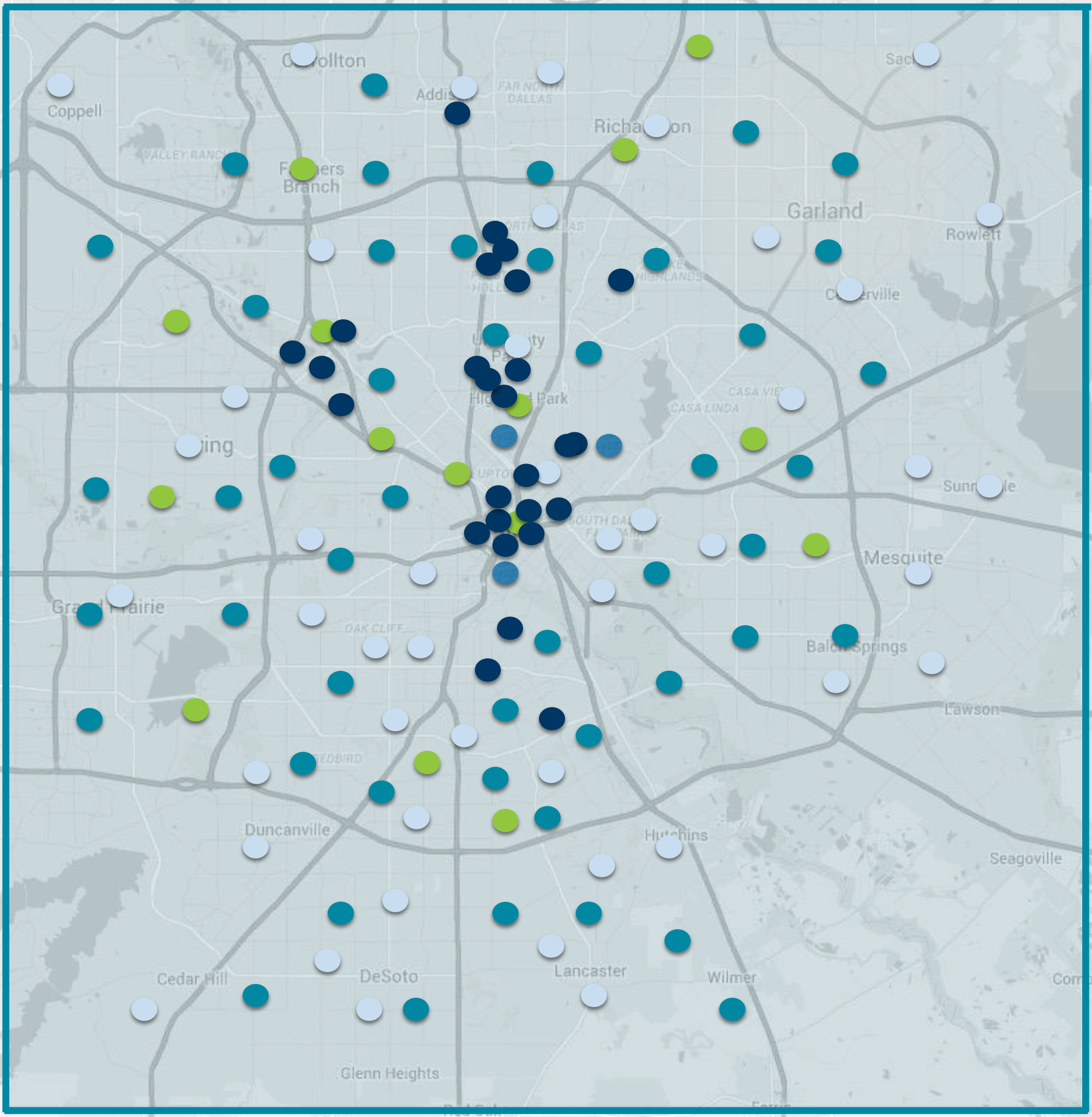
50+

NAC/NAEYC Early Childhood Providers



49

Public ISD's/Charter Districts



15

Higher Ed Institutions



27

Fortune 1000 Companies



90% Occurs Before Age 5

Aligning Our Public Funding Where It Matters

90%



10%

but only **5%**
of Funding Goes To
Ages 0-5



Strong Job Growth, High Child Poverty

Proactively Addressing the Growing Gaps Between Our Haves and Have Nots



3rd Highest
Job Growth



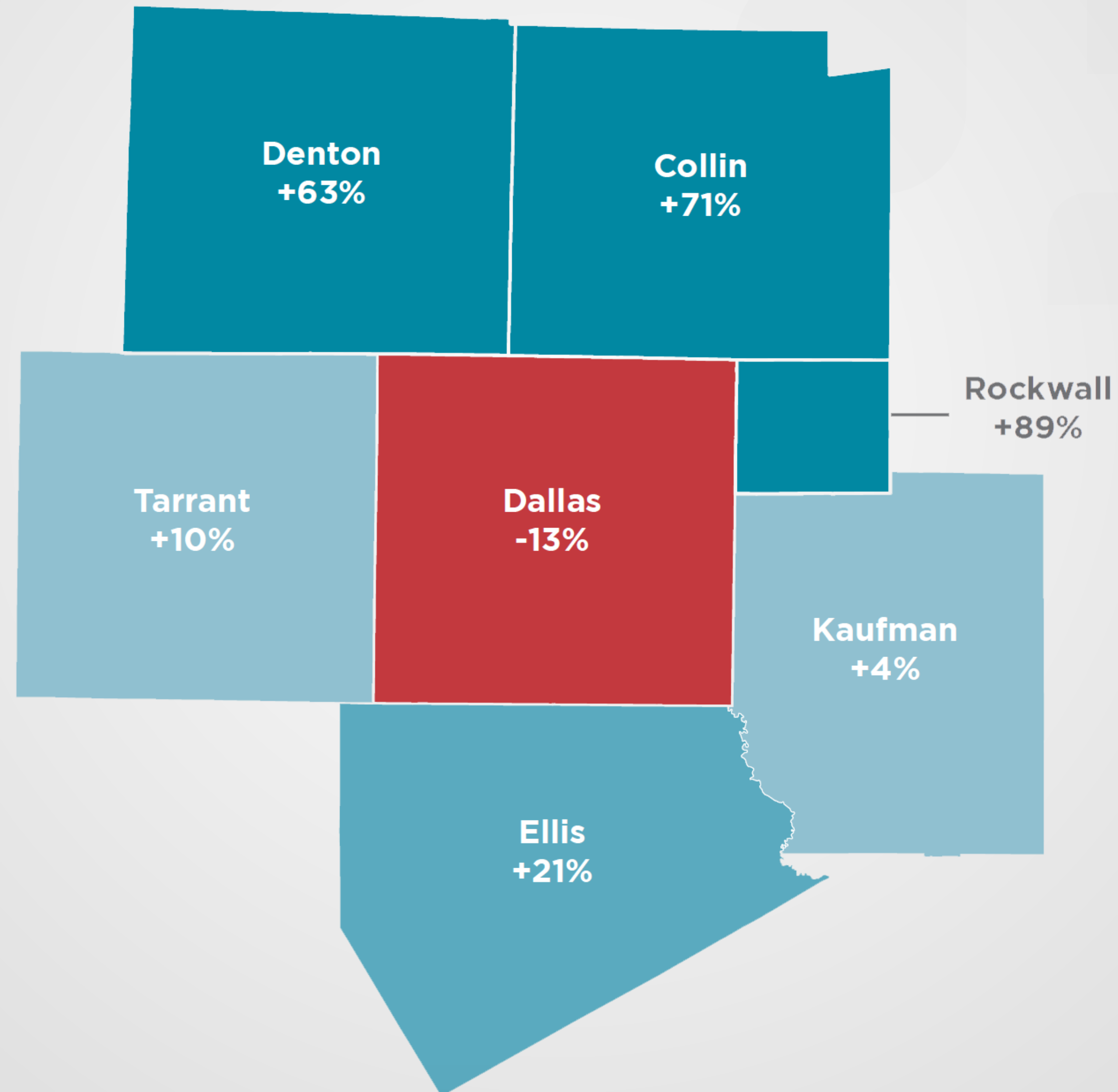
3rd Highest
Child Poverty



As a Result, Jobs Were Leaving Dallas

2000-2012: Percentage Change in the Number of Jobs

2000-2012: Percentage Change in Number of Jobs⁵





An Inadequate Pipeline Only Getting Worse

Our size makes it clear that Dallas County Matters



60%

need P.S. credential by 2030
for a living wage job



35%

of 25-34 year-olds have
a P.S. credential now



28%

current six year P.S.
completion rate



While people in this country were agonizing over banks that were **Too Big to Fail**, we had been behaving as if our regional educational challenge was **Too Big to Solve**.





Educating the Workforce of Tomorrow

The Resulting Economic Prosperity From Our Success Could Be Staggering



What If....

60% Goal



\$840K

Additional lifetime earnings
per graduate



Educating the Workforce of Tomorrow

The Resulting Economic Prosperity From Our Success Could Be Staggering



What If...

60% Goal



9,000

More Students Per Annual Cohort
Completing College



Educating the Workforce of Tomorrow

The Resulting Economic Prosperity From Our Success Could Be Staggering



What If....

60% Goal



\$7.5 Billion

Each Year in
Additional Regional GDP



Educating the Workforce of Tomorrow

The Resulting Economic Prosperity From Our Success Could Be Staggering



Shared Awareness

- Compile and Analyze Data
- Convene Community Expertise



Shared Accountability

- Select common metrics and continually measure results



Shared Action

- Align actions, resources and policy to target the biggest levers for change

The Largest of Its Kind

4 Years Later...A Robust Partnership that is the Largest of its Kind



The Largest of Its Kind

4 Years Later...A Robust Partnership that is the Largest of its Kind

Nonprofit Organizations

76

K-12 Districts

12

Funders

89

Charter Networks

35

Colleges

15

EC Providers

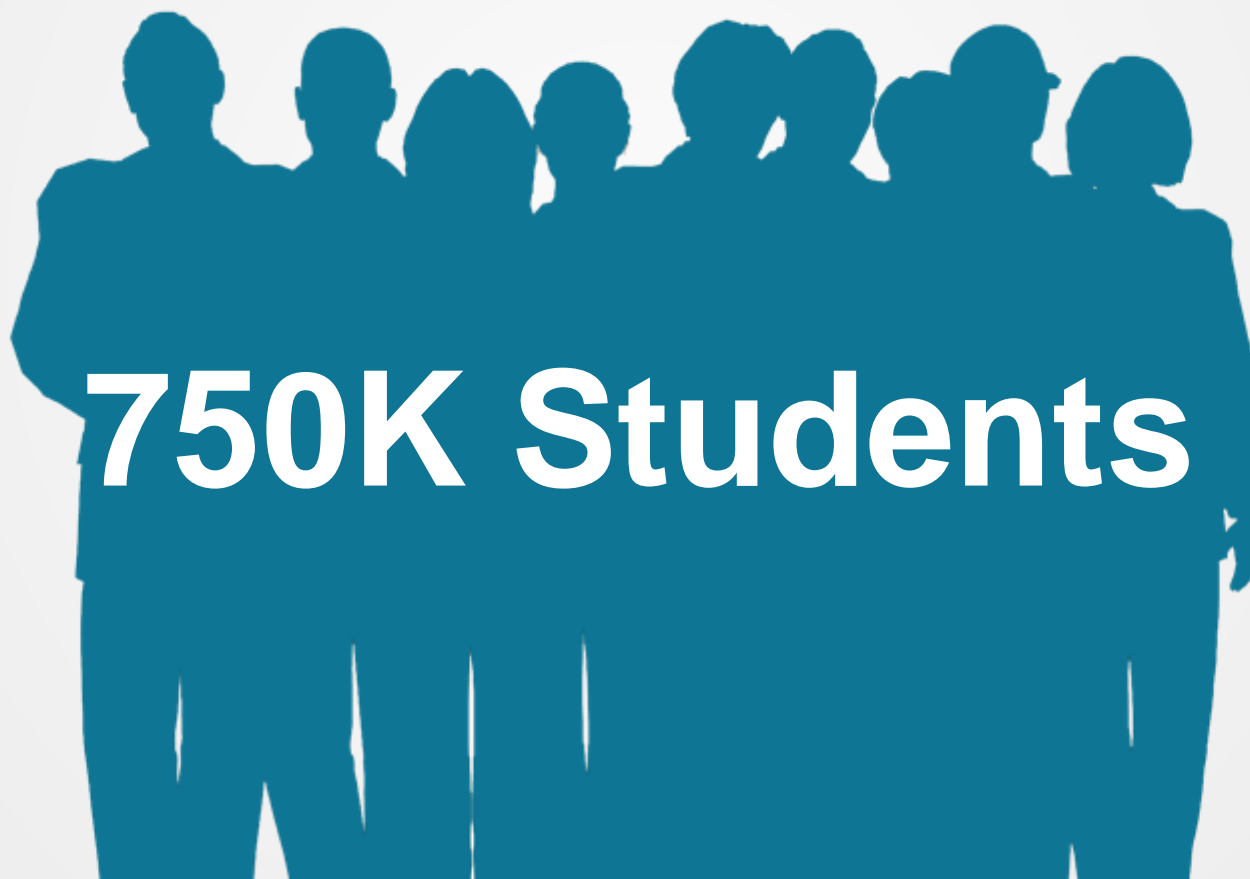
50

Businesses

25

Parent/Teacher Groups

7



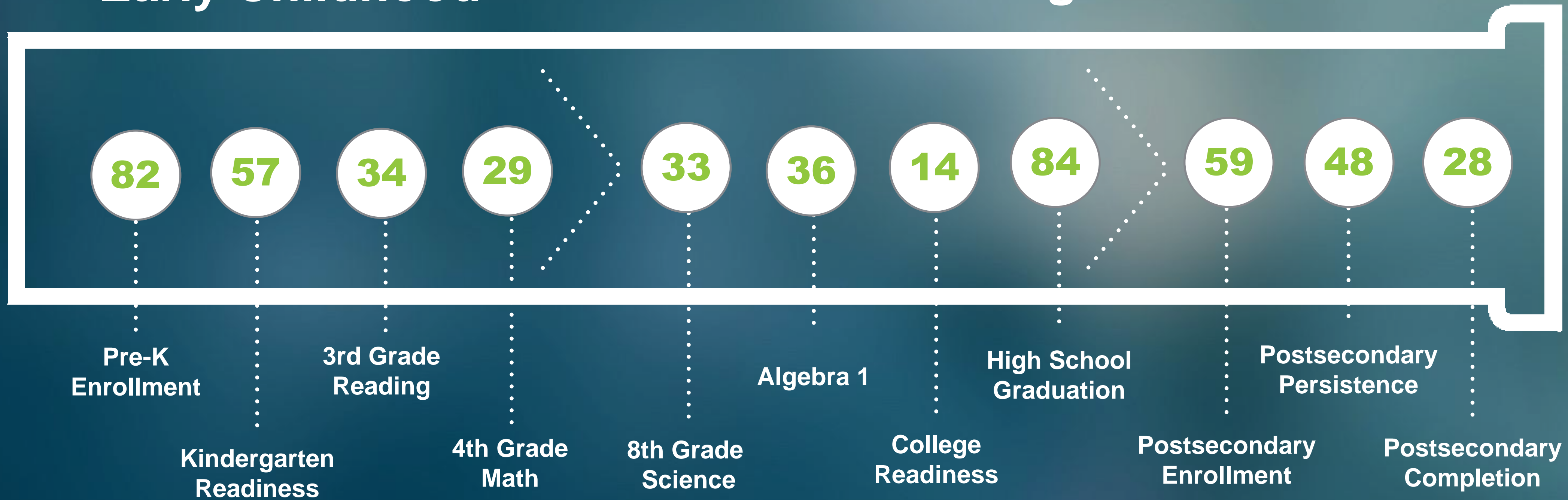


Our Partnership's Cradle-to-Career Approach

Early Childhood

Grades 4-12

Higher Ed/Workforce

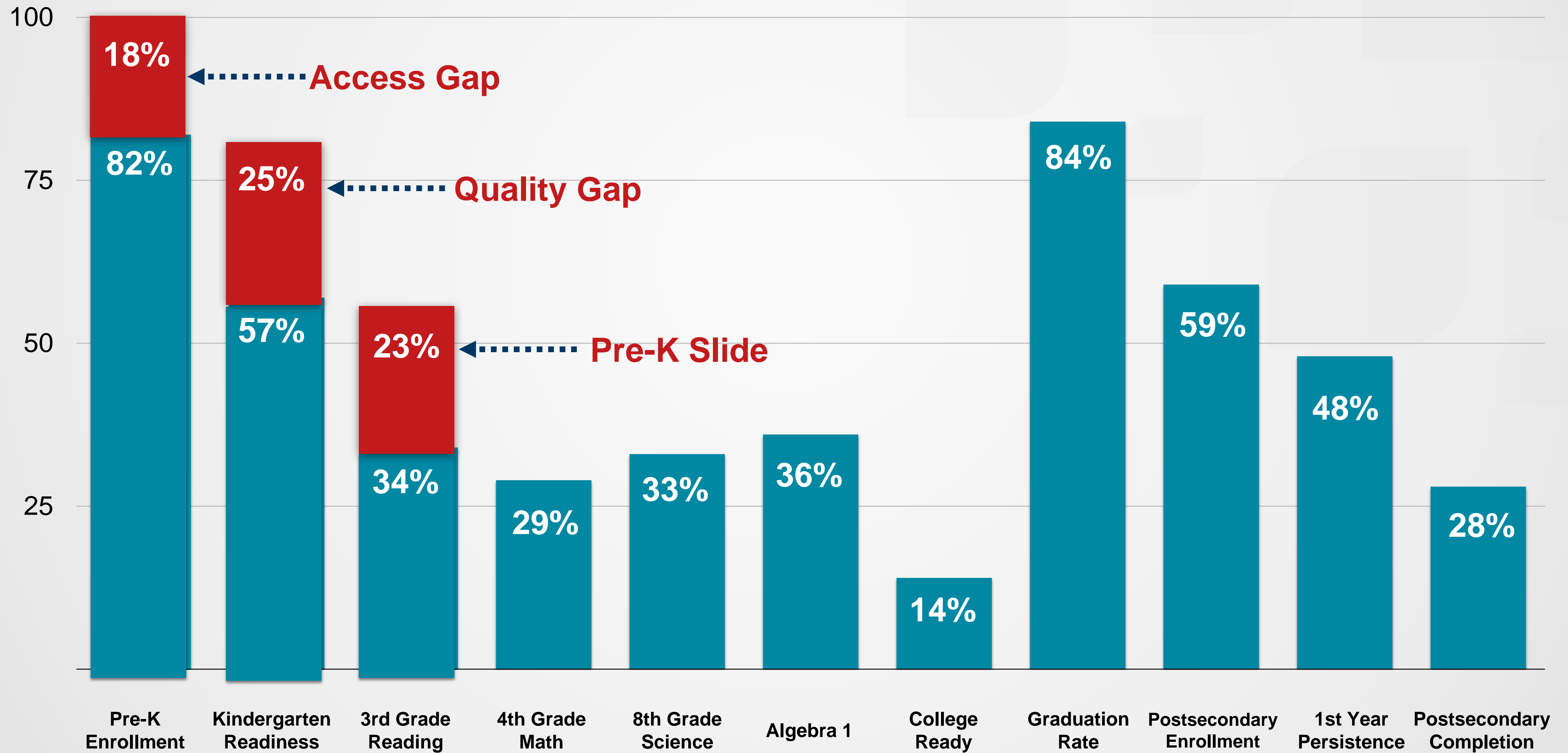




Leaks Across The Pipeline

Our System Breaks Down Early and Never Recovers

■ Dallas County

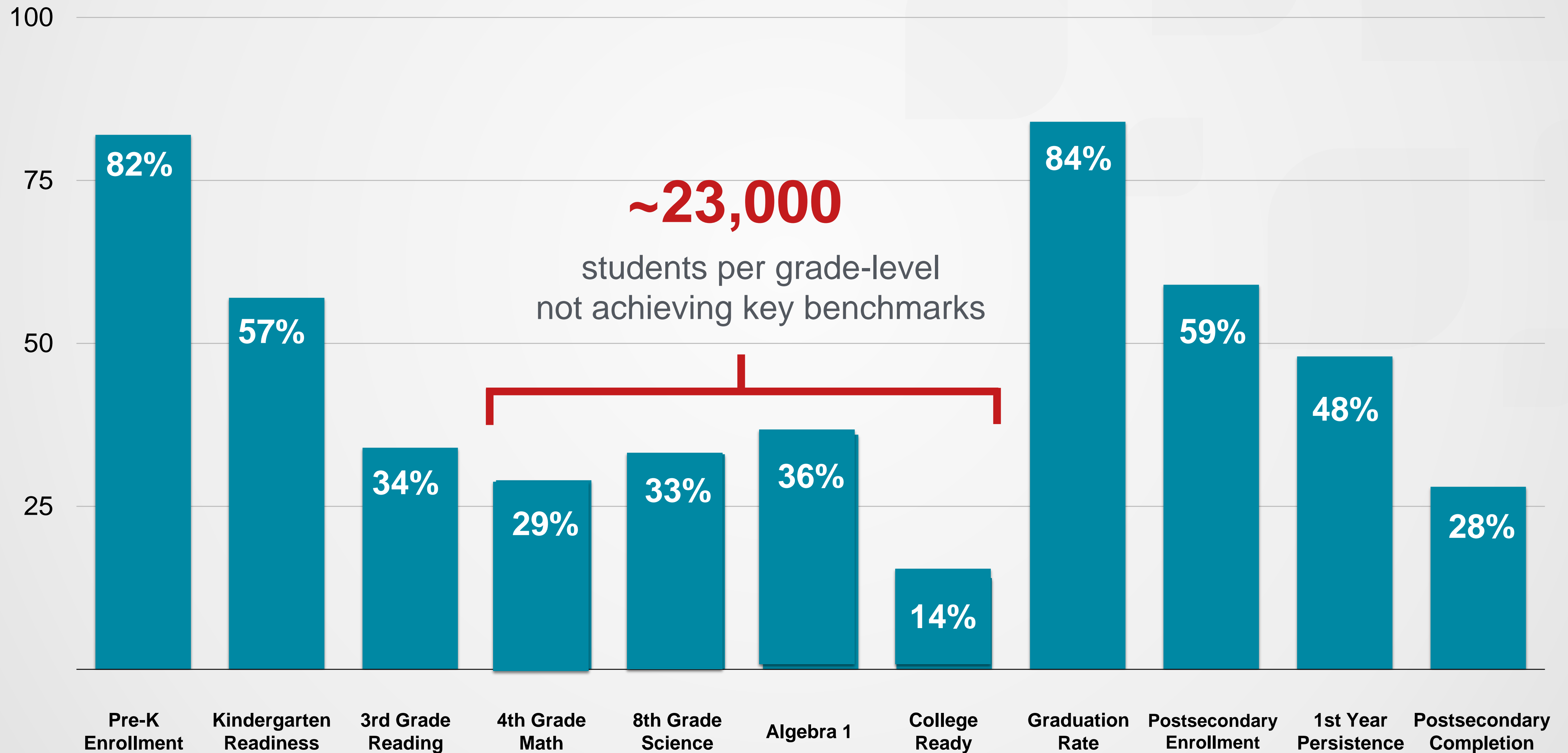




Leaks Across The Pipeline

Our System Breaks Down Early and Never Recovers

■ Dallas County

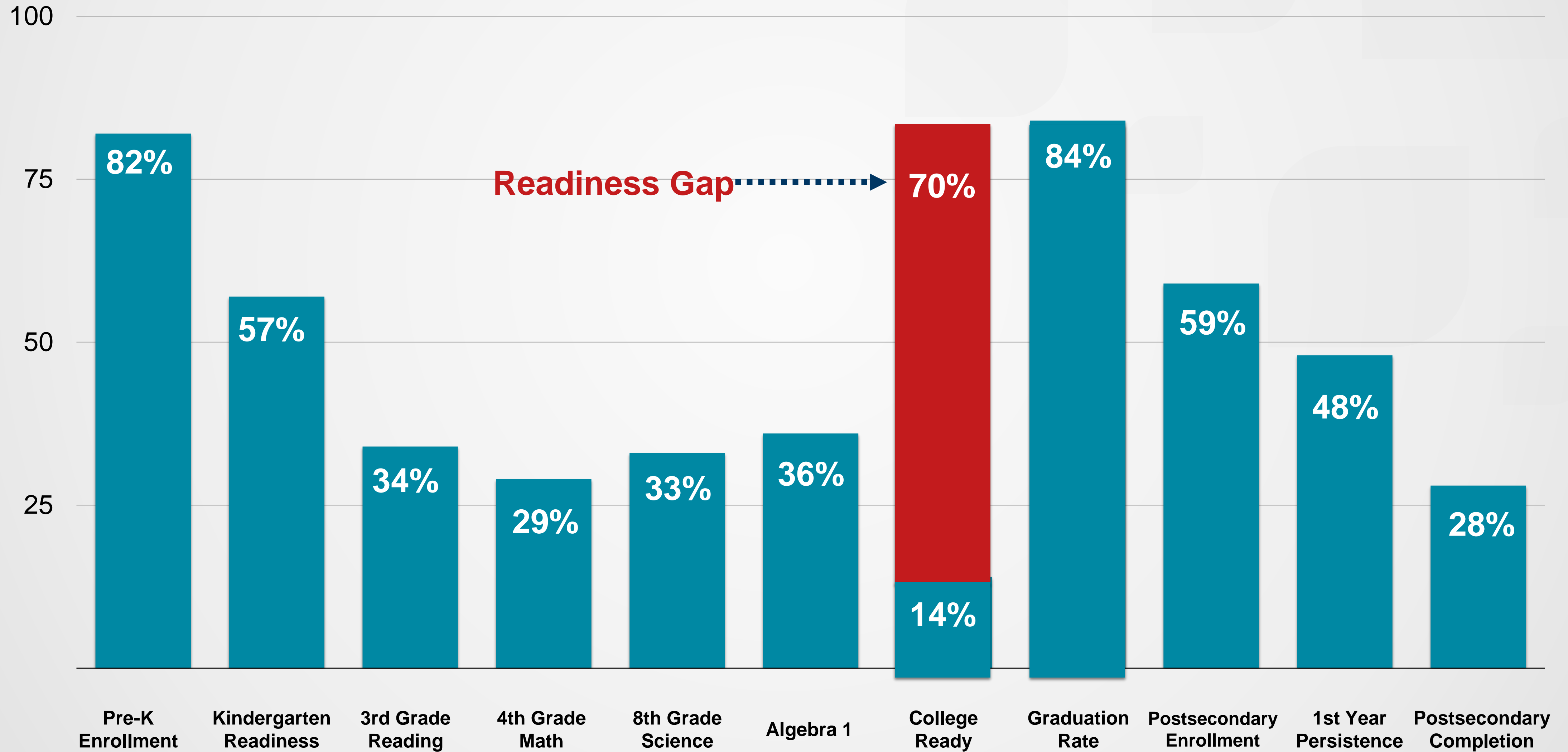




Leaks Across The Pipeline

Our System Breaks Down Early and Never Recovers

■ Dallas County



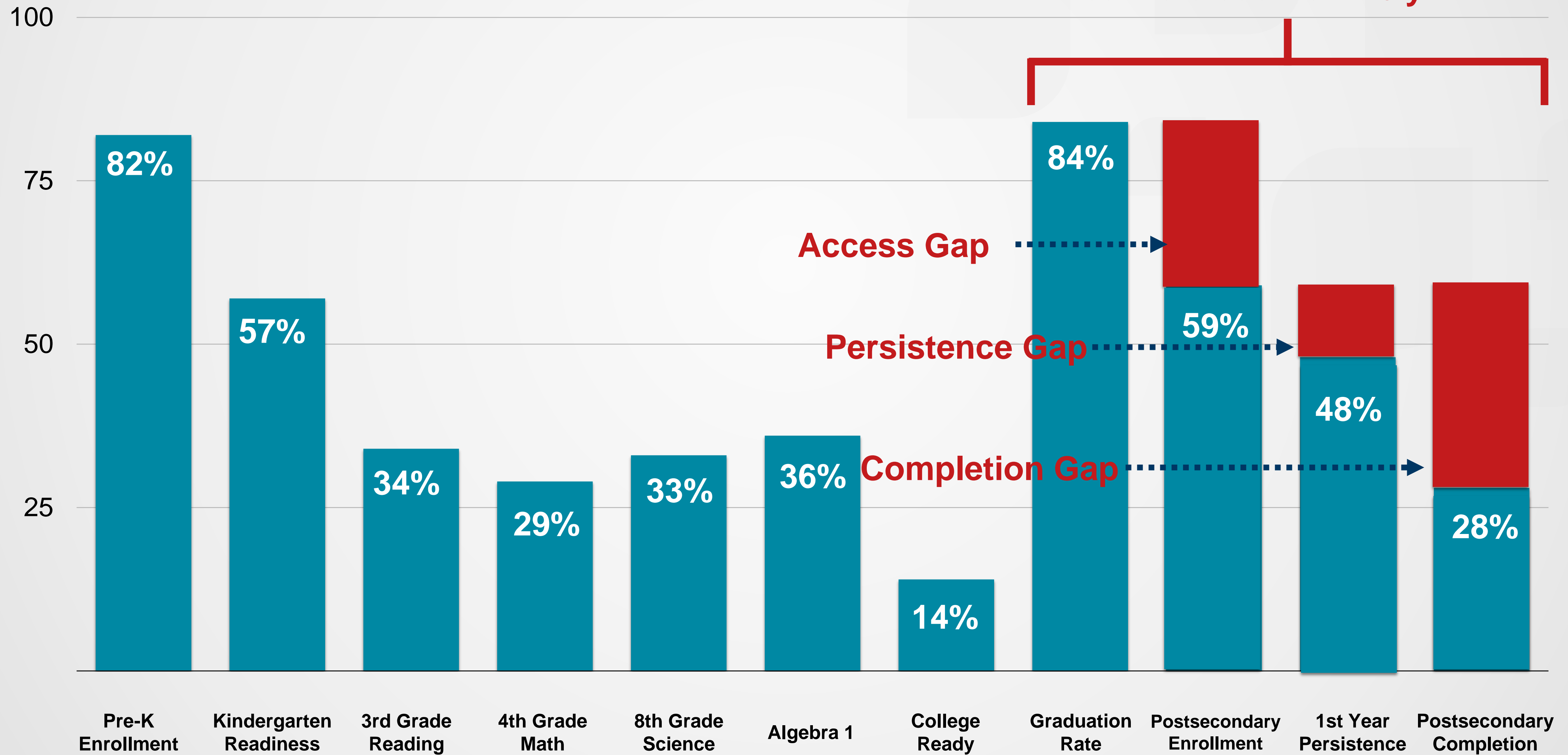


Leaks Across The Pipeline

Our System Breaks Down Early and Never Recovers

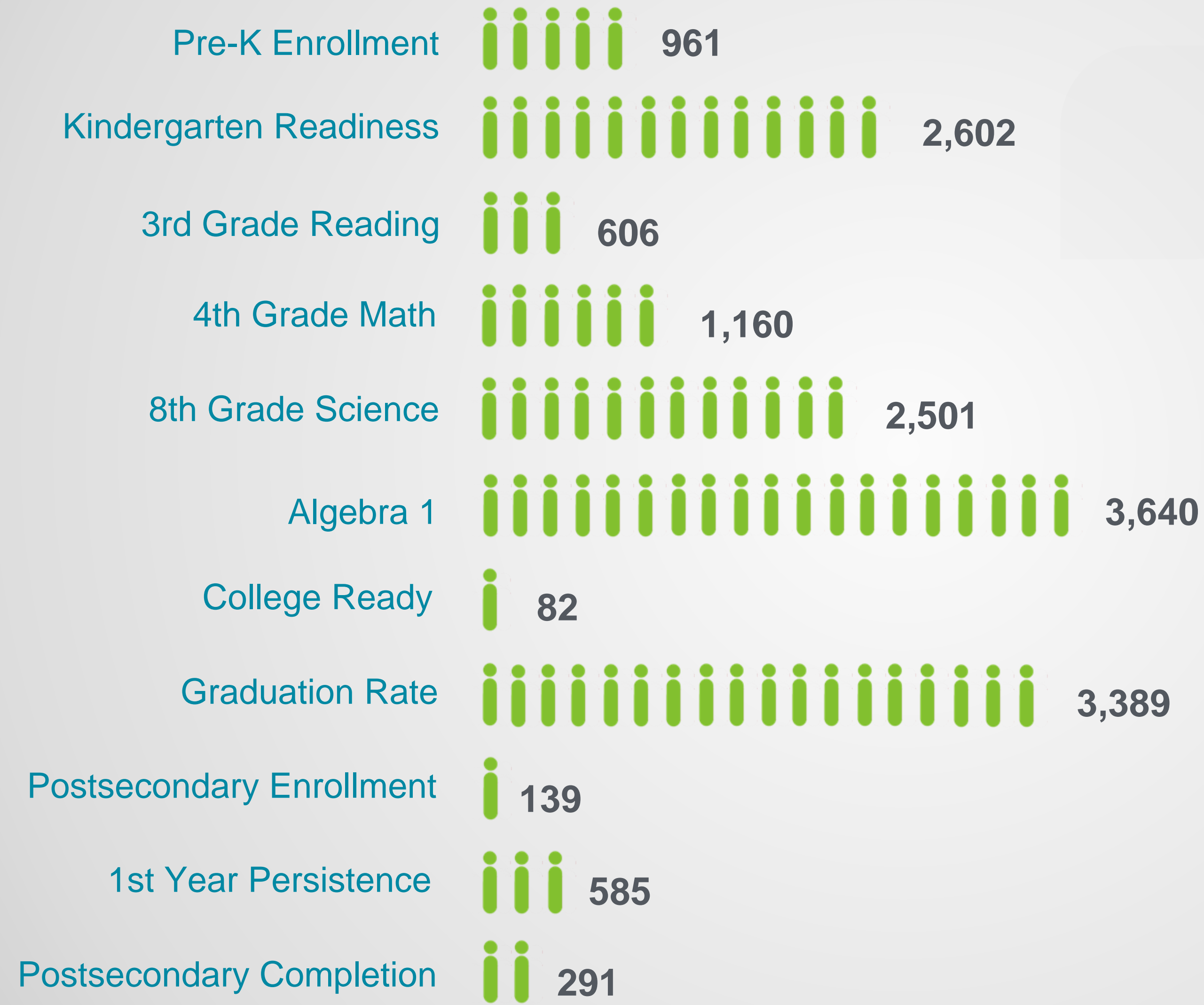
■ Dallas County

Fewer than **3 in 10** high school graduates earn a credential in **6 years**





But, We Have Achieved Progress Since 2011

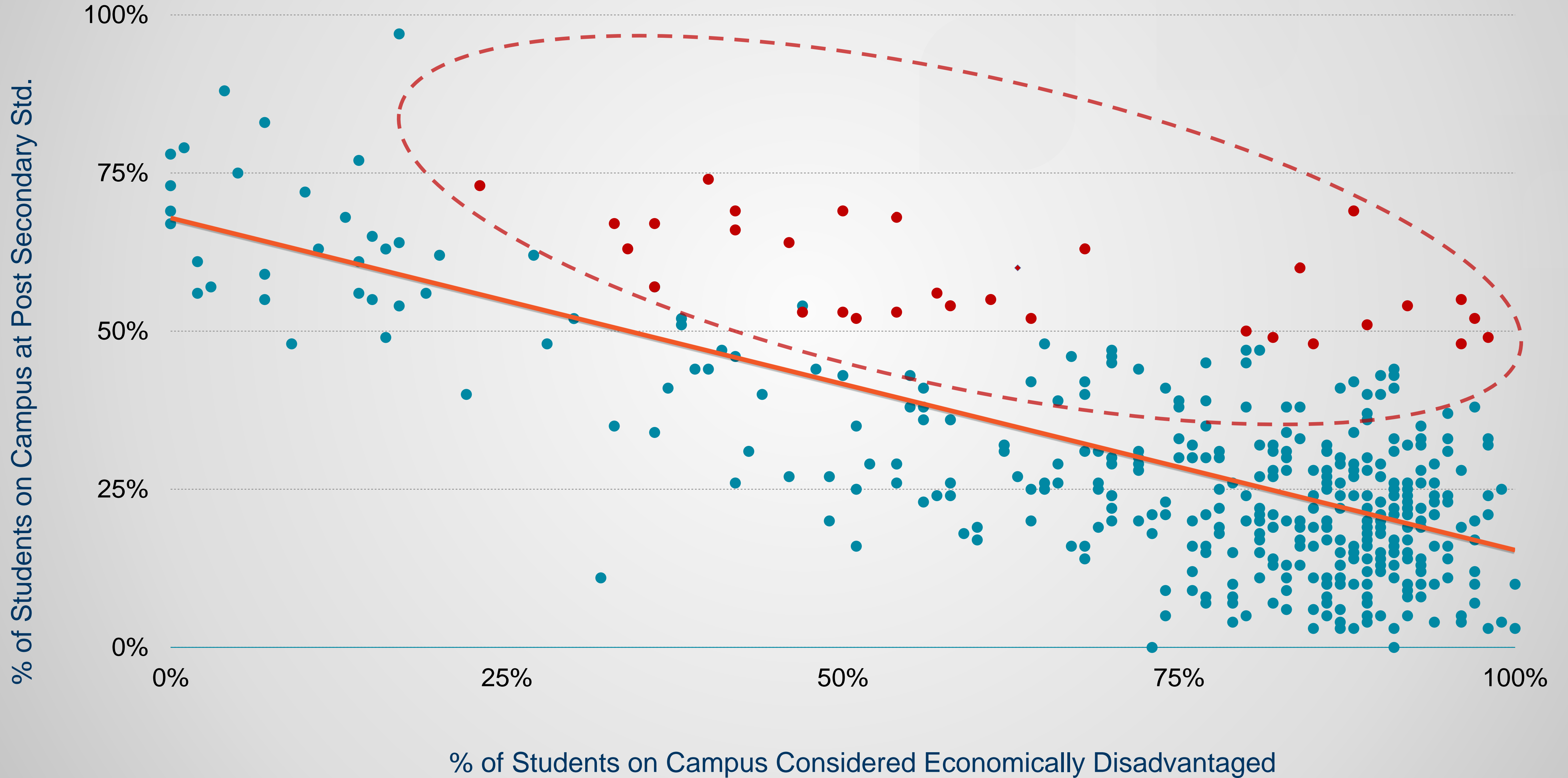


+16,300
more students are
achieving key benchmarks
since we started in 2011-2012



Our Hope Chart – Poverty is not Destiny

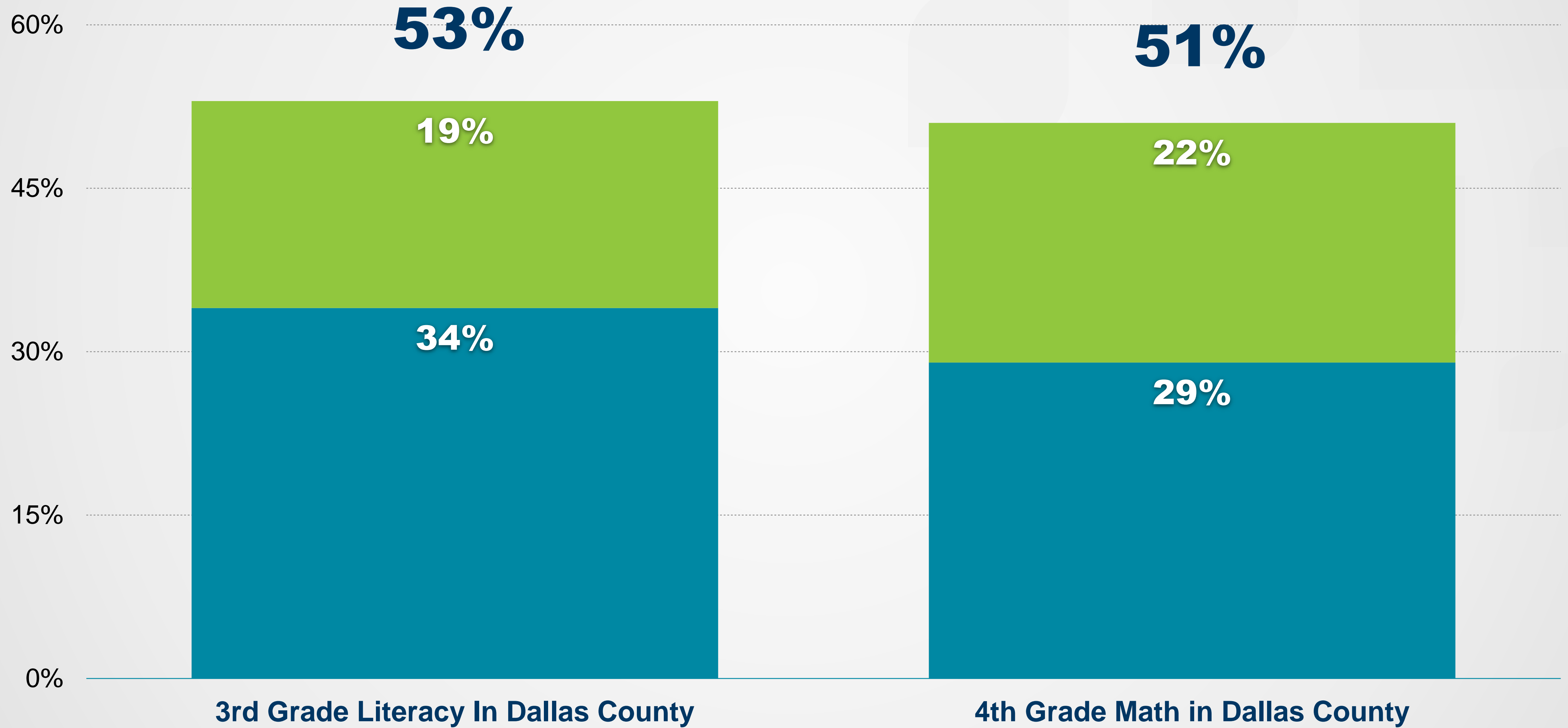
Campus Achievement vs. % of Campus That is Economically Disadvantaged





Scaling What Works Across Every District

What if every district could replicate achievement for economically disadvantaged students at its highest performing school?



Our Four Initial Priority Areas (Plus One Coming)

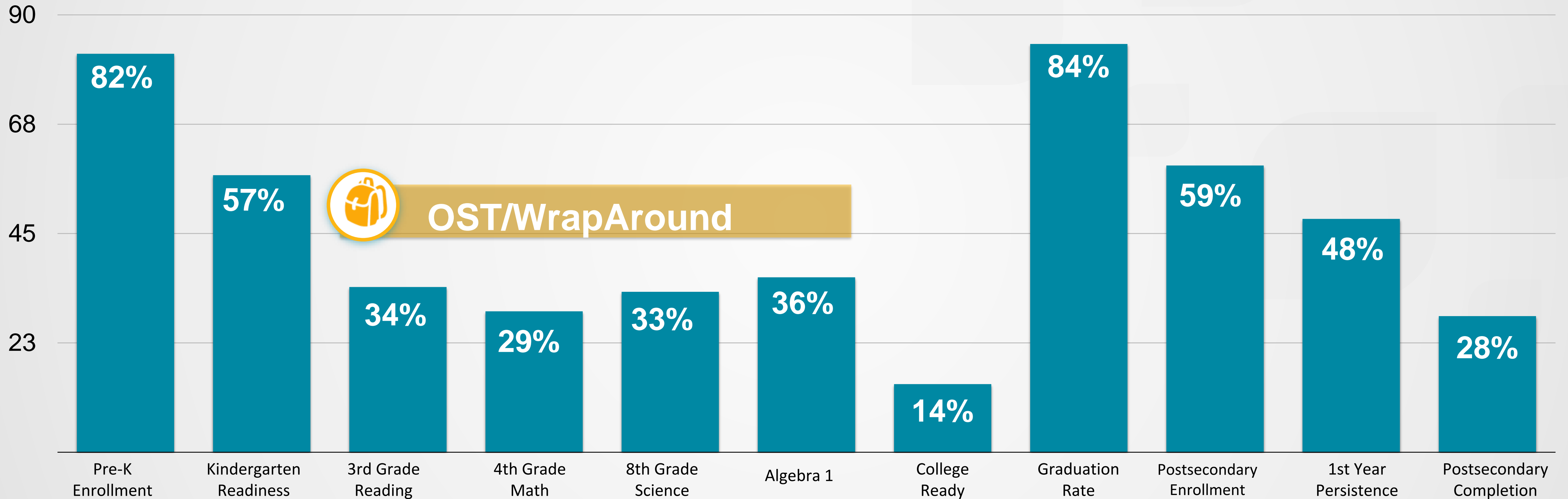
Being Thoughtful About the Biggest Levers That Can Assist Achievement



Early Childhood



Postsecondary Attainment



OST/WrapAround



Educator Pipelines



Data & Community Capacity Building



Democratizing Data

Working To Provide Data To All

*Strategic Pro-Bono Partner TBD

We're working to democratize data so that more people can make informed decisions



data.commit2dallas.org



Convening Networks Around the Power of Data

Using the Power of Data to Catalyze Collective Action

160

Individuals/Entities
Convene Around Data
Regularly

65

Member
Leadership
Council

11

School
District
Leaders

12

Early
Childhood
Directors

14

College
Access
Directors

12

Data
Alignment
Council

40

Organizations
Early
Matters

8

Place
Based
Backbones



Early Childhood Education

Early Childhood Education

****Creation of an Early Matters Fund Through the Dallas Foundation***

****Strategic Pro-Bono Partner – Boston Consulting Group***



**Launch of Early Matters
Dallas w/ Houston**



**Brain-Building Tools to Help
Empower Parents as Teachers**

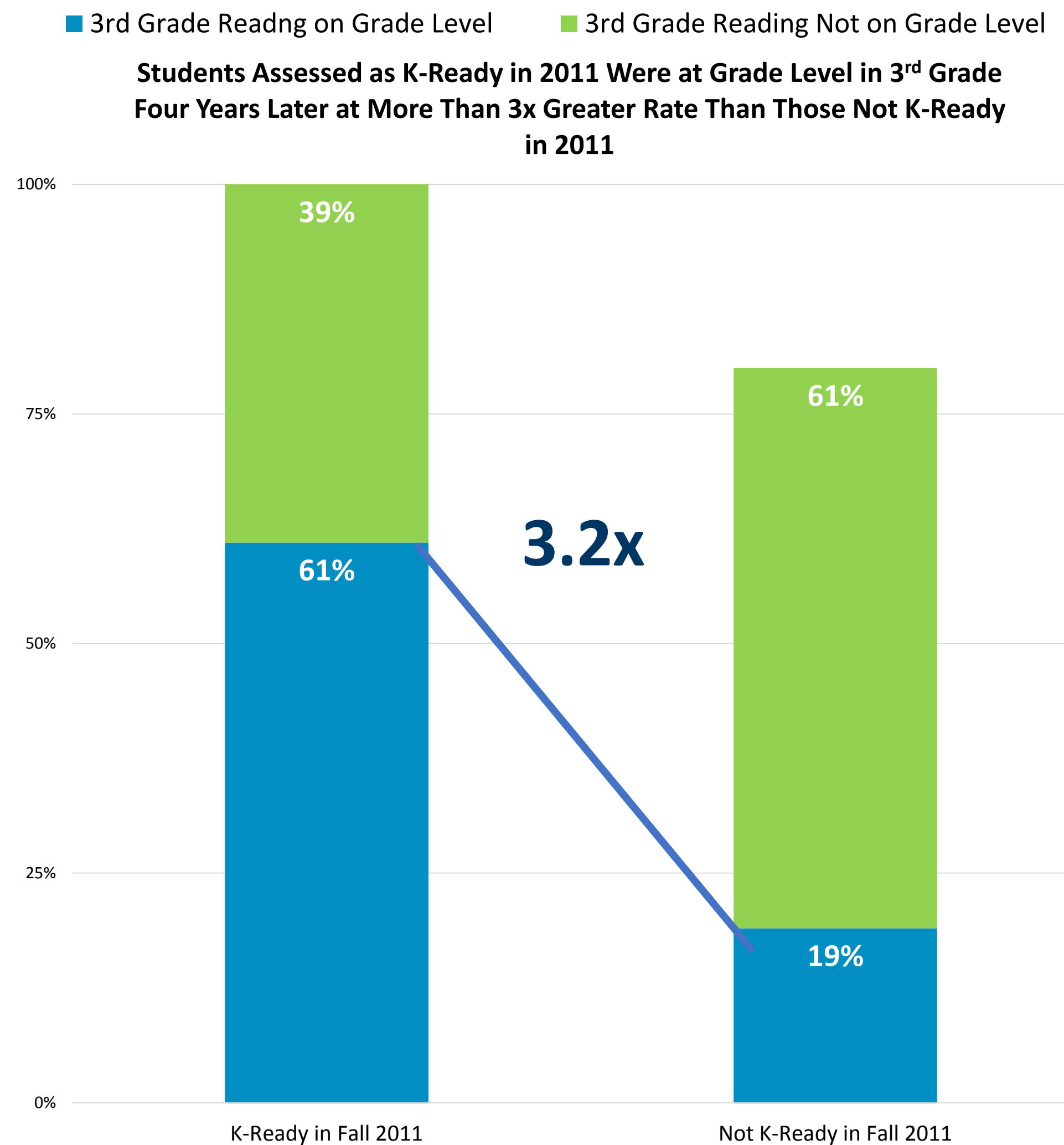
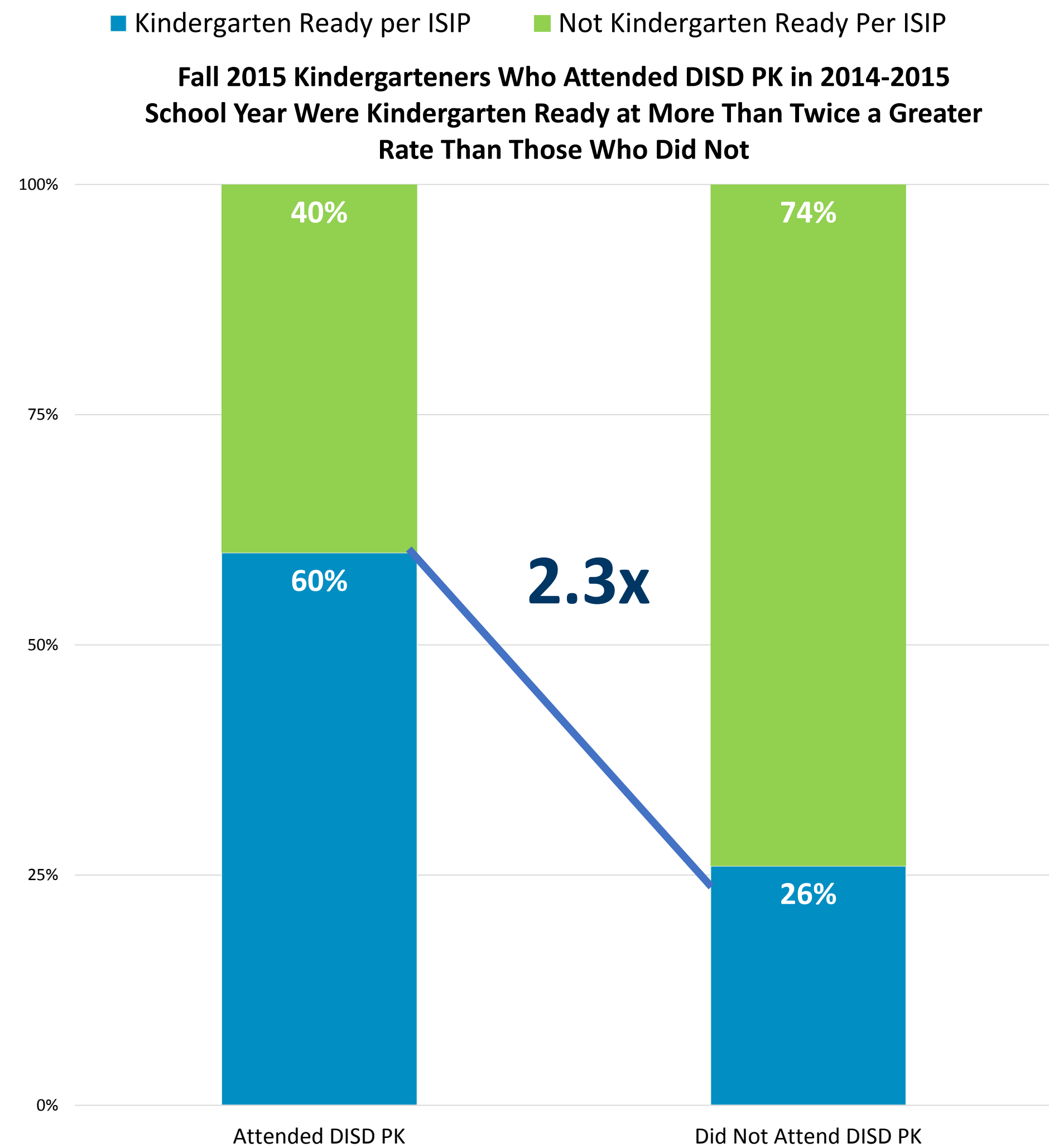


**Regionally Aligned Pre-K
Campaigns to Improve Access**



**Launch of Early Childhood
Institute to Improve Quality**

The Importance of Dallas ISD Pre-K in Contributing to 3rd Grade Literacy: *Students Attending DISD PreK Are Kindergarten Ready at Twice a Greater Rate...and Kindergarten Ready Students are Reading at Grade Level at 3x Greater Rate in 3rd Grade Four Years Later*

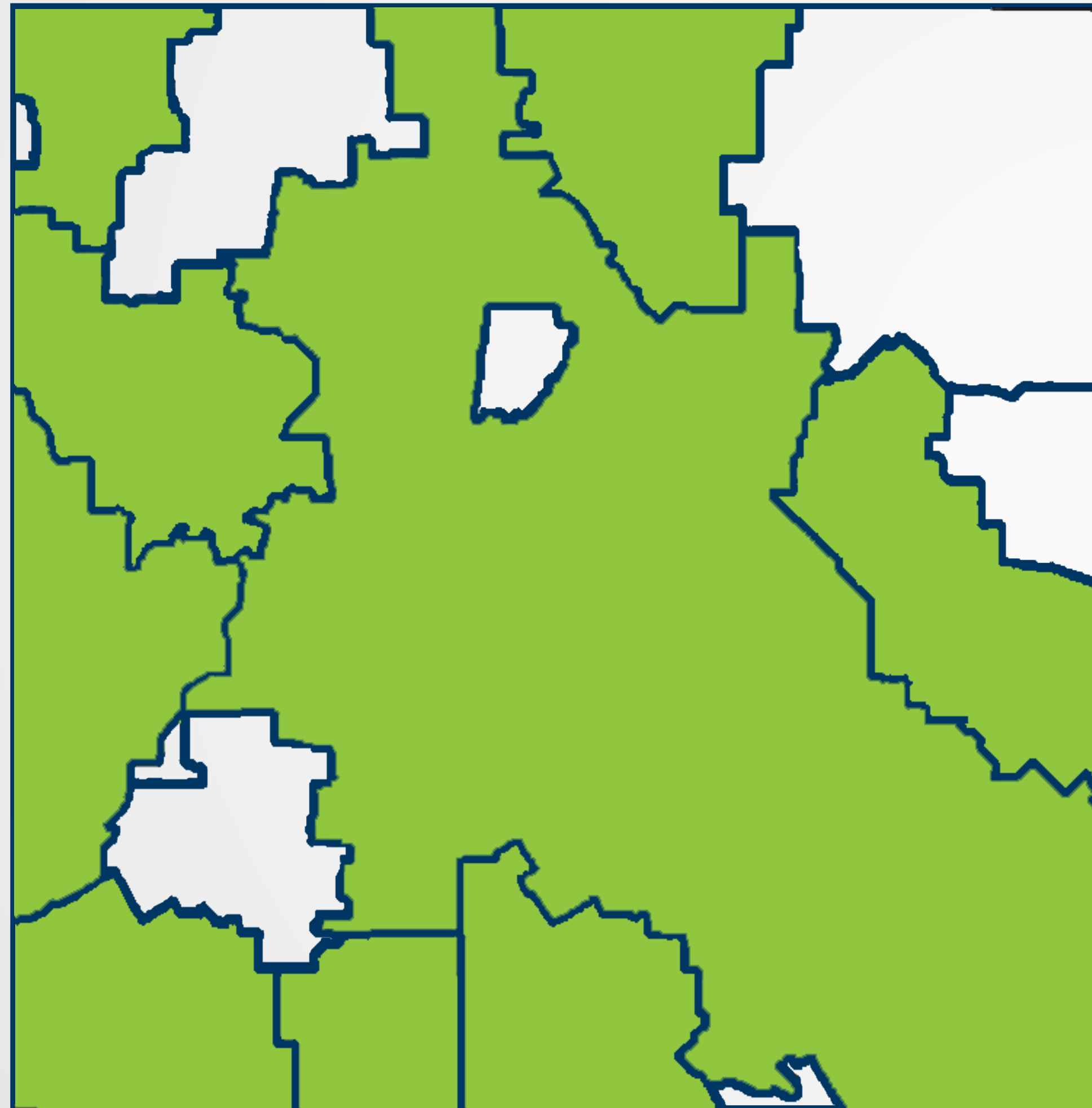




Building A Coalition for Pre-K Enrollment

Strength in the Aligned Work of Many

Dallas County School Districts



2014

Dallas ISD
Grand Prairie ISD

2015

Lancaster ISD
DeSoto ISD
Irving ISD

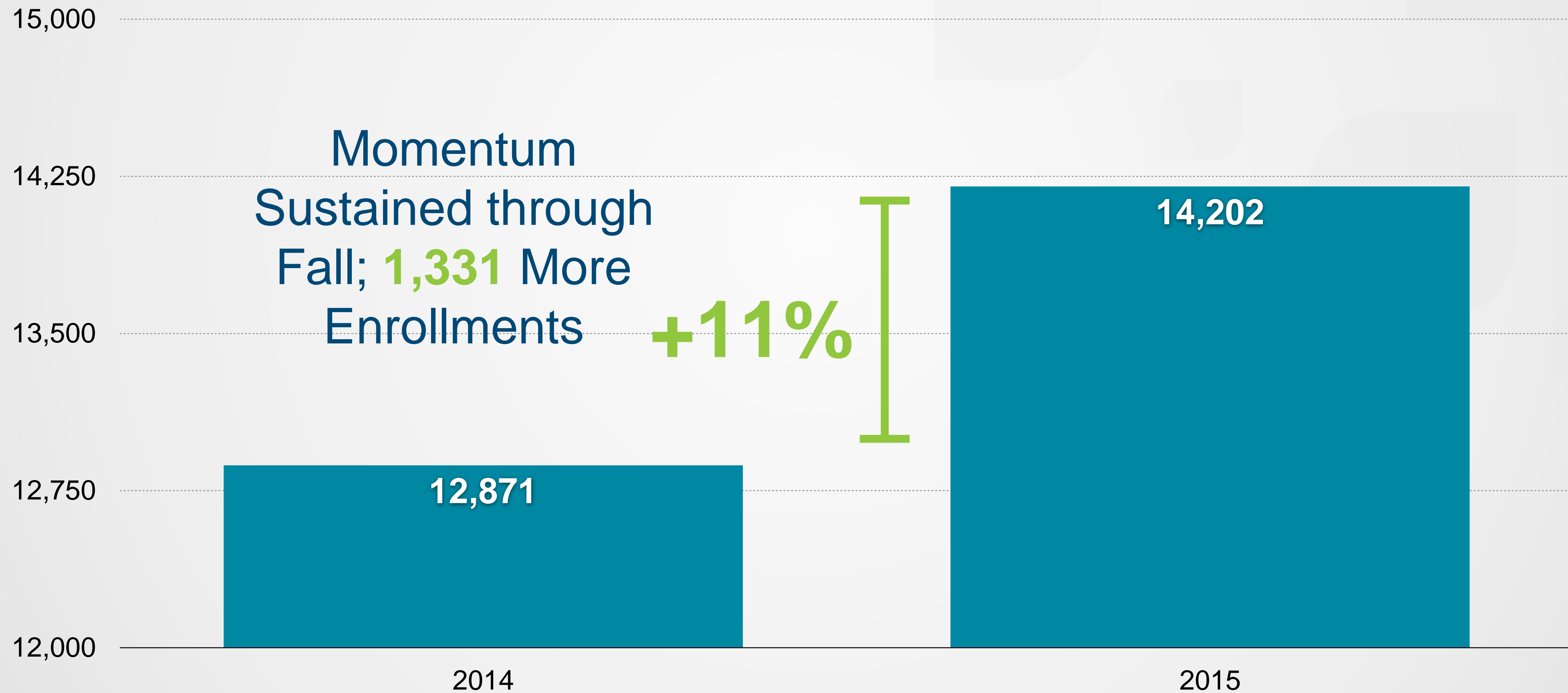
2016

Richardson ISD
Mesquite ISD
Cedar Hill ISD
Coppell ISD



Results From Pre-K Action Network in 5 ISD's

Even if other districts stay flat, this growth represents an overall 5% gain for the county





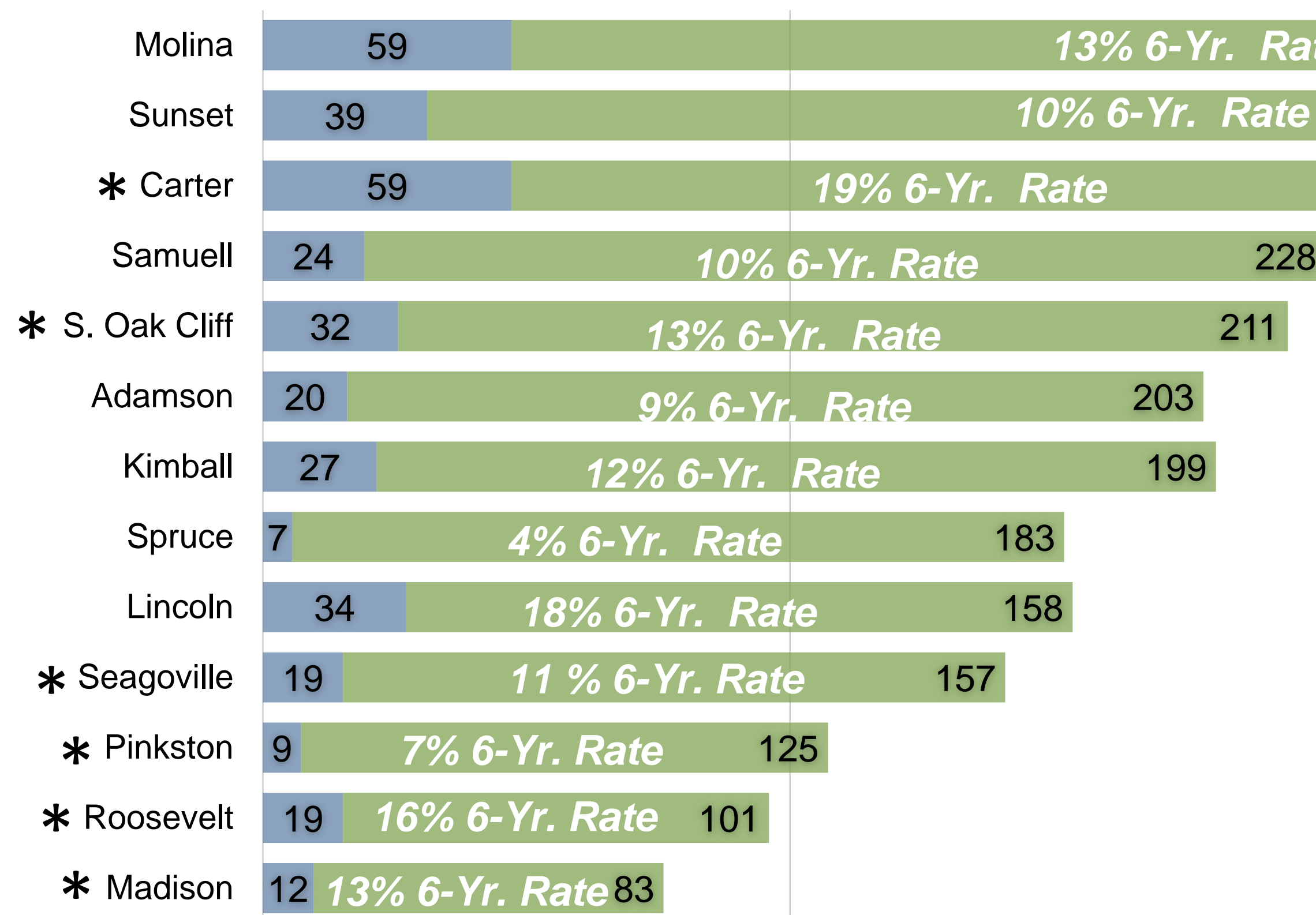
Postsecondary Attainment

Six-Year College Completion Rates for “Grow South” High Schools

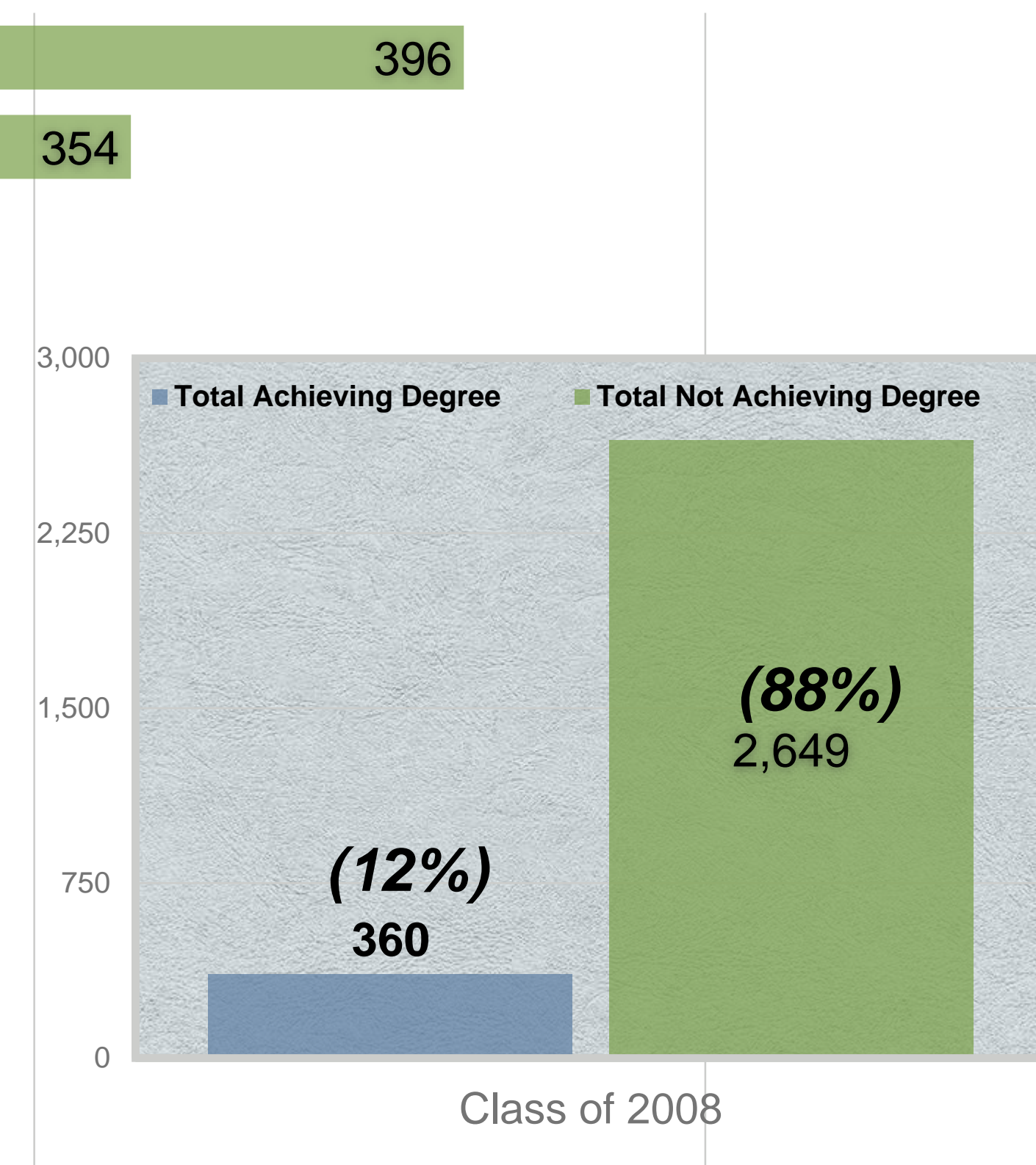
Total of 360 Students (12% Graduation Rate) with Degree in Six Yrs From Class of 2008 Across 13 Campuses vs. 2,649 Students Without a 2-Year or 4-Year Degree

■ No. of Students Achieving Two or Four Year Degree Within Six Years of H.S. Graduation

■ No. of Students Failing to Achieve Degree Within Six Years of H.S. Graduation



* New Collegiate Academy



Postsecondary Attainment



**Regional Financial Aid
Education and Campaigns**



**Individualized Counseling and
Personal Texting Reminders**



**Expanding Dual-Credit and Early
College H.S. Opportunities**

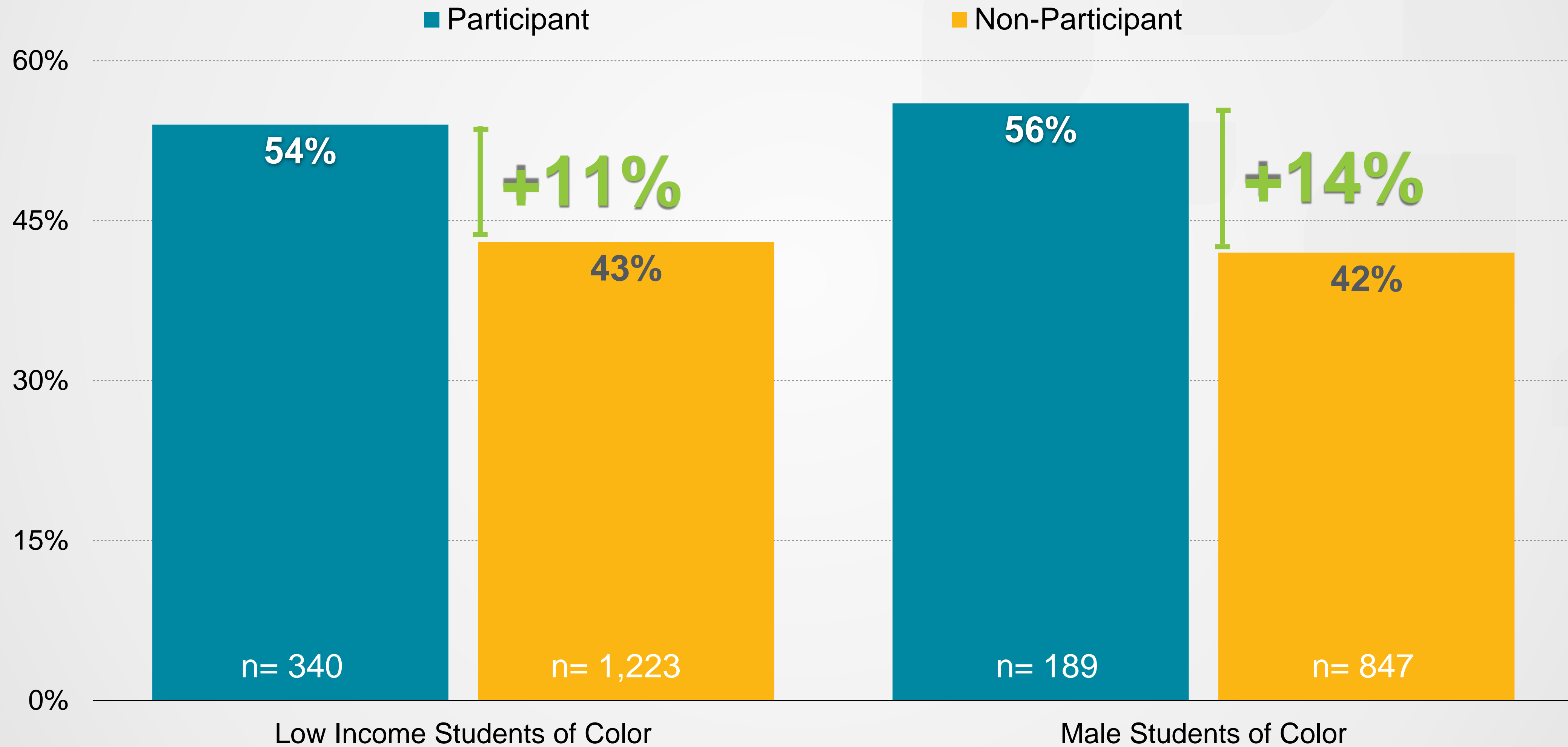


**Targeted Efforts to Decrease
Remediation**



Collaborating to Increase College Access

Postsecondary Enrollment by Participation in Summer Melt Texting Pilot





New National Entities Attracted to North Texas

An increasing number of non-Texas organizations investing in the Dallas Community



THE ANNIE E. CASEY FOUNDATION



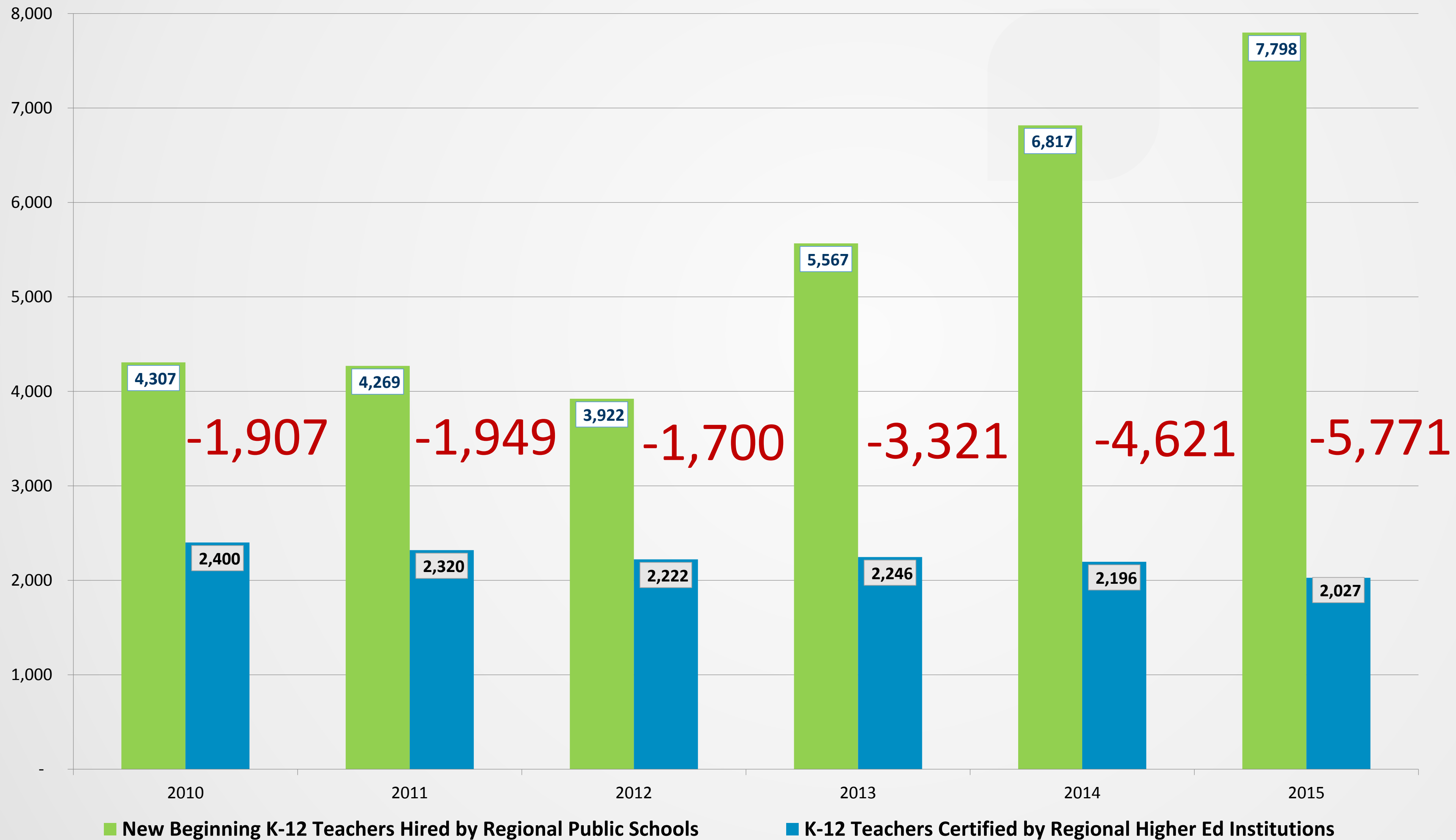


Educator Pipelines



Growing Gaps in Regional Teacher Supply

Substantial Gaps Between K-12 DFW Teachers Certified by Higher Ed vs. Workforce for New Teachers

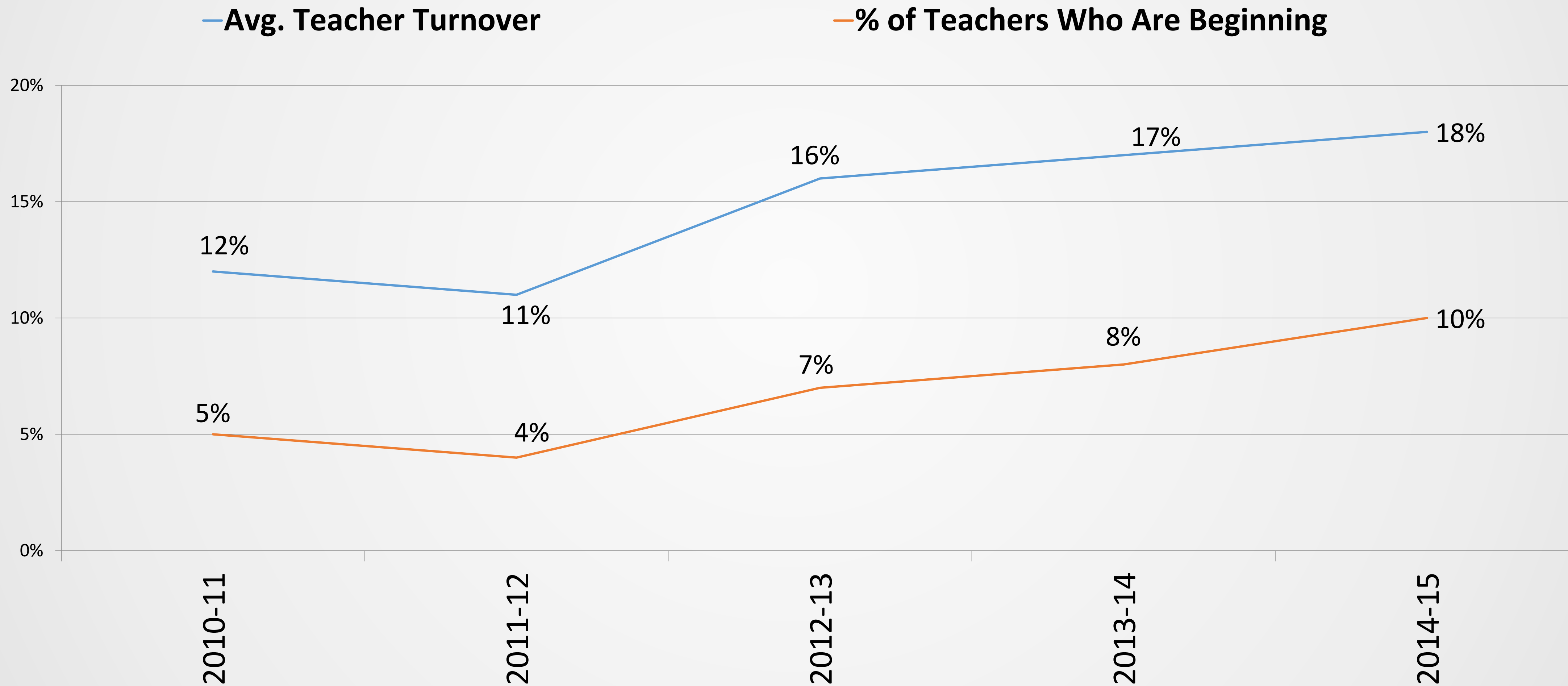


Gap Has More Than Tripled Since 2010



Further, Teacher Turnover is a Growing Problem

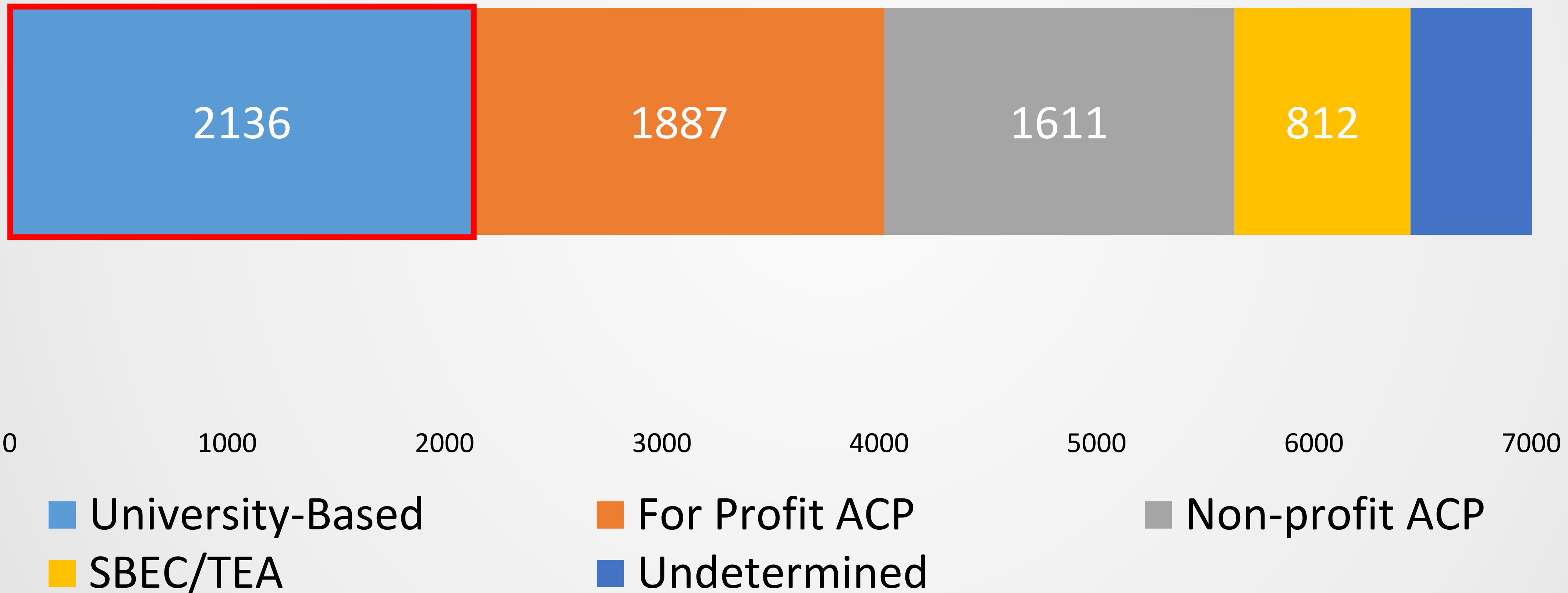
A Growing Proportion of New Teachers are entering our Schools



Teachers Trained Through a Variety of Pathways

Newly hired teacher* employment disaggregated by pathway (2014-15)

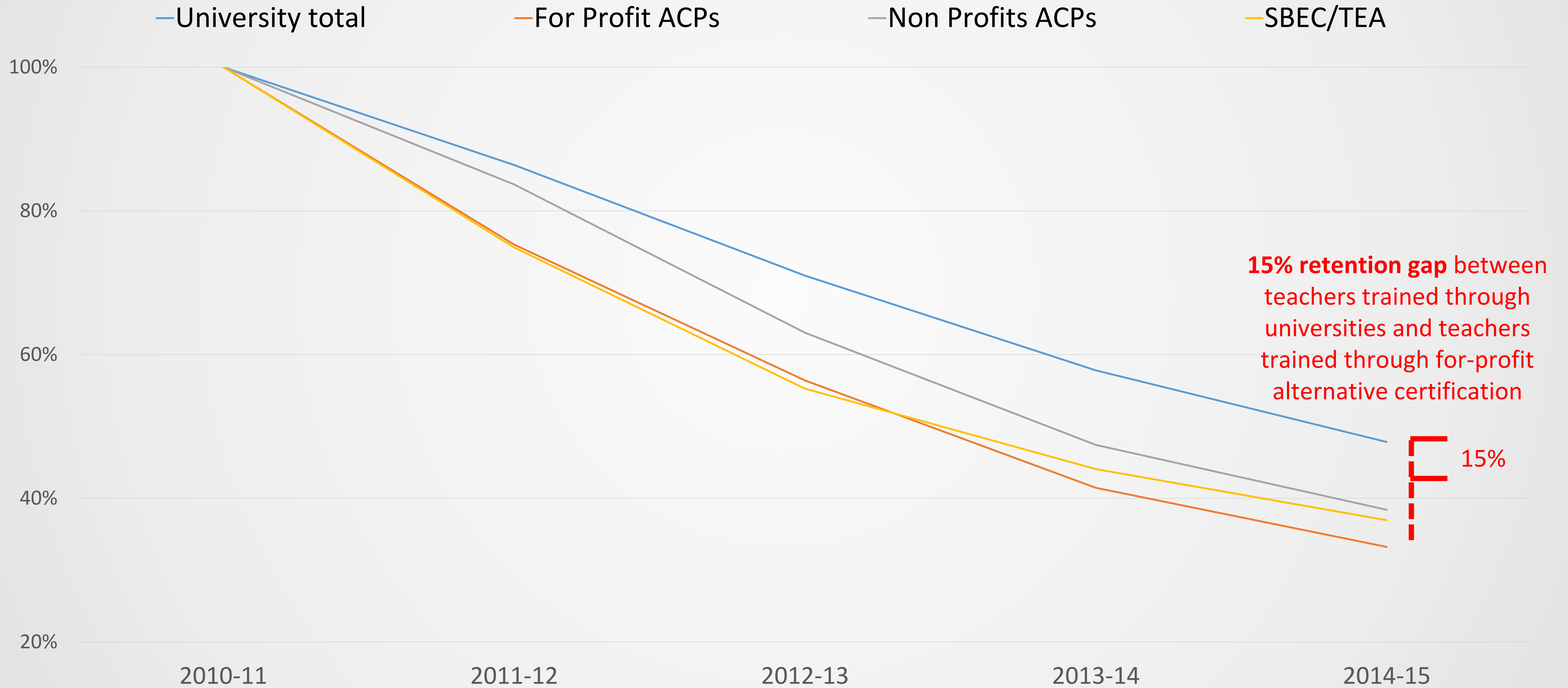
Only 30% of newly hired teachers are trained in university-based programs



*Newly hired teacher is defined by TEA as any teacher who is teaching for the first time in the district regardless of years of teaching experience.

University-trained Teachers Retain at Higher Rates

2010-11 New Teacher Retention by Certification Pathway

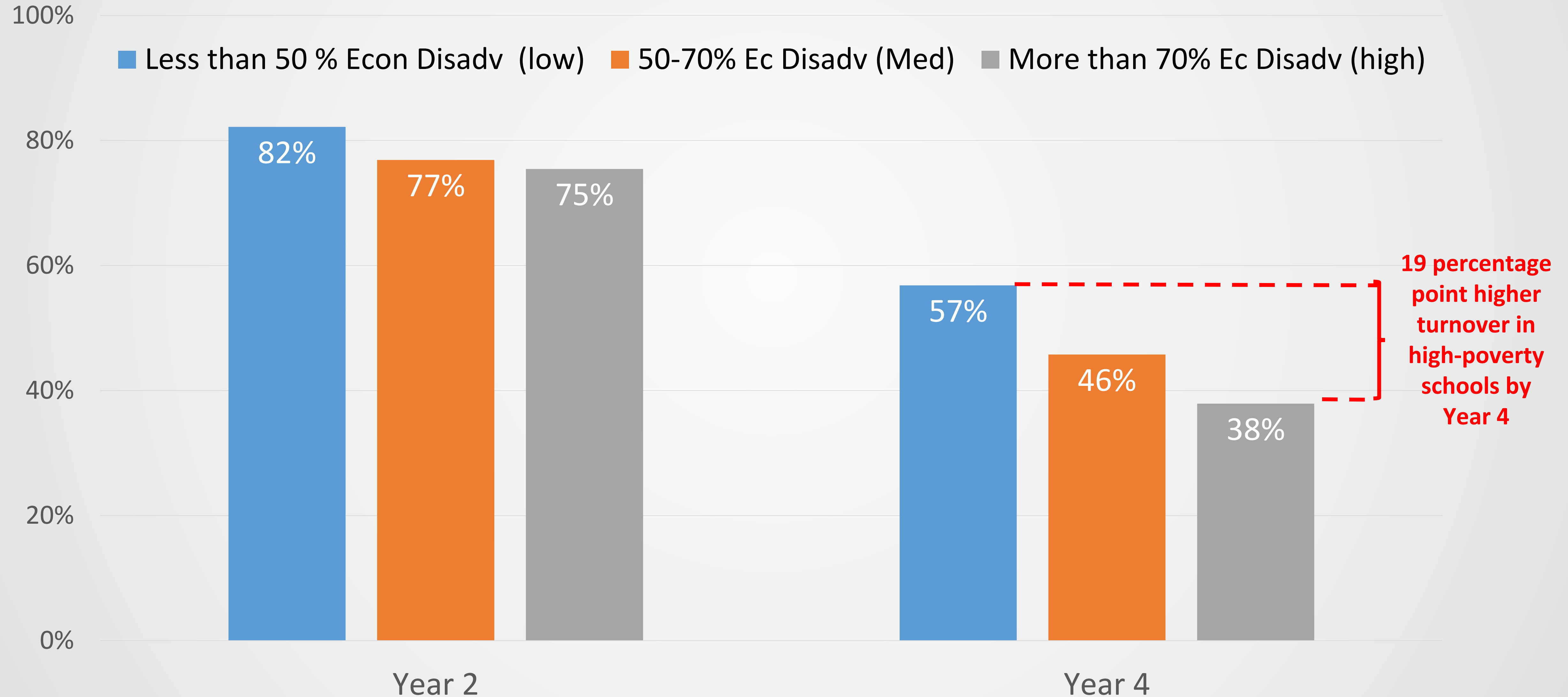


15% retention gap between teachers trained through universities and teachers trained through for-profit alternative certification

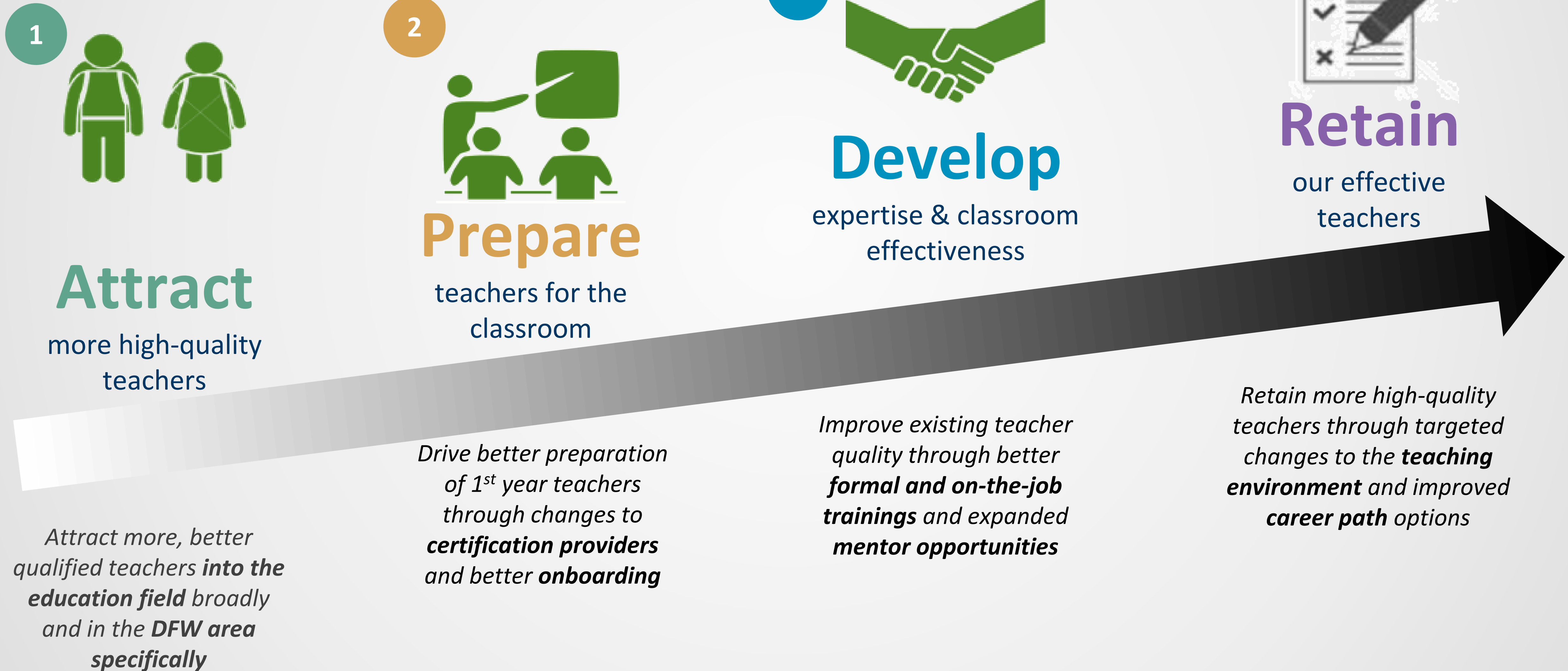
15%

High Need Districts Have the Highest Turnover

2010-2011 New Teacher retention by District Eco-Dis Levels



With Bain & Co, we are building a regional strategic plan



Educator Pipelines

**Creating a Human Capital Fund Through Communities Foundation of Texas*

**Strategic Pro-Bono Partner – Bain & Company*



**Regional Campaign /
Website Lifting Up Education**



**Supporting Creation of ISD JV's
with Teacher/Principal Pipelines**



**Recruiting Best-in-Class
Preparation Programs to DFW**



**Shared Advocacy to Increase
Rigor and Quality of Alt
Certification**

How Can You Help?



Invest in the Early Matters Fund Through The Dallas Foundation



Invest in the Human Capital Fund Through CFT



Invest in and Support Commit!



Volunteer to be a Literacy Tutor



Become a Corporate Sponsor for a New Dallas ISD Collegiate Academy



Connect
with us



Commit2Dallas



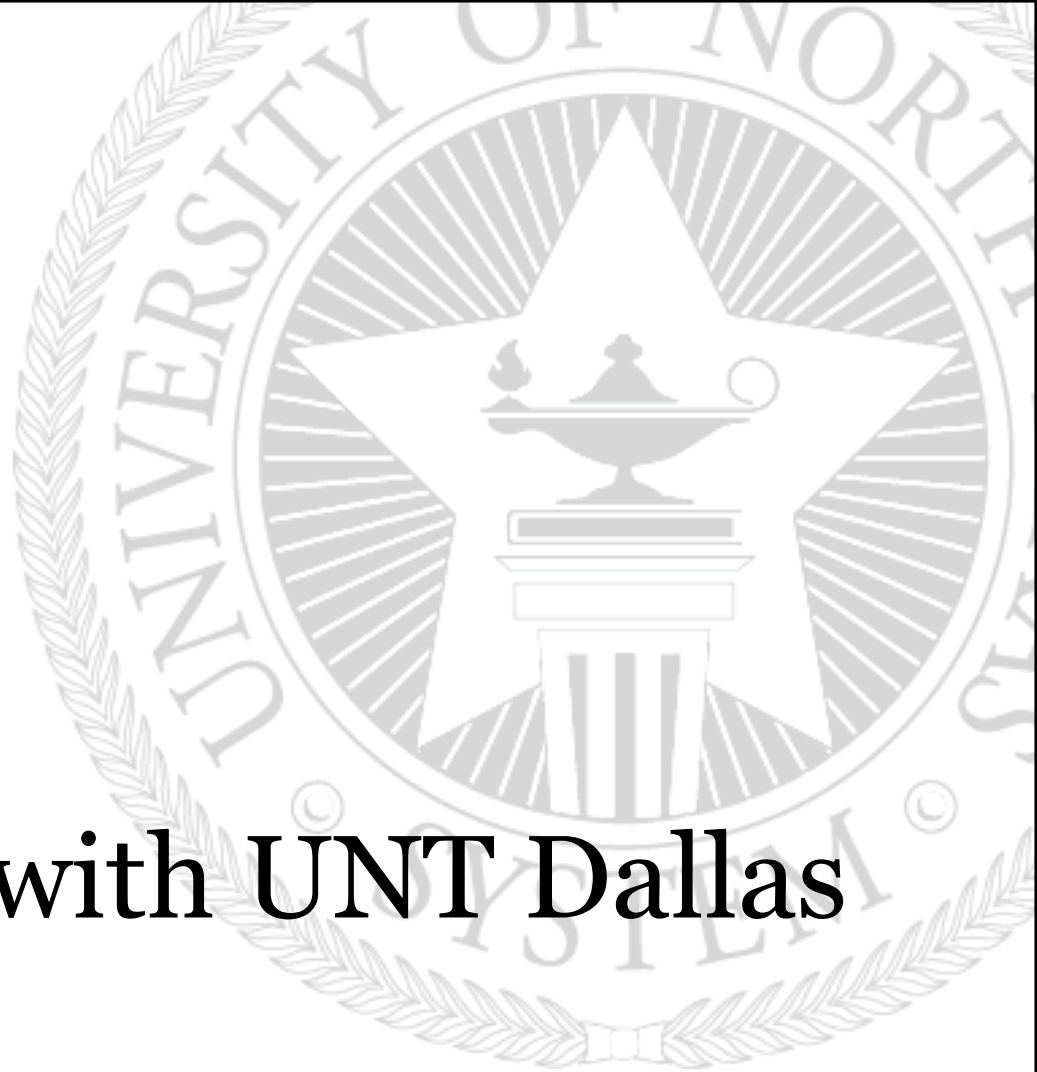
@commit2dallas



commit2dallas.org/blog



For More Information:
Todd.Williams@Commit2Dallas.org
Sagar.Desai@Commit2Dallas.org



The Commit! Partnership with UNT Dallas

Presented on May 19, 2016 by:

- Bob Mong, President, UNT Dallas
- John Gasko, Dean and Professor, School of Education, UNT Dallas



THE COMMIT! PARTNERSHIP



PARTNERS

180+ diverse partners working together to catalyze change across the cradle-to-career educational pipeline on behalf of the 750,000+ students in Dallas County.



DATA

Using data as a flashlight to understand the region's greatest opportunities and identify the most effective practices to implement.



ALIGNMENT

Leveraging community resources, agreeing on shared strategies, and collaborating on actions to achieve common goals.

The 2015 Community Achievement Scorecard: A Tool for Change

- The Community Achievement Scorecard reflects how well we are collectively supporting the **750,000+ students** in Dallas County on their journey from cradle to career. This document and the accompanying resources on this page serve as tools to engage others and to inform action that will drive change for all Dallas County youth.

DALLAS COUNTY ACHIEVEMENT, 2015 SCORECARD



= Absolute Change In Number of Proficient Students

16,300 more students meeting benchmarks since the partnership started in 2011-12

Educator Pipelines

Educator Pipelines



Development of **regional strategy** through data, research, & convening

UNT-Dallas' school of ed expansion

DCCCD EC Institute approval

Urban Teachers to DFW Fall 2016

Edelman chosen as campaign partner

First-ever **Teacher Summit** w/600 attendees

**URBAN
TEACHERS**



Dallas County
Community College District



Edelman



District / school of ed data-sharing agreements formalized; action networks launched

Expanded prep programs launched

Marketing campaign launched

Teacher Summit continued

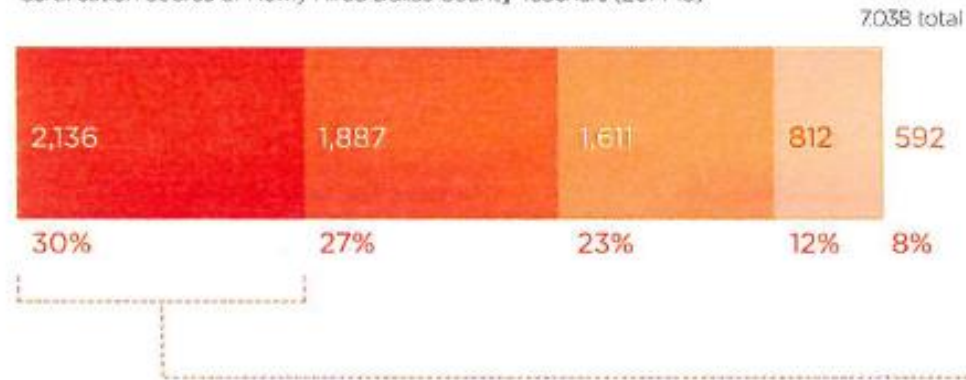
Regional Governing Board established

Educator Pipelines

Teachers are trained through multiple pathways

Many preparatory options are available to an aspiring teacher seeking certification, including programs provided through universities and for-profit and nonprofit alternative certification programs. These programs vary significantly in the level of hands-on experience and feedback provided prior to a teacher candidate's placement as lead teacher in the classroom, with university-based programs frequently offering the most field experience.

Certification Source of Newly Hired Dallas County Teachers (2014-15)



30% of newly hired teachers are trained in university-based programs.

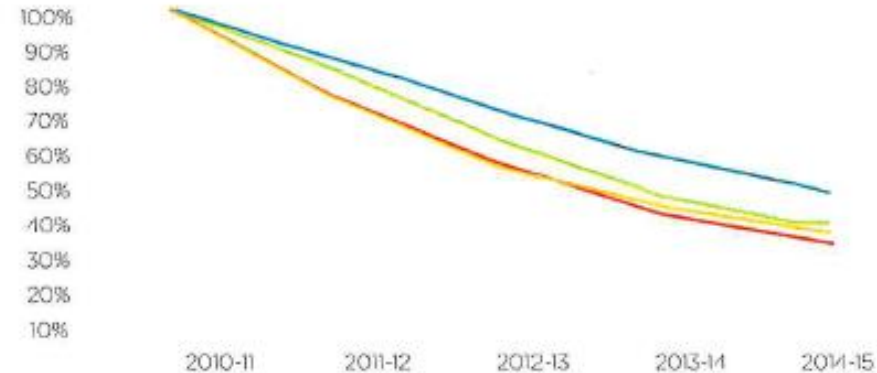
- University Based
- For-Profit ACP
- Nonprofit ACP
- SBEC/TEA
- Undetermined

Educator Pipelines

Variance in pre-service training is reflected in retention rates

Teachers coming from alternative certification programs, without significant in-classroom experience prior to the first year as a lead teacher, leave their districts at much higher rates in the early years of teaching. Hands-on experience and coaching during certification sets up a teacher's long term success in the classroom - and success for their students.

Retention Rate of Dallas County Teachers Hired in 2010-11 by Certification Source



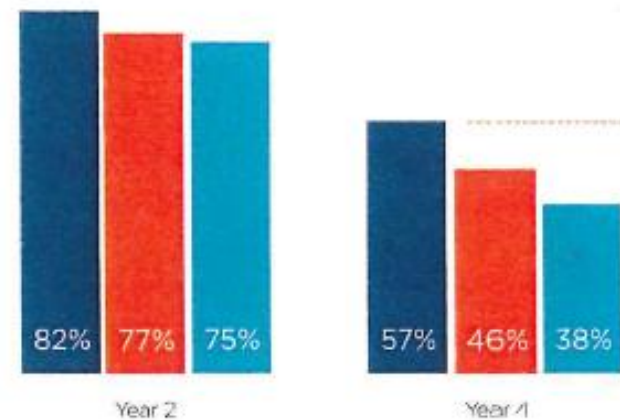
15% retention gap between teachers trained through universities and teachers trained through for-profit alternative certification.

- University total
- Nonprofit ACPs
- For-Profit ACPs
- SBEC/TEA

Highest-need districts face highest teacher turnover

Low retention of newly hired teachers disproportionately impacts the districts with the highest levels of student poverty. Efforts to bring new high-quality providers to DFW, as well as grow student demand for high-quality programs, will help to reduce the "revolving door" effect experienced in many urban classrooms.

Retention Rate of Dallas County Teachers Hired in 2010-11 by Level of Poverty in Schools They Serve



19 percentage points higher turnover in high-poverty schools by Year 4.

- Less than 50% Economically Disadvantaged
- 50% - 70% Economically Disadvantaged
- More than 70% Economically Disadvantaged

May 12, 2016

TO: UNT System Board of Regents
FROM: Rosemary R. Haggett
Vice Chancellor for Academic Affairs and Student Success
Re: Quarterly Academic Measures Report

The UNT System now provides the Board of Regents a regular Quarterly Operations Report of key fiscal and administrative data, and we are developing a new and more meaningful format for the most important academic measures for each of our campuses and the System.

The Quarterly Academic Measures Report presents an at-a-glance assessment of some key data on institutional progress. This initial set of metrics has been selected for several reasons. These measures are reported by our institutions to state and national agencies and are commonly used in higher education institutional assessment. The data can be tracked over time and can be benchmarked. Because of the diverse nature of our institutions, many, but not all, measures are relevant to all three institutions. The list of proposed academic measures and an initial display of the data in progress cards are attached. Empty cells indicate the data not yet collected or available.

Cumulatively, the data tell a story about academic characteristics of our institutions with focus on three important mission components: student access and student success, academic quality, and research.

The measures of student access and success include input and outcome measures. Student enrollment (headcount and FTE) inform the Board about the number of learners being educated, and the number of Student Credit Hours gives a sense of productivity. First-to-second year retention, time-to-degree, and six-year graduation rates are institutional measures of academic progress, with number of degrees showing the ultimate outcome. In-state tuition and fees and average debt upon graduation provide information about student financial parameters. The metric of percent baccalaureate graduates employed or enrolled in graduate school in Texas is our initial measure of post-graduation outcome for students who complete an undergraduate degree at UNT or UNT Dallas.

Academic quality measures include the academic strength of the freshman class at UNT and UNT Dallas and the faculty who teach them. UNT and UNT Health Science Center nationally ranked programs are another academic quality measure included in the data set.

Research is a significant component of the academic mission at UNT and the UNT Health Science Center. Measures of research expenditures are also included in the data set.

We will continue to refine the data set and to explore the best way to display the data to maximize its usefulness to the Board. Please let me know if you have questions or suggestions.

UNT SYSTEM ACADEMIC MEASURES

Student Access and Student Success

1. Total Fall Headcount Enrollment (all institutions and cumulative for System)
2. Total Full Time Student Equivalent (FTE) Enrollment (UNT and UNTD)
3. Average In-State Tuition and Fees (UNT, UNTD, UNTHSC)
4. 1st to 2nd Year Undergraduate Retention Rate (UNT, UNTD)
5. Time-to-Degree, Bachelor's and Doctoral (UNT, UNTD, UNTHSC)
6. 6-Year Undergraduate Graduation Rate (UNT, UNTD)
7. Total Undergraduate SCH (UNT, UNTD)
8. Total Graduate SCH (UNT, UNTD)
9. Total Degrees Awarded (all institutions and cumulative for UNT System)
10. Average Student Debt of Graduates (UNT, UNTD, UNTHSC)
11. % Baccalaureate Graduates Employed or Enrolled in Graduate School in TX (UNT, UNTD)

Academic Quality

12. Number of Top 10% in the Incoming Class (UNT, UNTD)
13. Number of Top 11-25% in the Incoming Class (UNT, UNTD)
14. % FTE Teaching Faculty Who Are Tenure/Tenure Track (UNT, UNTD)
15. Student to Faculty FTE ratio (UNT, UNTD)
16. Number of Academic Programs Ranked in the USN&WR Top 100 (UNT, UNTHSC)

Research

17. Total Research Expenditures (all institutions and cumulative for UNT System)
18. Total Research Expenditures per FTE Faculty (UNT, UNTHSC)

University of North Texas System Progress Card

| Annual Performance ¹ | | | | | | Increase/Decrease ² | |
|--------------------------------------|--------------|--------------|--------------|--------------|--------------|--------------------------------|--------------|
| 1. Student Access and Success | Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015 | From last year | From 2011 |
| 1.a. Total Fall Headcount Enrollment | 30,863 | 31,599 | 32,082 | 32,581 | 34,237 | 1,656 | 3,374 |
| 1.b. Total Degrees Awarded | 9,066 | 9,003 | 8,880 | 9,193 | 9,243 | 50 | 177 |

| 2. Research | Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015 | From last year | From 2011 |
|----------------------------------|--------------|--------------|--------------|--------------|--------------|-------------------|--------------|
| 2.a. Total Research Expenditures | \$67,007,492 | \$71,900,791 | \$73,350,720 | \$68,608,792 | \$68,421,831 | (\$186,961) | \$1,414,339 |

1. Empty cells reflect data not yet available or collected.

2. Cells with no shading are for measures with no or de minimis change in performance (1% or less) and measures that are largely descriptive in nature.

University of North Texas Progress Card

| | Annual Performance ¹ | | | | | Increase/Decrease ² | |
|---|---------------------------------|--------------|--------------|--------------|--------------|--------------------------------|-------------------|
| | Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015 | From Last Year | From First Yr. |
| 1. Student Access and Success | | | | | | | |
| 1.a. Total Fall Headcount Enrollment | 35,694 | 35,778 | 36,168 | 36,164 | 37,175 | 1,011 | 1,481 |
| 1.b. Total Full Time Student Equivalent | 27,847 | 28,281 | 28,574 | 28,758 | 29,882 | 1,124 | 2,035 |
| 1.c. Average Undergraduate In-state tuition and fees | \$8,010 | \$8,764 | \$9,147 | \$9,524 | \$10,157 | \$633 | \$2,147 |
| 1.d. 1 st to 2 nd Year Undergraduate Retention Rate | 73.3% | 74.6% | 76.5% | 77.6% | - | 1.1% | 4.3% |
| 1.e. Time-to-Degree, Bachelor's (in years) | - | 5.4 | 5.3 | 5.3 | 5.2 | -0.1 | -0.2 |
| 1.f. Six Year Graduation Rate | 50.1% | 48.6% | 49.6% | 50.6% | 51.3% | 0.7% | 1.2% |
| 1.g. Time-to-Degree, Doctoral | | | | | | | |
| 1.h. Total Undergraduate SCH | 356,290 | 366,452 | 372,172 | 376,003 | 390,149 | 14,146 | 33,859 |
| 1.i. Total Graduate SCH | 45,604 | 42,588 | 41,497 | 40,709 | 42,776 | 2,067 | (2,828) |
| 1.j. Total Degrees Awarded | 8,608 | 8,499 | 8,298 | 8,052 | 8,105 | 53 | (503) |
| 1.k. Average Student Debt of Graduates | | | | | | | |
| 1.l. % Baccalaureate Graduates Employed or Enrolled in Grad School in TX | 77.6% | 77.9% | 78.2% | 77.8% | - | -0.4% | 0.2% |
| 2. Academic Quality | | | | | | | |
| 2.a. Number of Top 10% in the Incoming Class | 18.7% | 18.0% | 18.3% | 17.0% | 18.2% | 1.2% | -0.5% |
| 2.b. Number of Top 11-25% in the Incoming Class | - | 32.1% | 34.9% | 32.3% | 32.5% | 0.2% | 0.4% |
| 2.c. % FTE Teaching Faculty Who Are Tenure/Tenure Track | 63.2% | 64.5% | 63.6% | 56.4% | - | -7.2% | -6.8% |
| 2.d. Student to Faculty FTE Ratio | 23 : 1 | 24 : 1 | 24 : 1 | 29 : 1 | - | (5:1) | (6:1) |
| 2.e. Number of Academic Programs Ranked in the USN&WR Top 100 | | | | | 12 | - | - |
| 3. Research | | | | | | | |
| 3.a. Total Research Expenditures | \$25,422,991 | \$29,890,743 | \$32,463,048 | \$29,397,075 | \$29,181,911 | (\$215,164) | \$3,758,920 |
| 3.b. Total Research Expenditures per FTE Faculty | \$21,500 | \$25,921 | \$26,913 | \$27,232 | \$34,933 | \$7,701 | \$13,433 |

1. Empty cells reflect data not yet available or collected.

2. Cells with no shading are for measures with no or de minimis change in performance (1% or less) and measures that are largely descriptive in nature.

University of North Texas Health Science Center Progress Card

**Revised - May 18, 2016*

| 1. Student Access and Success | Annual Performance ¹ | | | | | Increase/Decrease ² | |
|---|---------------------------------|--------------|--------------|--------------|--------------|--------------------------------|--------------------|
| | Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015 | From Last Year | From First Year |
| 1.a. Total Fall Headcount Enrollment | 1753 | 1943 | 2133 | 2227 | 2362 | 135 | 609 |
| 1.b. Average In-state Tuition and Fees for 1st Year TCOM Student* | \$18,490 | \$18,531 | \$19,022 | \$19,022 | \$19,157 | \$135 | \$667 |
| 1.c. Time-to-Degree, Doctoral | | | | | | | |
| 1.d. Total Degrees Awarded | 458 | 504 | 582 | 666 | 663 | -3 | 205 |
| 1.e. Average Student Debt of TCOM Graduates | \$132,450 | \$126,894 | \$140,688 | \$137,810 | - | -\$2,878 | \$5,360 |
| | | | | | | | |
| 2. Academic Quality | Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015 | From Last Year | From First Year |
| 2.a. Number of Academic Programs Ranked in the USN&WR Top 100 | | | | | 4 | - | - |
| | | | | | | | |
| 3. Research | Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015 | From Last Year | From First Year |
| 3.a. Total Research Expenditures | \$41,549,340 | \$41,954,584 | \$40,836,415 | \$39,186,122 | \$39,235,790 | \$49,668 | (\$2,313,550) |
| 3.b. Sponsored Research Expenditures per FTE Faculty | \$490,176 | \$441,174 | \$456,771 | \$478,664 | \$414,083 | (\$64,581) | (\$76,093) |

1. Empty cells reflect data not yet available or collected.

2. Cells with no shading are for measures with no or de minimis change in performance (1% or less) and measures that are largely descriptive in nature.

University of North Texas at Dallas Progress Card

| 1. Student Access and Success | Annual Performance ¹ | | | | | Increase/Decrease ² | |
|---|---------------------------------|-----------|-----------|-----------|-----------|--------------------------------|-----------------|
| | Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015 | From Last Year | From First Year |
| 1.a. Total Fall Headcount Enrollment | 2,032 | 2,100 | 2,140 | 2,575 | 2,488 | (87) | 456 |
| 1.b. Total Full Time Student Equivalent Enrollment | 1,110 | 1,222 | 1,222 | 1,443 | 1,840 | 397 | 730 |
| 1.c. Average Undergraduate In-state tuition and fees | \$6,450 | \$6,600 | \$7,350 | \$7,650 | \$7,848 | \$198 | \$1,398 |
| 1.d. 1 st to 2 nd Year Undergraduate Retention Rate | 50.0% | 52.6% | 51.7% | 67.0% | - | 15.3% | 17.0% |
| 1.e. Average Time-to-Degree, Bachelor's (in years) | - | - | - | - | 6.2 | - | - |
| 1.f. Total Undergraduate SCH | 15,046 | 16,420 | 16,673 | 19,540 | 21,090 | 1,550 | 6,044 |
| 1.g. Total Undergraduate Full Time Student Equivalents | 1,003 | 1,095 | 1,112 | 1,303 | 1,406 | 103 | 403 |
| 1.h. Total Graduate SCH | 1,281 | 1,527 | 1,329 | 1,684 | 5,211 | 3,527 | 3,930 |
| 1.i. Total Degrees Awarded | 0 | 0 | 0 | 475 | 475 | 0 | - |
| 1.j. Average Student Debt of Graduates | | | | | | | |
| 1.k. % Baccalaureate Graduates Employed or Enrolled in Grad School in TX | - | - | - | 85.6% | - | - | - |

| 2. Academic Quality | Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015 | From Last Year | From First Year |
|---|-----------|-----------|-----------|-----------|-----------|----------------|-----------------|
| 2.a. Number of Top 10% in the Incoming Class | 18.1% | 18.8% | 12.7% | 9.9% | 17.0% | 7.1% | -1.1% |
| 2.b. Number of Top 11-25% in the Incoming Class | - | 25.0% | 29.4% | 25.2% | 23.1% | -2.1% | -1.9% |
| 2.c. % FTE Teaching Faculty Who Are Tenure/Tenure Track | 79.3% | 70.4% | 56.0% | 44.9% | - | -11.1% | -34.4% |
| 2.d. Student to Faculty FTE Ratio | 20 : 1 | 23 : 1 | 18 : 1 | 20 : 1 | - | (2:1) | 0 |

1. Empty cells reflect data not yet available or collected.

2. Cells with no shading are for measures with no or de minimis change in performance (1% or less) and measures that are largely descriptive in nature.

| DEGREE AWARDED | UNT | | | UNTHSC | | UNTD | | |
|--|----------|--------|----------|--------|----------|----------|--------|----------|
| | BACHELOR | MASTER | DOCTORAL | MASTER | DOCTORAL | BACHELOR | MASTER | DOCTORAL |
| Accounting | ▲ | ▲ | ▲ | | | ▲ | | |
| Anthropology | ▲ | | | | | | | |
| Applied Anthropology | | ▲ | | | | | | |
| Applied Arts and Sciences | ▲ | | | | | ▲ | | |
| Applied Behavior Analysis | ▲ | | | | | | | |
| Applied Gerontology | ▲ | | ▲ | | | | | |
| Applied Technology and Performance Improvement | ▲ | ▲ | ▲ | | | | | |
| Art Education | | ▲ | ▲ | | | | | |
| Art History | ▲ | ▲ | | | | | | |
| Audiology | | | ▲ | | | | | |
| Aviation Logistics | ▲ | | | | | | | |
| Behavior Analysis | | ▲ | | | | | | |
| Behavioral Science | | | ▲ | | | | | |
| Biochemistry | ▲ | | | | | | | |
| Biochemistry and Molecular Biology | | ▲ | ▲ | | | | | |
| Biology | ▲ | ▲ | ▲ | | | ▲ | | |
| Biomedical Engineering | ▲ | ▲ | | | | | | |
| Biomedical Sciences | | | | ▲ | ▲ | | | |
| Biostatistics | | | | ▲ | | | | |
| Business | | | ▲ | | | | | |
| Business Administration | | ▲ | | | | | ▲ | |
| Business Analytics | ▲ | ▲ | | | | | | |
| Business Computer Information Systems | ▲ | | ▲ | | | | | |
| Business Integrated Studies | ▲ | | | | | | | |
| Chemistry | ▲ | ▲ | ▲ | | | | | |
| Child Development and Family Studies | | | | | | ▲ | | |
| Clinical Health Psychology | | | ▲ | | | | | |
| Clinical Mental Health Counseling | | | | | | | ▲ | |
| Clinical Psychology | | | ▲ | | | | | |
| Communication and Technology | | | | | | ▲ | | |

| DEGREE AWARDED | UNT | | | UNTHSC | | UNTD | | |
|---|----------|--------|----------|--------|----------|----------|--------|----------|
| | BACHELOR | MASTER | DOCTORAL | MASTER | DOCTORAL | BACHELOR | MASTER | DOCTORAL |
| Communication Design | ▲ | | | | | | | |
| Communication Studies | ▲ | ▲ | | | | | | |
| Community Health | | | | ▲ | | | | |
| Composition (Music) | ▲ | | | | | | | |
| Computer Engineering | ▲ | ▲ | | | | | | |
| Computer Science | ▲ | ▲ | | | | | | |
| Computer Science and Engineering | | | ▲ | | | | | |
| Construction Engineering Technology | ▲ | | | | | | | |
| Converged Broadcast Media | ▲ | | | | | | | |
| Counseling | | ▲ | ▲ | | | | | |
| Counseling Psychology | | | ▲ | | | | | |
| Creative Writing | | ▲ | | | | | | |
| Criminal Justice | ▲ | ▲ | | | | ▲ | ▲ | |
| Curriculum and Instruction | | ▲ | ▲ | | | | ▲ | |
| Dance | ▲ | | | | | | | |
| Design | | ▲ | | | | | | |
| Development and Family Studies | ▲ | | | | | | | |
| Digital Retailing | ▲ | | | | | | | |
| Documentary Production and Studies | | ▲ | | | | | | |
| Early Childhood Studies | | ▲ | | | | | | |
| Ecology for Environmental Science | ▲ | | | | | | | |
| Economics | ▲ | ▲ | | | | | | |
| Education - Elementary, Middle School & Secondary | ▲ | | | | | ▲ | | |
| Educational Leadership | | ▲ | ▲ | | | | ▲ | |
| Educational Psychology | | ▲ | ▲ | | | | | |
| Electrical Engineering | ▲ | ▲ | ▲ | | | | | |
| Electrical Engineering Technology | ▲ | | | | | | | |
| Emergency Administration and Planning | ▲ | | | | | | | |
| Engineering Technology | | ▲ | | | | | | |
| English | ▲ | ▲ | ▲ | | | | | |

| DEGREE AWARDED | UNT | | | UNTHSC | | UNTD | | |
|--|----------|--------|----------|--------|----------|----------|--------|----------|
| | BACHELOR | MASTER | DOCTORAL | MASTER | DOCTORAL | BACHELOR | MASTER | DOCTORAL |
| English as a Second Language (ESL) | | ▲ | | | | | | |
| Entrepreneurship | ▲ | | | | | | | |
| Environmental and Occupational Health Sciences | | | | ▲ | | | | |
| Environmental Science | | ▲ | ▲ | | | | | |
| Epidemiology | | | | ▲ | | | | |
| Fashion Design | ▲ | | | | | | | |
| Finance | ▲ | ▲ | | | | ▲ | | |
| French | ▲ | ▲ | | | | | | |
| General Business | | | | | | ▲ | | |
| Geography | ▲ | ▲ | | | | | | |
| German | ▲ | | | | | | | |
| Health Administration | | | | ▲ | | | | |
| Health Promotion (Community Health) | ▲ | | | | | | | |
| Higher Education | | ▲ | ▲ | | | | | |
| History | ▲ | ▲ | ▲ | | | | | |
| Home Furnishings Merchandising | ▲ | | | | | | | |
| Hospitality Management | ▲ | ▲ | | | | ▲ | | |
| Human Services Management and Leadership | | | | | | ▲ | | |
| Information Science | ▲ | ▲ | ▲ | | | | | |
| Information Technology | ▲ | | | | | ▲ | | |
| Integrative Studies | ▲ | | | | | | | |
| Interdisciplinary Art and Design Studies | ▲ | | | | | | | |
| Interdisciplinary Studies | | ▲ | | | | ▲ | | |
| Interior Design | ▲ | | | | | | | |
| International Studies | ▲ | ▲ | | | | | | |
| International Sustainable Tourism | | ▲ | | | | | | |
| Jazz Studies | ▲ | ▲ | | | | | | |
| Journalism | ▲ | ▲ | | | | | | |
| Kinesiology | ▲ | ▲ | | | | | | |
| Law | | | | | | | | ▲ |

| DEGREE AWARDED | UNT | | | UNTHSC | | UNTD | | |
|---|----------|--------|----------|--------|----------|----------|--------|----------|
| | BACHELOR | MASTER | DOCTORAL | MASTER | DOCTORAL | BACHELOR | MASTER | DOCTORAL |
| Learning Technologies | | ▲ | ▲ | | | | | |
| Library Science | | ▲ | | | | | | |
| Linguistics | ▲ | ▲ | | | | | | |
| Logistics and Supply Chain Management | ▲ | | | | | ▲ | | |
| Long-term Care, Senior Housing and Aging Services | | ▲ | | | | | | |
| Management | | ▲ | | | | | | |
| Marketing | ▲ | | | | | | | |
| Materials Science and Engineering | ▲ | ▲ | ▲ | | | | | |
| Mathematics | ▲ | ▲ | ▲ | | | ▲ | | |
| Mechanical and Energy Engineering | ▲ | ▲ | ▲ | | | | | |
| Mechanical Engineering Technology | ▲ | | | | | | | |
| Medical Laboratory Sciences | ▲ | | | | | | | |
| Merchandising | ▲ | ▲ | | | | | | |
| Music | ▲ | ▲ | ▲ | | | | | |
| Music - General, Choral and Instrumental | ▲ | | | | | | | |
| Music Education | | ▲ | ▲ | | | | | |
| Music Theory | ▲ | | | | | | | |
| Nuclear Engineering Technology | ▲ | | | | | | | |
| Operations and Supply Chain Management | ▲ | | | | | | | |
| Organizational Behavior and HR Management | ▲ | | | | | ▲ | | |
| Osteopathic Medicine | | | | | ▲ | | | |
| Performance | ▲ | ▲ | ▲ | | | | | |
| Pharmacy | | | | | ▲ | | | |
| Philosophy | ▲ | ▲ | ▲ | | | | | |
| Physical Therapy | | | | | ▲ | | | |
| Physician Assistant Studies | | | | ▲ | | | | |
| Physics | ▲ | ▲ | ▲ | | | | | |
| Political Science | ▲ | ▲ | ▲ | | | ▲ | | |
| Professional and Technical Communication | ▲ | ▲ | | | | | | |
| Psychology | ▲ | | | | | ▲ | | |

| DEGREE AWARDED | UNT | | | UNTHSC | | UNTD | | |
|--|----------|--------|----------|--------|----------|----------|--------|----------|
| | BACHELOR | MASTER | DOCTORAL | MASTER | DOCTORAL | BACHELOR | MASTER | DOCTORAL |
| Public Administration | | ▲ | | | | | | |
| Public Administration and Management | | | ▲ | | | | | |
| Public Health | ▲ | | | ▲ | | ▲ | | |
| Public Health Practice | | | | | ▲ | | | |
| Public Health Sciences | | | | | ▲ | | | |
| Public Leadership | | | | | | | ▲ | |
| Radio, Television and Film | ▲ | ▲ | | | | | | |
| Real Estate | ▲ | | | | | | | |
| Recreation, Event and Sport Management | ▲ | ▲ | | | | | | |
| Rehabilitation Counseling | | ▲ | | | | | | |
| Rehabilitation Studies | ▲ | | | | | | | |
| Religious Studies | ▲ | | | | | | | |
| Retailing | ▲ | | | | | | | |
| Risk, Insurance and Financial Services | ▲ | | | | | | | |
| School Counseling | | | | | | | ▲ | |
| Social Science | ▲ | | | | | | | |
| Social Work | ▲ | | | | | | | |
| Sociology | ▲ | ▲ | ▲ | | | ▲ | | |
| Spanish | ▲ | ▲ | | | | | | |
| Special Education | | ▲ | ▲ | | | | | |
| Speech-Language Pathology | ▲ | | | | | | | |
| Studio Art | ▲ | ▲ | | | | | | |
| Taxation | | ▲ | | | | | | |
| Teaching | | ▲ | | | | | | |
| Theater | ▲ | | | | | | | |
| Visual Arts Studies | ▲ | | | | | | | |
| Workforce Learning and Performance | | ▲ | | | | | | |



Board Briefing

Committee: Academic Affairs &
Student Success

Date Filed: April 8, 2016

Title: Approval of University of North Texas, University of North Texas Health Science Center, and University of North Texas at Dallas policies related to *Prohibition of Sexual Assault and Retaliation*

Background:

In 2015, the Texas Legislature enacted House Bill 699 requiring institutions of higher education to adopt policies that address sexual assault on campus. The law prescribes that these policies include definitions of prohibited behavior, sanctions that may be imposed for violation of the policy, and protocols for reporting and responding to reports of sexual assaults received by institution officials. The law further requires that campuses publish the sexual assault policy in student and employee handbooks and create and maintain a web page that is dedicated solely to the policy. In addition, HB 699 (codified as Texas Education Code Section 51.963) mandates that institutions require entering freshman and undergraduate transfer students to attend education on the policy before or during their first semester on campus. Lastly, the bill requires the Board of Regents approve the policies before final adoption by the institutions.

The UNT System campuses have reviewed and considered the requirements of the new law. UNT revised its existing sexual assault policy while UNT Dallas and UNTHSC drafted new standalone policies addressing sexual assault to meet the requirements of HB 699. The proposed policies also meet requirements of federal laws that are intended to prevent and remediate sexual misconduct in the educational and work environments. These laws include Title IX of the Higher Education Amendments, Title VII of the Civil Rights Act of 1964, the Clery Act, and the Violence Against Women Act. The proposed policies also incorporate certain requirements of Regents Rule 04.1100 by protecting individuals who report or participate in investigations of suspected wrongdoing from retaliation and by requiring employees to fully cooperate in investigations of suspected wrongdoing. The campuses coordinated their policy development to include similar definitions and protocols, which should allow for consistent interpretation, application and enforcement of sexual assault policies across the System.

Under the proposed policies, universities may address prohibited misconduct whether it occurs on or off campus when the behavior is reasonably likely to have an adverse effect on the institution. As required by HB 699, the policies include definitions of prohibited behavior, including sexual assault, and set out sanctions that can be imposed for violating a policy. The policies direct individuals to contact the police in emergencies, and informs students and employees where they can report prohibited misconduct, including using the compliance hotline if they wish to remain anonymous. All employees and individuals who act on behalf of the System and its institutions are required to report sexual assault to campus officials who are authorized to take immediate action. The policies create a safe-harbor for employees such as

counselors and psychologists who, because of their professional licensure and job responsibilities, are prohibited from disclosing reports made to them in confidence.

The proposed policies also contain detailed protocols to facilitate the timely and equitable resolution of reports of sexual assault, to include provisions that: protect the confidentiality of survivors of sexual assault to the extent allowed under state and federal laws; require prompt review of all reports of sexual assault; protect individuals who report prohibited misconduct as well as those who are accused of engaging in misconduct; require investigation of all credible reports of sexual assault to be completed within a reasonable time period; and outline procedures for imposing sanctions if a person is found to have engaged in prohibited conduct. These protocols also include provisions that permit the Respondent and Complainant to request review of the findings in accordance with federal laws that require both the Respondent and Complainant to be given the same rights in the process.

In addition to requiring that freshman and undergraduate transfer students receive education and awareness training during their first semester on campus, the policies require student organizations to conduct training for their members, and encourages all students to participate in training each year. Employees are required to participate in training within their first 30 days of employment and every two years thereafter, as currently required by state regulation. The policies prohibit employees who fail to comply with the training requirement from receiving a salary increase during the year in which their training expires. Further, a general enforcement provision allows for the suspension of students, termination of employees, and termination of business relationships of other individuals who violate any provision of the policy.

Also included for informational purposes only is the UNT System Administration employee policy. The System Administration is not an institution of higher education required to comply with the mandates of HB 699. Nonetheless, the System Administration is committed to maintaining an environment free from sexual assault and retaliation and supporting the campuses. The System Administration policy is similar in style and content to the campus employee policies.

The Board has the authority to approve campus policies related to *Prohibition of Sexual Assault and Retaliation* before final adoption by the Institutions under section 105.101 of the Texas Education Code, which grants to the Board the power to adopt rules and policies for the administration of the Board's powers and duties.

Financial Analysis/History:

The campuses anticipate some costs associated with implementation of HB 699. UNT estimates a total of \$82,000 in costs for training and educational programs; \$35,000 in costs for a case management system; \$5000 in costs for memberships; and \$145,000 in costs for three additional FTEs to work on surveys and prevention. UNTHSC estimates a total of \$8,700 annually for employee training and travel annually in addition to an initial one-time cost of \$5,400; \$5,000 in cost for memberships; \$2,000 in costs for training software; an initial one-time cost of \$3,000 for education and training to students plus a cost of \$500 annually. UNTHSC is also considering a new FTE to serve as a full-time Title IX coordinator at a cost of \$60,000 to \$90,000. UNT Dallas estimates a total of \$50,000 for a full time Title IX coordinator; \$3,500 in costs for employee training; \$4,300 in costs for training and educational materials for students.

Bob Brown
Digitally signed by Bob Brown
DN: cn=Bob Brown, ou=University of North
Texas, ou=VP for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2016.05.06 11:22:00 -05'00'

UNT Chief Financial Officer

John
Harman

Digitally signed by John Harman
DN: cn=John Harman, o=UNT Health
Science Center, ou=Office of Finance,
email=john.harman@unthsc.edu,
c=US
Date: 2016.05.06 10:12:31 -05'00'

UNTHSC Chief Financial Officer

daniel.edelman
@untdallas.edu

Digitally signed by
daniel.edelman@untdallas.edu
DN:
cn=daniel.edelman@untdallas.edu
Date: 2016.05.09 15:44:25 -05'00'

UNT Chief Financial Officer

Janet Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.09 16:26:46 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by the Office of General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas
System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:05:21 -05'00'

Vice Chancellor/General Counsel

Schedule:

Effective immediately upon Board approval.

Recommendation:

It is recommended that the Board approve the UNT, UNTHSC, and UNT Dallas policies related to *Prohibition of Sexual Assault and Retaliation* as set forth in the attachments to this item.

Recommended By:

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North
Texas System, ou=Vice Chancellor for Academic Affairs
and Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2016.05.09 09:57:09 -05'00'

Vice Chancellor for Academic Affairs
& Student Success

Neal
Smatresk

Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University
of North Texas, ou=President,
email=neal.smatresk@unt.edu, c=US
Date: 2016.05.06 14:24:24 -05'00'

UNT President

Michael R.
Williams

Digitally signed by Michael R.
Williams
DN: cn=Michael R. Williams,
o=UNTHSC, ou=President,
email=michael.williams@unthsc.e
du, c=US
Date: 2016.05.06 10:08:14 -05'00'

UNTHSC President

Bob Mong Digitally signed by Bob Mong
DN: cn=Bob Mong, o=UNT Dallas,
ou=Office of the President,
email=bob.mong@untdallas.edu, c=US
Date: 2016.05.09 09:17:59 -05'00'

UNTD President

Lee Jackson Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2016.05.11 11:16:13 -05'00'

Chancellor

Attachments Filed Electronically:

1. *UNT Policy No. 9.7 Prohibition of Sexual Assault and Retaliation*
2. *UNTHSC Policy No. 5.xxx Prohibition of Sexual Assault and Retaliation*
3. *UNTD Policy No. 5.038 Prohibition of Sexual Assault and Retaliation*
4. *UNTS Policy No. 03.705 Prohibition of Sexual Assault and Retaliation*



Board Order

Title: Approval of University of North Texas, University of North Texas Health Science Center, and University of North Texas at Dallas policies related to *Prohibition of Sexual Assault and Retaliation*

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, each institution of higher education must adopt a policy concerning campus sexual assault in order to comply with House Bill 699, and

Whereas, the attached policies contain definitions of prohibited behaviors, sanctions for violations, and protocols for reporting and responding to reports of sexual assault, and

Whereas, the attached policies require they be made available to students, faculty and staff, by publication in student and employee handbooks and on webpages dedicated solely to the policies, and

Whereas, institutions of higher education must provide sexual assault prevention and awareness education to entering freshman and undergraduate transfer students during the first semester in which the student is enrolled at the Institution, and

Whereas, approval of the policies is necessary to comply with House Bill 699,

Now, Therefore, the Board of Regents authorizes and approves the following:

1. Approval of UNT, UNTHSC, and UNT Dallas policies related to *Prohibition of Sexual Assault and Retaliation* as set forth in the attachments to this item.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

| | |
|--|-----------------------------------|
| Policy of the University of North Texas | Chapter 12 |
| 9.7 Prohibition of Sexual Assault and Retaliation | Campus Safety and Security |

Policy Statement. The University of North Texas is committed to maintaining work and educational environments free from sexual assault and retaliation. The University will not tolerate conduct that is inconsistent with this commitment at any of its locations, programs or other activities.

Application of Policy. This policy applies to all students, employees, applicants for employment or admission, individuals and organizations conducting business on behalf of or for the university, visitors and participants at any location, program or other activity associated with UNT. The University may act under this policy when prohibited conduct that occurs off-campus effects or has a reasonable likelihood of adversely affecting the academic or work environment.

Definitions.

1. **Complainant.** “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless whether the individual reports the conduct.
2. **Confidential Employee.** “Confidential employee” means a university employee who is not obligated to disclose reports of sexual assault as required under this policy based on the requirement of the employee’s professional licensure and the nature of their official responsibilities with the University. Confidential Employee, as defined in this policy, includes but is not limited to, licensed professional mental health counselors and health care professionals working in those capacities for the University and the employees they supervise, sexual assault advocates as defined in section 420.071 of the Texas Government Code, and attorneys and employees in the UNT Student Legal Services office and UNT System Office of General Counsel. Faculty, staff and other employees who are licensed mental health workers, licensed medical workers, or licensed attorneys but who are not employed in that capacity by the University, such as faculty members in psychology, social work, nursing, etc., are not Confidential Employees under this policy.
3. **Consent.** “Consent” means words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be gained by force, coercion, manipulation, threats, or by taking advantage of the incapacitation of another when the individual knows or reasonably should know of such incapacity by use of alcohol or drugs. Consent is absent when the activity in question exceeds the scope of previously given consent, or the person is unconscious or otherwise unaware that the prohibited conduct is occurring. Consent may be revoked at any time.
4. **Days.** “Days” mean calendar days unless otherwise stated in the policy.

5. Employee. “Employee” means an individual who is employed part-time, full-time, or in a temporary capacity as faculty, staff, or who is required to be a student as a condition of employment.
6. Good Faith. “Good faith” means a reasonable belief that reported conduct or behavior is prohibited under this policy. Good faith is based on the reporting individual’s education, training, and experience.
7. Preponderance of the Evidence. “Preponderance of the evidence” means the amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Preponderance of the evidence also is referred to as the greater weight of the evidence.
8. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless of whether a formal complaint is made.
9. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including any action that affects an individual’s educational or other relationship with the University or an employee’s compensation, promotion, transfer, work assignment, or performance evaluation.
10. Sexual Assault. “Sexual assault” means the intentional or knowing penetration, no matter how slight, of the sex organ or anus with any body part or object, or oral sex, without consent of the complainant. The term sexual assault also may be referred to as rape.
11. Student. “Student” means an individual who has applied for admission or readmission to the University of North Texas, who is registered or enrolled in one or more courses for credit at the University, or who currently is not enrolled but has a continuing academic relationship with the University.
12. Survivor Advocate. “Survivor advocate” means an individual employed by the University to provide advocacy services to a sexual assault survivor or a person claiming to be a survivor, including information about on and off campus resources, counseling services, health and safety programs, academic and on-campus housing options, protective orders, crime victim compensation and other resources. The Survivor Advocate is not a confidential employee.
13. Title IX Coordinator. “Title IX Coordinator” means a University employee designated by the President to implement, monitor, and enforce the University’s Title IX program. In this policy, reference to the Title IX Coordinator also means that person’s designee.

Procedures and Responsibilities.

I. Reporting.

1. Reporting Sexual Assault and Retaliation:

- a. Call 911 or local law enforcement to report a sexual assault.

Responsible Party: Law Enforcement

- b. Other Reports. A person may report a sexual assault that occurs on campus to the University police department and may report an assault that occurs off campus to local police. A student who has been sexually assaulted or retaliated against, or who believes such conduct may have occurred may inform the Dean of Students, or the Office of Equal Opportunity (Title IX Coordinator Office). Other individuals may report the conduct to the Office of Equal Opportunity.

Responsible Party: Office of Equal Opportunity/Dean of Students

- c. Anonymous Reporting. Individuals wishing to remain anonymous may report suspected assault or retaliation to the UNT Compliance Hotline at <https://web3.unt.edu/compliance/hotline/>.

Responsible Party: Compliance Office

2. Duty to Report:

- a. Employees and individuals authorized to act on behalf of the University who become aware of a suspected sexual assault or retaliation are required to report the suspected violation immediately to their direct supervisor and to the Office of Equal Opportunity. If a direct supervisor is the person alleged to have engaged in the prohibited conduct, the report must be made to that individual's supervisor and to the Office of Equal Opportunity. In no instance is an individual required to report the alleged violation to the person suspected of the prohibited conduct.

Responsible Party: Employees and Individuals Acting on Behalf of the Organization.

- b. Students and other individuals, including guests of the University are encouraged to report suspected sexual assault or retaliation to the Office of Equal Opportunity or to the Dean of Students.

Responsible Party: Students and Other Individuals.

- c. Exception to Duty to Report. Confidential employees, as defined in this policy, are not obligated to report prohibited conduct under this policy. These individuals are expected to report as required by the rules of their professional license and nothing in this policy shall be interpreted as conflicting with those rules.

Responsible Party: Confidential Employees.

- II. Protection against Retaliation. Retaliation against any person who reports or encourages another to report sexual assault or retaliation, who participates in an investigation conducted under this policy, or who seeks assistance or guidance from any the University department or external official or organization authorized to remediate conduct prohibited under this policy is strictly prohibited.

Responsible Party: Employees and Individuals Acting on Behalf of the Organization.

III. Confidentiality.

1. Confidentiality. Information that reasonably could lead to the identification of a Complainant, or an individual who reports or participates in an investigation conducted under this policy is confidential and shall not be disclosed except as required by law, including when disclosure is necessary to ensure individuals accused of violating this policy are afforded lawful notice and the opportunity to fully respond to the accusation. Information also may be confidential under the Family Educational Rights and Privacy Act.
2. Protection of Non-Confidential Information. As permitted by section 51.971 of the Texas Education Code, information may be protected from disclosure when it is not confidential if the information is collected or produced as part of an investigation conducted under this policy and disclosing the information would interfere with an ongoing investigation.
3. Authorized Disclosure of Information. Confidential information and information that is protected from disclosure under this policy may be released:
 - a. with the written and signed consent of the individual whose identity would be disclosed;
 - b. to law enforcement agencies or prosecutors;
 - c. to federal and state agencies responsible for investigating sexual harassment, sexual violence, sexual misconduct or retaliation;
 - d. to notify a Complainant and Respondent of the outcome of an investigation, including sanctions imposed for violating this policy;
 - e. to allow the University to take effective protective measures; or
 - f. as required by lawfully issued subpoena or otherwise authorized by law.

Responsible Party: Employees and Individuals Acting on Behalf of the Organization.

- IV. False or Bad Faith Reports. Any individual who makes a false or bad faith report under this policy is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation did not find sufficient evidence to substantiate the alleged violation.

Responsible Party: Office of Equal Opportunity and Dean of Students

- V. Remedial and Interim Measures. The University will take prompt measures to remediate prohibited conduct, including taking appropriate interim measures to ensure the efficient completion of an investigation and resolution of the allegation(s). Interim measures are not disciplinary in nature and must be consistent with other University policies. For students, these measures may include but are not limited to changes in housing and class

schedules, issuance of a no-contact directive to one or more students or student organizations, and issuance of a no trespass directive as appropriate. For employees, these measures may include but are not limited to issuance of a no-contact directive, temporary reassignment, and administrative leave.

Responsible Party: Office of Equal Opportunity, Dean of Students, and Human Resources

VI. Responding to Reports of Sexual Assault.

1. Reviewing Reports. The University shall review all reports of sexual assault and retaliation to determine whether an investigation should be conducted regardless of whether a written complaint is filed. Before initiating an investigation, the Complainant (if the person's identity is known), shall be informed that:
 - a. they may file a criminal complaint with law enforcement officials at any time;
 - b. the University has an obligation to remediate reported sexual assault and that an investigation may be conducted whether a criminal complaint is filed;
 - c. the University can take measures to protect against continued misconduct and retaliation;
 - d. voluntary withdrawal of an allegation will not necessarily result in termination of an investigation; and
 - e. the Complainant should contact the Office of Equal Opportunity or Dean of Students if retaliation is suspected.

A decision not to investigate a report shall be documented in writing and include the reason(s) for not investigating the allegation(s).

2. Investigating Reports. All credible allegations of prohibited conduct shall be investigated. If the Complainant asks that the Complainant's identity not be disclosed or that the complaint not be pursued, the University will take reasonable steps to comply with the request as long as doing so does not prevent the University from responding effectively under this policy. The Complainant will be informed that such a request may limit the University's ability to respond to the report and that anonymity in the resolution process cannot be assured. In determining whether the Complainant's request will be granted, the University will consider:
 - a. the seriousness/nature of the allegation;
 - b. whether the alleged behavior or conduct presents a threat to individuals other than the Complainant;
 - c. whether effective measures can be put in place to protect the Complainant against continued physical or psychological harm or retaliation;

- d. whether delaying an investigation could reasonably result in the destruction or deterioration of potential evidence to corroborate or refute the allegation; and
- e. any other information that has a reasonable bearing on the decision.

The Title IX Coordinator will inform the Complainant in writing, if the request is not granted and the rationale for the decision.

3. **Obligation to Participate in Investigations.** Individuals are expected to cooperate in investigations conducted under this policy, and any person who knowingly interferes with an investigation is subject to disciplinary sanctions. Interference with an investigation includes, but is not limited to:
 - a. attempting to coerce, compel, or prevent an individual from providing information related to the investigation;
 - b. removing, destroying, or altering information that relates to the investigation; or
 - c. providing false or misleading information in the course of an investigation or encouraging others to do so.
4. **Timeline and Notifications.** The University will complete investigations within a reasonable timeframe and provide notifications to the Complainant and the Respondent.
5. **Resolution of Complaints of Sexual Assault and Retaliation when the Alleged Offender is a Student.** The Dean of Students is responsible for investigating reports of sexual assault and retaliation when the alleged offender is a student. The Title IX Coordinator shall review all investigations conducted by the Dean of Students before the investigation is completed.
6. **Resolution of Complaints of Sexual Assault and Retaliation when the Alleged Offender is not a Student (including a student employee).** The Office of Equal Opportunity is responsible for investigating reports of sexual assault and retaliation when the alleged offender is someone other than a student.
7. **General Investigation Procedures.** In addition to any specific procedures set out in other University policies, including the Code of Student Conduct as applicable, the following procedures shall be followed in resolving reports of sexual assault:
 - a. The Complainant and Respondent shall receive notice of the allegation(s) and be informed of the status of the review or investigation.
 - b. The Respondent and Complainant shall be given an opportunity to respond to relevant information gathered in the course of the investigation before the investigation is completed. Both parties shall be given an opportunity to respond to relevant information provided by the other.

- c. The Office responsible for conducting the investigation shall prepare a written report setting out its findings and whether the respondent violated this policy, and must consult with the UNT System Office of General Counsel before completing the report of investigation.
- d. The Complainant and Respondent shall be notified, in writing, of the investigation findings and determination and be provided a summary of the investigation within a reasonable time after the report of investigation is completed, generally not more than five (5) business days after completion. The University may notify other individuals as appropriate.
- e. A Respondent or Complainant may request a review of the findings and determination by the Vice President for Equity and Diversity or delegee.
- f. A request for review must be submitted to the reviewing official within five (5) business days from the date of the notice and include the reason(s) for the review and any new information the individual wishes the reviewing official to consider. The decision of the reviewing official regarding the finding and determination is final.

Responsible Party: Office of Equal Opportunity and Dean of Students

- VII. Record Retention. Records created under this policy shall be confidentially maintained in accordance with the University's record retention schedule. In all cases, access to complaint and investigation records is strictly limited to officials with a direct operational need to know unless otherwise authorized by law.

Responsible Party: Office of Equal Opportunity, Dean of Students, and Human Resources

- VIII. Education and Resources.

- 1. Campus-Wide Education for Students. The University shall educate students about the nature, effect and prevention of sexual assault. Education programs shall include information about how to respond to sexual assault on and off campus, the importance of preserving evidence to assist in the successful prosecution of sex crimes, the role a bystander can play in preventing sexual assault, this policy, and resources available to survivors of sexual assault. All students are encouraged to participate in these programs. Student organizations are encouraged to make information about crime prevention readily available to their members.
- 2. Required Education for First Year and Transfer Students. Each entering first year and transfer student in an undergraduate degree program must participate in the University prevention of sexual assault education program before or during the first semester or term in which the student enrolls in the University. In addition to covering the topics described in the subsection above, the program must include information about each component of this policy.

3. Employee Education and Training. New employees shall receive training on this policy no later than the 30th day after their employment begins. Employees are individually responsible for completing the training described in this paragraph a minimum of every two years.
4. Enforcement of Training Responsibilities. An employee who fails to complete education and training as required under this section shall not be eligible for a salary increase of any type during the year in which their training expires and is subject to disciplinary action, including termination. In addition, an employee may be denied access to information technology resources, including the use of email, after being out of compliance with training requirements for longer than 30 days.
5. Policy Awareness and Publication. This policy shall be included in the student catalog and employee policy manual, and may be included in any other publication as determined by the University. Also, this policy shall be published on a University website dedicated solely to the prevention of sexual assault.
6. Resources and Services. Resources and services that can help lessen the trauma of assault and assist with healing can be found at the Office of Equal Opportunity and the Survivor Advocate's office.

Responsible Party: Office of Equal Opportunity/Dean of Students

- IX. Sanctions and Legal Implications. Any violation of this policy may result in sanctions. Sanctions imposed for violating this policy must be reported to the Office of Equal Opportunity.
1. University Imposed Sanctions. Any individual who violates this policy is subject to disciplinary action, including expulsion, or termination of employment or business relationships as applicable.
 2. Federal or State Sanctions. Federal or State agencies may impose fines and other sanctions against the University for violations of federal or state anti-harassment laws.
 3. Civil Action. Individuals may take court action against individuals and the University that could result in financial liability.
 4. Criminal Sanctions. Conduct prohibited by this policy may constitute a criminal offense under the Texas Penal Code.

References and Cross-references.

[UNT Policy 18.1.11, Code of Student Conduct](#)

[UNT Policy 1.3.7, Nondiscrimination/Equal Employment Opportunity, Affirmative Action, and Non Retaliation](#)

[UNT Policy 1.3.19, Sexual Harassment](#)

[UNT Policy 1.7.1, Staff Employee Discipline and Involuntary Termination](#)

[UNT Policy 1.7.2, Grievance Policy](#)

[UNT Policy 15.1.33, Faculty Misconduct and Discipline](#)

Forms and Tools.

[Sexual Violence Resources](#)

[UNT Compliance Hotline](#)

Approved: 08/01/2001

Effective: Pending review by the UNT System Board of Regents

Revised: 05/2011*; 04/08/2016

**format only*

| | |
|---|---------------------------------|
| Policies of the University of North Texas Health Science Center | Chapter 05 – Human Resources |
| 5.212 Prohibition of Sexual Assault and Retaliation | |

Policy Statement.

The University of North Texas Health Science Center (UNTHSC) is committed to maintaining a work and educational environment free from sexual assault and retaliation. Conduct that is inconsistent with this commitment will not be tolerated at any location, program or other activity associated with UNTHSC.

Application of Policy.

This policy applies to all students, faculty, staff, and applicants for employment or admission, individuals and organizations conducting business on behalf of or for UNTHSC, visitors and participants at any location, program or other activity associated with UNTHSC. UNTHSC may act under this policy when prohibited conduct that occurs off-campus effects or has a reasonable likelihood of adversely affecting the academic or work environment.

Definitions.

1. Complainant. “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless whether the individual reports the conduct.
2. Confidential Employee. “Confidential Employee” means a UNTHSC employee who is not obligated to disclose reports of sexual assault as required under this policy based on the requirement of the employee’s professional licensure and the nature of her or his official responsibilities with UNTHSC. Confidential Employee, as defined in this policy, includes but is not limited to licensed professional mental health counselors and health care professionals working in those capacities for UNTHSC and the employees they supervise, sexual assault advocates as defined in section 420.071 of the Texas Government Code, and attorneys and employees in the UNT System Office of General Counsel. Faculty, staff and other employees who are licensed mental health workers, licensed medical workers, or licensed attorneys but who are not employed in that capacity by the UNTHSC, such as faculty members in psychology, social work, nursing, etc., are not Confidential Employees under this policy.
3. Consent. “Consent” means words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be gained by force, coercion, manipulation, threats, or by taking advantage of the incapacitation of another when the individual knows or reasonably should know of such incapacity by use of alcohol or drugs. Consent is absent when the activity in question exceeds

the scope of previously given consent, or the person is unconscious or otherwise unaware that the prohibited conduct is occurring. Consent may be revoked at any time.

4. Days. “Days” mean calendar days unless otherwise stated in the policy.
5. Employee. “Employee” means an individual who is employed part-time, full-time, or in a temporary capacity as faculty, staff, or who is required to be a student as a condition of employment.
6. Faculty. “Faculty” means a person whose primary responsibilities at UNTHSC is teaching, research or creativity activity, and service, including professional librarians. For purposes of this policy, this definition also includes, Teaching Fellows and Teaching Assistants except where otherwise stated in this policy.
7. Good Faith. “Good Faith” means a reasonable belief that reported conduct or behavior is prohibited under this policy. Good faith is based on the reporting individual’s education, training, and experience.
8. Preponderance of the Evidence. “Preponderance of the Evidence” means the amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Preponderance of the evidence also is referred to as the greater weight of the evidence.
9. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless whether a formal complaint is made.
10. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an individual’s educational or other relationship with the University/Health Science Center or an employee’s compensation, promotion, transfer, work assignment, or performance evaluation.
11. Sexual Assault. “Sexual Assault” means the intentional or knowing penetration, no matter how slight, of the sex organ or anus with any body part or object, or oral sex, without consent of the complainant. The term sexual assault also may be referred to as rape.
12. Student. “Student” means an individual who has applied for admission or readmission to UNTHSC, who is registered or enrolled in one or more courses for credit at UNTHSC, or who currently is not enrolled but has a continuing academic relationship with UNTHSC.
13. Title IX Coordinator. “Title IX Coordinator” means a UNTHSC employee designated by the President to implement, monitor, and enforce the UNTHSC’s Title IX program. In this policy, reference to the Title IX Coordinator also means her or his designee.

Procedures and Responsibilities.

Reporting.

1. Reporting Sexual Assault and Retaliation.

- a. Employees, Students and Other Individuals Call 911. A person who believes sexual assault is imminent should immediately call 911.

Responsible Party: Law Enforcement.

- b. Employees and Other Individuals. An employee who believes she or he has been sexually assaulted should immediately report the conduct to her or his immediate supervisor, unless that person is the one alleged to have committed the assault, or to the System Administration Office of Equity, Diversity and Inclusion. Other individuals should report the conduct to the System Administration Office of Equity, Diversity and Inclusion.

Responsible Party: System Administration Office of Equity, Diversity and Inclusion.

- c. Students. A student who believes she or he has been sexually assaulted should immediately report the conduct to the Title IX Coordinator/Office of Student Affairs (817-735-2505) or to the System Administration Office of Equity, Diversity and Inclusion.

Responsible Party: Office of Student Affairs/Title IX Coordinator; System Administration Office of Equity, Diversity and Inclusion.

- d. Anonymous Reporting. Individuals wishing to remain anonymous may report suspected assault or retaliation to the UNTHSC Hotline 1-877-606-9187 or www.reportlineweb.com/UNTHSC.

Responsible Party: Compliance Office.

2. Reporting Obligations:

- a. Employees and individuals authorized to act on behalf of UNTHSC who become aware of a suspected sexual assault or retaliation are required to immediately report the suspected violation to his or her direct supervisor and to the System Administration Office of Equity, Diversity and Inclusion. If a direct supervisor is the person alleged to have engaged in the prohibited conduct, the report must be made to that individual's supervisor and to the System Administration Office of Equity, Diversity and Inclusion. In no instance is an individual required to report the alleged violation to the person suspected of the prohibited conduct.

Responsible Party: Employees and Individuals Acting on Behalf of UNTHSC.

- b. Students and other individuals, including guests of UNTHSC, are encouraged to report suspected assault or retaliation to the System Administration Office of

Equity, Diversity and Inclusion or to the Office of Student Affairs/Title IX Coordinator.

Responsible Party: Students and Other Individuals.

- c. Exception to Obligation to report. Confidential Employees, as defined in this policy, are not obligated to report prohibited conduct under this policy. These individuals are expected to report as required by the rules of their professional license and nothing in this policy shall be interpreted as conflicting with those rules.

Responsible Party: Confidential Employees.

Protection against Retaliation. Retaliation against any person who reports or encourages another to report sexual assault or retaliation, who participates in an investigation conducted under this policy, or who seeks assistance or guidance from any UNTHSC department or external official or organization authorized to remediate conduct prohibited under this policy is strictly prohibited.

Confidentiality.

1. Confidentiality. Information that reasonably could lead to the identification of a Complainant, or an individual who reports or participates in an investigation conducted under this policy is confidential and shall not be disclosed except as required by law, including when disclosure is necessary to ensure individuals accused of violating this policy are afforded lawful notice and the opportunity to fully respond to the accusation. Information also may be confidential under the Family Educational Rights and Privacy Act.
2. Protection of Non-Confidential Information. As permitted by section 51.971 of the Texas Education Code, information may be protected from disclosure when it is not confidential if the information is collected or produced as part of an investigation conducted under this policy and disclosing the information would interfere with an ongoing investigation.
3. Authorized Disclosure of Information. Confidential information and information that is protected from disclosure under this policy may be released:
 - a. with the written and signed consent of the individual whose identity would be disclosed;
 - b. to law enforcement agencies or prosecutors;
 - c. to federal and state agencies responsible for investigating sexual harassment, sexual violence, sexual misconduct or retaliation;
 - d. to notify a Complainant and Respondent of the outcome of an investigation, including sanctions imposed for violating this policy;

- e. to allow UNTHSC to take effective protective measures; or
- f. as required by lawfully issued subpoena or otherwise authorized by law.

False or Bad Faith Reports. Any individual who makes a false or bad faith report under this policy is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation determines the alleged violation did not occur.

Remedial and Interim Measures. UNTHSC will take measures to promptly remediate prohibited conduct, including taking appropriate interim measures to ensure the efficient completion of an investigation and resolution of the allegation(s). Interim measures are not disciplinary in nature and must be consistent with other UNTHSC policies. For students, these measures may include but are not limited to changes in housing and class schedules, issuance of a no-contact directive to one or more students or student organizations, and issuance of a no trespass directive as appropriate.

Responding to Reports of Sexual Assault.

1. Reviewing Reports. UNTHSC shall review all reports of sexual assault and retaliation to determine whether an investigation should be conducted regardless whether a written complaint is filed. Before initiating an investigation, the victim of the alleged offense (if the person's identity is known), shall be informed that:
 - a. she or he may file a criminal complaint with law enforcement officials at any time;
 - b. UNTHSC has an obligation to remediate reported sexual assault and that an investigation may be conducted whether a criminal complaint is filed;
 - c. UNTHSC can take measures to protect against continued misconduct and retaliation;
 - d. voluntary withdrawal of an allegation will not necessarily result in termination of an investigation; and
 - e. she or he should contact the System Administration Office of Equity, Diversity and Inclusion or Office of Student Affairs/Title IX Coordinator if retaliation is suspected.

A decision not to investigate a report shall be documented in writing and include the reason(s) for not investigating the allegation(s).

2. Investigating Reports. All credible allegations of prohibited conduct shall be investigated. If the Complainant asks that her or his identity not be disclosed or that the complaint not be pursued, UNTHSC will take reasonable steps to comply with the request as long as doing so does not prevent UNTHSC from responding effectively under this policy. The Complainant will be informed that such a request

may limit UNTHSC's ability to respond to the report and that anonymity in the resolution process cannot be assured. In determining whether the Complainant's request will be granted, UNTHSC will consider:

- a. the seriousness/nature of the allegation;
- b. whether the alleged behavior or conduct presents a threat to individuals other than the person who is making the request;
- c. whether effective measures can be put in place to protect the individual against continued physical or psychological harm or retaliation;
- d. whether delaying an investigation could reasonably result in the destruction or deterioration of potential evidence to corroborate or refute the allegation; and
- e. any other information that has a reasonable bearing on the decision.

The Complainant will be informed, in writing, if the request is not granted and the reason(s) for the decision.

3. **Obligation to Participate in Investigations.** Individuals are expected cooperate in investigations conducted under this policy, and any person who knowingly interferes with an investigation is subject to disciplinary sanctions. Interference with an investigation includes, but is not limited to:
 - a. attempting to coerce, compel, or prevent an individual from providing information related to the investigation;
 - b. removing, destroying, or altering information that relates to the investigation; or
 - c. providing false or misleading information in the course of an investigation or encouraging others to do so.
4. **Timeline and Notifications.** Investigations will be completed within a reasonable time.
5. **Resolution of Complaints of Sexual Assault and Retaliation when the Alleged Offender is a Student.** The Title IX Coordinator is responsible for investigating reports of sexual assault and retaliation when the alleged offender is a non-employee student.
6. **Resolution of Complaints of Sexual Assault and Retaliation when the Alleged Offender is not a Student (including a student employee).** The System Administration Office of Equity, Diversity and Inclusion is responsible for investigating reports of sexual assault and retaliation when the alleged offender is someone other than a student.
7. **General Investigation Procedures.** In addition to any specific procedures set out in other UNTHSC policies, including the Code of Student Conduct and Discipline as applicable, the following procedures shall be followed in resolving reports of sexual assault:

- a. The Complainant and Respondent shall receive notice of the allegation(s) and be informed of the status of the review or investigation
- b. The Respondent and Complainant shall be given an opportunity to respond to relevant information gathered in the course of the investigation before the investigation is completed. The Complainant must be given an opportunity to respond to relevant information provided by the Respondent.
- c. The Office responsible for conducting the investigation shall prepare a written report setting out its findings and whether the respondent violated this policy, and must consult with the UNT System Office of General Counsel before completing the report of investigation.
- d. The Complainant and Respondent shall be notified, in writing, of the investigation findings and determination and be provided a summary of the investigation within a reasonable time after the report of investigation is completed. UNTHSC may notify other individuals as appropriate.
- e. For Title IX complaints, Respondents and Complainants may request a review of the investigation findings and determination by the Vice President for Student Affairs or her/his respective delegee. For all other complaints, Respondents found to have violated this policy may request a review of the investigation findings and determination by the Associate Vice Chancellor for Human Resources, or her/his delegee.
- f. A request for review must be submitted to the reviewing official within five (5) business days from the date of the notice and include the reason(s) for the review and any new information the individual wishes the reviewing official to consider. The decision of the reviewing official regarding the finding and determination is final.

Record Retention. Records created under this policy shall be confidentially maintained in accordance with the UNTHSC's record retention schedule. In all cases, access to complaint and investigation records is strictly limited to officials with a direct operational need to know unless otherwise authorized by law.

Education and Resources.

1. Campus-Wide Education for Students. UNTHSC shall educate students about the nature, effect and prevention of sexual assault. Education programs shall include information about how to respond to sexual assault on and off campus, the importance of preserving evidence to assist in the successful prosecution of sex crimes, the role a bystander can play in preventing sexual assault, this policy, and resources available to survivors of sexual assault. All students are encouraged to participate in these programs. Student organizations are required to participate in a

minimum of one program each semester and are encouraged to make information about crime prevention readily available to their members.

2. Employee Education and Training. New employees shall receive training on this policy no later than the 30th day after employment. Employees are individually responsible for completing the training described in this paragraph a minimum of every two years.
3. Enforcement of Training Responsibilities. An employee who fails to complete education and training as required under this section may be subject to discipline according to applicable UNTHSC policy(ies).
4. Policy Awareness and Publication. This policy shall be published in the student catalog and employee policy manual, and on a UNTHSC website dedicated solely to the prevention of sexual assault. Also, this policy may be included in any other publication as determined by UNTHSC.
5. Resources and Services. The experience of sexual violence has different meanings for each person. Resources and services that can help lessen the trauma of assault and assist with healing can be found at UNTHSC's Sexual Assault Support web page.

Sanctions and Legal Implications.

Any violation of this policy may result in sanctions. Sanctions imposed for violating this policy must be reported to the System Administration Office of Equity, Diversity and Inclusion, Office of Student Affairs, and/or UNTHSC Campus Human Resources.

1. UNTHSC Imposed Sanctions. Any individual who violates this policy is subject to disciplinary action, including expulsion, or termination of employment or business relationships as applicable.
2. Federal or State Sanctions. Federal or State agencies may impose fines and other sanctions against UNTHSC for violations of federal or state anti-harassment laws.
3. Civil Action. Individuals may take court action against individuals and UNTHSC that could result in financial liability.
4. Criminal Sanctions. Conduct prohibited by this policy may constitute a criminal offense under the Texas Penal Code.

Responsible Party: Human Resources Staff.

References and Cross-references.

UNTHSC 5.505 Employee Ethics and Standards of Conduct.

UNTHSC 5.903 Employee Grievance Policy

UNTHSC 7.126 Student Code of Conduct and Discipline Policy

UNTHSC Faculty Bylaws

Approved: April 2016

Effective: April 2016

Revised:

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| Policies of the University of North Texas at Dallas | Chapter 5 |
| 5.038 Prohibition of Sexual Assault and Retaliation | Human Resources |

Policy Statement. The University of North Texas at Dallas (the “University”) is committed to maintaining a work and educational environment free from sexual assault and retaliation. Conduct that is inconsistent with this commitment will not be tolerated at any location, program or other activity associated with the university.

Application of Policy. This policy applies to all students, faculty, staff, and applicants for employment or admission, individuals and organizations conducting business on behalf of or for the University of North Texas at Dallas, visitors and participants at any location, program or other activity associated with the University. The University may act under this policy when prohibited conduct that occurs off-campus adversely affects or has a reasonable likelihood of adversely affecting the academic or work environment.

Definitions.

1. **Complainant.** “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless of whether the individual reports the conduct.
2. **Confidential Employee.** A University of North Texas at Dallas employee who is not obligated to disclose reports of sexual assault as required under this policy based on the requirement of the employee’s professional licensure and the nature of her or his official responsibilities with the University. Confidential Employee, as defined in this policy, includes but is not limited to licensed professional mental health counselors and health care professionals working in those capacities for the University and the employees they supervise, sexual assault advocates as defined in section 420.071 of the Texas Government Code, and attorneys and employees in the UNT System Office of General Counsel. Faculty, staff and other employees who are licensed mental health workers, licensed medical workers, or licensed attorneys but who are not employed in that capacity by the University, such as faculty members in psychology, social work, nursing, etc., are not Confidential Employees under this policy.
3. **Consent.** Words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be gained by force, coercion, manipulation, threats, or by taking advantage of the incapacitation of another when the individual knows or reasonably should know of such incapacity by use of alcohol or drugs. Consent is absent when the activity in question exceeds the scope of previously given consent, or the person is unconscious or otherwise unaware that the prohibited conduct is occurring. Consent may be revoked at any time.
4. **Days.** “Days” mean calendar days unless otherwise stated in the policy.

5. Employee. “Employee” means an individual who is employed part-time, full-time, or in a temporary capacity as faculty, staff, or who is required to be a student as a condition of employment.
6. Good Faith. “Good Faith” means a reasonable belief that reported conduct or behavior is prohibited under this policy. Good faith is based on the reporting individual’s education, training, and experience.
7. Preponderance of the Evidence. “Preponderance of the Evidence” means the amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Preponderance of the evidence also is referred to as the greater weight of the evidence.
8. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless of whether a formal complaint is made.
9. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an individual’s educational or other relationship with the University or an employee’s compensation, promotion, transfer, work assignment, or performance evaluation.
10. Sexual Assault. “Sexual Assault” means the intentional or knowing penetration, no matter how slight, of the sex organ or anus with any body part or object, or oral sex, without consent of the complainant. The term sexual assault also is referred to as rape.
11. Student. “Student” means an individual who has applied for admission or readmission to the University of North Texas at Dallas, who is registered or enrolled in one or more courses for credit at the University, or who currently is not enrolled but has a continuing academic relationship with the University.
12. Title IX Coordinator. “Title IX Coordinator” means a University of North Texas at Dallas employee designated by the President to implement, monitor, and enforce the University’s Title IX program. In this policy, reference to the Title IX Coordinator also means her or his designee.

Procedures and Responsibilities.

Reporting.

1. Reporting Sexual Assault and Retaliation:
 - a. Call 911. A person who believes sexual assault is imminent should immediately call 911.

Responsible Party: Law Enforcement

- b. Other Reports. A person may report a sexual assault that occurs on campus to the UNTD police department and may report an assault that occurs off campus to local police. A student who believes she or he has been sexually assaulted may inform the Dean of Students (Title IX Coordinator Office). Other individuals may report the conduct to the System Administration Office of Equity, Diversity and Inclusion.

Responsible Party: System Administration Office of Equity, Diversity and Inclusion/Dean of Students

- c. Anonymous Reporting. Individuals wishing to remain anonymous may report suspected assault or retaliation to the UNT System Compliance Hotline.

Responsible Party: Compliance Office

2. Reporting Obligations:

- a. Employees and individuals authorized to act on behalf of the University of North Texas at Dallas who become aware of a suspected sexual assault or retaliation are required to immediately report the suspected violation to his or her direct supervisor and to the System Administration Office of Equity, Diversity and Inclusion. If a direct supervisor is the person alleged to have engaged in the prohibited conduct, the report must be made to that individual's supervisor and to the System Administration Office of Equity, Diversity and Inclusion. In no instance is an individual required to report the alleged violation to the person suspected of the prohibited conduct.

Responsible Party: Employees and Individuals Acting on Behalf of the Organization.

- b. Students and other individuals, including guests of the University of North Texas at Dallas, are encouraged to report suspected assault or retaliation to the Dean of Students or System Administration Office of Equity, Diversity and Inclusion.

Responsible Party: Other Individuals.

- c. Exception to Obligation to Report. Confidential employees, as defined in this policy, are not obligated to report prohibited conduct under this policy. These individuals are expected to report as required by the rules of their professional license and nothing in this policy shall be interpreted as conflicting with those rules.

Protection against Retaliation. Retaliation against any person who reports or encourages another to report sexual assault or retaliation, who participates in an investigation conducted under this policy, or who seeks assistance or guidance from any University of North Texas at Dallas department or external official or organization authorized to remediate conduct prohibited under this policy is strictly prohibited.

Confidentiality.

1. Confidentiality. Information that reasonably could lead to the identification of a Complainant or an individual who reports or participates in an investigation conducted under this policy is confidential and shall not be disclosed except as required by law, including when disclosure is necessary to ensure individuals accused of violating this policy are afforded lawful notice and the opportunity to fully respond to the accusation. Information also may be confidential under the Family Educational Rights and Privacy Act.
2. Protection of Non-Confidential Information. As permitted by section 51.971 of the Texas Education Code, information may be protected from disclosure when it is not confidential if the information is collected or produced as part of an investigation conducted under this policy and disclosing the information would interfere with an ongoing investigation.
3. Authorized Disclosure of Information. Confidential information and information that is protected from disclosure under this policy may be released:
 - a. with the written and signed consent of the individual whose identity would be disclosed;
 - b. to law enforcement agencies or prosecutors;
 - c. to federal and state agencies responsible for investigating sexual harassment, sexual violence, sexual misconduct or retaliation;
 - d. to notify a Complainant and Respondent of the outcome of an investigation, including sanctions imposed for violating this policy;
 - e. to allow the University to take effective protective measures; or
 - f. as required by lawfully issued subpoena or otherwise authorized by law.

False or Bad Faith Reports. Any individual who makes a false or bad faith report under this policy is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation determines the alleged violation did not occur.

Remedial and Interim Measures. The University will take measures to promptly remediate prohibited conduct, including taking appropriate interim measures to ensure the efficient completion of an investigation and resolution of the allegation(s). Interim measures are not disciplinary in nature and must be consistent with other University policies. For students, these measures may include but are not limited to changes in housing and class schedules, issuance of a no-contact directive to one or more students or student organizations, and issuance of a no trespass directive as appropriate.

Responding to Reports of Sexual Assault.

1. Reviewing Reports. The University shall review all reports of sexual assault and retaliation to determine whether an investigation should be conducted regardless of whether a written complaint is filed. Before initiating an investigation, the victim of the alleged offense (if the person's identity is known), shall be informed that:
 - a. she or he may file a criminal complaint with law enforcement officials at any time;

- b. the University has an obligation to remediate suspected sexual assault and that an investigation may be conducted whether a criminal complaint is filed;
- c. the University can take measures to protect against continued misconduct and retaliation;
- d. voluntary withdrawal of an allegation will not necessarily result in termination of an investigation; and
- e. she or he should contact the System Administration Office of Equity, Diversity and Inclusion or Dean of Students if retaliation is suspected.

A decision not to investigate a report shall be documented in writing and include the reason(s) for not investigating the allegation(s).

2. Investigating Reports. All credible allegations of prohibited conduct shall be investigated. If the Complainant asks that the University not be disclosed or that the complaint not be pursued, the University will take reasonable steps to comply with the request as long as doing so does not prevent the University from responding effectively under this policy. The Complainant will be informed that such a request may limit the University's ability to respond to the report and that anonymity in the resolution process cannot be assured. In determining whether the Complainant's request will be granted, the University will consider:

- a. the seriousness/nature of the allegation;
- b. whether the alleged behavior or conduct presents a threat to individuals other than the person who is making the request;
- c. whether effective measures can be put in place to protect the individual against continued physical or psychological harm or retaliation;
- d. whether delaying an investigation could reasonably result in the destruction or deterioration of potential evidence to corroborate or refute the allegation; and
- e. any other information that has a reasonable bearing on the decision.

The Complainant will be informed, in writing, if the request is not granted and the reason(s) for the decision.

3. Obligation to Participate in Investigations. Individuals are expected to cooperate in investigations conducted under this policy, and any person who knowingly interferes with an investigation is subject to disciplinary sanctions. Interference with an investigation includes, but is not limited to:

- a. attempting to coerce, compel, or prevent an individual from providing information related to the investigation;
- b. removing, destroying, or altering information that relates to the investigation; or
- c. providing false or misleading information in the course of an investigation or encouraging others to do so.

4. Timeline and Notifications. Investigations will be completed within 60 days unless extenuating circumstance occur.

5. Resolution of Complaints of Sexual Assault and Retaliation when the Alleged Offender is a Student. The Office of the Dean of Students is responsible for investigating reports of sexual assault and retaliation when the alleged offender is a student. The Title IX Coordinator shall review all investigations conducted by the Dean of Students before the investigation is completed.
6. Resolution of Complaints of Sexual Assault and Retaliation when the Alleged Offender is not a Student (including a student employee). The System Administration Office of Equity, Diversity and Inclusion is responsible for investigating reports of sexual assault and retaliation when the alleged offender is someone other than a student.
7. General Investigation Procedures. In addition to any specific procedures set out in other University policies, including the Code of Student Conduct as applicable, the following procedures shall be followed in resolving reports of sexual assault:
 - a. The Complainant and Respondent shall receive notice of the allegation(s) and be informed of the status of the review or investigation.
 - b. The Respondent and Complainant shall be given an opportunity to respond to relevant information gathered in the course of the investigation before the investigation is completed. The Complainant must be given an opportunity to respond to relevant information provided by the respondent.
 - c. The Office responsible for conducting the investigation shall prepare a written report setting out its findings and whether the respondent violated this policy, and must consult with the UNT System Office of General Counsel before completing the report of investigation.
 - d. The Complainant and Respondent shall be notified, in writing, of the investigation findings and determination and be provided a summary of the investigation within a reasonable time after the report of investigation is completed, generally not more than five (5) business days after completion. The University may notify other individuals as appropriate.
 - e. For Title IX complaints, Respondents and Complainants may request a review of the investigation findings and determination by the Vice President for Academic Affairs and Student Success or his or her designee. For all other complaints, Respondents found to have violated this policy may request review of the investigation findings and determination by the Associate Vice Chancellor for Human Resources or his or her designee.
 - f. A request for review must be submitted to the reviewing official within five (5) business days from the date of the notice and include the reason(s) for the review and any new information the individual wishes the reviewing official to consider. The decision of the reviewing official regarding the finding and determination is final.

Record Retention. Records created under this policy shall be confidentially maintained in accordance with the University's record retention schedule. In all cases, access to complaint

and investigation records is strictly limited to officials with a direct operational need to know unless otherwise authorized by law.

Education and Resources.

1. **Campus-Wide Education for Students.** The University shall educate students about the nature, effect and prevention of sexual assault. Education programs shall include information about how to respond to sexual assault on and off campus, the importance of preserving evidence to assist in the successful prosecution of sex crimes, the role a bystander can play in preventing sexual assault, this policy, and resources available to survivors of sexual assault. All students are encouraged to participate in these programs. Student organizations are required to participate in a minimum of one program each semester and are encouraged to make information about crime prevention readily available to their members.
2. **Required Education for Freshman and Transfer Students.** Each entering freshman and student who transfers to an undergraduate degree program must participate in the University of North Texas at Dallas prevention of sexual assault education program before or during the first semester or term in which the student enrolls in the University. In addition to covering the topics described in the subsection above, the program must include information about each component of this policy.
3. **Employee Education and Training.** New employees shall receive training on this policy no later than the 30th day after employment. Employees are individually responsible for completing the training described in this paragraph a minimum of every two years.
4. **Enforcement of Training Responsibilities.** An employee who fails to complete education and training as required under this section shall not be eligible for a salary increase of any type during the year in which his or her training expires and is subject to disciplinary action, including termination. In addition, an employee may be denied access to information technology resources, including the use of email, after being out of compliance with training requirements for longer than 30 days.
5. **Policy Awareness and Publication.** This policy shall be published in the student catalog and employee policy manual, and on a University of North Texas at Dallas website dedicated solely to the prevention of sexual assault. Also, this policy may be included in any other publication as determined by the University.
6. **Resources and Services.** Resources and services that can help lessen the trauma of assault and assist with healing can be found at: [Rape, Abuse, and Incest National Network](#). Other resources on the local level include the following:

UNTD Office of Wellness Services 972-338-1779

Rape Crisis Center 972-641-7273

Genesis Women's Center 214-940-2998

Parkland Hospital 214-590-8000

Baylor Hospital of Dallas 214-820-0111

Charlton Methodist Hospital 214-947-7777

Sanctions and Legal Implications.

Any violation of this policy may result in sanctions. Sanctions imposed for violating this policy must be reported to the System Administration Office of Equity, Diversity and Inclusion, Office of Student Affairs, and/or University of North Texas at Dallas Campus Human Resources.

1. University Imposed Sanctions. Any individual who violates this policy is subject to disciplinary action, including expulsion, or termination of employment or business relationships as applicable.
2. Federal or State Sanctions. Federal or State agencies may impose fines and other sanctions against the University for violating federal or state anti-harassment laws.
3. Civil Action. Individuals may take court action against individuals and the University that could result in financial liability.
4. Criminal Sanctions. Conduct prohibited by this policy may constitute a criminal offense under the Texas Penal Code.

References and Cross-references.

- [Student Code of Conduct](#)
- [Staff Employee Discipline Policy](#)
- [Employee Grievance Policy](#)
- [Faculty Discipline Policy](#)

Approved:

Effective:

Revised:

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| Policies of the University of North Texas System Administration | Chapter 03 |
| 03.705 Prohibition of Sexual Assault and Retaliation | Human Resources |

Policy Statement. The University of North Texas System Administration is committed to maintaining an environment free from sexual assault and retaliation. Conduct that is inconsistent with this commitment will not be tolerated at any location, program or other activity associated with the UNT System.

Application of Policy. This policy applies to all employees, applicants for employment, individuals and organizations conducting business on behalf of or for the System Administration, visitors and participants at any location, program or other activity associated with the UNT System. The System Administration may act under this policy when prohibited conduct that occurs at locations other than on UNT System property or activities has a reasonable likelihood of adversely affecting the academic or work environment.

Definitions.

1. **Complainant.** “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless whether the individual reports the conduct.
2. **Confidential Employee.** A “Confidential Employee” means a System Administration employee who is not obligated to disclose reports of sexual assault as required under this policy based on the requirement of the employee’s professional licensure and the nature of her or his official responsibilities with the System Administration. Confidential Employee, as defined in this policy, includes but is not limited to licensed attorneys and employees in the UNT System Office of General Counsel. Other staff who hold professional licenses but who are not employed in a capacity by the System Administration that requires the license are not Confidential Employees under this policy.
3. **Consent.** “Consent” means words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be gained by force, coercion, manipulation, threats, or by taking advantage of the incapacitation of another when the individual knows or reasonably should know of such incapacity by use of alcohol or drugs. Consent is absent when the activity in question exceeds the scope of previously given consent, or the person is unconscious or otherwise unaware that the prohibited conduct is occurring. Consent may be revoked at any time.
4. **Days.** “Days” mean calendar days unless otherwise stated in the policy.

5. Employee. “Employee” means an individual who is employed part-time, full-time, or in a temporary capacity, or who is required to be a student as a condition of employment.
6. Good Faith. “Good Faith” means a reasonable belief that reported conduct or behavior is prohibited under this policy. Good faith is based on the reporting individual’s education, training, and experience.
7. Preponderance of the Evidence. “Preponderance of the evidence” means the amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Preponderance of the evidence also is referred to as the greater weight of the evidence.
8. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless whether a formal complaint is made.
9. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an employee’s term or condition of employment, including compensation, promotion, transfer, work assignment, or performance evaluation; or a nonemployee’s educational or other relationship with any component of the UNT System.
10. Sexual Assault. “Sexual Assault” means the intentional or knowing penetration, no matter how slight, of the sex organ or anus with any body part or object, or oral sex, without consent of the complainant. The term sexual assault also is referred to as rape.
11. Student. “Student” means an individual who has applied for admission or readmission to an academic institution in the UNT System, who is registered or enrolled in one or more courses for credit at any of these component institutions, or who currently is not enrolled but has a continuing academic relationship with any of these component institutions.
12. Title IX Coordinator. “Title IX Coordinator” means an employee designated by the Chancellor to investigate allegations of sexual assault involving a student at any component institution in the UNT System. In this policy, reference to the Title IX Coordinator also means her or his designee.

Procedures and Responsibilities.

I. Reporting

1. Reporting Sexual Assault and Retaliation:

- a. Employees, Students and Other Individuals. Call 911. A person who believes sexual assault is imminent should immediately call 911.

Responsible Party: Law Enforcement

- b. Employees and Other Individuals. An employee or other individual who believes she or he has been sexually assaulted should immediately report the conduct to the employee's immediate supervisor, unless that person is the one alleged to have committed the assault, or to the System Administration Office of Equity, Diversity and Inclusion. A student who believes she or he has been sexually assaulted may report the conduct to the Dean of Students or Title IX Coordinator at the campus at which the student is enrolled.

Responsible Party: System Administration Office of Equity, Diversity and Inclusion

- c. Anonymous Reporting. Individuals wishing to remain anonymous may report suspected assault or retaliation by visiting the UNT System Compliance Hotline and Reporting website.

Responsible Party: Compliance Office

2. Reporting Obligations:

- a. Employees and individuals authorized to act on behalf of System Administration who become aware of suspected sexual assault or retaliation are required to immediately report the suspected violation to his or her direct supervisor and to the System Administration Office of Equity, Diversity and Inclusion. If a direct supervisor is the person alleged to have engaged in the prohibited conduct, the report must be made to that individual's supervisor and to the System Administration Office of Equity, Diversity and Inclusion. In no instance is an individual required to report the alleged violation to the person suspected of the prohibited conduct.

Responsible Party: Employees and Individuals Acting on Behalf of System Administration.

- b. Other individuals, including guests of System Administration, are encouraged to report suspected assault or retaliation to the Office of Equity, Diversity and Inclusion.

Responsible Party: Other Individuals.

- c. Exception to Obligation to Report. Confidential Employees, as defined in this policy, are not obligated to report prohibited conduct under this policy. These individuals are expected to report as required by the rules of their professional license and nothing in this policy shall be interpreted as conflicting with those rules.

Responsible Party: Confidential Employees

- II. Protection against Retaliation. Retaliation against any person who reports or encourages another to report sexual assault or retaliation, who participates in an investigation conducted under this policy, or who seeks assistance or guidance from any System Administration department or external official or organization authorized to remediate conduct prohibited under this policy is strictly prohibited.
- III. Confidentiality.
 1. Confidentiality. Information that reasonably could lead to the identification of a Complainant, or an individual who reports or participates in an investigation conducted under this policy is confidential and shall not be disclosed except as required by law, including when disclosure is necessary to ensure individuals accused of violating this policy are afforded lawful notice and the opportunity to fully respond to the accusation. Information also may be confidential under the Family Educational Rights and Privacy Act.
 2. Protection of Non-Confidential Information. As permitted by section 51.971 of the Texas Education Code, information may be protected from disclosure when it is not confidential if the information is collected or produced as part of an investigation conducted under this policy and disclosing the information would interfere with an ongoing investigation.
 3. Authorized Disclosure of Information. Confidential information and information that is protected from disclosure under this policy may be released:
 - a. with the written and signed consent of the individual whose identity would be disclosed;
 - b. to law enforcement agencies or prosecutors;
 - c. to federal and state agencies responsible for investigating sexual harassment, sexual violence, sexual misconduct or retaliation;
 - d. to notify a Complainant and Respondent of the outcome of an investigation, including sanctions imposed for violating this policy;
 - e. to allow the System Administration to take effective protective measures; or
 - f. as required by lawfully issued subpoena or otherwise authorized by law.

- IV. False or Bad Faith Reports. Any individual who makes a false or bad faith report under this policy is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation determines the alleged violation did not occur.
- V. Remedial and Interim Measures. System Administration will take measures to promptly remediate prohibited conduct, including taking appropriate interim measures to ensure the efficient completion of an investigation and resolution of the allegation(s). Interim measures are not disciplinary in nature and must be consistent with other System Administration policies. The System Administration Office of Equity, Diversity and Inclusion will coordinate with campus Title IX Coordinators when interim measures are appropriate to resolve a complaint involving a student.
- VI. Responding to Reports of Sexual Assault.
1. Reviewing Reports. System Administration shall review all reports of sexual assault and retaliation to determine whether an investigation should be conducted regardless whether a written complaint is filed. Before initiating an investigation, the victim of the alleged offense (if the person's identity is known), shall be informed that:
 - a. she or he may file a criminal complaint with law enforcement officials at any time;
 - b. System Administration has an obligation to remediate suspected sexual assault and that an investigation may be conducted whether a criminal complaint is filed;
 - c. System Administration can take measures to protect against continued misconduct and retaliation;
 - d. voluntary withdrawal of an allegation will not necessarily result in termination of an investigation; and
 - e. she or he should contact the System Administration Office of Equity, Diversity and Inclusion if retaliation is suspected.

A decision not to investigate a report shall be documented in writing and include the reason(s) for not investigating the allegation(s).

2. Investigating Reports. All credible allegations of prohibited conduct shall be investigated. If the Complainant asks that her or his identity not be disclosed or that the complaint not be pursued, the System Administration will take reasonable steps to comply with the request as long as doing so does not prevent the System Administration from responding effectively under this policy. The Complainant will be informed that such a request may limit the System Administration's ability to respond to the report and that anonymity in the resolution process cannot be assured. In determining whether the Complainant's request will be granted, the System Administration will consider:

- a. the seriousness/nature of the allegation;
- b. whether the alleged behavior or conduct presents a threat to individuals other than the person who is making the request;
- c. whether effective measures can be put in place to protect the individual against continued physical or psychological harm or retaliation;
- d. whether delaying an investigation could reasonably result in the destruction or deterioration of potential evidence to corroborate or refute the allegation; and
- e. any other information that has a reasonable bearing on the decision.

The Complainant will be informed, in writing, if the request is not granted and the reason(s) for the decision.

3. **Obligation to Participate in Investigations.** Individuals are expected to cooperate in investigations conducted under this policy, and any person who knowingly interferes with an investigation is subject to disciplinary sanctions. Interference with an investigation includes, but is not limited to:
 - a. attempting to coerce, compel, or prevent an individual from providing information related to the investigation;
 - b. removing, destroying, or altering information that relates to the investigation; or
 - c. providing false or misleading information in the course of an investigation or encouraging others to do so.
4. **Timeline and Notifications.** Investigations will be completed within a reasonable time.
5. **The System Administration Office of Equity and Inclusion** is responsible for investigating reports of sexual assault and retaliation for the System Administration, UNT Health Science Center and UNT Dallas, except when the person reported to have engaged in the conduct is a student at the Health Science Center or at UNT Dallas. When the alleged offender is a student, the Title IX Coordinator at the campus where the student is enrolled is responsible for investigating the report and coordinating resolution with the System Administration Office of Equity and Inclusion, as appropriate.
6. **General Investigation Procedures.** In addition to any specific procedures set out in other System Administration policies, the following procedures shall be followed in resolving reports of sexual assault:
 - a. The Complainant and Respondent shall receive notice of the allegation(s) and be informed of the status of the review or investigation.
 - b. The Respondent and Complainant shall be given an opportunity to respond to relevant information gathered in the course of the investigation before the

investigation is completed. The Complainant must be given an opportunity to respond to relevant information provided by the Respondent.

- c. The System Administration Office of Equity, Diversity and Inclusion is responsible for preparing a written report setting out its findings and whether the Respondent violated this policy, and must consult with the UNT System Office of General Counsel before completing the report of investigation.
- d. The Complainant and Respondent shall be notified, in writing, of the investigation findings and determination and be provided a summary of the investigation within a reasonable time after the report of investigation is completed. System Administration may notify other individuals as appropriate.
- e. For Title IX complaints, Respondents and Complainants may request a review of the findings and determination by the Associate Vice Chancellor for Human Resources or his or her designee.
- f. A request for review must be submitted to the reviewing official within five (5) business days from the date of the notice and include the reason(s) for the review and any new information the individual wishes the reviewing official to consider. The decision of the reviewing official regarding the finding and determination is final.

VII. Record Retention. Records created under this policy shall be confidentially maintained in accordance with the System Administration's record retention schedule. In all cases, access to complaint and investigation records is strictly limited to officials with a direct operational need to know unless otherwise authorized by law.

VIII. Education and Resources.

1. Employee Education and Training. New employees shall receive training on this policy no later than the 30th day after employment. All employees are individually responsible for completing the training described in this paragraph a minimum of every two years.
2. Enforcement of Training Responsibilities. An employee who fails to complete education and training as required under this section may be subject to discipline according to applicable System Administration policies and Regents Rules.
3. Policy Awareness and Publication. This policy shall be published in the employee policy manual and on a System Administration website dedicated solely to the prevention of sexual assault, and may be included in any other publication as determined by the System Administration.
4. Resources and Services. Resources and services that can help lessen the trauma of assault and assist with healing can be found at the System Administration's Sexual Assault Support web page.

IX. Sanctions and Legal Implications. Any violation of this policy may result in sanctions. Sanctions imposed for violating this policy must be reported to the System Administration Office of Equity, Diversity and Inclusion.

1. System Administration Imposed Sanctions. Any individual who violates this policy is subject to disciplinary action, including termination of employment or business relationships, as applicable.
2. Federal or State Sanctions. Federal or State agencies may impose fines and other sanctions against the System Administration for violations of federal or state anti-harassment laws.
3. Civil Action. Individuals may take court action against individuals and System Administration that could result in financial liability.
4. Criminal Sanctions. Conduct prohibited by this policy may constitute a criminal offense under the Texas Penal Code.

References and Cross-references.

System Administration Policy 03.403, Staff Employee Discipline
System Administration Policy 03.1001, Employee Grievances

Approved:
Effective:
Revised:



Board Briefing

Committee: Academic Affairs &
Student Success

Date Filed: April 26, 2016

Title: Approval and Ratification of 2016-2017 Admission Standards for UNT System Institutions

Background:

UNT System Regents Rule 3.701 states that the Board shall “set Institution admission standards consistent with the role and mission of each Institution, considering the admission standards of similar institutions nationwide having a similar role and mission, as determined by the Texas Higher Education Coordinating Board.” Further, Regents Rule 3.801 states that the Board may establish admission standards for each of the institutions,” and Regents Rule 7.204 states that “changes to admissions standards must be submitted by the President to the Chancellor for review and approval by the Board.”

As UNT, UNT Health Science Center and UNT Dallas continue to grow and evolve, it is prudent to regularly reaffirm the admission standards of the institutions. The UNT System institutions recognize the Board of Regents’ authority related to approval of admissions standards and seek to submit a consolidated annual update of all admissions standards for BOR approval and ratification. To ensure that all admission standards have been duly approved by the Board of Regents, the attached summary is being submitted by the UNT System for approval and ratification.

Minor changes and/or clarifications were made to UNT transfer and graduate admission standards. Some new UNT Dallas freshman and transfer admission standards are proposed. Each UNTHSC college has made minor changes to its admission standards.

UNT:

- Additional clarification has been made regarding the cumulative GPA requirements, including that graduate applicants will be reviewed holistically, based on specific departmental and program requirements. GPAs for typically successful candidates are listed.
- If required by the academic program, GRE test scores must be sent to the Toulouse Graduate School.

UNT Dallas:

- Writing sample no longer recommended for freshman admission.
- Standards for full freshman admission now include criteria that consider GPA and SAT/ACT score, in the addition class rankings and SAT/ACT score.
- “Jaguar Gateway Program” initiated as a freshman conditional admission bridge program for freshman who are denied but on the cusp of meeting admission criteria.

- Requirements for transfer students have been clarified to indicate variation in “Other Requirements” based upon the program to which the student applies.

UNT Health Science Center:

- In TCOM, the MCAT is no longer required for the Primary Care Partnership Program.
- TCOM has increased the number of required letters of recommendation from two to three.
- Graduate School of Biomedical Science has generalized the request official test scores “depending upon the program of interest: GRE, MCAT, DAT, or PCAT” and added a requirement for a resume/cv to be submitted.
- School of Public Health has clarified the meaning of “dual degree MPH students” and has changed the international requirement from a TOEFL internet-based score of 79 to 85.
- School of Health Professions clarified the application fee for the Physical Therapy program, and the maximum number of letters of professional reference accepted changed from three to four, with a letter from a practicing physical therapist now highly recommended.
- The School of Health Professions Physician Assistant Program no longer requires a supplemental application.
- The UNT System College of Pharmacy now requires official transcripts from all universities and colleges attended to be sent to both PharmCAS and the Pharmacy Admissions Office.

Financial Analysis/History:

There is no substantive anticipated financial impact with any of these proposed changes.

Janet Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu, c=US
Date: 2016.05.09 16:27:44 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:06:02 -05'00'

Vice Chancellor/General Counsel

Schedule:

2016-2017 Academic Year

Recommendation:

It is recommended that the Board of Regents approve and ratify the attached admission standards for UNT, UNT Health Science Center, and UNT Dallas.

Recommended By:

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, ou=University of North Texas
System, ou=Vice Chancellor for Academic Affairs and
Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2016.05.09 09:57:54 -0500'

Vice Chancellor for Academic Affairs
and Student Success

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2016.05.11 11:18:15 -0500'

Chancellor

Attachments Filed Electronically:

- UNT System Institutional Admission Standards Spreadsheet



Board Order

Title: Approval and Ratification of 2016-2017 Admission Standards for UNT System Institutions

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the Board of Regents has the authority to set institutional admission standards consistent with the role and mission of each institution, and

Whereas, changes in admission standards must be approved by the Board of Regents, and

Whereas, it is prudent to ensure on an annual basis that all admission standards of the UNT System institutions have been approved by the Board of Regents,

Now, Therefore, The Board of Regents authorizes and approves the following:

1. The FY 2016-2017 Admission Standards for UNT, UNT Health Science Center and UNT Dallas.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

The University of North Texas System Universities: Freshman Admission Requirements, Year 2016-2017

| Campus/ Program | Application Fee | Admission Under Uniform Admission Policy | Standards for Full Admission | Conditional Admission and Requirements for Full Admission | TOEFL | Other Requirements |
|--------------------|---|---|--|--|---|---|
| UNT | <p>\$75 non-refundable fee</p> <p>International students: \$85 non-refundable fee</p> <p><i>\$90 Late application fee</i></p> | <p>Top 10% with submitted SAT or ACT score</p> | <p>Next 15% and have a min 950 SAT Reasoning Test (combined Critical Reading/Verbal + Math) or 20 ACT.</p> <p>Rank in 2nd quarter and have a min 1050 SAT Reasoning Test or 23 ACT.</p> <p>Rank in 3rd quarter and have a min 1180 SAT Reasoning Test or 26 ACT.</p> | <p>Individual review— Applicants who do not meet the standards for full admission or who rank in the fourth quarter may be admitted only by individual review.</p> <p>Conditional Admission without meeting English language proficiency (International Students): Study English at IELI and finish final level - Level 6.</p> | <p>Min scores are: 550 International Paper; 213 Computer; 79 IBT</p> <p>Score must be less than 2 years old unless the student has been continuously studying at a U.S. college/university</p> <p>6.5 IELTS</p> | <p>Recommended: completion of ApplyTexas essay</p> <p>Optional: Personal statement & 3 letters of recommendation from academic sources</p> <p>Various colleges may have additional requirements including, but not limited to, interviews, auditions, additional paperwork, higher minimum entrance exam requirements, etc.</p> <p>Adult admission (earned HS diploma or GED 5 or more years ago & never enrolled in college) requires a personal statement, and THECB form (required by law)</p> |

The University of North Texas System Universities: Freshman Admission Requirements, Year 2016-2017

| Campus/ Program | Application Fee | Admission Under Uniform Admission Policy | Standards for Full Admission | Conditional Admission and Requirements for Full Admission | TOEFL | Other Requirements |
|--------------------|-------------------------|---|---|---|-------|---|
| UNT Dallas | \$40 non-refundable fee | Top 10% with submitted SAT or ACT score | <p>Next 15% and have a min 950 SAT Reasoning Test or 20 ACT.</p> <p>Rank in 2nd quarter and have a min. 1050 SAT Reasoning Test or 23 ACT.</p> <p>Rank in 3rd quarter and have a min. 1180 SAT Reasoning Test or 26 ACT.</p> <p>4.0- 3.50 GPA and min 850 SAT Reasoning Test or 17 ACT.</p> <p>3.49 -3.00 GPA and min 930 SAT Reasoning Test or 19 ACT.</p> <p>2.99 – 2.50 GPA and min 1050 SAT</p> | Individual review— Applicants who do not meet the standards for full admission or who rank in the fourth quarter may be admitted only by individual review. | | <p>Optional, but recommended: personal statement & two letters of recommendation.</p> <p>Adult admission (earned HS diploma or GED 5 or more years ago & never enrolled in college) requires a personal statement, THECB form (required by law) and may require a personal interview.</p> <p>Jaguar Gateway Program (JGP) – Denied student, on the cusp of admission, can attend 6-week college readiness summer boot camp and enroll in 6 hours (ENGL 1313 and MATH 1314). With successful completion in 6 hours with cumulative GPA of 2.5 or higher, conditionally admitted for upcoming fall semester with required supportive resources.</p> |

The University of North Texas System Campuses: Transfer Admission Requirements, Year 2016 - 2017

| Campus/ Program | Application Fee | Admission Standards | Use of High School Record | International Requirements | Other Requirements |
|--------------------|--|--|---|---|---|
| UNT | <p>\$75 non-refundable fee</p> <p>International students: \$85 non-refundable fee</p> <p>\$90 Late application fee</p> | <p>>44 SCH min. college 2.0 GPA (4.0 system)</p> <p>30-44 SCH min. college 2.25 GPA (4.0 system)</p> <p>Students must be eligible to return to all institutions attended.</p> | <p>< 30 SCH</p> <p>-Graduation from accredited high school</p> <p>- Min. college 2.5 GPA (4.0 system)</p> <p>- SAT/ACT score and high school class rank as required for UNT freshmen</p> | <p>Min TOEFL scores are: 550 International Paper; 213 Computer; 79 IBT</p> <p>Score must be less than 2 years old unless the student has been continuously studying at a U.S. college/university</p> <p>6.5 IELTS</p> | <p>International Students will have additional requirements for admission.</p> <p>Adult admission (earned HS diploma or GED 5 or more years ago & have less than 29 SCH) requires a personal statement and THECB form (required by law)</p> |
| UNT Dallas | <p>\$40 non-refundable fee</p> | <p>>44 SCH min. college 2.0 GPA (4.0 system)</p> <p>30-44 SCH min. college 2.25 GPA (4.0 system)</p> <p>Students must be eligible to return to the last institution attended.</p> | <p><30 SCH requires official high school transcript or GED & SAT or ACT score.</p> <p>- SAT/ACT score and high school class rank as required for UNT Dallas freshmen</p> | | <p>Adult admission (earned HS diploma or GED 5 or more years ago & have less than 29 SCH) requires a personal statement, THECB form (required by law) and may require a personal interview.</p> <p>Various schools/programs may have additional requirements including, but not limited to, interviews, additional paperwork, higher minimum entrance exam requirements, etc.</p> |

The University of North Texas System Campuses: Graduate & Professional Admission Requirements, Year 2016 - 2017

| Campus/ Program | Application Fee | Previous Degree | Undergraduate Cumulative GPA | GRE | GMAT Business | International Requirements | Letters of Recommendation (LOR)/Other |
|--|---|--|--|---|--|---|---|
| <p>UNT Toulouse Graduate School (TGS)</p> | <p>\$75 application fee (domestic and international)</p> <p>(A \$95 application fee will be charged for International applicants beginning Fall 2017)</p> | <p>Bachelor's Degree from a regionally accredited school.</p> <p>Official transcripts from all previously attended colleges and universities must be sent.</p> | <p>GPA requirement for UNT consideration:</p> <p><i>Graduate applicants to UNT are evaluated holistically, based on specific departmental and program requirements. Successful candidates usually have met certain GPA minima:</i></p> <ul style="list-style-type: none"> • 3.00 GPA in the undergraduate degree for admission to the Master's program; • Or 3.50 GPA in the undergraduate degree for direct admission to Doctoral programs; • Or 3.50 GPA in Masters-level studies for admission to Doctoral programs <p>Students with a GPA below the prescribed standard will be deferred for admission. A minimum GPA has now been suggested for students applying to a doctoral degree program who only hold a bachelor's degree.</p> | <p>If required by the academic program, official test scores must be sent to TGS.</p> <p>College of Education requires GRE less than 5 years old.</p> | <p>Official test scores must be sent to TGS only for College of Business applicants.</p> | <p>Min. TOEFL score of: 550 written, 213 computer-based, 79 internet-based for applicants whose native language is not English and who do not have a degree from an accredited U.S. institution. A minimum IELTS of 6.5 is also acceptable.</p> | <p>Acceptance must occur both with TGS and specific degree program.</p> <p>Please contact academic department for additional departmental admission requirements.</p> |

The University of North Texas System Campuses: Graduate & Professional Admission Requirements, Year 2016 - 2017

| Campus/ Program | Application Fee | Previous Degree | Undergraduate Cumulative GPA | GRE | GMAT Business | International Requirements | Letters of Recommendation (LOR)/Other |
|------------------------------------|----------------------------|--|--|--|--|-------------------------------|---|
| UNT Dallas Graduate Programs | \$50 application fee | Bachelor's degree from a regionally accredited school. Official transcripts from all previously attended colleges and universities must be sent. | 2.8 GPA+ on undergraduate degree OR 3.0 GPA on the last 60 SCH of undergraduate degree OR 3.4 GPA on a completed master's degree. | Official test scores must be sent to the Office of Graduate Admissions for all schools. | Official test scores must be sent to the Office of Graduate Admissions for the School of Business. | | Acceptance must occur both with the Office of Graduate Admissions and specific degree program. Resume – required by the following programs: MBA and Educational Leadership Letters of Recommendation – required by the following programs: Counseling, Public Leadership, Educational Leadership Writing sample/personal statement – required by the following programs: Counseling, Educational Leadership, and Public Leadership: Educational Leadership and School Counseling also require a departmental application, 2 years creditable teaching experience and a copy a teacher service record. |

The University of North Texas System Campuses: Graduate & Professional Admission Requirements, Year 2016 - 2017

| Campus/ Program | Application Fee | Previous Degree | Undergraduate Cumulative GPA | GRE | GMAT Business | International Requirements | Letters of Recommendation (LOR)/Other |
|--|---------------------------------|---|-----------------------------------|--------------------------------------|------------------|-------------------------------|--|
| <p align="center">UNT Dallas College of Law</p> | <p>\$0 – no application fee</p> | <p>Bachelor's degree from a regionally accredited school. Official transcripts from all previously attended colleges and universities required.</p> | <p>No minimum GPA requirement</p> | <p>Official test scores required</p> | | | <p>LORs and Evaluation are required. Applicants must utilize Credential Assembly Service (CAS) to submit current LSAT score, official transcripts and letters of recommendation (LORs). The LSAC charges \$170 fee to applicant for CAS service. Two (2) letters of recommendation required electronically through CAS. Must submit a professional resume and personal statement. Applicants may be required to submit specific addendum statements, such as prior law experience or character responses. Applicants encouraged to request optional interview with member of admissions committee.</p> |

The University of North Texas System Health Science Center: Admission Standards, Year 2016 - 2017

| Campus/ Program | Application Fee | Bachelor's Degree | Official College Transcripts | Undergraduate Cumulative GPA | Standardized Test Requirements | International Requirements | Letters of Recommendation (LOR) /Other |
|-------------------------------|---|---|---|--|--|--|--|
| <p>UNTHSC TCOM</p> | <p>Applications to TCOM are made through the Texas Medical and Dental Schools Application Service (TMDSAS). The fee is set by this service. TCOM requires a supplemental application be submitted directly to the university. There is no fee for the supplemental application.</p> | <p>Minimum of three years of college (90 SCH or equivalent # of quarter hours) toward a bachelor's degree from a regionally accredited U.S. college or university (or Canadian equivalent) is required (some courses may be in progress). Certain pre-requisite courses must be completed. <i>Note: Strong preference given to those who complete a bachelor's degree prior to matriculation.</i></p> | <p>Official transcripts from all universities and colleges attended must be submitted to the TCOM admissions office after acceptance.</p> | <p>No minimum GPA cutoff; expected to have better than a B average</p> | <p>Medical College Admission Test (MCAT). However, MCAT is not required for the Primary Care Partnership Program</p> | <p>International applicants are classified as non-residents and must meet the same requirements as all other students. International applicants must show proof of financial means prior to obtaining a visa to enter the country.</p> | <p>A premedical/health professions advisory committee evaluation or three letters of evaluation are required. Applicants are also strongly encouraged to submit a letter of evaluation from an osteopathic physician familiar with the applicant (please note - this is recommended but NOT required). The physician may submit this letter of evaluation directly to TCOM if it is not already included in the advisory committee evaluation.</p> |

The University of North Texas System Health Science Center: Admission Standards, Year 2016 - 2017

| | | | | | | | |
|--|--|--|---|--|--|---|---|
| <p align="center">UNTHSC Graduate School of Biomedical Science</p> <p align="center">Traditional & Specialized M.S. Programs</p> | <p>A non-refundable application fee applies.</p> <p><i>Note: Waived for McNair scholars with documentation of participation.</i></p> | <p>Bachelor's degree from regionally accredited institution required. Competitive applicant typically has a background in biology, biochemistry, chemistry or related field.</p> | <p>Official transcripts from all universities and colleges attended must be sent.</p> | <p>At least a 3.0 GPA on a 4.0 scale on the last 60 undergraduate SCH prior to receiving bachelor's degree or on all undergraduate work. Applicants holding a master's degree must have a 3.0 GPA in master's work or meet the undergraduate requirements for unconditional admission.</p> | <p>Submit official test scores, depending on the program of interest: GRE, MCAT or DAT</p> | <p>Official TOEFL or IELTS score is required for applicants who are not U.S. citizens or permanent residents, unless applicant has completed a degree program within the U.S. For credits earned outside the U.S., applicant must submit an official WES or ECE course-by-course evaluation as well as the individual transcript.</p> | <p>Two letters of recommendation signed on letterhead and sent directly from recommenders; Supplemental materials (e.g. resume/CV) will be considered but are not required.</p> |
|--|--|--|---|--|--|---|---|

The University of North Texas System Health Science Center: Admission Standards, Year 2016 - 2017

| Campus/ Program | Application Fee | Bachelor's Degree | Official College Transcripts | Undergraduate Cumulative GPA | Standardized Test Requirements | International Requirements | Letters of Recommendation (LOR) /Other |
|--|--|--|---|--|---|---|--|
| <p style="text-align: center;">UNTHSC Graduate School of Biomedical Science</p> <p style="text-align: center;">M.S. in Medical Science</p> | <p>A non-refundable application fee applies.</p> <p><i>Note: Waived for McNair scholars with documentation of participation.</i></p> | <p>Bachelor's degree from regionally accredited institution required. Competitive applicant typically has a background in biology, biochemistry, chemistry or related field.</p> | <p>Official transcripts from all universities and colleges attended must be sent.</p> | <p>At least a 3.0 GPA on a 4.0 scale on the last 60 undergraduate SCH prior to receiving bachelor's degree or on all undergraduate work. Applicants holding a master's degree must have a 3.0 GPA in master's work or meet the undergraduate requirements for unconditional admission.</p> | <p>Submit official test scores, depending on the program of interest: GRE, MCAT, DAT or PCAT.</p> | <p>Official TOEFL or IELTS score is required for applicants who are not U.S. citizens or permanent residents, unless applicant has completed a degree program within the U.S. For credits earned outside the U.S., applicant must submit an official WES or ECE course-by-course evaluation as well as the individual transcript.</p> | <p>Two letters of recommendation signed on letterhead and sent directly from recommenders. A resume/cv is also required.</p> |

The University of North Texas System Health Science Center: Admission Standards, Year 2016 - 2017

| Campus/ Program | Application Fee | Bachelor's Degree | Official College Transcripts | Undergraduate Cumulative GPA | Standardized Test Requirements | International Requirements | Letters of Recommendation (LOR) /Other |
|---|--|--|---|--|---|---|---|
| <p style="text-align: center;">UNTHSC Graduate School of Biomedical Science Ph.D. Program</p> | <p>A non-refundable application fee applies.</p> <p><i>Note: Waived for McNair scholars with documentation of participation.</i></p> | <p>Bachelor's degree from regionally accredited institution required. Competitive applicant typically has a background in biology, biochemistry, chemistry or related field.</p> | <p>Official transcripts from all universities and colleges attended must be sent.</p> | <p>At least a 3.0 GPA on a 4.0 scale on the last 60 undergraduate SCH prior to receiving bachelor's degree or on all undergraduate work. Applicants holding a master's degree must have a 3.0 GPA in master's work or meet the undergraduate requirements for unconditional admission.</p> | <p>Official test score required depending on the program of interest – GRE, MCAT, DAT</p> | <p>Official TOEFL or IELTS score is required for applicants who are not U.S. citizens or permanent residents, unless applicant has completed a degree program within the U.S. For credits earned outside the U.S., applicant must submit an official WES or ECE course-by-course evaluation as well as the individual transcript.</p> | <p>Two letters of recommendation signed on letterhead and sent directly from recommenders; Supplemental materials (e.g. resume/CV) will be considered but are not required.</p> |

The University of North Texas System Health Science Center: Admission Standards, Year 2016 - 2017

| Campus/ Program | Application Fee | Bachelor's Degree | Official College Transcripts | Undergraduate Cumulative GPA | Standardized Test Requirements | International Requirements | Letters of Recommendation (LOR) /Other |
|---|--|---|---|---|---|---|--|
| <p style="text-align: center;">UNTHSC School of Public Health</p> <p style="text-align: center;">MPH, MHA, DrPH, & Dual Degree Programs</p> | <p>Applications to the MPH, MHA, DrPH, PhD, and dual degree programs must be made through the Schools of Public Health Application Service (SOPHAS) with min. app. fee of \$135. MHA students may also apply through the Healthcare Administration, Management & Policy CAS (HAMPCAS) with min. app. fee set by service. TCOM students applying for the dual MPH program must complete an internal application. There is a non-refundable application fee of \$40.</p> | <p>Bachelor's degree or equivalent from a recognized institution. A master's degree is required for the DrPH Program.</p> | <p>Official transcripts from all universities and colleges attended must be sent.</p> | <p>Various minimum <u>graduate</u> GPAs required, depending upon the program. 3.2 graduate GPA for DrPH & PhD programs.</p> | <p>Submit official scores from: GRE, GMAT, MCAT, LSAT, PCAT, or DAT.</p> <p><i>Note: the exam req. is waived for applicants possessing a professional degree with license to practice in the U.S.</i></p> | <p>Applicants with foreign transcripts must include an official WES or ECE transcript evaluation report listing course-by-course U.S. grade point equivalencies. Min. TOEFL: Internet-based = 85.</p> | <p>Three letters of recommendation, statement of purpose, current resume or curriculum vita, and possible on-campus interview or technology-assisted interview. DrPH strongly recommends a minimum of three years of significant public health or other appropriate work experience.</p> |

The University of North Texas System Health Science Center: Admission Standards, Year 2016 - 2017

| Campus/ Program | Application Fee | Bachelor's Degree | Official College Transcripts | Undergraduate Cumulative GPA | Standardized Test Requirements | International Requirements | Letters of Recommendation (LOR) /Other |
|---|--|--|---|--|---|---|--|
| <p>UNTHSC School of Health Professions</p> <p>Physical Therapy</p> | <p>Applications to the DPT program are made through PTCAS (Physical Therapy Centralized Application Service). The cost of the PTCAS application is \$130. The DPT program requires a \$35 non-refundable application processing fee, payable only by check or money order issued to UNT Health Science Center.</p> | <p>Bachelor's degree from a regionally-accredited U.S. college or university</p> | <p>Official transcripts from all universities and colleges attended must be sent.</p> | <p>Minimum 3.0 GPA in last 60 hours of coursework. Completion of specific coursework with a minimum 3.0 GPA.</p> | <p>There are no standardized test requirements for this program.</p> | <p>International students must meet the same requirements as all other students. International/non-resident students must show proof of financial means prior to obtaining a visa to enter the country.</p> | <p>Two letters of professional reference submitted through the PTCAS application (max of 4 accepted). A letter from a practicing PT is highly recommended.</p> <p>Admissions interview (by invitation)</p> |
| <p>UNTHSC School of Health Professions</p> <p>Physician Assistant</p> | <p>Applications to the PA program are made through CASPA (Central Application Service for Physician Assistants). The cost of the CASPA application is set by this service. The PA program requires a non-refundable application fee of \$35 paid directly to the program.</p> | <p>Bachelor's degree from a regionally-accredited U.S. college or university</p> | <p>Official transcripts from all universities and colleges attended must be sent.</p> | <p>Minimum overall 3.00 GPA as calculated by CASPA</p> | <p>GRE test score required, earned no more than five years prior to the date of application</p> | <p>International students must meet the same requirements as all other students. International/Non-resident students must show proof of financial means prior to obtaining a visa to enter the country.</p> | <p>Two letters of professional reference through the CASPA application. Admissions interview (by invitation)</p> |

The University of North Texas System Health Science Center: Admission Standards, Year 2016 - 2017

| Campus/ Program | Application Fee | Bachelor's Degree | Official College Transcripts | Undergraduate Cumulative GPA | Standardized Test Requirements | International Requirements | Letters of Recommendation (LOR) /Other |
|---|--|---|--|--|--|-------------------------------------|--|
| <p align="center">UNT System College of Pharmacy</p> | <p>Apply for admission via PharmCAS – fee dependent upon number of PharmCas Degree Program Designators. A supplemental application is required with a non-refundable application fee. Submit both PharmCAS and Supplemental Course Verification Form. PharmCAS application and Verification Form have the same deadline. Both must be submitted by the deadline in order for application to be reviewed.</p> | <p>Applicants must complete 71 prerequisite credit hours. However, if the applicant has attained a bachelor’s degree or higher from an accredited US college or university, they are exempt from the general course requirements. An official transcript is required noting that a degree was conferred prior to matriculation.</p> | <p>Official transcripts from all universities and colleges attended must be sent to PharmCAS and Pharmacy Admissions Office.</p> | <p>Achieve a minimum overall 2.50 grade point average on prerequisite coursework.</p> <p><i>Important Note:</i> If an applicant elects an exemption for general coursework requirements based on a completed bachelor's (or higher) degree from an accredited U.S. college or university, then only his/her math and science prerequisite coursework will be included in the GPA calculation. A 2.5 math and science GPA must be maintained.</p> | <p>Must have a minimum of a 40 composite percentile on the PCAT (Pharmacy College Admissions Test)</p> | <p>No international admissions.</p> | <p>Obtain three (3) letters of recommendation. Letters of recommendation must be from a person, who can comment on the applicant's academic, volunteer, and/or employment experiences and attributes. Letters of recommendation from friends and family members are not accepted. Post interview, the SCP admissions committee will not review an application with LOR’s from friends or family members.</p> |



Board Briefing

Committee: Academic Affairs & Student Success

Date Filed: April 4, 2016

Title: Approval of UNT Tenure Recommendations

Background:

Each faculty member on the attached list of tenure recommendations has been carefully reviewed by the department-level Reappointment, Promotion, and Tenure Committee (RPTC), the department chair, the college-level RPTC, the dean, and the provost.

Financial Analysis/History:

The award of tenure carries with it the assurance of continued employment, absent the showing of good cause for termination.

Bob Brown Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas,
ou=VP for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2016.05.06 11:24:22 -05'00'

Institution Chief Financial Officer

Janet Waldron Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.09 16:28:28 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:06:36 -05'00'

Vice Chancellor/General Counsel

Schedule:

Tenure will be effective on September 1, 2016.

Recommendation:

The President recommends that the Board of Regents approve the faculty on the attached list for tenure effective September 1, 2016.

Recommended By:

O. Finley Graves

Provost and VPAA

Neal
Smatresk

Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk,
o=University of North Texas,
ou=President,
email=neal.smatresk@unt.edu,
c=US
Date: 2016.05.06 14:25:22 -05'00'

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North
Texas System, ou=Vice Chancellor for Academic
Affairs and Student Success,
email=rosemary.haggett@untssystem.edu, c=US
Date: 2016.05.09 09:58:46 -05'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untssystem.edu,
c=US
Date: 2016.05.11 11:19:03 -05'00'

Chancellor

Attachments Filed Electronically:

- University of North Texas Tenure Recommendations 2016



Board Order

Title: UNT Approval of Tenure Recommendations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, each faculty member on the attached list of tenure recommendations has been carefully reviewed by the department-level Reappointment, Promotion, and Tenure Committee (RPTC), the department chair, the college-level RPTC, and

Whereas, these are recommended by the Provost and Vice President for Academic Affairs, and

Whereas, "the President transmits his recommendations for tenure to the Board of Regents,"

Now, Therefore, The Board of Regents authorizes and approves the following:

- 1. The award of tenure to the faculty identified in the attachment to this order effective September 1, 2016.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

| Name | Current Rank | College | Department | Advanced Degree & Specialty | Notable Accomplishments |
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| Dr. David Hoeinghaus | Assistant Professor | College of Arts and Sciences | Biological Sciences | PhD, Texas A&M University, Ecology | <p>David Hoeinghaus' internationally recognized research on ecosystem ecology involves the interactions among organisms and their environment. His current focus is on three ecosystem types: floodplain rivers, intermittent streams, and coastal lagoons. He is successful in obtaining funding including thirteen external grants and six internal funding grants. These funds include \$428,156 from U.S. based granting agencies and \$1.4 million from Brazilian funding agencies. He has published twelve peer reviewed papers. One of these publications is in the prestigious journal, <i>Science</i>, and another is in <i>PLoS ONE</i>. Dr. Hoeinghaus is an effective mentor to students in the classroom and involves them with his research. He receives consistent high student evaluations with effective and highly effective rankings. He has established an international collaboration program and hosted nine visiting postdoctoral associates and PhD students. He has served as co-coordinator for his department's Invited Seminar Series, as panelist for UNT's Research Opportunity Grant Proposals as well as other department, college and university committees. Dr. Hoeinghaus has reviewed more than 200 manuscripts and serves on the editorial board of three journals within his research area: <i>Biological Invasions</i>, <i>Hydrobiologia</i>, and <i>Neotropical Ichthyology</i>.</p> |

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| Dr. Suzanne Enck | Assistant Professor | College of Arts and Sciences | Communication Studies | PhD, Indiana University, Communication and Culture | <p>Suzanne Enck's scholarship focuses on critical approaches to rhetoric, and the intersections of race, class, gender, and sexuality as they relate to violence and social justice. She is becoming nationally known for her work on the prison-industrial complex in America. She has published five essays in peer-reviewed journals, two peer reviewed book chapters, and one invited book chapter. Two of her conference presentations have been awarded "top paper" at the Annual Meeting of Southern Speech Communication Association. She has received internal grants for mentoring, transformative instruction, and one external research Development Grant from the Organization for Research on Women and Communication. Dr. Enck's student evaluations are positive, she has been ranked as the number one teacher in her cohort, and she has received a CAS Teaching Excellence Award. Her service record exceeds the department's expectations and earned her their "Top Service Award." Her national service includes serving as Historian, Webspinner, and past President for the National Communication Association's Women's Caucus, and as a National Awards Reviewer for the Organization on Women and Communication. She serves on two editorial boards and is an ad hoc manuscript reader for several journals and university presses. Dr. Enck was named to the President's Community Engagement Honor Roll at UNT.</p> |
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| Dr. Priscilla Ybarra | Assistant Professor | College of Arts and Sciences | English | PhD, Rice University, English | <p>Priscilla Ybarra's research focuses on Mexican American literature and ecocriticism. She has two published chapters in reputable venue collections and her monograph, <i>The Good Life: Mexican American Writing and the Environment</i>, will be published this year by the University of Arizona Press, one of the best venues in her field. She was an invitee at the Blue Ribbon Symposium at Oregon State University for interdisciplinary environmental scholars and has presented at conferences in the US and abroad. Dr. Ybarra's teaching evaluations are positive and she is considered an effective teacher. She has served her college and university as the co-mentor of La Colectiva: Women of Color Faculty mentoring group, as a member of UNeTe: the Latina/o Faculty and Staff Alliance, and is an affiliated faculty for the Latina/o Mexican American Studies program. She has served her profession by organizing and directing Avanzamos: El Taller Chicana/o, a grant-funded interdisciplinary writing workshop to mentor graduate students. Dr. Ybarra is a member of the Executive Council of the Western Literature Association, and Coordinator of the Diversity Caucus for the Association for the Study of Literature and Environment.</p> |
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| Dr. Ipsita Chatterjee | Assistant Professor | College of Arts and Sciences | Geography and the Environment | PhD, Clark University, Geography | <p>Ipsita Chatterjee's research focuses on globalization, urban transformation, conflict, and social justice. She has published two books, seventeen journal articles, and five book chapters. She has also published four book reviews, given eight invited talks, and presented ten conference papers. She has received three internal grants from UNT totaling \$30,600 and has a grant pending with the National Science Foundation. Dr. Chatterjee's teaching evaluations are positive, ranking in the top third of the department. She has served on the department's Honors and Awards, Curriculum, and Faculty Evaluation committees, has served as coordinator for the Global Societies course, and served as the departmental representative for UNT's Human Security Initiative. Dr. Chatterjee has also served on the editorial board of <i>Human Geography: A New Radical Journal</i>, is a member of the executive committee of the Association of American Geographers' Critical and Socialist Geography, and has reviewed manuscripts for nine journals and the National Science Foundation.</p> |
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| Dr. Matthew Fry | Assistant Professor | College of Arts and Sciences | Geography and the Environment | PhD, University of Texas at Austin, Geography and the Environment | <p>Matthew Fry's research focus is on human-environment interactions. He is nationally recognized in the areas of energy resources and land-use change. He has received grants from the National Science Foundation as lead PI for \$56,765 and the National Geographic Committee for Research and Exploration as co-PI for \$20,000, as well as five internal grants totaling \$28,000. He has published twelve peer-reviewed scholarly articles and one book chapter, given sixteen invited talks, and has presented papers and posters at major conferences. Dr. Fry's teaching evaluations are considered very good to excellent, and he was praised by peers who observed his teaching. He has mentored four Master's students, one undergraduate honors thesis, and one McNair student, and has served on an additional seven Master's and five thesis committees. He has served on the department's Curriculum Committee, been faculty mentor to the UNT Geography Club, organized two student field trips to geography conferences, and served on UNT's Mean Green Fund Committee. Service to his profession includes participation as a board member and webmaster for the Conference of Latin American Geographers and as board member of the Association of American Geographers' Energy and Environment specialty group. Dr. Fry has reviewed manuscripts for fourteen academic journals and four grant agencies.</p> |
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| Dr. Andrew Torget | Assistant Professor | College of Arts and Sciences | History | PhD, University of Virginia, American History | <p>Andrew Torget's research focuses on the relationship between the United States and Mexico during the nineteenth century. He is also a scholar of digital techniques for historical and humanities projects. He is the inaugural recipient of the David J. Weber Research Fellowship from SMU. He is also the recipient of the Summerlee Foundation Grant to support and create the "Day at UNT," a program to introduce middle school students to college. He has recently published a book, <i>Seeds of Empire: Cotton, Slavery, and the Transformation of the Texas Borderlands, 1800-1850</i>. He has co-edited three books, had four peer-reviewed articles/chapters, completed five book reviews and encyclopedia entries, and made nine invited conference presentations. Dr. Torget has consistently received highly effective instructor ratings and was awarded the CAS Teaching Excellence Award. Dr. Torget's service includes membership in the University Library Committee, the UNT Digital Scholarship co-Operative Advisory Committee, the Digital Scholarly Planning Committee, and the UNT Library Strategic Plan Committee. Service to his profession includes membership on the Advisory Board of the San Felipe de Austin Project of the Texas Historical Commission, Texas Digital Humanities Consortium Steering Committee, Advisory Board of "Texas, Our Texas," and as a grant reviewer for Riksbankens Jubileumsfond, Sweden's leading grant-making foundation in the humanities and social sciences.</p> |
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| Dr. Pankaj Jain | Assistant Professor | College of Arts and Sciences | Philosophy and Religion | PhD, University of Iowa, Religious Studies | <p>Pankaj Jain's interdisciplinary research focuses on Asian and Western approaches to environmentalism. He has published two monographs of which one was awarded the 2012 Dharma Academy of North America (DANAM) award and the 2011 Uberoi Foundation award; five peer-reviewed journal articles, thirteen non-peer-reviewed articles, two encyclopedia articles, and three book chapters. He edited one book and one special issue of a journal, and has presented papers at conferences. Dr. Jain has consistently received good teaching scores and has participated in fourteen thesis and dissertation committees. His service includes participation in the UNT India Engagement Exploratory Committee, the CAS Faculty Council, and as a member of the Committee for South Asia Research Cluster. He coordinated the Memorandum of Understanding (MOU) between UNT and Jain Vishva Bharati University, India, and the MOU between UNT and Hindu American Seva Communities, a non-governmental organization working with faith based initiatives at the White House. He has reviewed papers from the <i>International Journal of Biodiversity and Conservatism</i>, <i>Cultural Anthropology</i>, <i>Journal for Arid Environments</i>, and <i>Left Coast Press</i>. Dr. Jain has been the India representative for the International Society for Environmental Ethics, member of the DANAM steering committee, Trustee for American Institute of Indian Studies, and board member of the Society for Hindu Christian Studies at the American Academy of Religion.</p> |
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| Dr. Bethany Blackstone Hamner | Assistant Professor | College of Arts and Sciences | Political Science | PhD, Emory University, Political Science | <p>Bethany Blackstone Hamner is a political scientist whose program of research focuses on American political institutions with emphases on judicial politics and the separation of powers. She has published eight peer-reviewed articles, some of which are sole-authored. She has been published in <i>Law & Society Review</i>, a journal that scholars of judicial politics consider to be the top subfield journal. Dr. Blackstone Hamner is recognized as an excellent teacher and mentor by students, and was the recipient of the 2015 UNT 'Fessor Graham Award,' the highest teaching award bestowed by the students at UNT. She has created and organized a "pizza and politics" workshop which facilitates graduate students' presentation of research in a constructive but informal environment. She serves as Faculty-in-Residence at Rawlins Hall and has served on department and college committees including the Executive Committee and Undergraduate Committee. Professionally, she has reviewed manuscripts for numerous scholarly journals and has reviewed grants for the National Science Foundation. Dr. Blackstone Hamner has also served on committees for the American Political Science Association and Southern Political Science Association.</p> |
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| Dr. Joshua Hook | Assistant Professor | College of Arts and Sciences | Psychology | PhD, Virginia Commonwealth University, Counseling Psychology | <p>Joshua Hook's research focuses on positive psychology, multicultural counseling, diversity and spirituality in current times. As PI, he has received external and internal grants totaling \$285,000; with the largest of these awards coming from the John Templeton Foundation. As co-PI, his collaborative efforts have resulted in grants totaling over \$4 million. He has over 130 publications and book chapters, with many in top tier journals, and has presented at over fifty conferences and nine invited talks. Dr. Hook's student evaluation scores describe his teaching as highly effective. He is mentoring four doctoral students, and his research team includes undergraduate student research assistants. His students have multiple peer-reviewed publications and presentations. He is an active member of the Counseling Psychology doctoral program committee, has served on search committees, the scholarship and Executive Committees, and is a representative to the University Federation Committee. Professionally, he is an editorial board member for <i>The Counseling Psychologist</i> and <i>Sexual Addiction and Compulsivity</i>. He has been a Special Issue Editor for <i>Journal of Psychology and Theology</i> and served as ad-hoc reviewer for numerous journals. He currently serves as the CAPS Student Paper Competition Organizer and on the APA Division 36 Program Review Committee. Dr. Hook is the recipient of the Pine Briggs Award for Outstanding Scholarly Contribution.</p> |
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| Dr. Jorge Aviles-Diz | Assistant Professor | College of Arts and Sciences | World Languages, Literatures and Cultures / Spanish | PhD, Universidad de Salamanca, Spanish Language and Literature | <p>Jorge Aviles-Diz' research focuses on 18th-19th century Spanish Peninsular Literature. He is expanding his scholarly investigations to include more contemporary works. He has published two critical editions of Spanish literary works, eight peer-reviewed articles, four book reviews and has one accepted book chapter. He has published articles in top journals in the field. He has presented papers at thirteen national and international conferences and is a regular participant at the Annual Kentucky Foreign Language Conference, one of the largest and best known in the field. Dr. Aviles-Diz consistently receives outstanding student evaluations and excellent overall ratings from his peers. He has designed three new courses at the graduate level. He has served on several M.A. thesis committees and is currently directing two theses. He has served on a variety of departmental committees and continues to serve as Spanish Graduate Advisor. Professionally, Dr. Aviles-Diz serves as the editor of the journal <i>Decimonónica</i> and as the Departmental Liaison with AATSP.</p> |
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| Dr. Peggy Ceballos | Assistant Professor | College of Education | Counseling and Higher Education | PhD, University of North Texas, Counselor Education | <p>Peggy Ceballos' focused research agenda is in multiculturalism and social justice in counseling of children and families. She has eighteen referred journal and chapter publications, seven of them data-based, as either sole or co-author, with almost all publication venues considered top-tier in the field. She co-created a film titled "<i>Child-Parent Relationship Therapy (CPRT)</i>". She served as the Spanish translator for the film, drawing on both her first language and also her expertise in CPRT. This audiovisual product made the evidence-based CPRT available to a whole new, previously disenfranchised, audience. Dr. Ceballos has taught a broad range of graduate courses at UNT, both didactic and clinical, with strong student evaluations. She serves her department and college on the School Counseling Committee, Master Committee, Play Therapy Conference Committee, and as advisor to Chi Sigma Iota Committee. Dr. Ceballos serves her profession as a member of American Counseling Association, Association for Counselor Education and Supervision, American School Counseling Association, and Association for Play Therapy.</p> |
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| Dr. Song Fu | Assistant Professor | College of Engineering | Computer Science and Engineering | PhD, Wayne State University, Computer Engineering | <p>Song Fu's research focus is on resilience assurance and energy efficiency of large-scale computer systems, including high-performance computers and cloud systems. He has published fourteen journal papers, thirty-eight refereed conference papers, and five refereed book chapters, some of which are published in top venues in his field. He also filed a patent application for his research team's development of "disk failure categorization and degradation detection method" that can automatically quantify the degradation signatures of different types of disk failures and predict their future occurrences. He has received \$25,000 in industry funding and two-year grants totaling \$145,000 from Los Alamos National Laboratory, which are expected to be renewable for up to two additional years at the same amounts. He was recently notified that he will be awarded an EAGER grant for approximately \$125,000 from the National Science Foundation. Dr. Fu has supervised nine Ph.D. students, eight Master students, and twelve undergraduate students. His teaching is ranked as excellent. He is one of the faculty in the department who primarily supports the computer engineering program, and his contributions have been essential in maintaining the program's quality as well as ABET accreditation. His service to UNT includes multiple committee memberships. Dr. Fu's service to his profession includes editorial boards, guest editor, proposal reviewer and membership in Institute of Electrical and Electronics Engineers, Association for Computing Machinery, and American Society for Engineering Education.</p> |
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| Dr. Jeonghyun Kim | Assistant Professor | College of Information | Library and Information Sciences | PhD, Rutgers University, Communication and Information Studies | <p>Jeonghyun Kim's research focuses on how people seek information and interact within an information-rich environment. She has published nine peer-reviewed journal articles, three book chapters and fourteen refereed conference proceedings papers. Her journal publications are in well-ranked venues, such as <i>JASIST</i>, <i>Library and Information Science Research</i>, and <i>Information Research</i>. She also has a paper accepted in the <i>Journal of Education for Library and Information Science</i> that synthesizes four years of work in the need for workforce development for digital curation. Dr. Kim has co-chaired two student dissertations and served as a committee member for seven students. She has developed new master's courses on digital curation based on her funded project from Institute of Museum and Library Services, and has received consistent performance reviews and positive student comments for her classes. She has chaired several committees including the curriculum committee and led the articulation of the two majors in the UNT Master of Science program. She chaired the End of Program Committee and coordinated the Web-based Information Science Education (WISE) program. She has an active role in developing and coordinating the Digital Curation Graduate Academic Certificate. She is also active in the Association for Information Science and Technology's (ASIS&T) Education Committee and Special Interest Group Education (SIG ED). Dr. Kim has served as committee member for the Institute of Electrical and Electronics Engineers committees, reviewed for ten professional journals, and has twice chaired the ASIS&T Pratt Severn Best Student Research Paper Award.</p> |
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| Dr. Daniella Smith | Assistant Professor | College of Information | Library and Information Sciences | PhD, Florida State University, Information Studies | <p>Daniella Smith engages in research that focuses on questions of how K-12 school librarians understand themselves as leaders and what Library and Information Science programs can do to facilitate the development of their leadership capabilities. She has published ten refereed articles, seven book chapters, and six published conference proceedings. She has twenty-eight refereed presentations at national and international conferences. Her three white papers have been distributed internationally by the American Association of School Librarians and the National Science Foundation. She is part of the Educating Librarians in the Middle South (ELMS) grant in the amount of \$498,363 awarded to UNT. Dr. Smith has been recognized twice at the UNT Honor's Day for her impact on the academic careers of students, and her student evaluations rank her to be a highly effective teacher. She is chairing one doctoral committee and has served on four doctoral committees. She serves as the academic advisor for the ELMS Cohort students, chaired the Accreditation Presentation Committee for Students, and served as the chair and co-chair for the End of Program Committee. Professionally, Dr. Smith has served on the Texas Library Association (TLA) conference planning committee and was the TLA District 7 Chair. She has also served as an editorial advisor, member of editorial boards, and is a blogger for the <i>American Association of School Librarians Knowledge Quest Journal</i>.</p> |
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| Dr. Oksana Zavalina | Assistant Professor | College of Information | Library and Information Sciences | PhD, University of Illinois at Urbana-Champaign, Library and Information Science | <p>Oksana Zavalina's research is in the areas of information organization for subject access, metadata, and information seeking behavior of the digital library users. Her publication record includes fourteen refereed journal articles and book chapters, and twenty-five refereed papers. She has made nineteen presentations at national and international conferences. Dr. Zavalina has participated in two Library of Information Sciences study abroad trips, which included team-teaching of graduate level courses. She serves as the associate director of the PhD program, has chaired two doctoral dissertation committees, and served as a committee member for eleven doctoral students. Her student evaluations indicate she is a highly effective teacher.</p> <p>Additionally, she has been instrumental in the development of four new concentrations for the PhD program. Service to UNT includes the Faculty Senate and the University Committee on Faculty Participation in Governance along with multiple department, college, and university committees. She is an active member of the Association for Information Science and Technology, the American Library Association (ALA), and the Association for Library Collections and Technical Services. She serves as a member of the editorial board of <i>Library Resources and Technical Services journal</i>. Dr. Zavalina has developed and conducted two special training sessions for the Texas Library Association, a professional development eCourse for the ALA, and has helped organize and served as interpreter for four international workshops.</p> |
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| Dr. Susan Squires | Assistant Professor | College of Public Affairs and Community Service | Anthropology | PhD, Boston University, Anthropology | <p>Susan Squires' research and focus is in the area of health and technology. She has completed seven peer-reviewed journal articles and four book chapters. Her article in the <i>Journal of Assistive Technologies</i> was chosen as a Highly Commended Award Winner at the Literati Network Awards for Excellence. She has received funding for two external grants, and a third proposal is pending with the National Science Foundation. She has collaborated in a research project with faculty from UNT's Media Arts Department and the Université of Savoie. She engages in many class research projects; sponsors include National Association for the Practice of Anthropology, Baylor Health Care Systems, Pitney Bowes, American Heart Association, IBM, and Owens-Corning. The projects have resulted in eleven technical reports. Dr. Squires has chaired fourteen master's theses and serves on committees for both master's and PhD students. Her student evaluations are strong and she receives positive student comments. She currently serves her department as a member of the Graduate Admissions Committee and has served on the Committee on Certification in Evaluation and Curriculum Committee. Professionally, she has served on the advisory board of the Consortium of Practicing and Applied Anthropology Programs, and serves as an advisor for the mentor program for the National Association for the Practice of Anthropology. Dr. Squires is the co-founder and chair of the Research and Evaluation Committee for Age Well, Live Well Denton, a coalition among UNT, TWU, Texas Department of Aging and Disability Services, and the City of Denton to promote wellness for people of all ages.</p> |
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| Dr. Jonathan Pinkston | Assistant Professor | College of Public Affairs and Community Service | Behavior Analysis | PhD, University of Florida, Experimental Analysis of Behavior | Jonathan Pinkston's scholarship is in the field of behavioral pharmacology. He has eleven peer-reviewed publications, four of which he served as first author. Three of these have been published in high impact journals, <i>Behavioral Neuroscience</i> , <i>Psychopharmacology</i> , and <i>ACE Chemical Neuroscience</i> . He has two articles in press and three manuscripts in preparation. Dr. Pinkston has served as chair for six thesis committees and served as a member of fourteen thesis committees. Evaluations of his teaching indicate that he consistently performs at the highly effective level. One of his students was awarded Student Poster Competition Winner at the Texas Association for Behavior Analysis International. Currently he serves on the Institutional Animal Care & Use Committee, as director for the Behavioral Pharmacology Laboratory, and is Webmaster for the Department of Behavior Analysis. He has served on multiple committees and as speaker for UNT Outreach. Professionally, he holds membership in the Association for Behavior Analysis International, Behavior, Biology, & Chemistry, and Behavior Pharmacology Society. Dr. Pinkston is past junior program coordinator for the Behavioral Pharmacology area of the Association for Behavior Analysis International, and served as a member of the Dissertation Awards Committee for American Psychological Association. He is on the editorial board for <i>The Behavior Analyst</i> and has been an ad-hoc journal reviewer for ten different journals. |
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| Dr. Laura Siebeneck | Assistant Professor | College of Public Affairs and Community Service | Public Administration | PhD, University of Utah, Geography, Emergency Administration | <p>Laura Siebeneck's scholarship is in the study of hazards and disasters with special interests in the spatial dimensions of hazards, risk perception, evacuation and the decisions for reentry following a disaster. She has sixteen peer-reviewed articles in well-known and high-impact journals. She has presented at more than twenty conferences. She has served as PI or co-PI on external research grants totaling \$133,000. She was recently selected as a Fellow of the National Science Foundation-funded Enabling the Next Generation of Hazards and Disasters Researchers Fellowship Program. Dr. Siebeneck's teaching evaluations rate her as a highly effective teacher, and she was recently named Outstanding MPA Professor of the Year by the Public Administration Student Association. She involves students on her research grants and she mentors PhD students. One of her students has accepted a teaching position in the United Arab Emirates, while another is in final stages of their dissertation and has already accepted a tenure-track position at Arkansas Tech University in emergency management. She currently serves as the Emergency Administration and Planning program coordinator for undergraduates and she has organized her department's activities for the First Flight Freshman Orientation Program. Dr. Siebeneck works with the City of Denton Disaster Exercises. Professionally, she regularly reviews manuscripts and is currently serving as Chair of the Hazards, Risk, and Disasters Specialty Group within the Association of American Geographers. She is a previous member of the Utah State Hazard Mitigation Team.</p> |
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Board Briefing

Committee: Academic Affairs &
Student Success

Date Filed: April 22, 2016

Title: Approval of UNTHSC Tenure Recommendations

Background:

The faculty listed below for tenure recommendation have been carefully reviewed by the appropriate school/college promotion and tenure committees following the established procedures and published criteria, and endorsed by the Chair/Institute Executive Director, Dean, Provost and Executive Vice President for Academic Affairs, and the President.

Dr. Robert Barber received his PhD in Genetics from Texas A&M University in 1997. He is currently an Associate Professor in the newly established Center for Alzheimer's and Neurodegenerative Disease Research, Institute for Healthy Aging, with academic appointment in the Graduate School of Biomedical Sciences (GSBS). In 2015, Dr. Barber assumed a significant leadership role as the Interim Chair of the Department of Molecular and Medical Genetics. His activity as a faculty and chair has contributed significantly to the field of biomarker development for targeting treatment of Alzheimer's disease, having generated over 50 papers in journals of this field since joining our institution. His expertise in genetics of Alzheimer's disease and bioinformatics will continue to provide the infrastructure needed for the growth of clinical/translational research and personalized medicine at UNT Health Science Center (UNTHSC). Dr. Barber is currently approved for an investigator-initiated clinical trial for metabolic supplementation and health outcomes. He has contributed significantly to the UNT System College of Pharmacy and GSBS teaching missions through his didactic presentations, committee appointments and leadership, and through his mentorship of graduate students. The awarding of tenure will allow Dr. Barber to continue to contribute to the mission of this institution.

Dr. Martha Felini received her DC in 1996 at the Parker College of Chiropractic. After practicing in a multi-doctor clinic in Indianapolis, she went on to complete a PhD in epidemiology from the University of North Carolina, Chapel Hill in 2006. She is currently an Associate Professor in the Department of Obstetrics and Gynecology, Texas College of Osteopathic Medicine (TCOM) at UNTHSC. Dr. Felini has received 14 national, local, and institutional awards during her tenure at UNTHSC for her accomplishments in research, education, and community service. Most recent was the recognition of her research work by the prestigious American Association of Cancer Research national conference as one of the most innovative, high- impact research projects being conducted in the field of health disparities. Through this work, she partnered with over 30 community leaders in a grassroots voluntary effort to serve one of our most vulnerable populations in the Dallas/Fort Worth Metroplex. She parlayed preliminary pilot data collected into a significant state funded project that is providing new insights into cervical cancer and greater healthcare access for underserved women. The influential papers produced

created new knowledge and were instrumental in changing Texas law with the passage of Senate Bill No. 484 (SB484) signed by Governor Perry. For this work, she was honored with the UNTHSC President's Award for Research Excellence, and prestigious community awards recognizing her as a distinguished community leader making significant contributions to the advancement of women in North Texas such as the PRISM award, the Ebby Award, and an Honorary Resolution from the Dallas County Commission's Court. Her commitment to education has been demonstrated by receiving four teaching and mentoring awards from graduate students and the UNTHSC President's Award for Educational Excellence. The awarding of tenure will continue to support her thriving scholarship and trajectory of continuing achievement which reflects the values of UNTHSC.

Dr. Joon-Hak Lee graduated from Iowa State University in 1998 with the PhD degree in Entomology. After six years of professional service in federal and state government agencies, he joined the UNTHSC, School of Public Health (SPH) in 2004. Currently he is an Associate Professor in the Department of Environmental and Occupational Health in SPH. He has developed and instructed seven different graduate courses in the School of Public Health. Dr. Lee's research has focused primarily on the ecology and epidemiology of insect-borne and zoonotic infectious diseases, with 22 research papers published or accepted in peer-review journals. He has served as a Principal Investigator and Co-Investigator on externally funded research. In particular, his work with the City of Fort Worth on West Nile virus surveillance and response is an on-going project that began in 2013, and will now expand to include surveillance of Zika and other mosquito-borne viruses in 2016. This surveillance project has provided employment and training opportunity for public health students, with 30% of the trainees obtaining their first employment after graduation in West Nile virus surveillance and control. Furthermore, his mosquito surveillance and control research will soon expand beyond the City of Fort Worth. Dr. Lee has served on numerous University, School, and Department committees. In addition, he has been actively engaged in community service and public education via numerous interviews with regional news media and presentations in community meetings as a mosquito-borne disease subject matter expert. The awarding of tenure will allow him to continue to make important contributions to the education of students and to protect public health in North Texas and beyond.

Dr. Frank Papa received his DO degree from the Philadelphia College of Osteopathic Medicine in 1975 and his PhD in Higher Education from the University of North Texas (UNT) in 1991. He is a Professor of Medical Education and an accomplished Emergency Medicine physician. Previously tenured by the Health Science Center, Dr. Papa had a brief break in service to advance his own development as a career educator and lecturer in the learning sciences. Upon his return he accepted a position as Associate Dean for Curricular Design and Faculty Development in TCOM at UNTHSC. In that capacity he has served as the founding Director of the Academy of Medical Educators, an internationally recognized program that brings over 40 core faculty at the Health Science Center together for weekly instruction in the learning sciences and a team-based approach to curriculum construction. The impact of this unique collaboration on student learning outcomes is changing the standards for faculty development in medical education. He has published and presented over 100 original works and has been the recipient of grant funding from the United States Department of Education. Dr. Papa's contributions to medical education have garnered receipt of the Robert A. Kistner career award from the American Association of Colleges of Osteopathic Medicine. His accomplishments and commitment to the success of UNTHSC make him truly deserving of the award of tenure.

Dr. Dong-Ming Su received his PhD from Kyushu University, Japan in 1997. He has been an Associate Professor in GSBS at UNTHSC in the Department of Cell Biology and Immunology (formerly the department of Molecular Biology and Immunology), since 2010. Dr. Su's excellence in research can be illustrated by his recent receipt of an investigator-initiated research grant from the NIH (R01) which scored in the 3rd percentile, an outstanding feat given

the current tough funding climate. Indeed, Dr. Su has been very productive in maintaining an NIH funded research program and has multiple grants pending, including a Cancer Prevention & Research Institute of Texas (CPRIT) grant and other NIH proposals. Moreover, he received the UNTHSC President's Award for Research Excellence in 2011 for high quality contributions to science. Dr. Su is also committed to education and has mentored graduate students and post-doctoral fellows. Further, he recently developed a course on animal models for human diseases, to provide hands-on training for our graduate students. The awarding of tenure will allow him to continue to contribute to the success of department and institution, and help retain this talented researcher here at the UNTHSC.

Dr. Victor Uteshev received his PhD in Physiology from the University of Toronto, Toronto, Canada, in 1997. He is currently an Associate Professor in the Center for Neuroscience Discovery, Institute for Healthy Aging, with an academic appointment in the GSBS. Dr. Uteshev was recruited to UNTHSC from Southern Illinois University in 2011, where his application for promotion and tenure had already been approved. He joined the UNTHSC without tenure in favor of the more important opportunity to build collaborations within the rich academic and research culture at our institution. Through his efforts in preclinical research, Dr. Uteshev has developed a novel series of experimental compounds for treatment of stroke, neuropsychiatric and neurologic disorders for which is now funded by the NIH. He has published more than 20 significant papers since joining the Health Science Center and has introduced new experimental techniques and approaches to study traumatic brain injury that have enhanced programs of other researchers within the institution. Dr. Uteshev has contributed significantly to the medical and graduate school teaching missions through his didactic presentations, committee appointments and leadership, and through his mentorship of graduate students. The awarding of tenure will allow him to continue his success in education and research.

Financial Analysis/History:

In general, the award of tenure carries with it the assurance of continued employment absent the showing of good cause for termination.

John Harman
Digitally signed by John Harman
DN: cn=John Harman, o=UNT Health
Science Center, ou=Office of Finance,
email=john.harman@unthsc.edu, c=US
Date: 2016.05.06 10:11:58 -05'00'

Institution Chief Financial Officer

**Janet
Waldron**
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.09 16:29:12 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

**Nancy S.
Footer**
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of
North Texas System, ou=Office of General
Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:07:40 -05'00'

Vice Chancellor/General Counsel

Schedule:

Effective September 1, 2016.

Recommendation:

The President recommends that the Board of Regents authorize and approve the following faculty for tenure effective September 1, 2016:

1. Dr. Robert Barber
2. Dr. Martha Felini
3. Dr. Joon-Hak Lee
4. Dr. Frank Papa
5. Dr. Dong-Ming Su
6. Dr. Victor Uteshev

Recommended By:

Thomas Yorio

Provost and Executive VP for
Academic Affairs

**Michael R.
Williams**

Digitally signed by Michael R.
Williams
DN: cn=Michael R. Williams,
o=UNTHSC, ou=President,
email=michael.williams@unthsc.e
du, c=US
Date: 2016.05.06 09:42:30 -05'00'

President

**Rosemary R.
Haggett**

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of
North Texas System, ou=Vice Chancellor for
Academic Affairs and Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2016.05.09 09:59:54 -05'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2016.05.11 11:20:12 -05'00'

Chancellor



Board Order

Title: Approval of UNTHSC Tenure Recommendations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent and seconded by Regent, the Board approved the motion presented below:

Whereas, the tenure recommendations have been carefully reviewed by the appropriate school/college promotion and tenure committees following the established procedures and published criteria, and

Whereas, these recommendations are endorsed by the Chair/Institute Executive Director, Dean, Provost and Executive Vice President for Academic Affairs, and the President,

Now, Therefore, The Board of Regents authorizes and approves the following faculty for tenure effective September 1, 2016:

- 1. Dr. Robert Barber
2. Dr. Martha Felini
3. Dr. Joon-Hak Lee
4. Dr. Frank Papa
5. Dr. Dong-Ming Su
6. Dr. Victor Uteshev

VOTE: ___ ayes ___ nays ___ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Briefing

Committee: Academic Affairs &
Student Success

Date Filed: April 8, 2016

Title: Approval of UNT Dallas Tenure Recommendations

Background:

In accordance with the University of North Texas at Dallas Policy 6.009 Tenure and/or Promotion Review, the faculty listed below for tenure recommendation have been carefully reviewed and endorsed by the Department Chair, Dean, Provost and the President.

Dr. Daniel Friesen was hired in 2006 as Assistant Professor of Business Decision Science. He received his B.S. and M.B.A. from McNeese State University and his Ph.D. from the University of Texas. Prior to coming to UNT Dallas he taught at Midwestern State University, Northeastern State University and University of Texas at Arlington. Dr. Friesen has demonstrated excellence in teaching through his outstanding student and peer evaluations, which are consistently high. He also has been committed to student mentoring through his innovative efforts to develop tutoring resources. Dr. Friesen's service is excellent, including significant work in departmental and university committees and acting as a leader in the early growth of UNT Dallas. He has been serving on the committee on campus studying the initial accreditation for UNT Dallas by the Association to Advance Collegiate Schools of Business-the premier accrediting body of business schools. In 2014, Dr. Friesen was certified as an ASQ Certified Quality Process Analyst. Dr. Friesen's research has been published in the *Journal of Applied Quantative Methods*, *International Journal of Management Research and Review*, *Regional Business Review*, and in *International Research Journal of Business and Economics*. Dr. Friesen is a member of the American Society for Quality (ASQ), has been President of the Association for Business Information Systems, as well as serving on other quality outlets and recognized through awards from his peers.

Dr. Syeda Jesmin joined the UNT Dallas faculty in 2010 as Assistant Professor of Sociology. Dr. Jesmin receive her M.S.S. from University of Dhaka, Bangladesh; M.A. from University of Texas at Arlington, M.P.H from UNT Health Science Center and her Ph.D. from the University of North Texas. Before coming to UNT Dallas she taught at SMU and the University of Louisiana at Monroe. Dr. Jesmin has been an innovator in the area of online instruction at UNT Dallas. Along with new course development and consistently high teaching evaluations, Dr. Jesmin is rated excellent in the area of teaching. Her scholarly interests center on policy relevant research in women's health, particularly women's reproductive and sexual health in the developing countries. Much of her work focuses on the community-health relationship. Dr. Jesmin's most recent work has appeared in the top interdisciplinary social sciences journal, *Archives of Sexual Behavior*. Other publications have appeared in the *Journal of Interpersonal Violence; Violence and Victims; Culture, Health and Sexuality;* and the *Journal of Comparative Family Studies* as well as other peer reviewed journals. Dr. Jesmin has received funding from the Substance Abuse and Mental Health Services Administration and the Administration of Aging. Dr. Jesmin also

demonstrates sustained service to the university through multiple department and university committees.

Dr. Marco Shappeck joined the UNT Dallas faculty in 2010 as Assistant Professor of Teacher Education. He received his B.A. from University of Wisconsin-Eau Claire, M.A. from Northeastern Illinois University, and his M.A., and Ph.D., from the University of Illinois Urbana-Champaign. His innovative strategies of flipping the classroom demonstrate an excellence in teaching. He is the inaugural winner of the UNT Dallas Distance Learning Innovative Teaching with Technology Award for 2015-2016. Professor Shappeck has also been recognized for his institutional and community service. Most notably, his work as Family Literacy Coordinator for the Hampton and Illinois Branch of the Dallas Public Library and leadership as President of the local Texas TESOL (Teaching English as a Second or Other Language) chapter indicates excellence in service. His membership in academic, professional and scholarly societies includes BESO (Bilingual Education Student Organization (UNTD), BEAM (Bilingual/ESL Education Association of the Metroplex); TABE (Texas Association for Bilingual Education), LASSO (Linguistics Association of the Southwest TESOL International Association as well as Texas TESOL. Professor Shappeck's publication record includes peer-reviewed publications and book chapters. He is published in the *Journal of Latinos and Education*, *Journal of the Linguistic Association of the Southwest*, *Teacher Education and Practice*, and books chapters in *Dimensions of Community-based Work in Health Care*, *Grammatica et verba: Glamor and verve; Ideology, Politics, and Demands in Spanish Language, Literature and Film*. Dr. Shappeck has served on many high-level university committees, including several search committees. He has received outside funding for projects and is a frequent presenter at conferences.

Dr. Ali Shaqlaih joined the UNT Dallas faculty in 2010 as an Assistant Professor of Mathematics. Along with receiving his B.S. from Birzeit University, M.S. from An-Najad National University, and his M.A., M.Ed., and Ph.D. from the University of Oklahoma Dr. Shaqlaih holds High School Teaching Certification, Middle School Teaching Certification, Gifted Education Certification and Teaching Undergraduate Math Certification. He is recognized for his excellent teaching and student mentoring. His student evaluations have been consistently rated as highly effective and Dr. Shaqlaih adopts innovative active learning strategies in the classroom with much success. Dr. Shaqlaih has also engaged in intensive student mentoring through math tutoring and in curriculum development to build the math program. Professor Shaqlaih's service to the university and community is excellent. Notably he has worked with TK20 student portfolios, STEM academy workshops and served on high-level university committees. He is currently serving as Assistant Dean of the School of Liberal Arts and Sciences. Professor Shaqlaih's research tends to exceed expectations. Either individually or as part of a collaboration, his publications have appeared in *Petroleum Science*, *Journal of Educational Studies*, *Journal of Geomechanics*, and *Educational Studies in Mathematics*, just to name a few. He has a clearly defined research agenda and has several approved IRB projects.

After review of each candidate's qualifications by the UNT Dallas Committee on Tenure and Promotion, the UNT Dallas provost, Dr. Lois Becker, recommended that tenure be granted to Dr. Daniel Friesen, Dr. Syeda Jesmin, Dr. Marco Shappeck and Dr. Ali Shaqlaih. The President concurred with the recommendation.

Financial Analysis/History:

In general, the award of tenure carries with it the assurance of continued employment absent the showing of good cause for termination.

daniel.edelman@untdallas.edu
Digitally signed by
daniel.edelman@untdallas.edu
DN: cn=daniel.edelman@untdallas.edu
Date: 2016.05.06 11:10:03 -05'00'

Institution Chief Financial Officer

Janet
Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.09 16:30:00 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:08:20 -05'00'

Vice Chancellor/General Counsel

Schedule:

Tenure will be effective September 1, 2016.

Recommendation:

The president recommends that the Board of Regents authorize and approve the following faculty for tenure effective September 1, 2016.

1. Dr. Daniel Friesen
2. Dr. Syeda Jesmin
3. Dr. Marco Shappeck
4. Dr. Ali Shaqlaih

Recommended By:

Lois Becker

Provost

Bob Mong

Digitally signed by Bob Mong
DN: cn=Bob Mong, o=UNT Dallas,
ou=Office of the President,
email=bob.mong@untDallas.edu, c=US
Date: 2016.05.09 09:15:55 -05'00'

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North Texas
System, ou=Vice Chancellor for Academic Affairs and
Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2016.05.09 10:01:04 -05'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System, ou=Office
of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2016.05.11 13:44:34 -05'00'

Chancellor



Board Order

Title: Approval of UNT Dallas Tenure Recommendations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in accordance with the University of North Texas at Dallas Policy 6.009 Tenure and/or Promotion Review, these recommendations have been carefully reviewed and endorsed by the Department Chair, Dean, Provost and the President, and

Now, Therefore, The Board of Regents authorizes and approves the following faculty for tenure upon Board approval effective September 1, 2016:

1. Dr. Daniel Friesen
 2. Dr. Syeda Jesmin
 3. Dr. Marco Shappeck
 4. Dr. Ali Shaqlaih
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Briefing

Committee: Academic Affairs & Student Success

Date Filed: April 8, 2016

Title: Authorize a New UNT Dallas Bachelor of Science Degree in Public Health

Background:

The B.S. degree in Public Health is designed to prepare graduates for existing and emerging public health occupations that require a strong background in the life and health sciences. Students completing the degree will be prepared for entry level public health positions in such fields as environmental health and occupational health, and for admission to graduate programs in clinical nutrition, occupational therapy, and epidemiology. Preparation for these careers and areas of graduate study requires a rigorous science curriculum that is not currently part of the existing B.A. degree in Public Health. Specifically, the curriculum requirements of the B.S. Public Health degree include 15 credit hours in the life and health sciences above that which is required in the B.A. Public Health degree. The curriculum requirements of the B.S. Public Health degree consist of a total of 120 credit hours including 27 credit hours of math and science courses, 12 credit hours of public health core courses, and 21 credit hours of prescribed electives with 9 credit hours focusing on the health sciences. A public health capstone course that involves experiential learning and reinforces professional writing skills, is completed in the senior year of the program.

Financial Analysis/History:

The costs and funding needed for the Bachelor of Science in Public Health meet the Standard for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for New Baccalaureate and Master's Degree Programs.

The current facilities, equipment, and library resources are adequate to support the program. UNT Dallas currently has one fulltime public health lecturer on staff, and the university is committed to the hiring of two more professors to teach in the existing B.A. Public Health degree. All course offerings for the proposed B.S. Public Health degree will be taught by existing faculty and these two new hires. Since the cost of instruction for the B.S. Public Health degree is covered in the cost of the B.A. Public Health degree, there are no additional faculty costs associated with the new degree.

daniel.edelman@untdallas.edu
Digitally signed by daniel.edelman@untdallas.edu
DN: cn=daniel.edelman@untdallas.edu
Date: 2016.05.06 11:10:29 -05'00'

Institution Chief Financial Officer

Janet

Waldron
Vice Chancellor for Finance
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.09 16:37:57 -05'00'

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@unsystem.edu, c=US
Date: 2016.05.10 13:09:02 -05'00'

Vice Chancellor/General Counsel

Schedule:

Upon approval by the Board of Regents and the Texas Higher Education Coordinating Board, enrollment of the initial class would be scheduled for Fall 2016.

Recommendation:

The President recommends that the Board of Regents approve the authorization of a new Bachelor of Science Degree in Public Health.

Recommended By:

Lois Becker

Provost

Bob Mong

Digitally signed by Bob Mong
DN: cn=Bob Mong, o=UNT Dallas,
ou=Office of the President,
email=bob.mong@untDallas.edu, c=US
Date: 2016.05.09 09:16:21 -05'00'

President

**Rosemary R.
Haggett**

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North
Texas System, ou=Vice Chancellor for Academic
Affairs and Student Success,
email=rosemary.haggett@unsystem.edu, c=US
Date: 2016.05.09 10:02:22 -05'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@unsystem.edu,
c=US
Date: 2016.05.11 13:45:25 -05'00'

Chancellor

Attachments Filed Electronically:

- THECB Certification Form for New Bachelor's and Master's Programs



Board Order

Title: Authorize a New UNT Dallas Bachelor of Science Degree in Public Health

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the Bachelor of Science Degree in Public Health features an interdisciplinary curriculum in the health sciences and is designed to prepare students for careers and advanced study in public health-related fields, in the public and private sectors, and

Whereas, the Bachelor of Science Degree in Public Health is designed to be a health science degree that prepares graduates for the diverse spectrum of existing and emerging public health occupations, and

Whereas, the proposed degree will meet the student demand of those wanting to pursue a graduate education in public health,

Now, Therefore, The Board of Regents authorizes and approves the following:

1. The Proposed Bachelor of Science Degree in Public Health and authorizes the Provost and Vice President in Academic Affairs to provide the appropriate notification to the Texas Higher Education Board for final approval.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Signature Page

1. Adequacy of Funding and Notification of Other Institutions – The chief executive or chief academic officer shall sign the following statements:

I certify that the institution has adequate funds to cover the costs of the new program. Furthermore, the new program will not reduce the effectiveness or quality of existing programs at the institution.

I certify that my institution has notified all public institutions within 50 miles of the teaching site of our intention to offer the program at least 30 days prior to submitting this request. I also certify that if any objections were received, those objections were resolved prior to the submission of this request.



Chief Executive Officer/Chief Academic Officer

Date

5/13/16

2. Board of Regents or Designee Approval – A member of the Board of Regents or designee shall sign the following statement:

On behalf of the Board of Regents, I approve the program.

Board of Regents (Designee)

Date of Approval



Board Briefing

Committee: Academic Affairs & Student Success

Date Filed: April 8, 2016

Title: Approval of Change of UNT Dallas Mission Statement

Background:

As a result of a UNT Dallas' Strategic Planning Retreat, it became evident that our existing mission statement could be improved. As a result of input from a number of stakeholders including President's Cabinet, University Executive Council, Faculty Alliance, Staff Council, students, community members, and numerous other individuals on campus, the new mission statement was developed.

The current Mission Statement is as follows:

The mission of the University of North Texas at Dallas is to enhance access to high quality education and to prepare students to become exemplary citizens who can assume leadership positions in a global environment.

Proposed Mission Statement:

Empower. Transform. Strengthen.

UNT Dallas empowers students, transforms lives, strengthens communities.

Financial Analysis/History:

There are no financial implications related to changing the UNT Dallas Mission Statement.

daniel.edelman@untdallas.edu
Digitally signed by daniel.edelman@untdallas.edu
DN: cn=daniel.edelman@untdallas.edu
Date: 2016.05.06 11:10:53 -05'00'

Institution Chief Financial Officer

Janet

Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2016.05.09 19:22:14 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:09:49 -05'00'

Vice Chancellor/General Counsel

Schedule:

The revised Mission Statement is to be implemented upon approval of the UNT System Board of Regents.

Recommendation:

The President recommends that the Board of Regents approve the revised UNT Dallas Mission Statement.

Recommended By:

Bob Mong Digitally signed by Bob Mong
DN: cn=Bob Mong, o=UNT Dallas,
ou=Office of the President,
email=bob.mong@untdallas.edu, c=US
Date: 2016.05.09 09:16:41 -05'00'

President

Rosemary R. Haggett Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of
North Texas System, ou=Vice Chancellor for
Academic Affairs and Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2016.05.09 10:03:29 -05'00'

Vice Chancellor

Lee Jackson Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2016.05.11 13:46:06 -05'00'

Chancellor



Board Order

Title: Approval of Change of UNT Dallas Mission Statement

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Dallas had a BOR-approved mission statement tied to the UNT Dallas Strategic Plan, and

Whereas, President Mong, University leadership and other stakeholders determined that the Mission Statement needed to be revised,

Now, Therefore, The Board of Regents authorizes and approves the following:

- 1. The revised UNT Dallas Mission Statement
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



UNT | SYSTEM™

MINUTES

BOARD OF REGENTS Finance and Facilities Committee February 25-26, 2016

Thursday, February 25, 2016

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Thursday, February 25, 2016 in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas, with the following members in attendance: Regents Rusty Reid, Don Potts, Glen Whitley, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman Reid at 2:19 pm. The minutes of the November 20, 2015, Finance and Facilities Committee meeting were approved on a 4-0 vote following a motion by Regent Don Potts seconded by Regent Glen Whitley. The **Committee Charter and Annual Schedule** were reviewed.

Vice Chancellor for Finance Janet Waldron presented the **Quarterly Activity Report** which included brief summaries of the **FY15 Consolidated Annual Financial Report, FY16 Budget, External Audit, Remediation Update/Process Improvement, Financial System Upgrade, and Capital Improvement Plan**.

The Committee had four briefings planned for this meeting. The first, **UNT Dallas Master Plan Update**, was given by Vice Chancellor for Facilities Planning and Construction James Maguire and UNT Dallas President Bob Mong.

The second briefing, **FY15 Consolidated Annual Financial Report**, was presented by Senior Director Jane-Anne Kanke and Vice Chancellor for Finance Janet Waldron.

The third briefing, **FY16 First Quarter Budget Review**, was introduced by Associate Vice Chancellor for Budget Paige Smith and Vice Chancellor Waldron with additional presentations by UNT Vice President for Finance and Administration Bob Brown, UNT Health Science Center Vice President for Finance and Chief Financial Officer John Harmon, and UNT Dallas Chief Financial Officer and Executive Vice President for Finance and Administration Dan Edelman.

The fourth briefing, **Quarterly Operations Report Update**, was presented by UNT System Associate Vice Chancellor for Treasury James Mauldin.

There being no further business, the Committee meeting recessed at 4:30 p.m. until Friday, February 26, 2016, at approximately 9:30 a.m. at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas.

Friday, February 26, 2016

The University of North Texas System Board of Regents convened on Friday, February 26, 2016, at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas with the following Regents in attendance: Regents Rusty Reid, Don Potts, Glen Whitley, and Laura Wright.

There being a quorum present the meeting was called to order by Committee Chairman Reid at 9:07 a.m. The Committee had nine action items to consider. The first action item was presented by UNT System Associate Vice Chancellor for Treasury James Mauldin.

2016-12 UNTS Approval of Broker/Dealer List for FY16

Pursuant to a motion by Regent Laura Wright and seconded by Regent Don Potts, the Committee approved the above item on a 4-0 vote.

Associate Vice Chancellor for Budget Paige Smith presented the next action item.

2016-13 UNTS Amendment to Regents Rule 10.200, Accounting, Operating Budgets, and Appropriation Requests

Pursuant to a motion by Regent Glen Whitley and seconded by Regent Laura Wright, the Committee approved the above item on a 4-0 vote.

Vice Chancellor for Facilities Planning and Construction James Maguire presented the next action item.

2016-14 UNTS Authorization to Amend the UNTS FY16 Capital Improvement Plan to Add Multi-phase Residence Hall at UNT

Pursuant to a motion by Regent Don Potts and seconded by Regent Glen Whitley, the Committee approved the above item on a 4-0 vote.

Vice Chancellor and General Counsel Nancy Footer presented the next action item.

2016-15 UNTS Amendment to Regents Rules 03.300, Board Ethics and Standards of Conduct; 03.900, Delegation of Authority for Contracts and Agreements; 04.500, Audit and Compliance; and 05.700, System Administration and Institution Ethics and Standards of Conduct

Pursuant to a motion by Regent Glen Whitley and seconded by Regent Laura Wright, the Committee approved the above item on a 4-0 vote.

UNT Health Science Center Vice President for Finance and Chief Financial Officer John Harmon presented the next three action items.

2016-16 UNTHSC Authorization for UNTHSC to Submit a Proposal to Provide Comprehensive Medical Services to the Federal Correctional Institution – Fort Worth, with Delegation of Authority to the Chancellor or his Designee to Execute the Agreement

Pursuant to a motion by Regent Glen Whitley and seconded by Regent Don Potts, the Committee approved the above item on a 4-0 vote.

2016-17 UNTHSC Delegation of Authority to Negotiate and Execute Professional Services Agreements for UNTHSC to Provide Physician Services to the Tarrant County Hospital District or Acclaim Physician Group

Pursuant to a motion by Regent Don Potts and seconded by Regent Laura Wright, the Committee approved the above item on a 4-0 vote.

2016-18 UNTHSC Authorization to Enter into Agreement between City of Fort Worth and UNTHSC

Pursuant to a motion by Regent Glen Whitley and seconded by Regent Laura Wright, the Committee approved the above item on a 4-0 vote.

UNT Dallas Chief Financial Officer and Executive Vice President for Finance and Administration Dan Edelman presented the next two action items.

2016-19 UNTD UNT Dallas Naming of Outdoor Amphitheater

Pursuant to a motion by Regent Laura Wright and seconded by Regent Glen Whitley, the Committee approved the above item on a 4-0 vote.

2016-20 UNTD UNT Dallas College of Law FY17 Tuition Increase

Pursuant to a motion by Regent Don Potts and seconded by Regent Laura Wright, the Committee approved the above item on a 4-0 vote.

There being no further business, the Committee meeting adjourned at 9:22 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: March 9, 2016

UNT | SYSTEM™

University of North Texas System

Financial Transformation Update

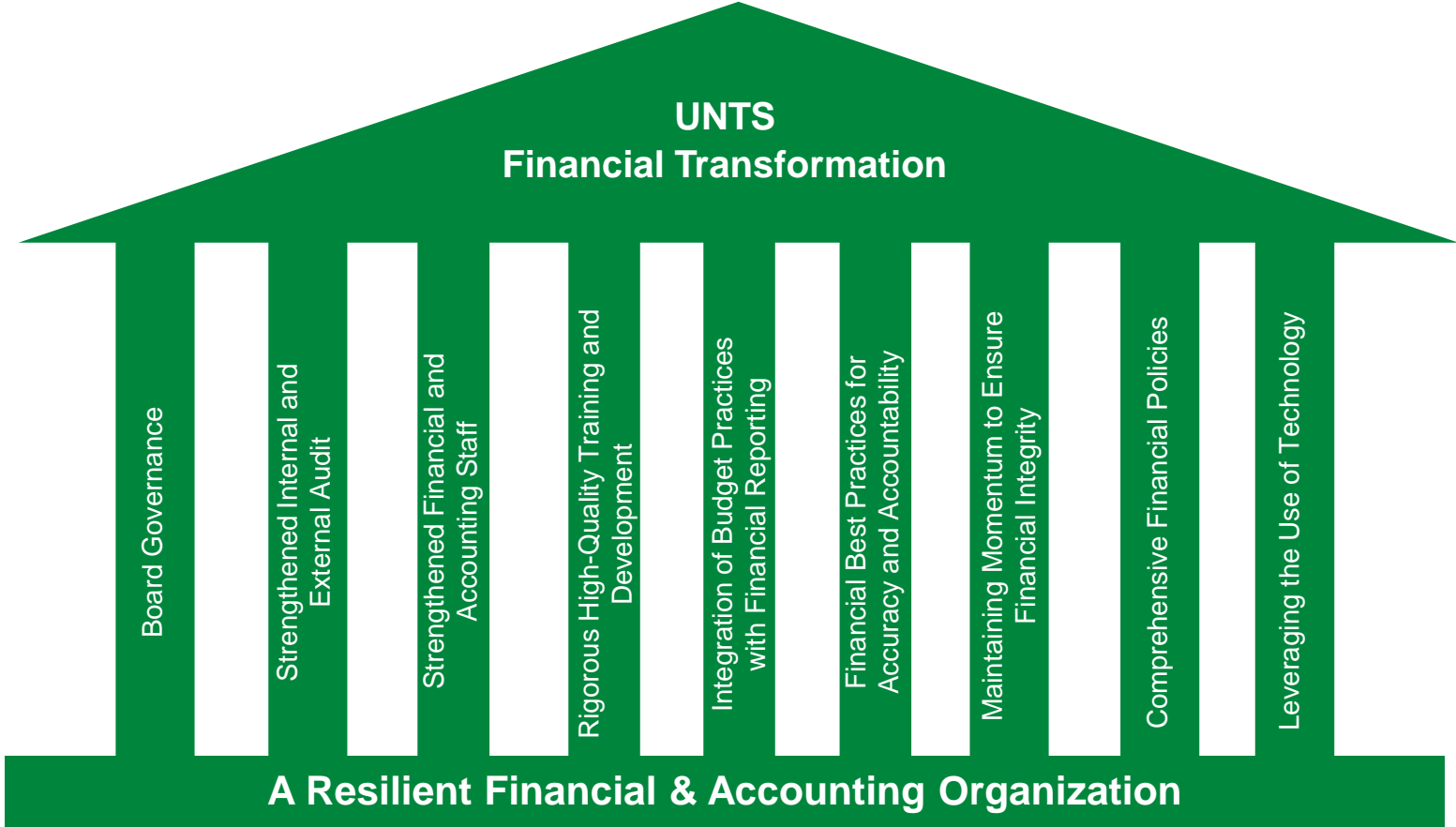
Board of Regents

May 19, 2016

Financial Transformation Update

Presenter: Janet Waldron, UNTS Vice Chancellor for Finance
































The 2014 Financial Transformation Task Force Report included 54 numbered remediation recommendations.















→Of those, **32 have been completed** and reported to the BOR.
The remaining 22 are as follows: 8 considered completed 












Leaving a **balance of 14.**

| Remedial Item #/Description | Status | Remedial Item #/Description | Status |
|---|--|--|---|
| 3) Periodic review of Financial, Audit Committee, Internal Audit Charters.   | Performed reviews in January 2015 and February 2016. Ongoing Board process established. Recommendation is considered complete.  | 18) Implement a rigorous Financial and Accounting training program.  | New training program developed and used with 2016 employee performance reviews. Will still leave open for another year of development and monitoring for board reporting.  |
| 12) Establish clear service levels and standards for Consolidated Controllershship.  | CCOM organization now in place enabling expansion of service levels into key financial areas.  | 19) Develop career ladder for financial and accounting professionals.  | Project underway to develop the career ladder with focus on certifications.  |
| 15) Alignment with Consolidated Controllershship and auxiliary functions.  | Major auxiliary subledgers are now tied into PeopleSoft 9.2 environment. Financial reports being developed to enhance data visibility and accuracy.  | 20) Training aligned with technology upgrades and enhancements.  | Over 50 Chart of Accounts (COA) and EPar training sessions conducted during “go-live”. Additional training underway to include grant accounting & compliance plus more in-depth COA education.  |

| Remedial Item #/Description | Status | Remedial Item #/Description | Status |
|---|--|--|---|
| 22) Automated tool to provide clear tracking for account reconciliations.  | Deloitte provided demonstration of industry leading software provider, Trintech, to CCOM leadership. PeopleSoft auto reconciliation tool also under consideration.  | 26) Employ use of automated financial close tools.  | Access database tools were deployed in FY15 AFR. Cognos and other reporting tools are being deployed in FY16.  |
| 23) Replace manual subledgers with automated solutions. Examples of this include the Student Accounts Receivable subledgers.  | In FY15 – automated data subledger reporting tools were implemented to improve reconciliation support for Student Accounts Receivable and Accounts Payable. PeopleSoft 9.2 offers additional functionality to help with other modules and campus feeder systems.  | 28) Expand Internal Audit work in financial areas.   | Starting in FY16 - Internal Audit has enhanced financial audit test work performed in audit projects, strengthened auditor skillsets, and broadened financial audit knowledge. While audit activity is ongoing, recommendation considered complete.  |
| 24) Complete FY15 Account Reconciliations.   | Completed all FY15 Balance Sheet reconciliations thru FYE 8/31/15 to support FY15 State AFR preparation and FY15 external audit by Grant Thornton. Recommendation considered complete.  | 29) Perform quarterly soft financial close processes.  | In late FY15, began monthly financial close process. In FY16 made further refinements to reach desired goal of 10 business days after month-end.  |

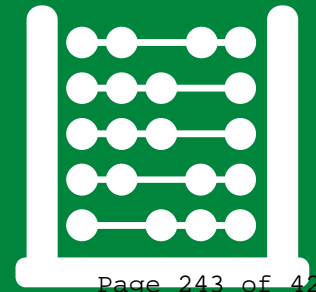
Financial Transformation Update – May 2016 (continued)

| Remedial Item #/Description | Status | Remedial Item #/Description | Status |
|--|--|---|--|
| 32) Component financial variance analysis at fiscal year end.   | Completed for FY15 and presented to Board. Ongoing process underway.  | 39) Draft and complete remaining regent rule related to CFO certification.  | Certification rule under development. Expected completion in 2016. Signed letters used in interim.  |
| 36) Complete business process remediation activities.  | 152 BPR items originally identified. 115 gaps have been remediated including substantially all high & medium risk areas. Low risks areas to be completed after 9.2 upgrade. Remediation testing involved Deloitte review and validation by Audit.  | 40) Complete remaining system regulations.   | Five UNT System regulations approved & adopted: 1) Asset Capitalization 2) Journal Entry 3) Reconciliation Process 4) Segregation of Duties & 5) Reporting Component Units. Four currently in draft status: 1) Collecting Overpayments 2) Student A/R 3) Timeliness of Period Close & Reporting & 4) Change Mgmt (IT). Considered complete but other areas will be identified, reviewed, and amended as necessary.  |
| 37) Implement component CFO certification process.  | Certification (including USAS) completed for FY15 November State AFR filing. Recommendation tied to final rule completion.  | 41) Evaluation of financial policies annually.  | Annual review process in final stage of design and roll-out. New policy manager position in place to manage System Regulations and monitor status tracking.  |

| Remedial Item #/Description | Status | Remedial Item #/Description | Status |
|---|---|--|--|
| 47) Chart of Account training.   | Initial COA training conducted during “go live.” On going trainings will focus on new employees and increased awareness of COA value structure and purpose. Considered complete.  | 49) Completion of PeopleSoft upgrade.   | PeopleSoft 9.2 system upgrade went live on March 1 st 2016. Post implementation remediation in certain areas underway with scheduled completion soon. One main focus area of work concerns grant accounting.  |
| 48) Install Chart of Accounts in PeopleSoft v.9.2.   | Completed during PeopleSoft 9.2 implementation in March 2016.  | 50) Evaluate need for implementation of additional PeopleSoft modules.  | PeopleSoft 9.2 upgrade for Student Financial Module identified and scheduled for implementation in Fall 2018. Cash and Banking module under review for possible implementation at future date.  |

Account Reconciliation Transformation Update

Presenter: Dan Stephens, UNTS, AVC for Finance & Controller



Objective: Establish a standardized, system-wide, approach to Statement of Net Position (Balance Sheet) account reconciliations; use a risk based approach; drive financial statement quality through an effective account reconciliation methodology & process.

Major Process Enhancements

- Implemented risk assessment model to determine individual account reconciliation frequency (High / Medium / Low).
- Implemented standardized procedures and reconciliation templates (using Excel).
- Implemented a centralized status monitoring system to report completion results to management.
- Built automated subledger process & report to improve reconciliation efforts with Student Accounts Receivable.
- Integrated UNT campus housing & dining charges into Student Finance Module to improve student customer service.
- Rebuilt capital assets subledger.

Staff Training

- Designed new training curriculum based on Deloitte initial remediation review in 2014.
- Delivered multiple training sessions for personnel in 2014, 2015, & 2016.
- Ongoing individual and group training provided based on identified staff needs.

Account Reconciliation Completion & Quality Assurance Review

- Completed FY13 account reconciliations to enable the accuracy of the beginning net equity positions for FY14.
- Completed account reconciliations for FY14 & FY15.
- Through 2nd Qtr. FY16 (February 28, 2016) – 96% complete for UNT System consolidated (all 4 institutions).
- During FY15, Deloitte assisted with a management assurance quality review of all balance sheet account reconciliations with 8/31/15 balances greater than \$500,000 (234 accounts).

Enhancements: PeopleSoft 9.2 Upgrade & Chart of Account Change

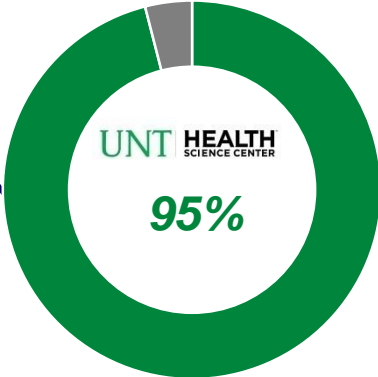
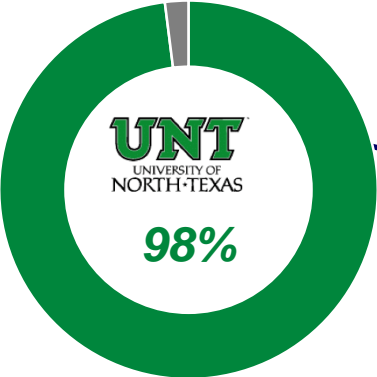
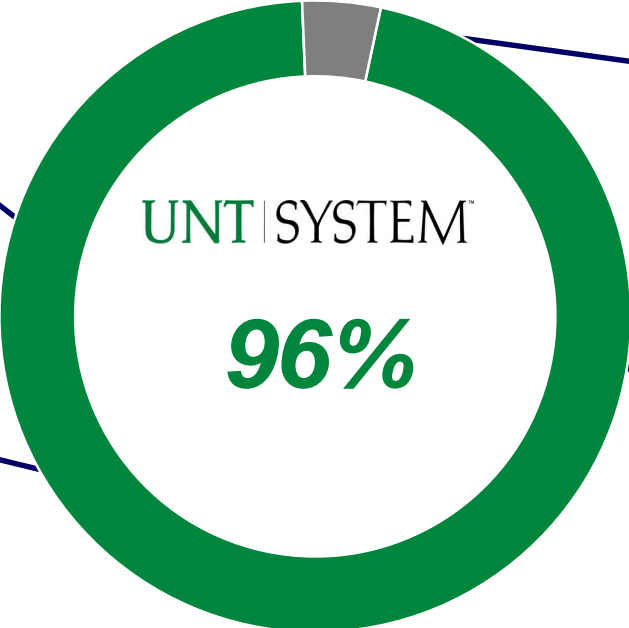
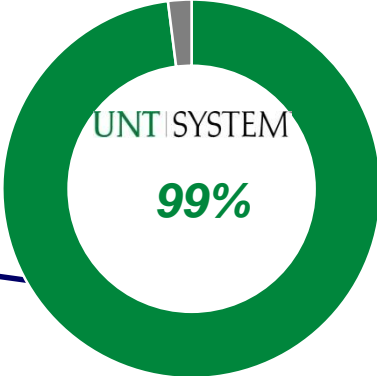
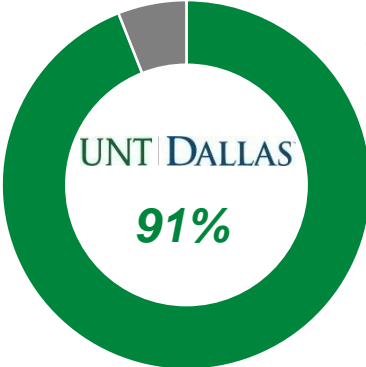
- Enhanced functionality:
 - Capital Assets – fully integrated module with automated asset & depreciation reporting.
 - Grants & Contracts – increased automation for billing and accounting/reporting within Project Costing Module.
 - Accounts Payable – more accurate monthly accruals and vendor payment subledger support.
 - Project Costing – enhanced ability to track & report key financial & operational project cost initiatives.
 - Payroll – new COA provides greater reporting capabilities of personnel compensation across all activities.
- Improved accounting & financial reporting capabilities using BI database tools such as Cognos and Hyperion.

Next Phase: Evaluate Automated Account Reconciliation Software Tools

- Potential benefits available:
 - Improved error reduction in balance sheet accounts.
 - Certain accounts automatically reconciled resulting in less staff time.
 - Continual risk assessment.
 - Standard workflows and common templates.
 - Real time dashboards & in depth reporting capabilities.
 - Auto generated status notifications & management review alerts.
- Evaluate 9.2 PeopleSoft version & other industry leading software for features, functionality, and costs.
- Prepare ROI analysis on cost/benefit incorporating efficiency gains and potential future staff costs reduction.

UNTS FY16 P1 - P6 SNP Account Reconciliation Overview – as of 5/9/16

The percentages below only represent the completion of Statement of Net Position (SNP) reconciliations that were required to be reconciled on a monthly and quarterly frequency, as determined by the general ledger risk assessment. *Of the required 2,354 SNP accounts, accounting personnel reconciled 2,184 during P1-P6 for FY16 (Sept. 2015– Feb. 2016). This was accomplished while implementing PeopleSoft 9.2 upgrade and new COA effort.*



■ Complete ■ In Progress

Financial Security Transformation Update

Presenter: Robert Jones, UNTS, ERP Application Development Director



The scope of efforts, directed by the 2014 Deloitte analysis, focused on PeopleSoft applications that support financially relevant transactions within PeopleSoft Enterprise Information System (EIS).

Include the IT Shared Services and the following UNTS functional areas:

- Asset Management
- Budget
- Financial Aid
- Financial Reporting
- General Ledger
- Grants
- Student Financials
- Payroll/Human Resources
- Purchasing



Assessment and Technical Groundwork

- Identified and addressed gaps within IT Shared Services organization.
- Identification and remediation of EIS security roles.

Correct History Remediation

- Remediated allocation of this function across Finance, HCM and Student Systems.
- Developed and Implemented formal request and approval process for use of this function.

Segregation of Duty Remediation

- Information Owners across all 4 UNT System Institutions directed activity involving over 30 staff members.
- 43 separate Segregation of Duty rules were applied to EIS security.

Segregation of Duty Remediation

- Simultaneous activity within Finance 9.2 environment (PUFF project). Finance 9.2 much improved security over 9.0.
- Centralization of security administration model implemented within Finance 9.2.

This represents an organizational alignment to move security administration responsibility to a centralized team: Financial Support Services and Business Services.

Compensating Controls

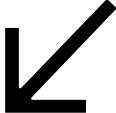
- Being established where Segregation of Duties (SoD) cannot be fully implemented.



Growing the organization's cultural sense of continual risk awareness and remediation responsibility.

Staffing & Resources

- New Position in Internal Audit w/focus on data analytics and continuous auditing of financial processes.
- IT Shared Services FY17 budget item for SoD toolset.



Process Alignment

- Partnership between Internal Audit, Information Owners and IT Shared Services.
- On-going auditing of IT general controls, processes and compensating controls.



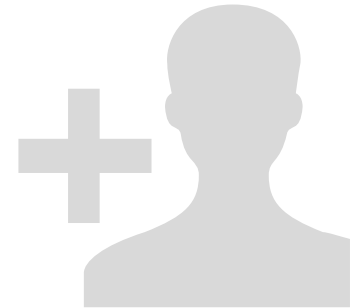
Training Curriculum & Profile Update

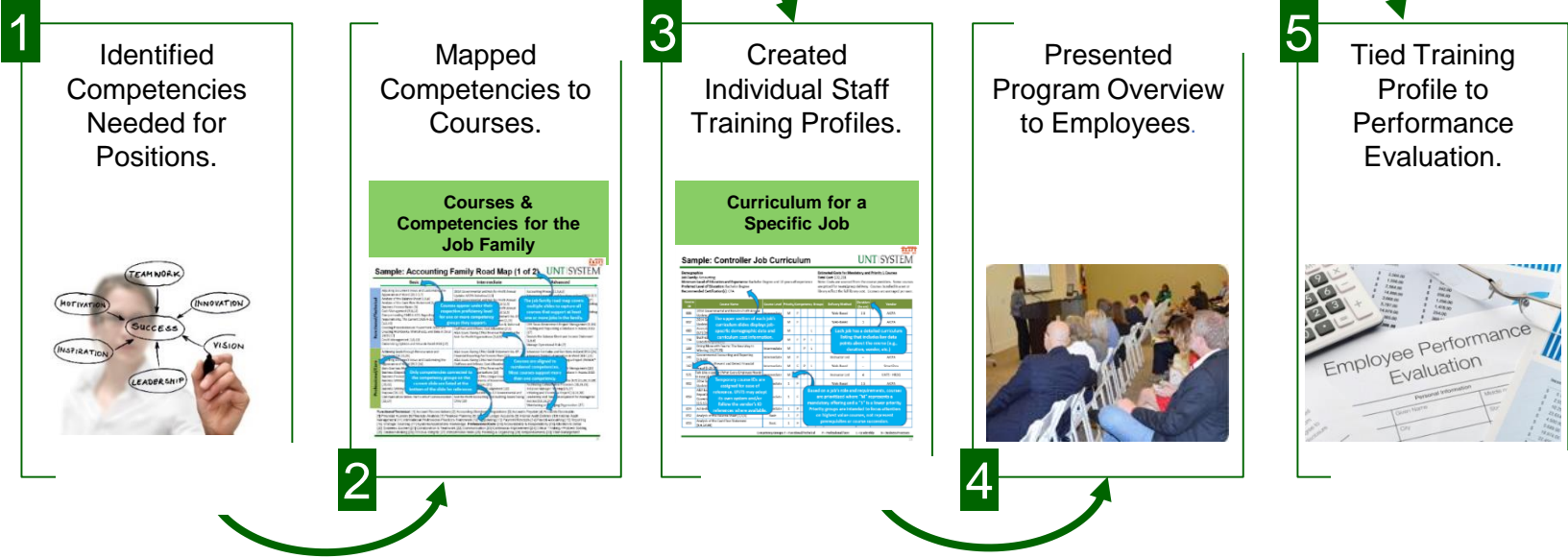
Presenter: Donna Asher, UNTS, AVC Business Services



Why Is Training Important?

- Sustainability of progress
- Highly competent staff
- Professional growth and opportunities
- Organizational success





| | | |
|---|---|---|
| <p>12 – 233</p> <p>Range of the number of hours of learning for mandatory and Priority 1 courses across the scope of jobs.</p> <p>Note: Customer Service and Payment have jobs on the lower end, where Accounting and Internal Audit balance out the higher end.</p> | <p>653</p> <p>Courses captured in the full UNTS course inventory.</p> | |
| | <p>85</p> <p>Jobs with an impact on UNTS financial processes, accounting, and reporting that are covered in the training profiles.</p> | <p>36</p> <p>Competencies identified as core knowledge, skills, and abilities for the jobs in scope.</p> |
| <p>5</p> <p>Delivery methods available for course instruction.</p> | <p>12</p> <p>External learning sources/ vendors covered by the course inventory.</p> | |

Board of Regents: Committee Education Update & Ongoing Deloitte Support

Presenter: Shawn Kilchrist, Deloitte, Advisory Director



Board of Regents: Committee Education Update

| Program topics | Audit committee | Finance committee | Initial delivery date |
|--|-----------------|-------------------|--------------------------------|
| Audit committee leading practices | • | | |
| Finance committee leading practices | | • | |
| Risk oversight | • | | |
| Interaction with the internal auditors | • | | |
| Budgeting and forecasting | | • | Feb. 19, 2015 |
| Crisis management/adaptation | • | • | |
| Ethics and compliance | • | • | |
| Antifraud programs and controls | • | | |
| Interaction with the external auditors | • | | Feb. 19, 2015 July 31, 2015 |
| Financial statements analysis | • | • | Feb. 19, 2015 |
| Affordability in the current economic environment | | • | |
| GASB accounting standards | | • | Feb. 19, 2015 July 31, 2015 |
| Management communication and reporting relationships | • | | |
| Conflicts of interests | • | | |
| Investments and resources | | • | Planned for August 2016 |
| Financial ratios | • | • | Feb. 19, 2015 |

Ongoing Deloitte Financial & Accounting Support

Deloitte continues to support UNT System and Institution financial and accounting activities in the following areas:

| Assistance Area | Scope of project(s), but not limited to: |
|--|--|
| Business Process Remediation | <p>Assist management establish a self-assessment program for which management can periodically evaluate key internal controls in order to minimize significant financial, operational, and compliance risks. Including, but not limited to:</p> <ul style="list-style-type: none"> • Identify & Benchmark Key Internal Controls • Confirm Internal Control Design • Establish Self-Assessment Program |
| Data Analytics | <p>Assist in the practice of using digital evidence collection, electronic discovery, on-line document management exploitation, and analytic capabilities in a single, seamless solution. Data Analytics involves analyzing voluminous amounts of electronic records and locating, scoping, acquiring, combining, mining, sampling, and reporting data in support of anomaly and fraud detection for continuous monitoring.</p> |
| External Audit Support | <ul style="list-style-type: none"> • Assist in the preparation of PBC schedules requested by Grant Thornton. • Assistance in questions or issues if they arise during the audit. • Augment staffing in areas of need throughout the process. |
| Management Assurance Procedures | <ul style="list-style-type: none"> • Develop a scope of procedures targeted at risk areas to help prepare for the FY15 external audit and to mitigate weaknesses in internal control. • Work with management on remediation activities required to resolve issues identified. |
| PeopleSoft 9.2 Conversion | <ul style="list-style-type: none"> • Provide consistent documentation of the data conversion validation procedures for the data conversions. • Documentation can be leveraged as management's evidence of approving the results of the conversion. |
| YE Close & Financial Reporting Support | <ul style="list-style-type: none"> • Assistance through preparation for year-end close through working with Jane-Anne's team. • Assistance through providing numbers to the State of Texas by the November deadline. • Assistance in preparation of the stand-alone financial statements. • Augment staffing in areas of need throughout the process. |

Audit/Financial Transformation Update

Presenter: Tracy Grunig, UNTS, Chief Audit Executive



Processes are Evolving

- New Business Shared Services Financial Leadership Team.
- Building Stronger Relationships with Component Institutions.
- Enhanced Management Oversight (Segregation of Duties, Policies and Procedures).

Targeted Internal Audit Financial Transformation Activities

- Revamped Audit Emphasis – 2 FTE Dedicated to Financial Transformation and Continuous Auditing.
- Internal Audit Review to Date – 28 Reviewed/Completed; Additional Management Work Still to be Audited.
 - System Upgrades Will Address Additional Open Items – Hyperion, Cognos, PeopleSoft HR.
- Greater Emphasis on Financial Auditing.
- Conducting Training Geared to Financial Controls.
- Serving on Enterprise Financial Control Committees (SB20, Financial Transformation Project, External Audit).
- Serving as an Advisory Resource for Component Institution on Internal Controls.

Financial Transformation - Baseline Shifted Upward

- Process Improvements – PeopleSoft 9.2, Chart of Accounts Mapping, Financial (Payroll, Purchasing and Budgets).
- Comprehensive Training on Processes and General Financial Awareness.
- Shifting Emphasis from Transactional Activity Focus to Enterprise Process Activity and Financial Reporting.
- Emulate Best Practices Drawn from Peer Institutions.

Accomplishments & Continuous Transformation Activities

Presenter: Janet Waldron, UNTS Vice Chancellor for Finance



Treasury Milestones

- UNT System's outlook improved from "negative" to "stable" by both Moody's and Fitch.
- Issuance of \$130.8 million in new debt with very positive market reception.
- Refunded \$83.5 million of long term debt for a NPV savings of approximately \$8.9 million.
- Retired \$46.4 million of existing debt.

Technology Improvements & Awards

- EMC recognizes UNTS ITSS - "Leader of the Modern Data Center" award.
- Implemented new chart of accounts.
- PeopleSoft 9.2 "go-live" for 9 financial modules.

Organizational Enhancements

- Established centralized Controller, Financial Reporting, and Treasury/Debt operations.
- Implemented over 200 improvements to controls and procedures.

Accounting & Reporting Progress

- Restatement of FY14 Beginning Balance.
- Reconciliations of FY's 13, 14, 15, and 16.
- Unmodified External Audit Report FY14.
- Rebuilt student accounting and capital assets subledgers.
- Established new all funds budget.



Prioritizing Key Activities

Technology

- PeopleSoft 9.2 refinements.
- Hyperion Phase 2 budget and reporting implementation.
- Further alignment of budgeting to financial reporting.
- Automated financial tools to include contract management.
- Data analytics to include establishing benchmarks and metrics.
- Data warehouse to include data definitions, cleansing, and reporting.
- Upgrade planning for Student Services PeopleSoft Campus Solutions 2018 implementation.

Financial Controls & Audit

- Progressive implementation of External Audit.
- Increased Internal Audit rigor.
- Policy development and Implementation.

Programmatic Improvements Underway

- Payroll and overpayments.
- Cash management and investment review.
- Human resource compliance implementations.
- Customer service cultural change work.



Thank you to the Board, the
Institutional Leadership, the
Staff, and our Partners.

Advancement Opportunities at the Dallas Municipal Building

Presented on May 19, 2016 by:

- Lee Jackson, Chancellor, UNT System
- Bob Mong, President, UNT Dallas
- Royal Furgeson, Dean, UNT Dallas College of Law

UNT Dallas
College of Law
Municipal Building

Naming Rights Opportunities:

- A Building of Historical & Architectural Significance
- Beaux-Arts Architectural Style
- Influenced Domestic & International Design during 1800s and early 1900s

UNT Dallas College of Law Municipal Building

(As of May 19, 2016; subject to change)

Potential Naming Opportunities:

- College of Law
- Building-Only
- Floor Levels / Stairway / Atrium
- Trial Courtroom
- Historic Photo Displays
- Departmental Spaces
- Group Study Areas & Classrooms
- Conference Rooms / Offices / Other
- Digital Donor Wall

UNT Dallas
College of Law
Municipal Building

(As of May 19, 2016; subject to change)

Prospective Target Audiences:

- DFW Philanthropic Community
- Past DFW Facilities Major Donors
- Law Firms / Attorneys / Judges
- Corporate Partners
- Foundations
- Families of Former Mayors & City Council Members
- Major Architectural Firms

UNT Dallas
College of Law
Municipal Building

(As of May 19, 2016; subject to change)

Naming Planning and Valuation:

- Naming Rights Consulting
- Public Law Schools Comps
- Public University Comps
- Texas Law Schools
- DFW Law Schools
- Seek Partnerships – Dallas Bar Association, Downtown Dallas Inc., etc.



Board Briefing

Committee: Finance & Facilities

Date Filed: April 21, 2016

Title: Adoption of Resolution Authorizing Cash Defeasance of Series 2012A Bonds

Background:

The University of North Texas has an opportunity to increase annual lease revenues by over \$400,000 in its Woodhill Square property ("the property") through leasing out space that is currently vacant. Internal Revenue Service regulations, however, limit the amount of non-governmental use in facilities financed by tax-exempt debt. To accomplish the goal of higher revenues, a portion of the bonds used to finance the acquisition and renovation of the property must be refunded into taxable bonds or legally taken off the System's books by way of depositing funds into an escrow that will service the bonds until retired ("defeased").

Currently, approximately 30% of the property is utilized by the System, 34% is leased to commercial entities, and almost 36% is vacant. The property was acquired in 2011 through the combined use of tax-exempt debt and cash. Organizations enjoying the lower cost of capital that tax-exempt financing brings must also abide by restrictions on what the IRS terms Private Business Use ("PBU"). Lease revenues generated from non-governmental, and some governmental, entities constitutes PBU.

Leasing any material amount of the currently vacant property to non-governmental entities would exceed the amount allowable under IRS regulations. The methods available to alleviate these restrictions include issuing taxable bonds to refund a portion of the existing bonds or legally defeasing them. A present value analysis shows that a cash defeasance is the preferable option.

The attached resolution would authorize the deposit of an amount of funds not to exceed \$6,000,000 into escrow to effect the defeasance of approximately \$4,535,000 of the outstanding Series 2012A bonds, which would allow the leasing of the roughly 36% vacant space. It is important to note that this action does not allow more than 70% of the total rentable square footage to be PBU until either the Series 2012A bonds are fully retired or an additional action is taken at a later date.

Financial Analysis/History:

The cost of the acquisition and renovation of the property was approximately \$16 million, which was initially provided through commercial paper. \$6 million of the CP was retired through a cash payment and the remaining \$10 million was refunded by the Series 2012A bonds – a bond issue that also refunded the 2003 bonds and funded various other projects across the UNT and HSC campuses.

It is estimated that this action would generate a Net Present Value of more than \$7,000,000. This calculation includes incremental lease revenues - leasing out the remaining vacant space would generate incremental annual lease revenues in excess of \$400,000 – and decreased debt service

requirements due to the defeased bonds being paid from escrow. This action is projected to have no material effect on UNT's viability ratio.

**Janet
Waldron**

Digitally signed by Janet Waldron
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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.09 19:24:07 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
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Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:10:34 -05'00'

Vice Chancellor/General Counsel

Schedule:

If approved, staff anticipates that the escrow would be funded and thus the bonds defeased no later than June 6th, allowing for staff to proceed with additional space leasing activities.

Recommendation:

It is recommended that the Board of Regents adopt the Resolution Authorizing Defeasance of University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2012A.

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury

Lee Jackson

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ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
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Chancellor

Attachments Filed Electronically:

- Resolution Authorizing Defeasance of University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2012A



Board Order

Title: Adoption of Resolution Authorizing Cash Defeasance of Series 2012A Bonds

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, Internal Revenue Service Regulations limit the amount of Private Business Use in capital assets financed with tax-exempt debt during the life of the debt, and

Whereas, the Woodhill Property in Denton, Texas currently has approximately 36% of rentable square footage that is vacant and cannot be leased in a manner that would constitute Private Business Use, and

Whereas, staff anticipates a cash defeasance of approximately \$4,535,000 of the 2012A bonds would allow for incremental annual revenue in excess of \$400,000,

Now, Therefore, The Board of Regents authorizes and approves the following:

- 1. Attached Resolution Authorizing Defeasance of University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2012A
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**RESOLUTION AUTHORIZING DEFEASANCE OF
UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM
REFUNDING AND IMPROVEMENT BONDS, SERIES 2012A**

The Board of Regents (the “Board”) of The University of North Texas System (the “System”) has outstanding the following obligations:

Board of Regents of The University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2012A (the “Series 2012A Bonds”).

The Series 2012A Bonds maturing on April 15 in each of the years 2017 through 2034 are eligible to be defeased and the Series 2012A Bonds selected to be defeased are called the “Defeased Obligations”.

The Amended and Restated Master Resolution Establishing the Revenue Financing System under the Authority and Responsibility of the Board of Regents of The University of North Texas System (the “Master Resolution”) and the Fifteenth Supplemental Resolution to the Master Resolution (the “Fifteenth Supplement”, and together with the Master Resolution, the “Bond Resolution”) authorizing the issuance of the Series 2012A Bonds provide that the System may defease of the Defeased Obligations on or prior to their scheduled maturities.

The Office of Finance and Treasury recommends to the Board that the defeasance of the Defeased Obligations in the manner described below is necessary to enable the System to maximize the ability to make space in Woodhill Square, a facility that was financed with proceeds of the Series 2012A Bonds, available for lease by private entities.

The meeting at which this Resolution is adopted was open to the public, and that public notice of the time, place, and purpose of such meeting was given, all as required by Chapter 551, Texas Government Code.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM THAT:

Section 1. The Board hereby authorizes the use of available System revenues, in an amount not to exceed \$6,000,000, for the purpose of defeasing the Defeased Obligations in accordance with the Bond Resolution.

Section 2. The Vice Chancellor for Finance shall select the Series 2012A Bonds to be defeased and shall cause those Series 2012A Bonds maturing on and after April 15, 2023 that are selected as Defeased Obligations to be redeemed prior to their scheduled maturities on April 15, 2022. Exhibit A sets forth the notice of redemption of the Series 2012A Bonds. Notice of redemption shall be given in the manner provided in the Fifteenth Supplement and the Series 2012A Bonds.

Section 3. The Vice Chancellor for Finance shall fund the defeasance of the Series 2012A Bonds from available System revenues in an amount, together with investment earnings

on those revenues, equal to the principal amount of the Series 2012A Bonds to be defeased, plus accrued interest on the Series 2012A Bonds to their date of maturity or date fixed for redemption, as the case may be, in accordance with the terms of the Resolution.

Section 4. The Vice Chancellor for Finance shall execute and deliver any documents necessary to effect the defeasance of the Defeased Obligations, specifically, any agreement with the paying agent for the Defeased Obligations to hold the amounts deposited and invested to pay the Defeased Obligations at maturity or on their redemption date.

Section 5. This Resolution shall become effective immediately upon its passage, in accordance with Section 1201.028, Texas Government Code.

EXHIBIT A

NOTICE OF REDEMPTION

BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM

NOTICE is hereby given that the following obligations issued by the Board of Regents of the University of North Texas System (the "Issuer") are called for redemption prior to their scheduled maturities, at a price of par and accrued interest to the date of redemption, without premium, to-wit:

BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2012A, outstanding bonds maturing on April 15, 2034 in the aggregate principal amount of \$1,690,000; Redemption Price: par and accrued interest to the date of redemption, without premium; Redemption Date: April 15, 2022

| <u>Maturity Date</u> | <u>Principal Amount (\$)</u> | <u>Interest Rate</u> | <u>Cusip No.</u> |
|----------------------|------------------------------|----------------------|------------------|
| 04/15/34 | 1,690,000 | 5.00% | 914729NT1 |

Due provision for the payment of the above-described obligations has been made with The Bank of New York Mellon Trust Company, N.A. ("BNY"), the paying agent for said obligations, and said obligations shall be presented for payment either in person or by mail, at the following addresses:

First Class/Registered/Certified
The Bank of New York Mellon
Global Corporate Trust
P.O. Box 396
East Syracuse, New York 13057

Express Delivery Only
The Bank of New York Mellon
Global Corporate Trust
111 Sanders Creek Pkwy.
East Syracuse, New York 13057

By Hand Only
The Bank of New York Mellon
Global Corporate Trust
Corporate Trust Window
101 Barclay Street, 1st Fl. E.
New York, New York 10286

Interest on the redeemed obligations shall cease to accrue thereon after the redemption date.

CUSIP numbers have been assigned to this issue by the CUSIP Service Bureau and are included solely for the convenience of the Bondholder. Neither the Issuer nor BNY shall be responsible for the selection or correctness of the CUSIP numbers on the obligations or as indicated in any redemption notice.

IMPORTANT NOTICE: Under the provisions of the Jobs and Growth Tax Relief Reconciliation Act of 2003 (the "Act"), paying agents making payments of interest or principal on municipal securities may be obligated to withhold a 28% tax from remittance to individuals who have failed to furnish the paying agent with a valid taxpayer identification number. Owners of the Bonds who wish to avoid the imposition of the tax should submit certified taxpayer identification numbers when presenting the Bonds for payment.

Interested parties may direct telephone inquiries to Bondholder Relations at (800) 254-2826.

THIS NOTICE is given under authority of a resolution adopted by the Board of Regents of the University of North Texas System on May 20, 2016.



Board Briefing

Committee: Finance & Facilities

Date Filed: April 21, 2016

Title: Twenty-Second Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale, and Delivery of Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Forward Delivery Series 2018; and Approving and Authorizing Instruments and Procedures Relating Thereto

Background:

The University of North Texas System has been presented with a bond forward refunding proposal from J.P. Morgan Chase through the execution of a private placement, tax-exempt bond purchase. The proceeds of the Bond will be used to refund the System's outstanding Series 2009 bonds, in an amount not to exceed \$25 million. The Series 2009 bonds are subject to redemption at the option of the System on and after April 15, 2018.

The final maturity date of the Series 2018 Refunding Bond is expected to be April 15, 2027, which is one year earlier than the final maturity date of the refunded bonds. The Bond will not be callable. The Series 2009 bonds are Tuition Revenue Bonds.

The Bond will be secured on a senior parity basis with all obligations issued under the System's Master Resolution. In anticipation of the possible refunding, the System has received a waiver from approval by the Texas Bond Review Board, dated April 26, 2016, because the outstanding obligations of the System (1) bear an unenhanced long-term debt rating of Aa2 from Moody's Investors Service and AA from Fitch Ratings, and (2) the general revenue of the State of Texas is not pledged to the payment of the Bonds.

Financial Analysis/History:

Upon receiving any necessary State regulatory approvals, the System may refund currently outstanding bonds if market conditions present an opportunity to reduce debt service. The net present value of any savings shall be at least 5% before refunding will be pursued.

Rates and fees on the Bond are subject to market conditions after the time of the Board of Regents' vote. The indicative savings, based on rates quoted April 6th, would provide a fixed rate of 2.35% and an estimated All-in True Interest Cost of approximately 2.47% compared to the average coupon of the refunded bonds at approximately 5.16%. The indicative rate would provide an estimated net present value (NPV) savings of approximately \$3.1 million, which would equate to 14.01% of the refunded bonds. The actual coupon rate may be locked in at any time after the Board of Regents has authorized the sale.

As approved by the Board of Regents, the Resolution will provide the University of North Texas

System authority to issue an amount not to exceed \$25 million of Revenue Financing System Refunding Bonds to refund the outstanding Series 2009 bonds plus issuance costs.

**Janet
Waldron**

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.09 19:25:20 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:11:10 -05'00'

Vice Chancellor/General Counsel

Schedule:

| | |
|--------------------------------|---|
| Board of Regents' Approval | May 20, 2016 |
| Attorney General Approval | March 14, 2018 |
| Bond Closing | March 14, 2018 |
| Redemption Notices Distributed | March 14, 2018 |
| Series 2009 Bonds Redeemed | April 16, 2018 (Next business day after April 15) |

Recommendation:

The Office of Finance and Treasury recommends that the Board of Regents adopt the Twenty-Second Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale, and Delivery of Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Forward Delivery Series 2018; and Approving and Authorizing Instruments and Procedures Relating Thereto.

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2016.05.11 13:49:22 -05'00'

Chancellor

Attachments Filed Electronically:

- Twenty-Second Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale, and Delivery of Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Forward Delivery Series 2018; and Approving and Authorizing Instruments and Procedures Relating Thereto
- Placement Agent Agreement



Board Order

Title: Twenty-Second Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale, and Delivery of Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Forward Delivery Series 2018; and Approving and Authorizing Instruments and Procedures Relating Thereto

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the University of North Texas System wishes to consider refinancing Bond Series 2009 using proceeds from the University of North Texas System Revenue Financing System Forward Refunding Bond, Series 2018, and

Whereas, the Refunding Bonds would provide an interest cost savings and a reduction of the final maturity on the Refunded Bonds,

Now, Therefore, The Board of Regents authorizes and approves the following:

1. Attached Twenty-Second Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale, and Delivery of Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Forward Delivery Series 2018; and Approving and Authorizing Instruments and Procedures Relating Thereto

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

TWENTY-SECOND SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, FORWARD DELIVERY SERIES 2018; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO

TWENTY-SECOND SUPPLEMENTAL RESOLUTION TO THE MASTER
RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF
BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM
REVENUE FINANCING SYSTEM REFUNDING BONDS, FORWARD
DELIVERY SERIES 2018; AND APPROVING AND AUTHORIZING
INSTRUMENTS AND PROCEDURES RELATING THERETO

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TWENTY-SECOND SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, FORWARD DELIVERY SERIES 2018 AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO

WHEREAS, on February 12, 1999, the Board adopted the "*Amended and Restated Master Resolution Establishing the Revenue Financing System Under the Authority and Responsibility of the Board of Regents of the University of North Texas*" (referred to herein as the "Master Resolution"); and

WHEREAS, the Board heretofore has adopted a "**FIRST SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 1997; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "First Supplement") and pursuant to the First Supplement issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 1997**" in the aggregate principal amount of \$4,380,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**SECOND SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 1999; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Second Supplement"); and

WHEREAS, the Second Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Second Supplement, and pursuant to the terms of the Second Supplement the Pricing Committee authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 1999**" in the aggregate principal amount of \$32,540,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**THIRD SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 1999-A; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Third Supplement"); and

WHEREAS, the Third Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Third Supplement, and pursuant to the terms of the Third Supplement the Pricing Committee authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 1999-A**" in the aggregate principal amount of \$15,535,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**FOURTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2001; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Fourth Supplement"); and

WHEREAS, the Fourth Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Fourth Supplement, and pursuant to the terms of the Fourth Supplement the Pricing Committee authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2001**" in the aggregate principal amount of \$33,860,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**FIFTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2002; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Fifth Supplement"); and

WHEREAS, the Fifth Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Fifth Supplement, and pursuant to the terms of the Fifth Supplement the Pricing Committee authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2002**" in the aggregate principal amount of \$63,470,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**SIXTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2002A; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Sixth Supplement"); and

WHEREAS, the Sixth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Sixth Supplement, and pursuant to the terms of the Sixth Supplement the Vice Chancellor for Finance for the University System authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF**

NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2002A" in the aggregate principal amount of \$9,500,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a **"SEVENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2003; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Seventh Supplement"); and

WHEREAS, the Seventh Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Seventh Supplement, and pursuant to the terms of the Seventh Supplement the Pricing Committee authorized the sale, and the Board issued its **"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2003"** in the aggregate principal amount of \$31,180,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted an **"EIGHTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2003A; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Eighth Supplement"); and

WHEREAS, the Eighth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Eighth Supplement, and pursuant to the terms of the Eighth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its **"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2003A"** in the aggregate principal amount of \$6,185,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a **"NINTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, TAXABLE SERIES 2003B; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Ninth Supplement"); and

WHEREAS, the Ninth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Ninth Supplement, and pursuant to the terms of the Ninth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its **"BOARD OF REGENTS OF THE UNIVERSITY OF**

NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, TAXABLE SERIES 2003B in the aggregate principal amount of \$4,980,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a **"SECOND AMENDED AND RESTATED TENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION ESTABLISHING THE REVENUE FINANCING SYSTEM COMMERCIAL PAPER PROGRAM, AUTHORIZING THE ISSUANCE OF TAX-EXEMPT AND TAXABLE COMMERCIAL PAPER NOTES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Tenth Supplement") and pursuant to the Tenth Supplement to the Master Resolution has the authority to issue from time to time and at any one time outstanding up to \$100,000,000 in aggregate principal amount of its commercial paper notes as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted an **"ELEVENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2005; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Eleventh Supplement"); and

WHEREAS, the Eleventh Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Eleventh Supplement, and pursuant to the terms of the Eleventh Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its ***"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2005"*** in the aggregate principal amount of \$76,795,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a **"TWELFTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM, SERIES 2006; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Twelfth Supplement"); and

WHEREAS, the Twelfth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Twelfth Supplement, and pursuant to the terms of the Twelfth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its ***"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2007"*** in the aggregate principal amount of \$56,050,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**THIRTEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM, SERIES 2009; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Thirteenth Supplement"); and

WHEREAS, the Thirteenth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Thirteenth Supplement, and pursuant to the terms of the Thirteenth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2009**" in the aggregate principal amount of \$38,650,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**FOURTEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, IN ONE OR MORE SERIES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Fourteenth Supplement"); and

WHEREAS, the Fourteenth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Fourteenth Supplement, and pursuant to the terms of the Fourteenth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, SERIES 2009A**" in the aggregate principal amount of \$159,310,000, its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2009B**" in the aggregate principal amount of \$15,800,000, and its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2010**" in the aggregate principal amount of \$57,625,000, as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on August 18, 2011, the Board adopted a "**RESTATED FIFTEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, IN ONE OR MORE SERIES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Fifteenth Supplement"); and

WHEREAS, the Fifteenth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Fifteenth Supplement, and

pursuant to the terms of the Fifteenth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, SERIES 2012A**" in the aggregate principal amount of \$75,890,000, and its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, TAXABLE SERIES 2012B**" in the aggregate principal amount of \$4,820,000, as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on August 28, 2015, the Board adopted a "**RESTATED SIXTEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, IN ONE OR MORE SERIES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**", restating the resolution adopted by the Board on August 16, 2013, and which by its terms the authority to issue bonds expired on August 29, 2014 (the "Sixteenth Supplement"); and

WHEREAS, under the terms of the Sixteenth Supplement, the Board authorized the issuance of up to \$380,000,000 in bonds, in one or more series, and delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Sixteenth Supplement; and

WHEREAS, on September 30, 2015, the Vice Chancellor for Finance for the University System effected the sale of and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2015A**" in the aggregate principal amount of \$105,130,000, and its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, TAXABLE SERIES 2015B**" in the aggregate principal amount of \$73,035,000, as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on February 20, 2014, the Board adopted a "**SEVENTEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION ESTABLISHING THE REVENUE FINANCING SYSTEM COMMERCIAL PAPER PROGRAM, SERIES B; AUTHORIZING THE ISSUANCE OF TAX-EXEMPT AND TAXABLE COMMERCIAL PAPER NOTES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Seventeenth Supplement") and pursuant to the Seventeenth Supplement to the Master Resolution has the authority to issue from time to time and at any one time outstanding up to \$100,000,000 in aggregate principal amount of its commercial paper notes as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Seventeenth Supplement has not been implemented, and the authority to sell commercial paper notes under the terms of the Seventeenth Supplement has expired; and

WHEREAS, on February 20, 2014, the Board adopted an **"EIGHTEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NOTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, IN ONE OR MORE SERIES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (the "Eighteenth Supplement"); and

WHEREAS, the Eighteenth Supplement has not been implemented, and the authority to sell bonds under the terms of the Eighteenth Supplement has expired; and

WHEREAS, on May 15, 2014, the Board adopted a **"NINETEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM DIRECT PURCHASE BONDS, SERIES 2014; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO "** (the "Nineteenth Supplement"); and

WHEREAS, the Nineteenth Supplement authorized the issuance of bonds in installments in an aggregate principal amount not to exceed \$120,000,000; and

WHEREAS, all of the bonds authorized to be issued under the terms of the Nineteenth Supplement were refunded through the issuance of bonds authorized by the Sixteenth Supplement; and

WHEREAS, on April 9, 2015, the Board adopted a **"TWENTIETH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2015; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Twentieth Supplement"); and

WHEREAS, pursuant to the terms of the Twentieth Supplement, the Board issued its **"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2015"** in the aggregate principal amount of \$38,265,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on October 6, 2015, the Board adopted a **"TWENTY-FIRST SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2015C; AND APPROVING AND AUTHORIZING**

INSTRUMENTS AND PROCEDURES RELATING THERETO" (defined as the "Twenty-First Supplement"); and

WHEREAS, pursuant to the terms of the Twenty-First Supplement, the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2015C**" in the aggregate principal amount of \$45,865,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Parity Obligations issued under the terms of the First Supplement, the Second Supplement, the Third Supplement, the Fourth Supplement, the Fifth Supplement, the Sixth Supplement, the Seventh Supplement, the Eighth Supplement, the Ninth Supplement, the Eleventh Supplement, the Twelfth Supplement and the Nineteenth Supplement are no longer outstanding, and there are no Prior Encumbered Obligations outstanding; and

WHEREAS, unless otherwise defined herein, terms used herein shall have the meaning given in the Master Resolution; and

WHEREAS, the Master Resolution establishes that the Revenue Financing System is to be comprised of the University, UNT-Dallas and the Health Science Center, and pledges the Pledged Revenues to the payment of Parity Obligations to be outstanding under the Master Resolution; and

WHEREAS, the Board has determined to implement the Revenue Financing System in order to establish a system of financing improvements at the University, UNT-Dallas and the Health Science Center in a manner consistent with Chapter 55, Texas Education Code; and

WHEREAS, the Board deems it necessary to issue, pursuant to the terms and conditions of this resolution (this "Twenty-Second Supplement"), the bonds hereinafter authorized as Parity Obligations issued pursuant to the Master Resolution, for the purposes hereinafter described; and

WHEREAS, the bonds authorized to be issued by this Twenty-Second Supplement (the "Bonds") are to be issued and delivered under authority of applicable provisions of Chapter 1207, Texas Government Code.

NOW THEREFORE, BE IT RESOLVED BY THE BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM THAT:

Section 1. **DEFINITIONS.** In addition to the definitions set forth in the preamble of this Twenty-Second Supplement, the terms used in this Twenty-Second Supplement (except in the FORM OF BONDS) and not otherwise defined shall have the meanings given in the Master Resolution or in Exhibit A to this Twenty-Second Supplement attached hereto and made a part hereof.

Section 2. **AMOUNT, PURPOSE, AND DESIGNATION OF THE BONDS.** (a) *Amount and Designation of Bonds.* The "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, FORWARD DELIVERY SERIES 2018**", are hereby authorized to be issued and delivered, in the aggregate principal amount not to exceed \$25,000,000, **FOR THE PURPOSE OF (i) REFUNDING THE REFUNDED BONDS, AND (ii) PAYING THE COSTS OF ISSUANCE RELATED TO THE SALE OF THE BONDS.**

(b) *Refunding.* The Bonds are being issued by the Board under authority of the Act to effect the refunding of the Refunded Bonds, which constitutes a public purpose. The refunding of the Refunded Bonds shall be accomplished in a manner that will result in a net present value savings for the transaction of at least five percent (5.00%).

Section 3. **DATE, DENOMINATIONS, NUMBERS, MATURITIES AND TERMS OF BONDS.** (a) *Issuance of Bonds.* The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is hereby authorized to sell all or any portion of the Bonds authorized to be sold by this Twenty-Second Supplement by negotiated sale with one or more purchasers of the Bonds as she deems appropriate to assure that the Bonds are sold on the most advantageous terms to the Financing System. The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is authorized to enter into and carry out a Bond Purchase Agreement with the Purchasers at such price, with and subject to such terms as determined by the Vice Chancellor for Finance for the University System, subject to the provisions of this Twenty-Second Supplement. The sale of the Bonds, including specifically the terms of the purchase price of the Bonds, shall be subject to the provisions in subsection (e) of this Section and Section 2 of this Twenty-Second Supplement. One Bond in the principal amount maturing on each maturity date as set forth in the Bond Purchase Agreement shall be delivered to the Purchasers, and the Purchasers shall have the right to exchange such Bonds as provided in Section 5 hereof without cost. The Bonds shall initially be registered in the name designated by the Purchasers as set forth in the Bond Purchase Agreement. In case any officer whose signature shall appear on the Bonds shall cease to be such officer before the delivery of the Bonds, such signature shall nevertheless be valid and sufficient for all purposes the same as if such officer had remained in office until such delivery. The Bond Purchase Agreement shall be substantially in the form and substance previously approved by the Board in connection with the authorization of Parity Obligations, as shall be acceptable to the Vice Chancellor for Finance for the University System, including, without limitation, to contain such terms and conditions as may be provided in accordance with Section 2 of this Twenty-Second Supplement. For purposes of this Twenty-Second Supplement, a negotiated sale includes a negotiated private placement of Bonds. The Bonds shall be numbered consecutively from R-1 upward.

(b) *Sale of Bonds in Best Interests of University System.* Based on the recommendations made by the University System's financial advisor, the Vice Chancellor for Finance for the University System shall make a finding in the Bond Purchase Agreement that the sale of the Bonds at

the purchase price and in accordance with the terms set forth in the Bond Purchase Agreement, is in the best interests of the University System.

(c) ***In General.*** The Bonds (i) may and shall be redeemed prior to the respective scheduled maturity date or dates, (ii) may be assigned and transferred, (iii) may be exchanged for other Bonds, (iv) shall have the characteristics, (v) may be subject to redemption prior to their Stated Maturity, (vi) shall be signed and sealed, and (vii) the principal of and interest on the Bonds shall be payable, all as provided, and in the manner required or indicated, in the FORM OF BONDS.

(d) ***Bond Purchase Agreement.*** The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is hereby authorized, appointed, and designated to act on behalf of the Board in the selling and delivering the Bonds and carrying out the other procedures specified in this Twenty-Second Supplement, including determining and fixing the date of the Bonds, any additional or different designation or title by which the Bonds shall be known, the aggregate principal amount of the Bonds to be sold, the price at which the Bonds will be sold, the years in which the Bonds will mature, the principal amount to mature in each of such years, the rate or rates of interest to be borne by each such maturity, the interest payment periods, the dates, price, and terms upon and at which the Bonds shall be subject to redemption prior to maturity at the option of the Issuer, as well as any mandatory sinking fund redemption provisions, and all other matters relating to the issuance, sale, and delivery of the Bonds, including, without limitation, the use of municipal bond insurance for the Bonds, all of which shall be specified in the Bond Purchase Agreement. The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is authorized to enter into with the Purchasers and carry out the conditions specified in a Bond Purchase Agreement for the Bonds, at such price and subject to such terms as are set forth therein. The sale of the Bonds, including specifically the terms of the purchase price of the Bonds, shall be subject to the provisions in subsection (e) of this Section. Should liquidated damages be payable to the Purchasers as provided in the Bond Purchase Agreement, such payment of liquidated damages shall be payable from Revenue Funds and be treated as Subordinated Debt.

(e) ***Parameters to Sale of Bonds.*** The foregoing provisions of this Section notwithstanding, the purchase price to be paid for the Bonds sold pursuant to this Twenty-Second Supplement shall not be less than 95% of the aggregate principal amount thereof, and the Bonds shall not bear a "net effective interest rate" (as defined in and calculated in accordance with the provisions of Chapter 1204, Texas Government Code) of greater than 5%. The Bonds shall not be delivered unless prior to the execution by the Vice Chancellor for Finance for the University System of the Bond Purchase Agreement, the Purchasers have confirmed to the Vice Chancellor for Finance for the University System that it has made disclosure filings to the Texas Ethics Commission in accordance with Section 2252.908, Texas Government Code. Within thirty (30) days of receipt of the disclosure filings from the Purchasers, the Vice Chancellor for Finance for the University System will submit a copy of the disclosure filings with the Texas Ethics Commission. Prior to the delivery of the Bonds, the Vice Chancellor for Finance for the University System shall execute a certificate addressing the matters described in Section 2(b) of this Twenty-Second Supplement. The authority hereby granted by the Board to the Vice Chancellor for Finance for the University System to effect the sale of all or

any portion of the Bonds authorized to be sold by this Twenty-Second Supplement expires at 5:00 p.m., Wednesday, August 31, 2016. The Bonds may be delivered on any date provided in the Bond Purchase Agreement, provided that the Bond Purchase Agreement has been executed on or before 5:00 p.m., Wednesday, August 31, 2016.

Section 4. **INTEREST.** Interest on the Bonds shall be calculated on the basis of a 360-day year composed of twelve 30-day months.

Section 5. **REGISTRATION, TRANSFER, AND EXCHANGE; AUTHENTICATION; BOOK-ENTRY ONLY SYSTEM.** (a) ***Paying Agent/Registrar.*** The Vice Chancellor for Finance for the University System is authorized to enter into and carry out the Paying Agent/Registrar Agreement with the Paying Agent/Registrar with respect to the Bonds, in substantially the form of similar agreements executed in connection with the issuance of Parity Obligations.

(b) ***Registration Books.*** The Issuer shall keep or cause to be kept at the corporate trust office of the Paying Agent/Registrar so designated in the Paying Agent/Registrar Agreement (the "Designated Trust Office") books or records for the registration of the transfer, exchange, and replacement of the Bonds (the "Registration Books"), and the Issuer hereby appoints the Paying Agent/Registrar as its registrar and transfer agent to keep such books or records and make such registrations of transfers, exchanges, and replacements under such reasonable regulations as the Issuer and Paying Agent/Registrar may prescribe; and the Paying Agent/Registrar shall make such registrations, transfers, exchanges, and replacements as herein provided. The Paying Agent/Registrar shall obtain and record in the Registration Books the address of the registered owner of each Bond to which payments with respect to the Bonds shall be mailed, as herein provided; but it shall be the duty of each registered owner to notify the Paying Agent/Registrar in writing of the address to which payments shall be mailed, and such interest payments shall not be mailed unless such notice has been given. The Issuer shall have the right to inspect the Registration Books at the Designated Trust Office of the Paying Agent/Registrar during regular business hours, but otherwise the Paying Agent/Registrar shall keep the Registration Books confidential and, unless otherwise required by law, shall not permit their inspection by any other entity.

(c) ***Ownership of Bonds.*** The entity in whose name any Bond shall be registered in the Registration Books at any time shall be deemed and treated as the absolute owner thereof for all purposes of this Twenty-Second Supplement, whether such Bond shall be overdue, and, to the extent permitted by law, the Issuer and the Paying Agent/Registrar shall not be affected by any notice to the contrary; and payment of, or on account of, the principal of, premium, if any, and interest on any such Bond shall be made only to such registered owner. All such payments shall be valid and effectual to satisfy and discharge the liability upon such Bond to the extent of the sum or sums so paid.

(d) ***Payment of Bonds and Interest.*** The Paying Agent/Registrar shall further act as the paying agent for paying the principal of, premium, if any, and interest on the Bonds, all as provided

in this Twenty-Second Supplement. The Paying Agent/Registrar shall keep proper records of all payments made by the Issuer and the Paying Agent/Registrar with respect to the Bonds.

(e) **Authentication.** The Initial Bond initially issued and delivered pursuant to this Twenty-Second Supplement shall be registered by the Comptroller of Public Accounts of the State of Texas, upon its approval by the Attorney General of the State of Texas. The Bonds issued and delivered pursuant to this Twenty-Second Supplement in exchange for the Initial Bond and thereafter shall be authenticated by the Paying Agent/Registrar by execution of the Paying Agent/Registrar's Authentication Certificate, in the form set forth in the FORM OF BONDS (the "Authentication Certificate"), and on each substitute Bond issued in exchange for any Bond or Bonds issued under this Twenty-Second Supplement the Paying Agent/Registrar shall execute the Authentication Certificate.

(f) **Transfer, Exchange, or Replacement.** Each Bond issued and delivered pursuant to this Twenty-Second Supplement, to the extent of the unpaid or unredeemed principal amount thereof, may, at the option of the registered owner or such assignee or assignees, as appropriate, upon surrender of such Bond at the Designated Trust Office of the Paying Agent/Registrar, together with a written request therefor duly executed by the registered owner or the assignee or assignees thereof, or its or their duly authorized attorneys or representatives, with guarantee of signatures satisfactory to the Paying Agent/Registrar, be exchanged for fully registered bonds, without interest coupons, in the appropriate form prescribed in the FORM OF BONDS, in any Authorized Denomination (subject to the requirement hereinafter stated that each substitute Bond shall be of the same series and have a single stated maturity date), as requested in writing by such registered owner or such assignee or assignees, in an aggregate principal amount equal to the unpaid or unredeemed principal amount of any Bond or Bonds so surrendered, and payable to the appropriate registered owner, assignee, or assignees, as the case may be. If a portion of any Bond shall be redeemed prior to its scheduled maturity as provided herein, a substitute Bond or Bonds having the same series designation and maturity date, bearing interest at the same interest rate, and payable in the same manner, in Authorized Denominations at the request of the registered owner, and in the aggregate principal amount equal to the unredeemed portion thereof, will be issued to the registered owner upon surrender thereof for cancellation. If any Bond or portion thereof is assigned and transferred, each Bond issued in exchange therefor shall have the same series designation and maturity date and bear interest at the same rate of interest and payable in the same manner as the Bond for which it is being exchanged. Each substitute Bond shall bear a letter and/or number to distinguish it from each other Bond. The Paying Agent/Registrar shall exchange or replace Bonds as provided herein, and each fully registered Bond delivered in exchange for or replacement of any Bond or portion thereof as permitted or required by any provision of this Twenty-Second Supplement shall constitute one of the Bonds for all purposes of this Twenty-Second Supplement, and may again be exchanged or replaced. The Authentication Certificate shall be printed on each substitute Bond issued in exchange for or replacement of any Bond or Bonds issued under this Twenty-Second Supplement. An authorized representative of the Paying Agent/Registrar shall, before the delivery of any such Bond, date and manually sign the Authentication Certificate, and, except as provided in subsection (e) above, no such Bond shall be deemed to be issued or outstanding unless the Authentication Certificate is so ex-

ecuted. The Paying Agent/Registrar promptly shall cancel all Bonds surrendered for transfer, exchange, or replacement. No additional orders or resolutions need be passed or adopted by the Issuer or any other body or person so as to accomplish the foregoing transfer, exchange, or replacement of any Bond or portion thereof, and the Paying Agent/Registrar shall provide for the printing, execution, and delivery of the substitute Bonds in the manner prescribed herein, and the Bonds shall be in typed or printed form as determined by the Vice Chancellor for Finance for the University System. Pursuant to Chapter 1206, Texas Government Code, the duty of transfer, exchange, or replacement of Bonds as aforesaid is hereby imposed upon the Paying Agent/Registrar, and, upon the execution of the Authentication Certificate, the exchanged or replaced Bond shall be valid, incontestable, and enforceable in the same manner and with the same effect as the Bonds which were originally issued pursuant to this Twenty-Second Supplement. The Issuer shall pay the Paying Agent/Registrar's standard or customary fees and charges, if any, for transferring, and exchanging any Bond or any portion thereof, but the one requesting any such transfer and exchange shall pay any taxes or governmental charges required to be paid with respect thereto as a condition precedent to the exercise of such privilege. The Paying Agent/Registrar shall not be required to make any such transfer, exchange, or replacement of Bonds or any portion thereof (i) during the period commencing with the close of business on any Record Date and ending with the opening of business on the next following interest payment date, or (ii) with respect to any Bond or portion thereof called for redemption prior to maturity, within ten (10) days prior to its redemption date. To the extent possible, any new Bond issued in an exchange, replacement, or transfer of a Bond will be delivered to the registered owner or assignee of the registered owner not more than three business days after the receipt of the Bonds to be cancelled and the written request as described above.

(g) ***Substitute Paying Agent/Registrar.*** The Issuer covenants with the registered owners of the Bonds that at all times while the Bonds are outstanding the Issuer will provide a competent and legally qualified bank, trust company, financial institution, or other agency to act as and perform the services of Paying Agent/Registrar for the Bonds under this Twenty-Second Supplement, and that the Paying Agent/Registrar will be one entity. The Issuer reserves the right to, and may, at its option, change the Paying Agent/Registrar upon not less than sixty (60) days written notice to the Paying Agent/Registrar, to be effective not later than thirty (30) days prior to the next principal or interest payment date after such notice. In the event that the entity at any time acting as Paying Agent/Registrar (or its successor by merger, acquisition, or other method) should resign or otherwise cease to act as such, the Issuer covenants that promptly it will appoint a competent and legally qualified bank, trust company, financial institution, or other agency to act as Paying Agent/Registrar under this Twenty-Second Supplement. Upon any change in the Paying Agent/Registrar, the previous Paying Agent/Registrar promptly shall transfer and deliver the Registration Books (or a copy thereof), along with all other pertinent books and records relating to the Bonds, to the new Paying Agent/Registrar designated and appointed by the Issuer. Upon any change in the Paying Agent/Registrar, the Issuer promptly will cause a written notice thereof to be sent by the new Paying Agent/Registrar to each registered owner of the Bonds, by United States mail, first-class postage prepaid, which notice also shall give the address of the new Paying Agent/Registrar. By accepting the position and performing as such, each Paying Agent/Registrar shall be deemed to have agreed to

the provisions of this Twenty-Second Supplement, and a certified copy of this Twenty-Second Supplement shall be delivered to each Paying Agent/Registrar.

(h) **Notice of Redemption.** Notice of redemption shall be provided to the extent required and in the manner set forth in the FORM OF BONDS. In addition to the method of providing a notice of redemption set forth in the FORM OF BONDS, the Paying Agent/Registrar shall give notice of redemption of Bonds by United States mail, first-class postage prepaid, at least fifteen (15) days prior to a redemption date to the MSRB and to any national information service that disseminates redemption notices. Any notice sent to the registered securities depositories or such national information services shall be sent so that they are received at least two (2) days prior to the general mailing or publication date of such notice. The Paying Agent/Registrar shall also send a notice of prepayment or redemption to the registered owner of any Bond who has not sent the Bonds in for redemption thirty (30) days after the redemption date.

Each notice of redemption, whether required in the FORM OF BONDS or in this Section, shall contain a description of the Bonds to be redeemed including the complete name of the Bonds, the Series, the date of issue, the interest rate, the maturity date, the amounts called of each maturity of the Bonds, the publication and mailing date for the notice, the date of redemption, the redemption price, the name of the Paying Agent/Registrar and the address at which the Bonds may be redeemed, including a contact person and telephone number.

(i) **Book-Entry Only System.** Unless otherwise requested by the Purchasers, the Bonds shall not be issued in the DTC book-entry only system of registration.

(j) **Texas Ethics Commission Filing.** If required by law, the Vice Chancellor for Finance for the University System shall not execute the Paying Agent/Registrar Agreement unless the Paying Agent/Registrar has confirmed to the Vice Chancellor for Finance for the University System that it has made disclosure filings to the Texas Ethics Commission in accordance with Section 2252.908, Texas Government Code. Within thirty (30) days of receipt of the disclosure filings from the Paying Agent/Registrar, the Vice Chancellor for Finance for the University System will submit a copy of the disclosure filings with the Texas Ethics Commission.

Section 6. **FORM OF BONDS.** The form of the Bonds, including the form of the Authentication Certificate, the form of Assignment and, with respect to the Initial Bond, the form of Registration Certificate of the Comptroller of Public Accounts of the State of Texas, shall be, respectively, substantially as set forth in Exhibit B, with such appropriate variations, omissions, or insertions as are permitted or required by this Twenty-Second Supplement.

Section 7. **ESTABLISHMENT OF FINANCING SYSTEM AND ISSUANCE OF PARITY OBLIGATIONS.** By adoption of the Master Resolution the Board has established the Revenue Financing System for the purpose of providing a financing structure for revenue supported indebtedness of the University, UNT-Dallas and the Health Science Center. The Master Resolution is intended to establish a master plan under which revenue supported debt of the Financing System

can be incurred. This Twenty-Second Supplement provides for the authorization, issuance, sale, delivery, form, characteristics, provisions of payment and redemption, and security of the Bonds. The Master Resolution is incorporated herein by reference and as such made a part hereof for all purposes, except to the extent modified and supplemented hereby, and the Bonds are hereby declared to be Parity Obligations under the Master Resolution. As required by Section 5(a) of the Master Resolution, the Board hereby determines, in connection with the issuance of the Bonds, that (i) it will have sufficient funds to meet the financial obligations of each Participant in the Financing System (currently the University, UNT-Dallas and the Health Sciences Center), including sufficient Pledged Revenues to satisfy the Annual Debt Service Requirements of the Financing System, and to meet all financial obligations of the Board relating to the Financing System and (ii) the University, UNT-Dallas and the Health Sciences Center each possess the financial capability to satisfy its respective Direct Obligation (as defined in the Master Resolution) after taking into account the debt service on the Bonds.

Section 8. **SECURITY.** The Bonds are special obligations of the Board payable from and secured solely by the Pledged Revenues pursuant to the Master Resolution and this Twenty-Second Supplement. The Pledged Revenues are hereby pledged, subject to the liens, if any, securing the Prior Encumbered Obligations, to the payment of the principal of, premium, if any, and interest on the Bonds as the same shall become due and payable. The Board agrees to pay the principal of, premium, if any, and the interest on the Bonds when due, whether by reason of maturity or redemption. Chapter 1208, Texas Government Code, applies to the issuance of the Bonds and the pledge of the Pledged Revenues granted by the Board under this Section 8, and such pledge is therefore valid, effective, and perfected. If Texas law is amended at any time while the Bonds are outstanding and unpaid such that the pledge of the Pledged Revenues granted by the Board under this Section 8 is to be subject to the filing requirements of Chapter 9, Texas Business & Commerce Code, then in order to preserve to the registered owners of the Bonds the perfection of the security interest in said pledge, the Board agrees to take such measures as it determines are reasonable and necessary under Texas law to comply with the applicable provisions of Chapter 9, Texas Business & Commerce Code and enable a filing to perfect the security interest in said pledge to occur.

Section 9. **PAYMENTS.** While any Bond is outstanding, on or before the date of payment of principal of or interest on the Bonds, commencing on the first Interest Payment Date for the Bonds as provided therein, the Board shall make available to the Paying Agent/Registrar money sufficient to pay such interest on and such principal of the Bonds as will accrue or mature, or be subject to mandatory redemption prior to maturity, on such principal, redemption, or Interest Payment Date. The Paying Agent/Registrar shall cancel all paid Bonds and shall furnish the Board with an appropriate certificate of cancellation.

Section 10. **DAMAGED, MUTILATED, LOST, STOLEN, OR DESTROYED BONDS.**
(a) **Replacement Bonds.** In the event any outstanding Bond is damaged, mutilated, lost, stolen, or destroyed, the Paying Agent/Registrar shall cause to be printed, executed, and delivered a new Bond of the same series, principal amount, maturity, and interest rate, and in the same form, as the

damaged, mutilated, lost, stolen, or destroyed Bond, in replacement for such Bond in the manner hereinafter provided.

(b) ***Application for Replacement Bonds.*** Application for replacement of damaged, mutilated, lost, stolen, or destroyed Bonds shall be made to the Paying Agent/Registrar. In every case of loss, theft, or destruction of a Bond, the applicant for a replacement Bond shall furnish to the Issuer and to the Paying Agent/Registrar such security or indemnity as may be required by them to save each of them harmless from any loss or damage with respect thereto. Also, in every case of loss, theft, or destruction of a Bond, the applicant shall furnish to the Issuer and to the Paying Agent/Registrar evidence to their satisfaction of the loss, theft, or destruction of such Bond, as the case may be. In every case of damage or mutilation of a Bond, the applicant shall surrender to the Paying Agent/Registrar for cancellation the Bond so damaged or mutilated.

(c) ***Payment in Lieu of Replacement.*** Notwithstanding the foregoing provisions of this Section, in the event any such Bond shall have matured, and no default has occurred which is then continuing in the payment of the principal of, redemption premium, if any, or interest on the Bond, the Issuer may authorize the payment of the same (without surrender thereof except in the case of a damaged or mutilated Bond) instead of issuing a replacement Bond, provided security or indemnity is furnished as above provided in this Section.

(d) ***Charge for Issuing Replacement Bonds.*** Prior to the issuance of any replacement Bond, the Paying Agent/Registrar shall charge the owner thereof with all legal, printing, and other expenses in connection therewith. Every replacement bond issued pursuant to the provisions of this Section by virtue of the fact that any Bond is lost, stolen, or destroyed shall constitute a contractual obligation of the Issuer whether the lost, stolen, or destroyed Bond shall be found at any time, or be enforceable by anyone, and shall be entitled to all the benefits of this Twenty-Second Supplement equally and proportionately with any and all other Bonds duly issued under this Twenty-Second Supplement.

(e) ***Authority for Issuing Replacement Bonds.*** In accordance with Chapter 1206, Texas Government Code, this Section shall constitute authority for the issuance of any such replacement Bond without the necessity of further action by the Issuer or any other body or person, and the duty of the replacement of such replacement Bonds is hereby authorized and imposed upon the Paying Agent/Registrar, and the Paying Agent/Registrar shall authenticate and deliver such Bonds in the form and manner and with the effect, as provided in Section 5(f) of this Twenty-Second Supplement for Bonds issued in exchange and replacement for other Bonds.

Section 11. **AMENDMENT OF SUPPLEMENT.** (a) ***Amendments Without Consent.*** This Twenty-Second Supplement and the rights and obligations of the Board and of the owners of the Bonds may be modified or amended at any time without notice to or the consent of any owner of the Bonds or any other Parity Obligations, solely for any one or more of the following purposes:

(i) To add to the covenants and agreements of the Board contained in this Twenty-Second Supplement, other covenants and agreements thereafter to be observed, or to

surrender any right or power reserved to or conferred upon the Board in this Twenty-Second Supplement;

(ii) To cure any ambiguity or inconsistency, or to cure or correct any defective provisions contained in this Twenty-Second Supplement, upon receipt by the Board of an opinion of Bond Counsel, that the same is needed for such purpose, and will more clearly express the intent of this Twenty-Second Supplement;

(iii) To supplement the security for the Bonds, replace or provide additional credit facilities, or change the form of the Bonds or make such other changes in the provisions hereof as the Board may deem necessary or desirable and which shall not, in the judgment of the Board, materially adversely affect the interests of the owners of the Outstanding Bonds;

(iv) To make any changes or amendments requested by any bond rating agency then rating or requested to rate Parity Obligations, as a condition to the issuance or maintenance of a rating, which changes or amendments do not, in the judgment of the Board, materially adversely affect the interests of the owners of the Outstanding Parity Obligations;

(v) To make such changes, modifications or amendments as are permitted by Section 19(c)(vi) of this Twenty-Second Supplement;

(vi) To make such changes, modifications or amendments as may be necessary or desirable, which shall not adversely affect the interests of the owners of the Outstanding Parity Obligations, in order, to the extent permitted by law, to facilitate the economic and practical utilization of Credit Agreements with respect to the Parity Obligations; or

(vii) To make such other changes in the provisions hereof as the Board may deem necessary or desirable and which shall not, in the judgment of the Board, materially adversely affect the interests of the owners of Outstanding Parity Obligations.

Notice of any such amendment may be published by the Board in the manner described in subsection (c) of this Section; provided, however, that the publication of such notice shall not constitute a condition precedent to the adoption of such amendatory resolution and the failure to publish such notice shall not adversely affect the implementation of such amendment as adopted pursuant to such amendatory resolution; and provided, further, that publication is not required if notice of any such amendment is mailed to the Holders by United States mail, first-class postage prepaid, at its Notice Address no later than twenty (20) days prior to the proposed date of enactment of the proposed amendment.

(b) ***Amendments With Consent.*** Subject to the other provisions of this Twenty-Second Supplement, this Twenty-Second Supplement may be amended from time to time by the Board if such amendment shall have been consented to by the Holders, other than amendments described in

subsection (a) of this Section; provided, however, that this Twenty-Second Supplement may not be so amended in such a manner as to:

- (1) Make any change in the maturity of the Outstanding Bonds;
- (2) Reduce the rate of interest borne by Outstanding Bonds;
- (3) Reduce the amount of the principal payable on Outstanding Bonds;
- (4) Modify the terms of payment of principal of or interest on the Outstanding Bonds, or impose any conditions with respect to such payment;
- (5) Affect the rights of the owners of less than all Bonds then Outstanding; or
- (6) Change the minimum percentage of the Outstanding Principal Amount of Bonds necessary for consent to such amendment.

(c) **Notice.** If at any time the Board shall desire to amend this Twenty-Second Supplement other than pursuant to subsection (a) of this Section, the Board shall cause notice of the proposed amendment to be mailed by certified mail to each registered owner of any Bond as shown by the records of the Registrar. Such notice shall set forth the nature of the proposed amendment and shall state that a copy of the proposed amendatory resolution is on file at the office of the Registrar.

(d) **Receipt of Consents.** Whenever at any time not less than thirty (30) days, and within one year, from the date of mailing of said notice or other service of written notice of the proposed amendment the Board shall receive an instrument executed by the registered owner or owners of the Bonds, which instrument shall refer to the proposed amendment described in said notice and which specifically consents to and approves such amendment in substantially the form of the copy thereof on file as aforesaid, the Board may adopt the amendatory resolution in substantially the same form.

(e) **Effect of Amendments.** Upon the adoption by the Board of any resolution to amend this Twenty-Second Supplement pursuant to the provisions of this Section, this Twenty-Second Supplement shall be deemed to be amended in accordance with the amendatory resolution, and the respective rights, duties, and obligations of the Board and all the owners of then Outstanding Bonds and all future Bonds shall thereafter be determined, exercised, and enforced under the Master Resolution and this Twenty-Second Supplement, as amended.

(f) **Consent Irrevocable.** Any consent given in writing by the registered owner or owners of the Bonds pursuant to the provisions of this Section shall be irrevocable, and shall be conclusive and binding upon all future owners of the same Bonds.

(g) **Ownership.** For the purpose of this Section, the ownership and other matters relating to all Bonds registered as to ownership shall be determined from the registration books kept by the

Paying Agent/Registrar therefor. The Paying Agent/Registrar may conclusively assume that such ownership continues until written notice to the contrary is served upon the Paying Agent/Registrar.

Section 12. **TAX-EXEMPTION.** (a) **General.** The Issuer does intend to issue the Bonds in a manner such that the Bonds would constitute obligations described in section 103 of the Code. In that regard, the Issuer covenants to comply with such tax covenants required by Bond Counsel to render an opinion that interest on the Bonds will be excludable from the gross income of the holders for federal income tax purposes. The Issuer will execute the Tax Agreement and will deliver the Tax Agreement on the Original Issue Date.

(b) **Written Procedures.** Written procedures have been established by the Vice Chancellor for Finance for the University System regarding private business use, remedial action, arbitrage and rebate and the application of the covenants set forth in this Section, and the written procedures shall apply to the Bonds.

Section 13. **ESCROW AGREEMENT.** The Board shall cause to be deposited with BOKF, NA, as Escrow Agent for the Refunded Bonds, from the proceeds received from the sale of the Bonds sold for such purpose and other available moneys of the Board, an amount sufficient to provide for the refunding of the Refunded Bonds in accordance with the Act. The Vice Chancellor for Finance for the University System is hereby authorized, for and on behalf of the Board, to execute and deliver the Escrow Agreement to accomplish the establishing of firm banking arrangements in connection with the refunding of the Refunded Bonds, in substantially the form previously executed by the University System in connection with the refunding of Parity Obligations issued by the Board. BOKF, NA, does not serve as a depository for funds of the System or any of its Participants.

Section 14. **TWENTY-SECOND SUPPLEMENT TO CONSTITUTE A CONTRACT; EQUAL SECURITY.** In consideration of the acceptance of the Bonds, the issuance of which is authorized hereunder, by those who shall hold the same from time to time, this Twenty-Second Supplement shall be deemed to be and shall constitute a contract between the Board and the Holders from time to time of the Bonds and the pledge made in this Twenty-Second Supplement by the Board and the covenants and agreements set forth in this Twenty-Second Supplement to be performed by the Board shall be for the equal and proportionate benefit, security, and protection of all Holders, without preference, priority, or distinction as to security or otherwise of any of the Bonds authorized hereunder over any of the others by reason of time of issuance, sale, or maturity thereof or otherwise for any cause whatsoever, except as expressly provided in or permitted by this Twenty-Second Supplement.

Section 15. **SEVERABILITY OF INVALID PROVISIONS.** If any one or more of the covenants, agreements, or provisions herein contained shall be held contrary to any express provisions of law or contrary to the policy of express law, though not expressly prohibited, or against public policy, or shall for any reason whatsoever be held invalid, then such covenants, agreements, or provisions shall be null and void and shall be deemed separable from the remaining covenants,

agreements, or provisions and shall in no way affect the validity of any of the other provisions hereof or of the Bonds issued hereunder.

Section 16. **PAYMENT AND PERFORMANCE ON BUSINESS DAYS.** Except as provided to the contrary in the FORM OF BONDS, whenever under the terms of this Twenty-Second Supplement or the Bonds, the performance date of any provision hereof or thereof, including the payment of principal of or interest on the Bonds, shall occur on a day other than a Business Day, then the performance thereof, including the payment of principal of and interest on the Bonds, need not be made on such day but may be performed or paid, as the case may be, on the next succeeding Business Day with the same force and effect as if made on the date of performance or payment.

Section 17. **LIMITATION OF BENEFITS WITH RESPECT TO THE TWENTY-SECOND SUPPLEMENT.** With the exception of the rights or benefits herein expressly conferred, nothing expressed or contained herein or implied from the provisions of this Twenty-Second Supplement or the Bonds is intended or should be construed to confer upon or give to any person other than the Board, the Purchasers, the Holders, and the Paying Agent/Registrar, any legal or equitable right, remedy, or claim under or by reason of or in respect to this Twenty-Second Supplement or any covenant, condition, stipulation, promise, agreement, or provision herein contained. This Twenty-Second Supplement and all of the covenants, conditions, stipulations, promises, agreements, and provisions hereof are intended to be and shall be for and inure to the sole and exclusive benefit of the Board, the Purchasers, the Holders, and the Paying Agent/Registrar as herein and therein provided.

Section 18. **CUSTODY, APPROVAL, BOND COUNSEL'S OPINION, AND PREAMBLE.** The Vice Chancellor for Finance for the University System is hereby authorized to have control of the Bonds issued hereunder and all necessary records and proceedings pertaining to the Bonds pending their delivery and approval by the Attorney General of the State of Texas. The Vice Chancellor for Finance for the University System is hereby authorized, to the extent deemed necessary or advisable thereby, in the discretion thereof, to request that the Attorney General approve the Bonds, in which case the Vice Chancellor for Finance for the University System also is authorized to request the Comptroller of Public Accounts register the Initial Bond, and to cause an appropriate legend reflecting such approval and registration to appear on the Initial Bond. The Vice Chancellor for Finance for the University System is hereby authorized, in connection with the submission to the Attorney General of the State of Texas of a transcript of proceedings for the approval of any series of the Bonds, to pay the fee for the examination of the transcript of proceedings in the amount determined in accordance with the provisions of Section 1202.004, Texas Government Code. The approving legal opinion of the Issuer's Bond Counsel may, at the option of the Issuer, be printed on the Bonds and on any Bonds issued and delivered in exchange or replacement of any Bond, but neither shall have any legal effect, and shall be solely for the convenience and information of the registered owners of the Bonds. The preamble to this Twenty-Second Supplement is hereby adopted and made a part of this Twenty-Second Supplement for all purposes.

Section 19. **COMPLIANCE WITH RULE 15c2-12.** (a) *Annual Reports.* The Board shall provide annually to the MSRB, within six months after the end of each fiscal year ending in or after 2017, financial information and operating data with respect to the Board of the general type provided in accordance with the terms of the Twentieth Supplement. Promptly after filing such information with the MSRB, a copy of the information filed with the MSRB also shall be provided to the Purchasers in a format acceptable to the Purchasers for so long as the Bonds are Outstanding.

(b) *Disclosure Event Notices.* The Board shall notify the MSRB and the Holders, in a timely manner not in excess of ten (10) Business Days after the occurrence of any of the following events, notice of any of the following events with respect to the Bonds:

1. Principal and interest payment delinquencies;
2. Non-payment related defaults, if material;
3. Unscheduled draws on debt service reserves reflecting financial difficulties;
4. Unscheduled draws on credit enhancements reflecting financial difficulties;
5. Substitution of credit or liquidity providers, or their failure to perform;
6. Adverse tax opinions, the issuance by the Internal Revenue Service of proposed or final determinations of taxability, Notices of Proposed Issue (IRS Form 5701-TEB) or other material notices or determinations with respect to the tax status of the Bonds, or other events affecting the tax status of the Bonds;
7. Modifications to rights of holders of the Bonds, if material;
8. Bond calls, if material, and tender offers;
9. Defeasances;
10. Release, substitution, or sale of property securing repayment of the Bonds, if material;
11. Rating changes;
12. Bankruptcy, insolvency, receivership or similar event of the Board;
13. The consummation of a merger, consolidation, or acquisition involving the Board or the sale of all or substantially all of the assets of the University System, other than in the ordinary course of business, the entry into a definitive agreement to undertake such an action or the termination of a definitive agreement relating to any such actions, other than pursuant to its terms, if material; and
14. Appointment of a successor Paying Agent/Registrar or change in name of the Paying Agent/Registrar, if material.

The Board shall notify the MSRB and the Holders, in a timely manner, of any failure by the Board to provide financial information or operating data in accordance with subsection (b) of this Section by the time required by subsection (a) of this Section. As used in clause 12 above, the phrase "bankruptcy, insolvency, receivership or similar event" means the appointment of a receiver, fiscal agent or similar officer for the University System in a proceeding under the U.S. Bankruptcy Code or in any other proceeding under state or federal law in which a court or governmental authority has assumed jurisdiction over substantially all of the assets or business of the University System, or if jurisdiction has been assumed by leaving the Board and officials or officers of the University System

in possession but subject to the supervision and orders of a court or governmental authority, or the entry of an order confirming a plan of reorganization, arrangement or liquidation by a court or governmental authority having supervision or jurisdiction over substantially all of the assets or business of the University System.

(c) ***Limitations, Disclaimers, and Amendments.*** (i) The Board shall be obligated to observe and perform the covenants specified in this Section for so long as, but only for so long as, the Board remains an "obligated person" with respect to the Bonds within the meaning of the Rule, except that the Board in any event will give notice of any deposit made in accordance with this Twenty-Second Supplement or applicable law that causes the Bonds no longer to be Outstanding.

(ii) The provisions of this Section are for the sole benefit of the registered owners and beneficial owners of the Bonds, and nothing in this Section, express or implied, shall give any benefit or any legal or equitable right, remedy, or claim hereunder to any other person. The Board undertakes to provide only the financial information, operating data, financial statements, and notices which it has expressly agreed to provide pursuant to this Section and does not hereby undertake to provide any other information that may be relevant or material to a complete presentation of the Board's financial results, condition, or prospects or hereby undertake to update any information provided in accordance with this Section or otherwise, except as expressly provided herein. The Board does not make any representation or warranty concerning such information or its usefulness to a decision to invest in or sell Bonds at any future date.

(iii) UNDER NO CIRCUMSTANCES SHALL THE BOARD BE LIABLE TO THE REGISTERED OWNER OR BENEFICIAL OWNER OF ANY BOND OR ANY OTHER PERSON, IN CONTRACT OR TORT, FOR DAMAGES RESULTING IN WHOLE OR IN PART FROM ANY BREACH BY THE BOARD, WHETHER NEGLIGENT OR WITHOUT FAULT ON ITS PART, OF ANY COVENANT SPECIFIED IN THIS SECTION, BUT EVERY RIGHT AND REMEDY OF ANY SUCH PERSON, IN CONTRACT OR TORT, FOR OR ON ACCOUNT OF ANY SUCH BREACH SHALL BE LIMITED TO AN ACTION FOR MANDAMUS OR SPECIFIC PERFORMANCE.

(iv) No default by the Board in observing or performing its obligations under this Section shall comprise a breach of or default under this Twenty-Second Supplement for purposes of any other provision of this Twenty-Second Supplement. Nothing in this Section is intended or shall act to disclaim, waive, or otherwise limit the duties of the Board under federal and state securities laws.

(v) Should the Rule be amended to obligate the Issuer to make filings or provide notices to entities other than the MSRB, the Issuer agrees to undertake such obligation in accordance with the Rule, as amended.

(vi) The provisions of this Section may be amended by the Board from time to time to adapt to changed circumstances that arise from a change in legal requirements, a change in law, or a change in the identity, nature, status, or type of operations of the Board, but only if (1) the provisions

of this Section, as so amended, would have permitted an underwriter to purchase or sell Bonds in the primary offering of the Bonds in compliance with the Rule, taking into account any amendments or interpretations of the Rule since such offering as well as such changed circumstances and (2) either (a) the Holders consent to such amendment or (b) a person that is unaffiliated with the Board (such as nationally-recognized bond counsel) determined that such amendment will not materially impair the interest of the registered owners and beneficial owners of the Bonds. If the Board so amends the provisions of this Section, it shall include with any amended financial information or operating data next provided in accordance with subsection (a) of this Section an explanation, in narrative form, of the reason for the amendment and of the impact of any change in the type of financial information or operating data so provided. The Board may also amend or repeal the provisions of this continuing disclosure agreement if the SEC amends or repeals the applicable provision of the Rule or a court of final jurisdiction enters judgment that such provisions of the Rule are invalid, but only if and to the extent that the provisions of this sentence would not prevent an underwriter from lawfully purchasing or selling Bonds in the primary offering of the Bonds.

Section 20. **FURTHER PROCEDURES.** Each Board Representative, and all other officers, employees, and agents of the Board, and each of them, shall be and they are hereby expressly authorized, empowered, and directed from time to time and at any time to do and perform all such acts and things and to execute, acknowledge, and deliver in the name and under the corporate seal and on behalf of the Issuer all such instruments, whether herein mentioned, as may be necessary or desirable in order to carry out the terms and provisions of this Twenty-Second Supplement, the Bonds, and the sale and delivery of the Bonds.

Section 21. **BOND REVIEW BOARD APPROVAL.** The University System received a letter dated April 26, 2016, from the Texas Bond Review Board, stating that the Bonds are exempt from approval by the Texas Bond Review Board, because (1) the outstanding obligations of the University System bear an unenhanced long-term debt rating of Aa2 from Moody's and AA from Fitch and (2) the general revenue of the State is not pledged to the payment of the Bonds.

Section 22. **REDEMPTION OF THE REFUNDED BONDS.** In connection with the refunding of the Refunded Bonds, the Board hereby authorizes each Board Representative to effect the redemption of the Refunded Bonds and the giving of notice of redemption of the Refunded Bonds, on their respective redemption dates, as determined by the Board Representative, in the manner provided in the Supplement pursuant to which the Refunded Bonds were issued.

Section 23. **PLACEMENT AGENT.** In connection with the sale of the Bonds, the Board hereby authorizes the Vice Chancellor for Finance for the University System to retain the services of Hutchinson, Shockey, Erley & Co. to act as placement agent for the Bonds, on such terms as approved by the Vice Chancellor for Finance for the University System. The foregoing notwithstanding, if required by law, the Vice Chancellor for Finance for the University System shall not execute an agreement with Hutchinson, Shockey, Erley & Co. to act as placement agent unless Hutchinson, Shockey, Erley & Co. has confirmed to the Vice Chancellor for Finance for the University System that it has made disclosure filings to the Texas Ethics Commission in accordance

with Section 2252.908, Texas Government Code. Within thirty (30) days of receipt of the disclosure filings therefrom, the Vice Chancellor for Finance for the University System will submit a copy of the disclosure filings with the Texas Ethics Commission.

Section 24. **REPEAL OF CONFLICTING RESOLUTIONS.** All resolutions and all parts of any resolutions (other than the Master Resolution) which are in conflict or inconsistent with this Twenty-Second Supplement, are hereby repealed and shall be of no further force or effect to the extent of such conflict or inconsistency.

Section 25. **RULES OF CONSTRUCTION.** For all purposes of this Twenty-Second Supplement, unless the context requires otherwise, all references to designated Sections and other subdivisions are to the Sections and other subdivisions of this Twenty-Second Supplement. The words "herein", "hereof" and "hereunder" and other words of similar import refer to this Twenty-Second Supplement as a whole and not to any particular Section or other subdivision. Except where the context otherwise requires, terms defined in this Twenty-Second Supplement to impart the singular number shall be considered to include the plural number and vice versa. Any reference to any named person means that party and its successors and assigns. References to any constitutional, statutory or regulatory provision means such provision as it exists on the date this Twenty-Second Supplement is adopted by the Board and any future amendments thereto or successor provisions thereof. Any reference to the payment of principal in this Twenty-Second Supplement shall be deemed to include the payment of mandatory sinking fund redemption payments. Any reference to "FORM OF BONDS" shall refer to the form of the Bonds set forth in Exhibit B to this Twenty-Second Supplement. Any finding or determination made by the Vice Chancellor for Finance for the University System relating to the issuance and sale of the Bonds and the execution of the Bond Purchase Agreement in connection therewith shall have the same force and effect as a finding or determination made by the Board.

Section 26. **PUBLIC NOTICE.** It is hereby found and determined that each of the officers and members of the Board was duly and sufficiently notified officially and personally, in advance, of the time, place, and purpose of the meeting at which this Twenty-Second Supplement was adopted; that this Twenty-Second Supplement would be introduced and considered for adoption at said meeting and that said meeting was open to the public, and public notice of the time, place, and purpose of said meeting was given, all as required by Chapter 551, Texas Government Code.

EXHIBIT A DEFINITIONS

As used in this Twenty-Second Supplement the following terms and expressions shall have the meanings set forth below, unless the text hereof specifically indicates otherwise:

The term "*Act*" shall mean Chapter 1207, Texas Government Code.

The term "*Authorized Denomination*" shall mean any integral multiple of \$5,000.

The terms "*Board*" and "*Issuer*" shall mean the Board of Regents of the University System.

The term "*Board Representative*" shall mean the Vice Chancellor for Finance for the University System, or such other officials of the University or the Health Science Center appointed by the Board to carry out the functions of the Board specified herein.

The term "*Bond Purchase Agreement*" shall mean the bond purchase agreement between the Board and the Purchasers.

The term "*Bonds*" shall mean the Twenty-Second Series Bonds, and all substitute bonds exchanged therefor, and all other substitute and replacement bonds issued pursuant to this Twenty-Second Supplement; and the term "Bond" means any of the Bonds.

The term "*Business Day*" shall mean any day which is not a Saturday, Sunday, legal holiday, or a day on which banking institutions in The City of New York, New York or in the city where the Designated Trust Office of the Paying Agent/Registrar is located are authorized by law or executive order to close.

The term "*Code*" shall mean the Internal Revenue Code of 1986, as amended.

The term "*Designated Trust Office*" shall have the meaning ascribed to said term in Section 5(b) of this Twenty-Second Supplement.

The term "*DTC*" shall mean The Depository Trust Company, New York, New York, or any successor securities depository.

The term "*Escrow Agent*" shall mean the financial institution named in Section 13 of this Twenty-Second Supplement.

The term "*Escrow Agreement*" shall mean the Escrow Agreement between the Board and the Escrow Agent, executed in connection with the refunding of the Refunded Bonds.

The term "*Fifteenth Series Bonds*" shall mean, collectively, the Board of Regents of the University of North Texas System Revenue Financing System Bonds, Series 2012A and the Board of Regents of the University of North Texas System Revenue Financing System Bonds, Taxable Series 2012B, authorized by the Fifteenth Supplement.

The term "*Fifteenth Supplement*" shall mean the resolution adopted by the Board on August 18, 2011, authorizing the authorizing the Fifteenth Series Bonds.

The term "*Fitch*" shall mean Fitch Ratings, or its legal successor.

The term "*Fourteenth Series Bonds*" shall mean, collectively, the Board of Regents of the University of North Texas System Revenue Financing System Bonds, Series 2009A, the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2009B, and the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2010, authorized by the Fourteenth Supplement.

The term "*Fourteenth Supplement*" shall mean the resolution adopted by the Board of Regents on August 21, 2009, authorizing the Fourteenth Series Bonds.

The term "*Health Science Center*" shall mean the University of North Texas Health Science Center at Fort Worth.

The term "*Initial Bond*" shall mean the Bond delivered to the Purchasers in exchange for the purchase price of the Bonds as set forth in the Bond Purchase Agreement.

The term "*Interest Payment Date*" shall mean April 15, 2018, and each October 15 and April 15 thereafter until maturity or prior redemption.

The term "*MAC*" means the Municipal Advisory Council of Texas.

The term "*Master Resolution*" shall mean the "Amended and Restated Master Resolution Establishing the Revenue Financing System under the Authority and Responsibility of the Board of Regents of the University of North Texas", adopted by the Board on February 12, 1999.

The term "*Maturity*" shall mean the date on which the principal of a Bond becomes due and payable as therein and herein provided, whether at Stated Maturity, by redemption, declaration of acceleration, or otherwise.

The term "*Moody's*" shall mean Moody's Investors Service, Inc., or its legal successor.

The term "*MSRB*" shall mean the Municipal Securities Rulemaking Board.

The term "*Notice Address*" shall mean the notice address for the Board and the Purchasers set forth in the Bond Purchase Agreement.

The term "*Original Issue Date*" shall mean the initial date of delivery of the Bonds to the Purchasers.

The terms "*Paying Agent/Registrar*", "*Paying Agent*" or "*Registrar*" shall mean the agent appointed pursuant to Section 5 of this Twenty-Second Supplement, or any successor to such agent.

The term "*Paying Agent/Registrar Agreement*" shall mean the agreement between the Board and the Paying Agent/Registrar, with respect to the Bonds.

The term "*Person*" shall mean any individual, corporation, partnership, joint venture, association, joint stock company, trust, unincorporated organization or government or agency or political subdivision thereof.

The term "*Purchasers*" shall mean the purchasers (one or more) of the Bonds named in the Bond Purchase Agreement.

The term "*Record Date*" shall mean the date which is the last Business Day of the calendar month next preceding an Interest Payment Date.

The term "*Refundable Bonds*" shall mean all of the outstanding Thirteenth Series Bonds maturing on and after April 15, 2018.

The term "*Refunded Bonds*" shall mean those Refundable Bonds selected by the Vice Chancellor for Finance for the University System to be refunded with the proceeds of Bonds authorized to be issued by the Sixteenth Supplement, as more fully described in the certificate to be delivered by the Vice Chancellor for Finance for the University System in accordance with Section 3(e) of the Twenty-Second Supplement.

The term "*Registration Books*" shall mean the books or records relating to the registration, payment, and transfer or exchange of the Bonds maintained by the Paying Agent/Registrar pursuant to Section 5 of this Twenty-Second Supplement.

The term "*Regulations*" shall mean all applicable temporary, proposed and final regulations and procedures promulgated under the Code or promulgated under the Internal Revenue Code of 1954, to the extent applicable under the Code.

The term "*Rule*" shall mean SEC Rule 15c2-12, as amended from time to time.

The term "*SEC*" shall mean the United States Securities and Exchange Commission.

The term "*Series A Commercial Paper Notes*" shall mean any commercial paper note issued pursuant to the provisions of the Master Resolution and the Tenth Supplement.

The term "*Sixteenth Series Bonds*" shall mean collectively, the Board of Regents of the University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2015A, and the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Taxable Series 2015B, authorized by the Sixteenth Supplement.

The term "*Sixteenth Supplement*" shall mean the resolution adopted by the Board on August 28, 2015, authorizing the Sixteenth Series Bonds.

The term "*Stated Maturity*", shall mean, when used with respect to the Bonds, the scheduled maturity or mandatory sinking fund redemption of the Bonds.

The term "*Tax Agreement*" shall mean the Federal Tax Certificate of the Issuer dated as of the Original Issue Date.

The term "*Tenth Supplement*" shall mean the resolution adopted by the Board on May 8, 2008, as amended and restated by the resolution adopted by the Board on December 6, 2013, authorizing the Series A Commercial Paper Notes.

The term "*Thirteenth Series Bonds*" shall mean the Board of Regents of the University of North Texas System Revenue Financing System Bonds, Series 2009, authorized by the Thirteenth Supplement.

The term "*Thirteenth Supplement*" shall mean the resolution adopted by the Board on November 20, 2008, authorizing the Thirteenth Series Bonds.

The term "*Twentieth Series Bonds*" shall mean the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2015, authorized by the Twentieth Supplement.

The term "*Twentieth Supplement*" shall mean the resolution adopted by the Board on April 8, 2015, authorizing the Twentieth Series Bonds.

The term "*Twenty-First Series Bonds*" shall mean the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2015C, authorized by the Twenty-First Supplement.

The term "*Twenty-First Supplement*" shall mean the resolution adopted by the Board on October 6, 2015, authorizing the Twenty-First Series Bonds.

The term "*Twenty-Second Series Bonds*" shall mean the Bonds authorized by this Twenty-Second Supplement.

The term "*Twenty-Second Supplement*" shall mean this resolution authorizing the Bonds.

The term "*University*" shall mean the University of North Texas.

The term "*University System*" shall mean the University of North Texas System.

The term "*UNT-Dallas*" shall mean The University of North Texas at Dallas.

All terms not herein defined shall have the meanings given to such terms by the Master Resolution or as otherwise defined in this Twenty-Second Supplement.

the registered owner hereof upon presentation and surrender of this Bond at maturity or upon the date fixed for its redemption prior to maturity, at the designated corporate trust office in Fort Worth, Texas (the "Designated Trust Office") of JPMorgan Chase Bank, N.A., which is the "Paying Agent/Registrar" for this Bond. The payment of interest on this Bond shall be made by the Paying Agent/Registrar to the registered owner hereof on each Interest Payment Date by check, dated as of such Interest Payment Date, and such check shall be sent by the Paying Agent/Registrar by United States mail, first-class postage prepaid, on each such Interest Payment Date, to the registered owner hereof, at the address of the registered owner, as it appeared on the last Business Day of the month next preceding each such Interest Payment Date (the "Record Date") on the Registration Books kept by the Paying Agent/Registrar, as hereinafter described; provided, that upon the written request of any owner of not less than \$1,000,000 in principal amount of Bonds provided to the Paying Agent/Registrar not later than the Record Date immediately preceding an Interest Payment Date, interest due on such Bonds on such Interest Payment Date shall be made by wire transfer to any designated account within the United States of America. In addition, interest may be paid by such other method acceptable to the Paying Agent/Registrar, requested by, and at the risk and expense of, the registered owner hereof. Any accrued interest due upon the redemption of this Bond prior to maturity as provided herein shall be paid to the registered owner upon presentation and surrender of this Bond for redemption and payment at the Designated Trust Office of the Paying Agent/Registrar. The Issuer covenants with the registered owner of this Bond that on or before each principal payment date and interest payment date for this Bond it will make available to the Paying Agent/Registrar, the amounts required to provide for the payment, in immediately available funds, of all principal of and interest on the Bonds, when due.

THIS BOND is dated as of its Issue Date, authorized in accordance with the Constitution and laws of the State of Texas as one of a Series of Bonds in the aggregate principal amount of \$ __, __, 000, issued pursuant to a Twenty-Second Supplemental Resolution to the Master Resolution adopted May 20, 2016, and pursuant to the Master Resolution referred therein (collectively, the "Bond Resolution"), FOR THE PURPOSE OF (i) REFUNDING THE REFUNDED BONDS AND (ii) PAYING THE COSTS OF ISSUANCE RELATED TO THE SALE OF THE BONDS. Terms used herein and not otherwise defined have the meaning given in the Bond Resolution.

THIS BOND IS NOT SUBJECT TO REDEMPTION PRIOR TO MATURITY AT THE OPTION OF THE ISSUER.

THIS BOND is subject to mandatory redemption in part by lot pursuant to the terms of the Bond Resolution, in each of the years 201_ through 20__, inclusive, on the following dates and in the following amounts, at a price equal to the principal amount thereof and accrued and unpaid interest to the date of redemption, without premium:

| <u>Date</u> | <u>Principal Amount (\$)</u> |
|-------------|------------------------------|
|-------------|------------------------------|

* Final Maturity

To the extent, however, that Bonds subject to sinking fund redemption have been previously purchased or called for redemption in part and otherwise than from a sinking fund redemption payment, each annual sinking fund payment for such Bond shall be reduced by the amount obtained by multiplying the principal amount of Bonds so purchased or redeemed by the ratio which each remaining annual sinking fund redemption payment for such Bonds bears to the total remaining sinking fund payments, and by rounding each such payment to the nearest \$5,000 integral.

FOR SO LONG AS THE REGISTERED OWNER OF ONE HUNDRED PERCENT (100%) OF THE BONDS IS THE PURCHASER OR A SINGLE ASSIGNEE OF THE PURCHASER, AS FURTHER PROVIDED FOR IN THE BOND PURCHASE AGREEMENT, NOTICE OF A MANDATORY SINKING FUND REDEMPTION OF THE BONDS AS DESCRIBED ABOVE IS NOT REQUIRED.

THE FOREGOING PARAGRAPH NOTWITHSTANDING, if an owner of any Bond is not the Purchaser or a single assignee of the Purchaser, at least 30 days prior to the date fixed for any such redemption a written notice of such redemption shall be given to the registered owner of each Bond or a portion thereof being called for redemption by depositing such notice in the United States mail, first class postage prepaid, addressed to each such registered owner at his address shown on the Registration Books of the Paying Agent/Registrar. Any notice so mailed shall be conclusively presumed to have been duly given notwithstanding whether one or more registered owners may have failed to have received such notice. By the date fixed for any such redemption due provision shall be made by the Issuer with the Paying Agent/Registrar for the payment of the required redemption price for this Bond or the portion hereof which is to be so redeemed, plus accrued interest thereon to the date fixed for redemption. If such notice of redemption is given, and if due provision for such payment is made, all as provided above, this Bond, or the portion hereof which is to be so redeemed, thereby automatically shall be redeemed prior to its scheduled maturity, and shall not bear interest after the date fixed for its redemption, and shall not be regarded as being outstanding except for the right of the registered owner to receive the redemption price plus accrued interest to the date fixed for redemption from the Paying Agent/Registrar out of the funds provided for such payment. The Paying Agent/Registrar shall record in the Registration Books all such redemptions of principal of this Bond or any portion hereof. If a portion of any Bond shall be redeemed a substitute Bond or Bonds having the same maturity date, bearing interest at the same rate, in any denomination or denominations in any integral multiple of \$5,000 (an "Authorized Denomination"), at the written request of the registered owner, and in aggregate principal amount equal to the unredeemed portion thereof, will be issued to the registered owner upon the surrender thereof for cancellation, at the expense of the Issuer, all as provided in the Bond Resolution.

IF THE DATE for the payment of the principal of or interest on this Bond shall be a Saturday, Sunday, a legal holiday, or a day on which banking institutions in The City of New York, New York, or in the city where the Designated Trust Office of the Paying Agent/Registrar is located are authorized by law or executive order to close, then the date for such payment shall be the next succeeding day which is not such a Saturday, Sunday, legal holiday, or day on which banking

institutions are authorized to close; and payment on such date shall have the same force and effect as if made on the original date payment was due.

THIS BOND OR ANY PORTION OR PORTIONS HEREOF IN ANY AUTHORIZED DENOMINATION may be assigned and shall be transferred only in the Registration Books of the Issuer kept by the Paying Agent/Registrar acting in the capacity of registrar for the Bonds, upon the terms and conditions set forth in the Bond Resolution. Among other requirements for such assignment and transfer, this Bond must be presented and surrendered to the Paying Agent/Registrar, together with proper instruments of assignment, in form and with guarantee of signatures satisfactory to the Paying Agent/Registrar, evidencing assignment of this Bond or any portion or portions hereof in any authorized denomination to the assignee or assignees in whose name or names this Bond or any such portion or portions hereof is or are to be transferred and registered. The form of Assignment printed or endorsed on this Bond shall be executed by the registered owner or its duly authorized attorney or representative, to evidence the assignment hereof. A new Bond or Bonds payable to such assignee or assignees (which then will be the new registered owner or owners of such new Bond or Bonds), or to the previous registered owner in the case of the assignment and transfer of only a portion of this Bond, may be delivered by the Paying Agent/Registrar in exchange for this Bond, all in the form and manner as provided in the next paragraph hereof for the exchange of other Bonds. The Issuer shall pay the Paying Agent/Registrar's fees and charges, if any, for making such transfer or exchange as provided below, but the one requesting such transfer or exchange shall pay any taxes or other governmental charges required to be paid with respect thereto. The Paying Agent/Registrar shall not be required to make transfers of registration or exchange of this Bond or any portion hereof (i) during the period commencing with the close of business on any Record Date and ending with the opening of business on the next following principal or interest payment date, or, (ii) with respect to any Bond or any portion thereof called for redemption prior to maturity, within 30 days prior to its redemption date. The registered owner of this Bond shall be deemed and treated by the Issuer and the Paying Agent/Registrar as the absolute owner hereof for all purposes, including payment and discharge of liability upon this Bond to the extent of such payment, and, to the extent permitted by law, the Issuer and the Paying Agent/Registrar shall not be affected by any notice to the contrary.

WHENEVER the beneficial ownership of this Bond is determined by a book entry at a securities depository for the Bonds, the foregoing requirements of holding, delivering, or transferring this Bond shall be modified to require the appropriate person or entity to meet the requirements of the securities depository as to registering or transferring the book entry to produce the same effect.

IN THE EVENT any Paying Agent/Registrar for the Bonds is changed by the Issuer, resigns, or otherwise ceases to act as such, the Issuer has covenanted in the Bond Resolution that it promptly will appoint a competent and legally qualified substitute therefor, and promptly will cause written notice thereof to be mailed to the registered owners of the Bonds.

IT IS HEREBY certified, recited, and covenanted that this Bond has been duly and validly authorized, issued, and delivered; that all acts, conditions, and things required or proper to be performed, exist, and be done precedent to or in the authorization, issuance, and delivery of this

Bond have been performed, existed, and been done in accordance with law; that the Series of Bonds of which this Bond is one constitute Parity Obligations under the Master Resolution; and that the interest on and principal of this Bond, together with the other Bonds of this Series and the other outstanding Parity Obligations, are equally and ratably secured by and payable from a lien on and pledge of the Pledged Revenues.

THE ISSUER has reserved the right, subject to the restrictions referred to in the Bond Resolution, (i) to issue additional Parity Obligations which also may be secured by and made payable from a lien on and pledge of the aforesaid Pledged Revenues, in the same manner and to the same extent as this Bond, and (ii) to amend the provisions of the Bond Resolution under the conditions provided in the Bond Resolution.

THE REGISTERED OWNER hereof shall never have the right to demand payment of this Bond or the interest hereon out of any funds raised or to be raised by taxation or from any source whatsoever other than specified in the Bond Resolution.

BY BECOMING the registered owner of this Bond, the registered owner thereby acknowledges all of the terms and provisions of the Bond Resolution, agrees to be bound by such terms and provisions, acknowledges that the Bond Resolution is duly recorded and available for inspection in the official minutes and records of the Issuer, and agrees that the terms and provisions of this Bond and the Bond Resolution constitute a contract between each registered owner hereof and the Issuer.

IN WITNESS WHEREOF, the Issuer has caused this Bond to be signed with the manual or facsimile signature of the Chair of the Issuer and countersigned with the manual or facsimile signature of the Secretary of the Issuer, and has caused the official seal of the Issuer to be duly impressed, or placed in facsimile, on this Bond.

Secretary, Board of Regents of the
University of North Texas System

Chair, Board of Regents of the
University of North Texas System

(BOARD SEAL)

FORM OF PAYING AGENT/REGISTRAR'S AUTHENTICATION CERTIFICATE

PAYING AGENT/REGISTRAR'S AUTHENTICATION CERTIFICATE

It is hereby certified that this Bond has been issued under the provisions of the Bond Resolution described in this Bond; and that this Bond has been issued in conversion of and exchange for or replacement of a bond, bonds, or a portion of a bond or bonds of an issue which originally was approved by the Attorney General of the State of Texas and registered by the Comptroller of Public Accounts of the State of Texas.

_____,
Paying Agent/Registrar

Dated

Authorized Representative

FORM OF ASSIGNMENT

ASSIGNMENT

FOR VALUE RECEIVED, the undersigned registered owner of this Bond, or duly authorized representative or attorney thereof, hereby assigns this Bond to

/_____/

(Assignee's Social Security or Taxpayer Identification Number)

(print or typewrite Assignee's name and address, including zip code)

and hereby irrevocably constitutes and appoints

attorney to transfer the registration of this Bond on the Paying Agent/Registrar's Registration Books with full power of substitution in the premises.

Dated: _____

Signature Guaranteed:

NOTICE: This signature must be guaranteed by a member of the New York Stock Exchange or a commercial bank or trust company.

NOTICE: This signature must correspond with the name of the Registered Owner appearing on the face of this Bond.

[FORM OF REGISTRATION CERTIFICATE OF
COMPTROLLER OF PUBLIC ACCOUNTS TO ACCOMPANY
THE INITIAL BOND ONLY]

COMPTROLLER'S REGISTRATION CERTIFICATE:

REGISTER NO. _____

I hereby certify that there is on file and of record in my office a true and correct copy of the opinion of the Attorney General of the State of Texas approving this Bond and that this Bond has been registered this day by me.

Witness my signature and seal this

Comptroller of Public Accounts
of the State of Texas

(COMPTROLLER'S SEAL)

PLACEMENT AGENT AGREEMENT

This Placement Agent Agreement (“Agreement”) is made and entered into by and between Board of Regents of the University of North Texas System (the “Issuer”) and Hutchinson, Shockey, Erley & Co.

WITNESSETH:

WHEREAS, the Issuer presently intends to issue Revenue Financing System Refunding Bonds, Forward Delivery Series 2018 in the approximate amount of \$22,875,000* (the “Bonds”) and, in connection with the authorization, sale, issuance and delivery of such indebtedness, the Issuer desires to obtain the professional services of Hutchinson, Shockey, Erley & Co. to serve as the placement agent for the Bonds; and

WHEREAS, Hutchinson, Shockey, Erley & Co. is willing to provide its professional services and its facilities as placement agent, acting not as a fiduciary, in connection with the issuance of the Bonds.

NOW, THEREFORE, the Issuer and Hutchinson, Shockey, Erley & Co., in consideration of the mutual covenants and agreements herein contained and other good and valuable consideration, do hereby agree as follows:

SECTION I

DESCRIPTION OF SERVICES

Upon the request of an authorized representative of the Issuer, Hutchinson, Shockey, Erley & Co. agrees to provide its professional services and its facilities as placement agent in connection with the issuance of the Bonds; and for having rendered such services, the Issuer agrees to pay to Hutchinson, Shockey, Erley & Co. the compensation as provided in Section III hereof. Hutchinson, Shockey, Erley & Co.’s services as placement agent shall include, without limitation, assisting the Issuer in locating potential purchasers of the Bonds on a “best efforts” basis and discussing terms of the Bonds with potential purchasers.

Hutchinson, Shockey, Erley & Co. proposes to serve as a placement agent, not as a financial advisor or municipal advisor, in connection with the issuance of the Bonds. However, in the course of acting as a placement agent, Hutchinson, Shockey, Erley & Co. may provide advice concerning the structure, timing, terms and other matters relating to the issuance of the Bonds.

SECTION II

TERM OF AGREEMENT

This Agreement shall become effective as of the date executed by the Issuer as set forth on the signature page hereof and, shall remain in effect thereafter until the Issuer has paid Hutchinson, Shockey, Erley & Co. in full the placement agent fee and all reimbursable expenses.

*Preliminary, subject to change.

SECTION III
COMPENSATION AND EXPENSE REIMBURSEMENT

The fees due to Hutchinson, Shockey, Erley & Co. for the services set forth and described in Section I of this Agreement with respect to the issuance of the Bonds during the term of this Agreement shall be calculated in accordance with the schedule set forth on Appendix A attached hereto. Unless specifically provided otherwise on Appendix A or in a separate written agreement between the Issuer and Hutchinson, Shockey, Erley & Co., such fees, together with any other fees as may have been mutually agreed upon and all expenses for which Hutchinson, Shockey, Erley & Co. is entitled to reimbursement, shall become due and payable concurrently with the delivery of the proceeds of the Bonds to the Issuer. Hutchinson, Shockey, Erley & Co. has not received nor will it collect any compensation or other consideration from the buyer(s).

Hutchinson, Shockey, Erley & Co. acknowledges to the Issuer that it has filed a Certificate of Interested Parties Form 1295 (the "Disclosure Form") with the Texas Ethics Commission ("TEC") through the TEC internet portal accessed at https://www.ethics.state.tx.us/elf_info_form1295.htm, and has submitted an executed Disclosure Form to the Issuer. Within 30 days of the receipt of the Disclosure Form from Hutchinson, Shockey, Erley & Co., the Issuer will acknowledge receipt of the completed Disclosure Form through the TEC website, as required by law.

SECTION IV
ISSUER ACKNOWLEDGMENTS

The Issuer acknowledges and agrees that:

1. Hutchinson, Shockey, Erley & Co. is being retained to act as placement agent for the Bonds.
2. Rule G-17 of the Municipal Securities Rulemaking Board requires a placement agent such as Hutchinson, Shockey, Erley & Co. to deal fairly at all times with the Issuer and investors.
3. The transaction contemplated by this Agreement is an arm's length, commercial transaction between the Issuer and Hutchinson, Shockey, Erley & Co., and Hutchinson, Shockey, Erley & Co. has financial and other interests that differ from those of the Issuer.
4. Hutchinson, Shockey, Erley & Co. is not acting as a municipal advisor, financial advisor, or fiduciary to the Issuer. Unlike a municipal advisor, Hutchinson, Shockey, Erley & Co. does not have a fiduciary duty to the Issuer under the federal securities laws and is, therefore, not required by federal law to act in the best interests of the Issuer without regard to its own financial or other interests.
5. Hutchinson, Shockey, Erley & Co. will review the documentation for the Bonds in accordance with, and as part of, its responsibilities to investors under the federal securities laws, as applied to the facts and circumstances of the offering of the Bonds.
6. Hutchinson, Shockey, Erley & Co.'s compensation under this Agreement is contingent on the closing of the offering of the Bonds. Such contingent compensation presents a conflict of interest, because it

may cause Hutchinson, Shockey, Erley & Co. to recommend the offering even if it is unnecessary or to recommend that the size of the offering be larger than is necessary.

7. Hutchinson, Shockey, Erley & Co. has not assumed any advisory or fiduciary responsibility to the Issuer with respect to the transaction contemplated hereby and the discussions, undertakings and procedures leading thereto irrespective of whether Hutchinson, Shockey, Erley & Co. or any of its affiliates has provided other services or is providing other services to the Issuer on other matters.
8. The only obligations Hutchinson, Shockey, Erley & Co. has to the Issuer with respect to the transaction contemplated hereby expressly are set forth in this Agreement.
9. The Issuer has consulted its own legal, accounting, tax, financial and other advisors, as applicable, to the extent it has deemed appropriate.

SECTION V
MISCELLANEOUS

1. Choice of Law. This Agreement shall be construed and given effect in accordance with the laws of the State of Texas, without regard to its conflicts of law principles.
2. Binding Effect; Assignment. This Agreement shall be binding upon and inure to the benefit of the Issuer and Hutchinson, Shockey, Erley & Co., their respective successors and assigns; provided however, neither party hereto may assign or transfer any of its rights or obligations hereunder without the prior written consent of the other party.
3. Entire Agreement. This instrument contains the entire agreement between the parties relating to the rights herein granted and obligations herein assumed. Any oral or written representations or modifications concerning this Agreement shall be of no force or effect except for a subsequent modification in writing signed by the parties hereto.

HUTCHINSON, SHOCKEY, ERLEY & CO.

By:  _____

Name: Todd H. Holder

Title: Senior Vice President

**BOARD OF REGENTS OF THE UNIVERSITY
OF NORTH TEXAS SYSTEM**

By: _____

Name: _____

Title: _____

Date: _____

APPENDIX A

The fees due Hutchinson, Shockey, Erley & Co. will not exceed those contained in the fee schedule as listed below:

\$5,000.00



Board Briefing

Committee: Finance & Facilities

Date Filed: April 6, 2016

Title: Authorization to Amend the UNTS FY16 Capital Improvement Plan to Add Renovation of Sage Hall First Floor at UNT

Background:

UNT currently provides a broad range of student support services. However, many are dispersed in multiple facilities across campus. It is desired to co-locate these existing services and provide for additional academic support into one central location.

This project will renovate the first floor of Sage Hall to support an Academic Success Center (ASC). The renovation will consist of approximately 28,000 square feet on the first floor and will provide space for tutoring, advising for undergraduates with undetermined majors, math lab (currently located in the General Academic Building), and a Learning Center. The Office of Disability Accommodations (ODA), the Writing Lab, and classroom space will remain on this floor. A project budget of \$1,850,000 has been developed and will be funded through HEAF Reserve. Future phases to this renovation project to second and third floors will be considered as needed.

On August 27, 2015 the Board of Regents approved the UNTS FY 2016 Capital Improvement Plan which identified capital projects for the UNT System. The requested action is to amend the UNTS FY 2016 Capital Improvement Plan to add the first floor renovation of Sage Hall.

Financial Analysis/History:

The project will be funded through HEAF Reserve in the amount of \$1.85M as listed by line item number 16-2.85 in the Capital Improvement Plan.

Bob Brown

Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas, ou=VP for Finance and Administration, email=bob.brown@unt.edu, c=US
Date: 2016.05.09 16:37:29 -05'00'

Institution Chief Financial Officer

Janet Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2016.05.09 19:25:59 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S.
Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of
North Texas System, ou=Office of General
Counsel,
email=nancy.footer@untssystem.edu, c=US
Date: 2016.05.10 13:12:24 -05'00'

Vice Chancellor/General Counsel

Schedule:

Design:
Construction:
Substantial Completion:

June 2016 – March 2017
June 2017 – December 2017
December 2017

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order

Recommended By:

James Davis

Associate Vice Chancellor for
Facilities

Neal
Smatresk

Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk,
o=University of North Texas,
ou=President,
email=neal.smatresk@unt.edu,
c=US
Date: 2016.05.09 16:53:35 -05'00'

President

James Maguire

Digitally signed by James Maguire
DN: cn=James Maguire, o=Vice Chancellor for
Administrative Services, ou=UNT System,
email=james.maguire@untssystem.edu, c=US
Date: 2016.05.09 16:30:51 -05'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untssystem.edu, c=US
Date: 2016.05.11 13:50:30 -05'00'

Chancellor

Attachments Filed Electronically:

- FY 16 CIP Amendment



Board Order

Title: Authorization to Amend the UNTS FY16 Capital Improvement Plan to Add Renovation of Sage Hall First Floor at UNT

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the Board of Regents has previously approved the UNTS FY 2016 Capital Improvement Plan, and

Whereas, a consolidated Academic Success Center is warranted to meet the needs of UNT students, and

Whereas, funds for expenditure in FY 2016 have been identified for design and construction, and

Now, Therefore, The Board of Regents authorizes and approves the following:

1. Amend the UNTS FY 2016 Capital Improvement Plan to Add the Renovation of the First Floor of Sage Hall

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

FY 2016 Capital Improvement Plan
UNIVERSITY of NORTH TEXAS SYSTEM

FY 2016 SUMMARY (in \$Million)

NEW PROJECTS FOR FY 2016

| Proj. No. | Project | Funding Source | Prior Yrs Costs | 2016 | 2017 | 2018 | 2019 | 2020+ | Total Project |
|--|--|----------------|-----------------|--------------|---------------|---------------|--------------|-------------|---------------|
| University of North Texas | | | | | | | | | |
| 16-1.20 | College of Visual Arts and Design | TRB | | 6.80 | 63.20 | | | | 70.00 |
| 16-1.21 | Applied Physics | RFS | | 0.80 | 12.00 | | | | 12.80 |
| 16-1.84 | New Residence Hall | | | | | | | | |
| 16-1.84a | New Residence Hall - Phase 1 | RFS | | 1.35 | 13.44 | 26.43 | 3.58 | | 93.00 |
| 16-1.84b | New Residence Hall - Phase 2 | RFS | | - | 2.34 | 14.11 | 28.40 | 3.35 | |
| 16-2.25 | General Academic Building MEP | HEAF | | 0.50 | | | | | 7.50 |
| | | RFS | | | 7.00 | | | | |
| 16-2.50 | Life Science Lab Exhaust Upgrade | HEAF | | 0.20 | 3.00 | | | | 3.20 |
| 16-2.55 | Discovery Park MEP Upgrade | HEAF | | 0.60 | | | | | 10.60 |
| | | RFS | | | 10.00 | | | | |
| 16-2.62a | Maple Common Area Renovation | AUX | | 0.15 | 1.50 | | | | 1.65 |
| 16-2.63 | Kerr Hall Kitchen and Dining Renovation | AUX | 0.04 | 0.72 | 7.48 | | | | 8.24 |
| 16-2.65 | Sycamore 2nd Floor Renovation | HEAF | | 0.30 | 3.00 | | | | 3.30 |
| 16-2.66 | Coliseum Concourse Renovation | RFS | | 5.50 | 2.50 | | | | 8.00 |
| 16-2.67 | 1500 I-35 Building | RFS | | 3.00 | 4.00 | | | | 7.00 |
| 16-2.77 | Wooten Hall Code Upgrade | HEAF | | 0.03 | 2.00 | | | | 2.03 |
| 16-2.78 | Child Development Lab Renovation | HEAF | | 2.00 | | | | | 2.00 |
| 16-2.79 | McConnell Hall MEP | AUX | | 2.00 | | | | | 2.00 |
| 16-2.80 | Fouts Field Demolition | Local/Cash | | 0.05 | | | | | 5.00 |
| | | AUX | | | 4.95 | | | | |
| 16-2.81 | Fraternity Row Site Development | RFS | | 2.24 | | | | | 2.24 |
| 16-2.82 | Track and Field Stadium and Sports Fields | RFS | | 0.50 | 1.50 | | | | 5.60 |
| | | GIFT | | | 2.00 | | | | |
| | | AUX | | | 1.60 | | | | |
| 16-2.83 | Bruce Hall Renovation | AUX | | 1.70 | | | | | 1.70 |
| 16-2.85 | Sage Hall Academic Success Center | HEAF Reserve | | 0.22 | 1.63 | | | | 1.85 |
| University of North Texas Total | | | 0.04 | 28.66 | 143.14 | 40.54 | 31.98 | 3.35 | 247.71 |
| University of North Texas Dallas | | | | | | | | | |
| 16-1.01 | Student Learning and Success Center | TRB | | 2.00 | 14.00 | 33.40 | 13.60 | | 63.00 |
| 16-1.04 | Campus Infrastructure | HEAF | | 1.15 | | | | | 1.65 |
| | | CP | | 0.50 | | | | | |
| University of North Texas Dallas Total | | | - | 3.65 | 14.00 | 33.40 | 13.60 | - | 64.65 |
| University of North Texas Health Science Center | | | | | | | | | |
| 16-1.40 | Interdisciplinary Research Building | TRB | | | 35.70 | 44.30 | | | 121.00 |
| | | RFS | 0.36 | 7.87 | | 12.57 | 20.20 | | |
| 16-2.96 | Research and Education (RES) Level 4 | RFS | | 3.00 | 1.50 | | | | 4.50 |
| 16-2.94 | Patient Care Center Level 6 | RFS | | 0.50 | 1.00 | 1.00 | | | 2.50 |
| University of North Texas Health Science Center Total | | | 0.36 | 11.37 | 38.20 | 57.87 | 20.20 | - | 128.00 |
| University of North Texas System | | | | | | | | | |
| 16-2.01 | Renovate Dallas Municipal Bldg and Assoc Law Bldgs | TRB | | 1.62 | 10.92 | 25.20 | 18.26 | | 56.00 |
| University of North Texas System Total | | | - | 1.62 | 10.92 | 25.20 | 18.26 | - | 56.00 |
| Capital Improvement Plan Total | | | 0.40 | 45.30 | 206.26 | 157.01 | 84.04 | 3.35 | 496.36 |

Summary by Funding Source

| Funding Source | Prior Yrs Costs | 2016 | 2017 | 2018 | 2019 | 2020 | Total |
|--------------------------------------|-----------------|--------------|---------------|---------------|--------------|-------------|---------------|
| HEAF | - | 4.78 | 8.00 | - | - | - | 12.78 |
| HEAF Reserve | - | 0.22 | 1.63 | - | - | - | 1.85 |
| Tuition Revenue Bonds | - | 10.42 | 123.82 | 102.90 | 31.86 | - | 269.00 |
| Commercial Paper | - | 0.50 | - | - | - | - | 0.50 |
| Private Placement | - | - | - | - | - | - | - |
| Revenue Bonds | - | - | - | - | - | - | - |
| Revenue Financing System Bonds | 0.36 | 24.76 | 55.28 | 54.11 | 52.18 | 3.35 | 190.04 |
| Auxiliary Reserves | 0.04 | 4.57 | 15.53 | - | - | - | 20.14 |
| Grants | - | - | - | - | - | - | - |
| Student Fees | - | - | - | - | - | - | - |
| Housing Revenue | - | - | - | - | - | - | - |
| Gift/Donations | - | - | 2.00 | - | - | - | 2.00 |
| Annual Budget, Operating and Capital | - | 0.05 | - | - | - | - | 0.05 |
| Total | 0.40 | 45.30 | 206.26 | 157.01 | 84.04 | 3.35 | 496.36 |



FY 2016 (in \$Million)

University of North Texas

| Proj. No. | Project | Funding Source | Prior Yrs Costs | 2016 | 2017 | 2018 | 2019 | 2020+ | Total Project |
|--|---|----------------|-----------------|--------------|---------------|--------------|--------------|-------------|---------------|
| Previously Approved Projects: | | | | | | | | | |
| 1.06 | Student Residence Hall | PP | 36.53 | (36.53) | | | | | 37.10 |
| | | RB | | | 37.10 | | | | |
| 1.17 | University Union Renovation | AUX | 5.10 | | | | | | 128.40 |
| | | CP | 25.08 | (25.08) | | | | | |
| | | PP | 82.90 | (82.90) | | | | | |
| | | SF | | | 8.00 | | | | |
| | | Local/Cash | | | 2.60 | | | | |
| | | RB | | | 112.70 | | | | |
| 1.17a | Scoular/ Stovall Relocations | HEAF | 1.00 | | | | | | 8.70 |
| | | CP | 7.68 | (7.68) | | | | | |
| | | RB | | | 7.70 | | | | |
| 2.14 | SRB Renovation | HEAF | 4.19 | | | | | | 20.43 |
| | | RFS | 0.74 | 15.50 | | | | | |
| 2.20 | Matthews Hall MEP | HEAF | 2.40 | 1.80 | | | | | 4.20 |
| 2.21 | Wooten Hall MEP | HEAF | 3.25 | 1.20 | | | | | 4.45 |
| 2.34 | Hickory Hall MEP | HEAF | 3.00 | | | | | | 3.00 |
| 2.33 | Willis Library MEP | HEAF | 0.45 | 5.10 | 3.40 | | | | 8.95 |
| 5.01 | Central Path Extension at Clark Park | HEAF Reserve | 1.50 | - | | | | | 1.50 |
| Previously Approved Projects Total | | | 173.82 | 39.51 | 3.40 | - | - | - | 216.73 |
| New Projects for Approval: | | | | | | | | | |
| 16-1.20 | College of Visual Arts and Design | TRB | | 6.80 | 63.20 | | | | 70.00 |
| 16-1.21 | Applied Physics | RFS | | 0.80 | 12.00 | | | | 12.80 |
| 16-1.84 | New Residence Hall | | | | | | | | |
| 16-1.84a | New Residence Hall - Phase 1 | RFS | | 1.35 | 13.44 | 26.43 | 3.58 | | 93.00 |
| 16-1.84b | New Residence Hall - Phase 2 | RFS | | - | 2.34 | 14.11 | 28.40 | 3.35 | |
| 16-2.25 | General Academic Building MEP | HEAF | | 0.50 | | | | | 7.50 |
| | | RFS | | | | 7.00 | | | |
| 16-2.50 | Life Science Lab Exhaust Upgrade | HEAF | | 0.20 | 3.00 | | | | 3.20 |
| 16-2.55 | Discovery Park MEP Upgrade | HEAF | | 0.60 | | | | | 10.60 |
| | | RFS | | | | 10.00 | | | |
| 16-2.62a | Maple Common Area Renovation | AUX | | 0.15 | 1.50 | | | | 1.65 |
| 16-2.63 | Kerr Hall Kitchen and Dining Renovation | AUX | 0.04 | 0.72 | 7.48 | | | | 8.24 |
| 16-2.65 | Sycamore 2nd Floor Renovation | HEAF | | 0.30 | 3.00 | | | | 3.30 |
| 16-2.66 | Coliseum Concourse Renovation | RFS | | 5.50 | 2.50 | | | | 8.00 |
| 16-2.67 | 1500 I-35 Building | RFS | | 3.00 | 4.00 | | | | 7.00 |
| 16-2.77 | Wooten Hall Code Upgrade | HEAF | | 0.03 | 2.00 | | | | 2.03 |
| 16-2.78 | Child Development Lab Renovation | HEAF | | 2.00 | | | | | 2.00 |
| 16-2.79 | McConnell Hall MEP | AUX | | 2.00 | | | | | 2.00 |
| 16-2.80 | Fouts Field Demolition | Local/Cash | | 0.05 | | | | | 5.00 |
| | | AUX | | | | 4.95 | | | |
| 16-2.81 | Fraternity Row Site Development | RFS | | 2.24 | | | | | 2.24 |
| 16-2.82 | Track and Field Stadium and Sports Fields | RFS | | 0.50 | 1.50 | | | | 5.60 |
| | | GIFT | | | | 2.00 | | | |
| | | AUX | | | | 1.60 | | | |
| 16-2.83 | Bruce Hall Renovation | AUX | | 1.70 | | | | | 1.70 |
| 16-2.85 | Sage Hall Academic Success Center | HEAF Reserve | | 0.22 | 1.63 | | | | 1.85 |
| New Project for Approval Total | | | 0.04 | 28.66 | 143.14 | 40.54 | 31.98 | 3.35 | 247.71 |
| Planned Projects with Identified Funding Sources: | | | | | | | | | |
| 1.43 | Gateway Park | HEAF | | | 1.00 | | | | 1.00 |
| 2.01 | Administration Building Renovation | HEAF | 0.02 | | 0.20 | 4.00 | | | 4.22 |
| 2.32 | Terrill Hall MEP | HEAF | | | 0.25 | 5.25 | | | 5.50 |
| 2.35 | Curry Hall MEP | HEAF | | | 0.50 | 5.00 | | | 5.50 |
| 2.51 | Coliseum MEP | Local/Cash | | | 0.50 | 4.00 | | | 9.50 |
| | | AUX | | | | | 5.00 | | |
| 2.53 | PAC Foundation Repairs | HEAF | | | 0.25 | 1.75 | | | 2.00 |
| 2.54 | Physical Education Building (PEB) MEP | HEAF | | | | 0.50 | 7.00 | | 7.50 |
| 2.56 | Language Building MEP | HEAF | | | | | 0.30 | 4.00 | 4.30 |
| 2.62b | Clark Common Area Renovation | AUX | | | 0.15 | 1.50 | | | 1.65 |



FY 2016 (in \$Million)

University of North Texas

| Proj. No. | Project | Funding Source | Prior Yrs Costs | 2016 | 2017 | 2018 | 2019 | 2020+ | Total Project |
|---|---|----------------|-----------------|--------------|---------------|--------------|--------------|--------------|---------------|
| 2.62c | Crumley Common Area Renovation | AUX | | | | 0.15 | 1.50 | | 1.65 |
| 2.62d | McConnel Common Area Renovation | AUX | | | | | 0.15 | 1.50 | 1.65 |
| 2.68 | Kerr Hall - Air Handler Replacement | AUX | | | 1.30 | 1.30 | | | 2.60 |
| 2.69 | Maple Hall Air Handler Replacement | AUX | | | | 1.00 | | | 1.00 |
| 2.70 | Demo and Build New Business Svs Whse | AUX | | | | 1.00 | | | 1.00 |
| 2.71 | SRB MEP Renovation | HEAF | | | | 1.20 | | | 1.20 |
| 2.72 | USB MEP Renovation | HEAF | | | 0.30 | 3.00 | | | 3.30 |
| 2.73 | RTFP MEP Renovation | HEAF | | | | 0.50 | 5.00 | | 5.50 |
| 2.74 | Discovery Park Engineering Construction | RFS | | | 0.75 | 8.75 | | | 9.50 |
| 2.84 | Driveway Upgrades (Discovery Park and Campus) | HEAF | | | | | | 1.00 | 1.00 |
| Planned Projects with Identified Funding Sources Total | | | 0.02 | - | 5.20 | 43.90 | 13.95 | 6.50 | 69.57 |
| Planned Land Acquisitions | | | | | | | | | |
| 3.01 | Land Acquisitions per Master Plan | HEAF Reserve | | 2.00 | | | | | 8.00 |
| | | HEAF | | | 1.50 | 1.50 | 1.50 | 1.50 | |
| Planned Land Acquisition Total | | | - | 2.00 | 1.50 | 1.50 | 1.50 | 1.50 | 8.00 |
| Capital Improvement Plan Total | | | 173.88 | 70.17 | 153.24 | 85.94 | 47.43 | 11.35 | 542.01 |

Planned Project without Identified Funding Sources

New Construction:

- Science and Tech Research Building
- Music Practice Building
- Baseball Stadium
- Fouts Field Parking Garage
- Academic Building
- Teaching Hotel

Renovation:

- Visitor's Center
- Eagle Student Services Envelope

Summary by Funding Source

| | Funding Source | Prior Yrs Costs | 2016 | 2017 | 2018 | 2019 | 2020 | Total |
|--------------------------------------|----------------|-----------------|--------------|---------------|--------------|--------------|--------------|---------------|
| HEAF | HEAF | 14.31 | 11.73 | 15.40 | 22.70 | 13.80 | 6.50 | 84.44 |
| HEAF Reserve | HEAF Reserve | 1.50 | 2.22 | 1.63 | - | - | - | 5.35 |
| Tuition Revenue Bonds | TRB | - | 6.80 | 63.20 | - | - | - | 70.00 |
| Commercial Paper | CP | 32.76 | (32.76) | - | - | - | - | - |
| Private Placement | PP | 119.43 | (119.43) | - | - | - | - | (0.00) |
| Revenue Bonds | RB | - | 157.50 | - | - | - | - | 157.50 |
| Revenue Financing System Bonds | RFS | 0.74 | 28.89 | 53.53 | 49.29 | 31.98 | 3.35 | 167.78 |
| Auxiliary Reserves | AUX | 5.14 | 4.57 | 16.98 | 9.95 | 1.65 | 1.50 | 39.79 |
| Grants | GRNT | - | - | - | - | - | - | - |
| Student Fees | SF | - | 8.00 | - | - | - | - | 8.00 |
| Housing Revenue | HR | - | - | - | - | - | - | - |
| Gift/Donations | GIFT | - | - | 2.00 | - | - | - | 2.00 |
| Annual Budget, Operating and Capital | Local/Cash | - | 2.65 | 0.50 | 4.00 | - | - | 7.15 |
| Total | | 173.88 | 70.17 | 153.24 | 85.94 | 47.43 | 11.35 | 542.01 |

Approved

President

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 Sage Hall –Academic Success Center
 Capital Improvement Project No. 16-2.85



PROJECT DESCRIPTION

This project will provide for the renovation to Sage Hall for an Academic Success Center (ASC). The project will renovate the first floor which is approximate 27,656 square feet. The ASC will provide space for tutoring, advising for undergraduates with undetermined majors, the Math Lab (which is currently located in the General Academic Building), and Learning Center. The Office of Disability Accommodations (ODA), the Writing Lab, and some classrooms functions will remain on the floor. There are several functions currently located on the first floor that will require temporary accommodations in other facilities until future phases are undertaken.

PROJECT INFORMATION

JUSTIFICATION: UNT currently provides a broad range of student support services. However, many are dispersed in multiple facilities across campus. It is desired to co-locate these existing services and provide for additional academic support one central location. By co-locating high impact offices in a high traffic area, students will be able to easily locate and access services to promote academic and excel professional success. Other Universities of similar size, program offerings, and/or mission were benchmarked for best practices in the planning of UNT’s Academic Success Center (ASC). Sage Hall is approximately 89,520 gross square feet and is located in the core of campus near the University Union. This central location will provide a high-energy environment to offer student service support in the following areas: Learning Support, Advising Services, Career Development, and Student Engagement

LOCATION: Denton
 SIZE (ASF/GSF): GSF: 27,656 ASF: 17,993
 CIP PROJECT TYPE (NEW CONST. OR RENO.): Renovation
 HISTORICALLY SIGNIFICANT? (Y or N): Y
 CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

| | |
|---|---------------------|
| Design Fees | \$ 122,000 |
| Construction Costs | \$ 1,387,874 |
| Other Costs (Commissioning, Inspection, etc.) | \$ 41,500 |
| Furniture, Fixtures, and Equipment | \$ 134,660 |
| Contingency and Fees | \$ 163,966 |
| Total Projects | \$ 1,850,000 |

PROJECT FUNDING (in \$ Millions)

| Funding Source | Funding Source | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | Source Total |
|----------------|----------------|---------|---------|---------|---------|---------|--------------|
| HEAF Reserve | HEAF Reserve | \$ 0.22 | \$ 1.63 | \$ - | \$ - | \$ - | \$ 1.85 |
| | | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| | | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| | | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| | | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| | | \$ 0.22 | \$ 1.63 | \$ - | \$ - | \$ - | \$ 1.85 |

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
Sage Hall –Academic Success Center
Capital Improvement Project No. 16-2.85

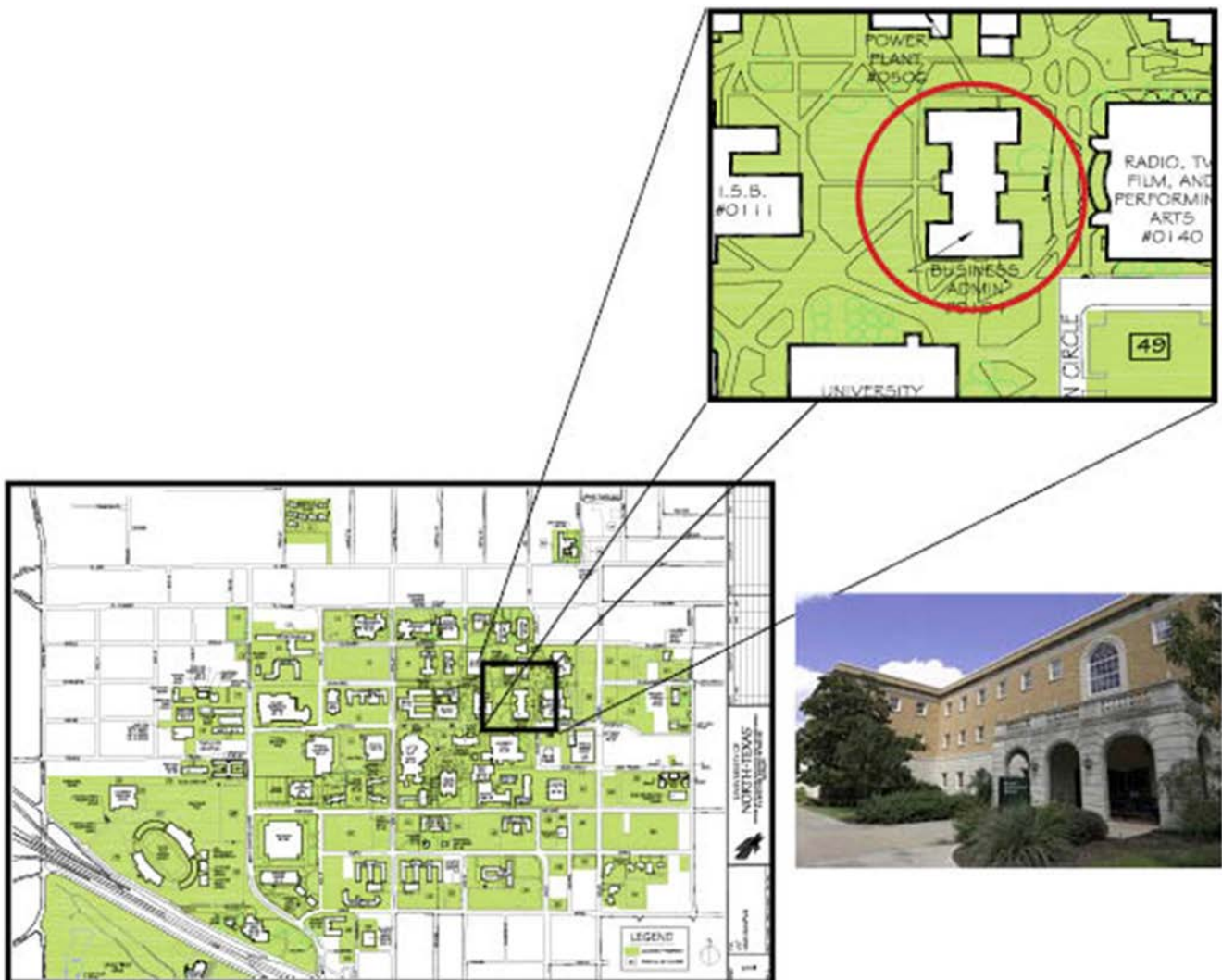


PROJECT SCHEDULE

| | |
|---|---------------------------|
| PREVIOUS APPROVALS FROM BOARD OF REGENTS: | N/A |
| PROGRAMMING/PLANNING: | N/A |
| DESIGN: | June 2016 – March 2017 |
| CONSTRUCTION: | June 2017 – December 2017 |
| SUBSTANTIAL COMPLETION: | December 2017 |

LOCATION MAP

(Provide an area locator map identifying the location and specific site map. Provide other graphics or photos as available.)





Board Briefing

Committee: Finance & Facilities

Date Filed: April 12, 2016

Title: Request for Increase of the Recreational Facility Fee

Background:

In the fall of 2000, the Student Government Association conducted an election in which the student body voted to institute a Recreational Facility Fee for constructing, operating, maintaining, improving, and equipping a recreational facility or program at the University of North Texas. In the spring 2001 the Texas State Legislature passed a bill implementing a fee not to exceed \$75 per student for each semester (prorated in the summer and mini-semesters). Per the legislation, the Board of Regents may increase the fee by up to 10% in an academic year without a general election of the student body. The Board of Regents approved a fee increase to \$78 in 2006.

The Pohl Recreation Center opened in September 2003. The budget for the Pohl Recreation Center has not been increased since 2006 and the implementation of the Hazelwood Act has had a negative impact on this budget. Even though enrollment has increased in the last ten years, the overall budget has not increased accordingly due to the waivers associated with the Hazelwood Act. The chart below illustrates this impact and the total waivers to the fee since 2011.

| | 2011 | 2012 | 2013 | 2014 | 2015 | FY16 to date |
|-----------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| HAZELWOOD | \$ 73,778.44 | \$112,209.24 | \$159,750.42 | \$167,160.38 | \$181,575.38 | \$ 175,785.89 |
| All Other Waivers | \$ 43,323.80 | \$ 46,798.70 | \$ 52,484.35 | \$ 49,764.70 | \$ 48,096.58 | \$ 35,443.30 |
| Total Waivers: | \$117,102.24 | \$159,007.94 | \$212,234.77 | \$216,925.08 | \$229,671.96 | \$211,229.19 |

Additionally, as the facility has aged, there is an increased need for major maintenance and repairs to the facility. Since FY11, maintenance and repairs costs have ranged from \$268,000 to \$423,000 and these funds have been taken from Recreation Center reserves. Projections for the next three fiscal years show those costs increasing. Currently, projections for maintenance expenditures for FY18 exceed \$1,000,000.

Financial Analysis/History:

The Pohl Recreation Center is funded solely by the Recreational Facility Fee and does not receive funds from any other sources. Therefore this fee is responsible for funding all operating expenses, maintenance and any increases mandated by the legislature and/or the University. The primary use of the fee increase will be to cover anticipated increases in maintenance, equipment

replacement, and operating costs. In addition, the cost of merit raises for staff paid from this fee will have to be funded from operating funds.

In order to assist in funding these expenses, the Student Service Fee Committee approved on April 8, 2016, a request for a \$7.80 increase in the Recreational Facility Fee beginning in the Spring semester of 2017.

The fee rate has not changed from \$78 since September 1, 2006. The proposed fee increase of \$7.80 per student per long semester (prorated for the summer and mini-semesters) would result in approximately \$600,000 in additional funds annually.

As a point of reference, in looking at all 24 Texas universities with a recreational facility fee, UNT ranks in the bottom seven. Even with the proposed increase, UNT's ranking would not change.

Bob Brown Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas,
ou=VP for Finance and Administration,
email=bbob.brown@unt.edu, c=US
Date: 2016.05.06 11:25:54 -05'00'

Institution Chief Financial Officer

Janet Waldron Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.11 14:18:14 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System,
ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:14:56 -05'00'

Vice Chancellor/General Counsel

Schedule:

If approved, the fee increase will be effective in the Spring 2017 semester.

Recommendation:

It is recommended that the Board of Regents approve a \$7.80 increase in the Recreational Facility Fee to be effective in the Spring 2017 semester.

Recommended By:

Elizabeth With

Vice President for Student Affairs

Neal Smatresk Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University
of North Texas, ou=President,
email=neal.smatresk@unt.edu, c=US
Date: 2016.05.06 14:26:01 -05'00'

President

Lee Jackson Digitally signed by Lee Jackson
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ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2016.05.11 13:53:19 -05'00'

Chancellor



Board Order

Title: Request for Increase of the Recreational Facility Fee

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in 2000 an SGA election of the student body voted to create a Recreational Facility Fee for the construction, operation, maintenance, improvement and equipment of a recreational facility or program, and

Whereas, the Pohl Recreation Center opened in 2003 and serves approximately 15,000 students each semester and corresponding data shows that users have a higher cumulative grade point average than non-users, and

Whereas, the additional funds are needed to cover the associated costs with maintaining, operating, and improving the Pohl Recreation Center and its programs, and

Whereas, the student body and the University benefit from the Pohl Recreation Center

Now, Therefore, The Board of Regents authorizes and approves the following:

1. A \$7.80 increase per student in the UNT Recreational Facility Fee (from \$78 to \$85.80) effective Spring 2017.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Briefing

Committee: Finance & Facilities

Date Filed: May 9, 2016

Title: Delegation of Authority to Negotiate and Execute a Multi-Year Agreement for UNT with the Dallas Cowboys

Background:

The University of North Texas seeks to enter into a university-exclusive Agreement with the Dallas Cowboys. The Agreement will provide UNT students integrated academic and student internship programs at the Cowboys' new team headquarters and training facility in Frisco - The Ford Center at the Star. The Agreement also will help to greatly expand overall awareness of UNT and promote its new off-site instructional teaching facility, the New College at Frisco, through an extensive advertising program at the Ford Center at the Star and AT&T Stadium in Arlington.

Integrated academic and student internship programs initially are expected to be in the areas of broadcast journalism, hospitality management, sports media and event management, and recreation events and sports management. Marketing, data analytics, digital retailing and information technology are among future student programs under discussion.

The Agreement is expected to provide UNT use of the moniker "Proud Partner of the Dallas Cowboys" and use of the team's star and other primary logos; a blend of digital in-stadium, in-restaurant and concourse advertising at The Ford Center and AT&T Stadium; digital mixed-use exterior banner and highway marquee advertising; select event exhibit space; game-day radio spots; preseason network and Jason Garrett show televised commercials; and a microsite and ads on the DallasCowboys.com web site.

The Dallas Cowboys are a professional football team located in the Dallas-Fort Worth region. The team is a member of the East division of the National Football Conference in the National Football League (NFL). The team currently is scheduled to move its team headquarters to Frisco, Texas in summer of 2016. The Cowboys sold naming rights to their new headquarters, the largest team headquarters in the NFL, to the Ford Motor Company.

In addition to being the Cowboys' new team headquarters and training facility, The Ford Center at The Star has two outdoor practice fields; a 12,000-seat indoor stadium that will be shared with the Frisco Independent School District, which has eight high schools; and the exclusive and fully subscribed members-only Cowboys Club at the Star. The modern complex will include a Baylor Scott & White Health sports facility and a fitness center, considerable office space for lease, retail shopping and an upscale 16-story Omni hotel with a convention center that is expected to open in summer of 2017.

UNT's New College at Frisco, a convenient off-site instructional facility which opened in January 2016, will serve working professionals and college-age students in an area that's home to Fortune

1000 company headquarters and operations of other large corporations. Frisco, an affluent city located in Denton and Collin counties, is one of the nation's fastest growing cities for residential and business development. The city's evolving "\$5 Billion Mile" is the site of rapid corporate growth.


Financial Analysis/History:

The duration and cost of the UNT-Dallas Cowboys Agreement is not yet determined, but it is anticipated that the overall cost is of sufficient size to require that the Board of Regents delegate authority to the Chancellor, with the concurrence of the UNT President, to negotiate and execute a multi-year renewable Agreement.

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Date: 2016.05.09 15:39:25 -05'00'

Bob Brown

Institution Chief Financial Officer


 Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2016.05.09 19:33:19 -05'00'

Janet Waldron

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

 Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:15:35 -05'00'

Nancy S. Footer

Vice Chancellor/General Counsel


Schedule:

Beginning in 2016 and extending an undetermined number of years.

Recommendation:


Delegation of Authority to the Chancellor, with the concurrence of the UNT president, to negotiate and execute a multi-year university-exclusive renewable Agreement between UNT and the Dallas Cowboys.

Recommended By:

 Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University of North Texas, ou=President, email=neal.smatresk@unt.edu, c=US
Date: 2016.05.09 15:44:46 -05'00'

Neal Smatresk

President

 Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System, ou=Office of the Chancellor, email=lee.jackson@untsystem.edu, c=US
Date: 2016.05.11 14:06:25 -05'00'

Lee Jackson

Chancellor



Board Order

Title: Delegation of Authority to Negotiate and Execute a Multi-Year Agreement for UNT with the Dallas Cowboys

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the University of North Texas Seeks to enter into a university-exclusive multi-year renewable Agreement with the Dallas Cowboys beginning in 2016, and

Whereas, the Agreement will provide UNT students integrated academic and student internship programs in the Cowboys’ new team headquarters and training facility in Frisco, The Ford Center at the Star, and

Whereas, the Agreement also will help to greatly expand overall awareness of UNT and promote its new off-site instructional teaching facility, the New College at Frisco, through an extensive advertising program at both The Ford Center at the Star and at the AT&T Stadium in Arlington,

Now, Therefore, The Board of Regents authorizes and approves the following:

1. Delegation of Authority to the Chancellor, with the concurrence of the UNT president, to negotiate and execute an Agreement between UNT and the Dallas Cowboys.
2. The agreement is to begin in 2016, will extend multiple years and is renewable.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



UNT | SYSTEM™

MINUTES

BOARD OF REGENTS Audit Committee February 25-26, 2016

Thursday, February 25, 2016

The Audit Committee of the Board of Regents of the University of North Texas System convened on Thursday, February 25, 2016 in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas with the following members in attendance: Regents Glen Whitley, Don Potts, Rusty Reid, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman Whitley at 1:35 p.m. The minutes of the November 19, 2015, Audit Committee meeting was approved on a 4-0 vote following a motion by Regent Potts and seconded by Regent Wright. The committee also reviewed the **Committee Charter and Annual Schedule**.

The Committee had one briefing planned for this meeting. UNT System Chief Audit Executive Tracy Grunig delivered the **Report of Audit Activities**. Chair Whitley noted that the Committee had received one background report: **UNTS Consolidated Quarterly Compliance Report, September 2015 through November 2015**.

There being no further business, the Committee meeting recessed at 2:19 p.m. until Friday, February 26, 2016, at approximately 10:15 a.m. at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas.

Friday, February 25, 2016

The University of North Texas System Board of Regents convened on Friday, February 26, 2016 at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas with the following members in attendance: Regents Rusty Reid, Don Potts, Glen Whitley, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman Whitley at 9:22 a.m. The Committee had one action item to consider.

**2016-21 UNTS Amendment to Regents Rule 04.500, Audit and Compliance
and Adoption of Regents Rule 04.1200, Compliance**

Pursuant to a motion by Regent Rusty Reid and seconded by Regent Don Potts, the Committee approved the above item on a 4-0 vote.

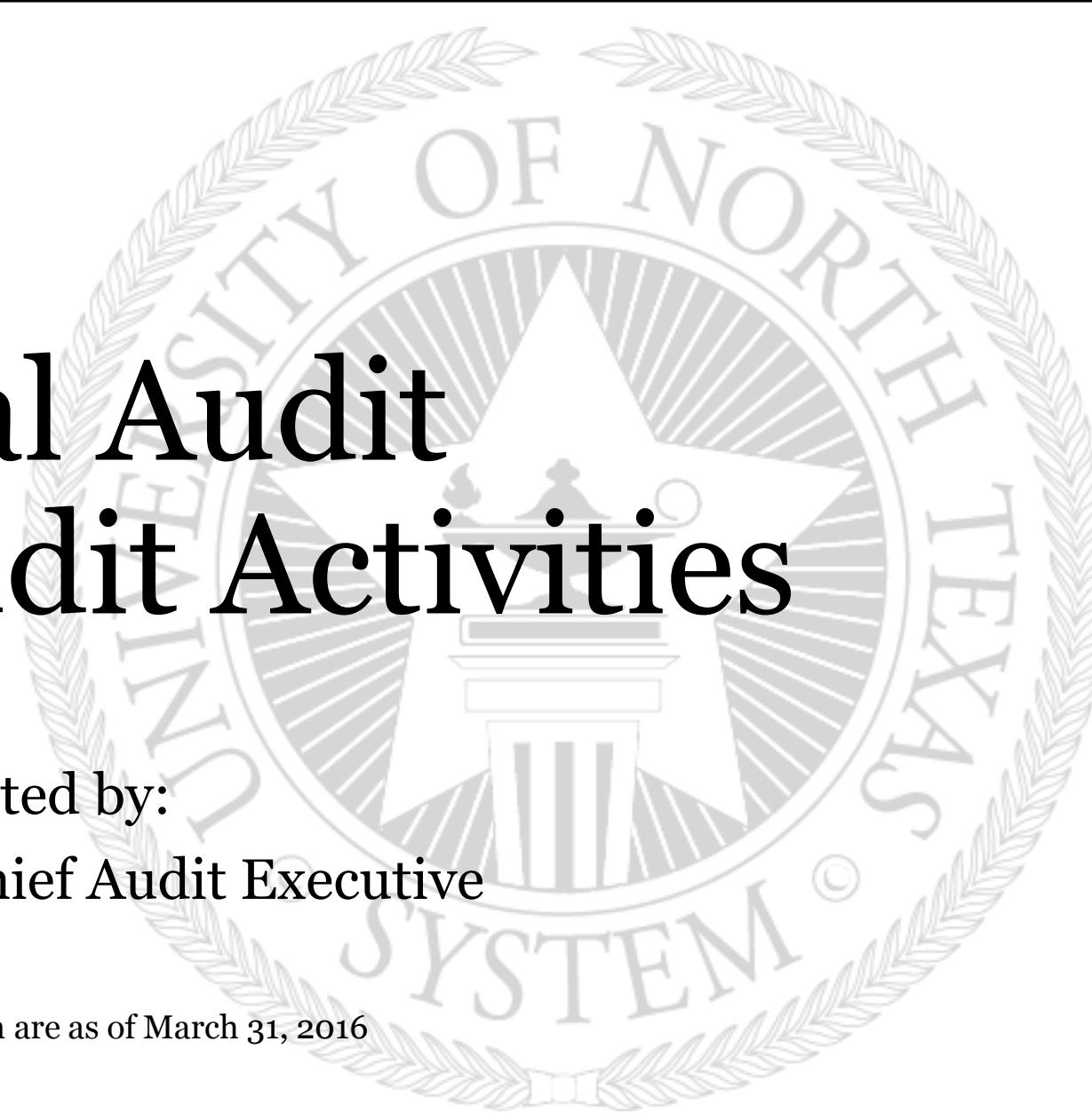
The minutes of the December 14, 2015 Audit Committee meeting were also approved on a 4-0 vote following a motion by Regent Don Potts and seconded by Regent Laura Wright.

There being no further business, the Committee meeting adjourned at 9:25 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: March 9, 2016



Internal Audit Report of Audit Activities

Presented by:

Tracy C. Grunig, Chief Audit Executive

Activities reflected within are as of March 31, 2016

Internal Audit Value to the UNT Enterprise

- Education
- Outreach and Service
- Consulting Services and External Relations
- Audit Activities

Education

- UNT Internal Audit Graduate Student Project
- Presentations
 - UNT Internal Audit ACCT 5450 Class
 - CAE Facilitated Discussion “*Internal Audit Communication and Follow-up*”
 - Panel Discussion ISACA/IIA/ACFE UNT Student Organization Certification
 - East Central University (Ada, OK)
 - Senior Director- Integrity Unit Presented “*Fraud Investigations*”
 - UT Dallas (with Deloitte)
 - CAE Presented “*The Skills Needed, Challenges Met, and Rewards Presented as an Insights-Driven Internal Auditor*”
 - TCU Neely School of Business ACCT 40223 Class
 - Senior Auditor Presented “*Internal Audit: Behind the Scope*”

Outreach and Service

- UNT Vice President of Student Affairs Meetings
- UNT Compliance Council
- UNT Student Conduct Committee
- UNT Health Science Center Compliance Council
- Hyperion Implementation Team
- PeopleSoft Upgrade for Finance Initiative Team
- Financial Transformation Implementation Project Team
- Continuing Professional Education Opportunities
- UT Dallas Fraud Summit
 - Senior Director- Integrity Unit presented “*Starting an Investigation Unit*”
 - Invited UNT Enterprise Senior Management (Police, Compliance, Faculty, Finance)

Consulting Services and External Relations

- Consulting Services
 - UNT and UNTHSC
 - Worked with Management to Mitigate Identified Risk and Strengthen Internal Controls
 - UNT Dallas
 - Financial Aid & Scholarships Process
 - UNTD Policies Review
- External Relations
 - Texas State Auditor's Office (SAO)
 - Reporting Requirements
 - Delegation of Authority Waivers
 - Internal Audit Calendar
 - Investigation Protocol

Consulting Services and External Relations (continued)

- External Relations (continued)
 - Senate Bill 20
 - UNT Enterprise Taskforce Involvement
 - Internal Audit Will Include Statement Regarding Current and Future State in SAO Annual Report

Audit Activities

- Facilitate UNT Enterprise External Audit
- Respond to SAO Investigation Requests
- Coordinate UNT Management Representation Letters
- Facilitate Internal Audit and Financial Services Relocation from UNT Health Science Center
- Reinvigorate Internal Audit Quality Assurance Survey

Audit Activities

- Training (Maintaining Relevance and Responsiveness)
 - New UNT Chart of Accounts
 - UT Dallas Fraud Summit
 - Foundations of IT Audit
 - Securing and Auditing Virtualized Environments
 - Institute of Internal Auditors-General Audit Management Conference (GAM)
 - ISACA North America Computer Audit, Control and Security Conference (CACCS)
 - Certified Fraud Examiner (CFE) Exam Review Course

Audit Activities (continued)

- Webinars
 - *Using IDEA in a Payroll Audit*
 - *Auditing Cybersecurity in an Unsecure World*
 - *Filling the Void: Addressing Today's Skills Gaps in Internal Audit*
 - *2016 Industry Outlook*
 - *Fraud in the Healthcare Landscape*
 - *Cybersecurity-Creating Trust in the Digital World*
 - *Cybersecurity- Benefits of a Business Aligned and Risk Based Approach*
 - *Selecting an Electronic Work Paper Package*
 - *Why Good People do Bad Things*
- Monthly IIA & ACFE Meetings

UNT Enterprise Internal Control Observations

- Organization Maturity Level-Internal Controls and Compliance
- Culture-Variation Between Tone at the Top and Execution Within the Organization
- Enterprise Policies-Inconsistent, Insufficient, and/or Contradictory
 - Cash Handling
 - Time & Labor
 - Sponsored Projects (Grants and Contracts)

Fiscal Year 2017 Risk Assessment Planning

- **Assess Strategic Risk**
- Timeframe-April 2016 Start Date
- Build on What Was Done in Fiscal Year 2016-Substantive Interviews, Survey Documentation
- Hold Targeted Interviews with Senior Leadership on Strategic Issues and High Impact/Likelihood Risk
- Leverage Emerging Risks/Industry Trends/Health Sciences, Higher Education and IT
- Incorporate Best Practices and Fraud Prevention Techniques
- Assess Results From Existing Audits to Determine Gaps in Processes and Controls
- Develop Proposed Annual Audit Plan Projects
 - Internal Audit's Identified Risk Areas
 - Senior Leadership Requests
 - Required Compliance Audits
 - Results Derived From Data Mining of IT Governance- IT Audit Risk

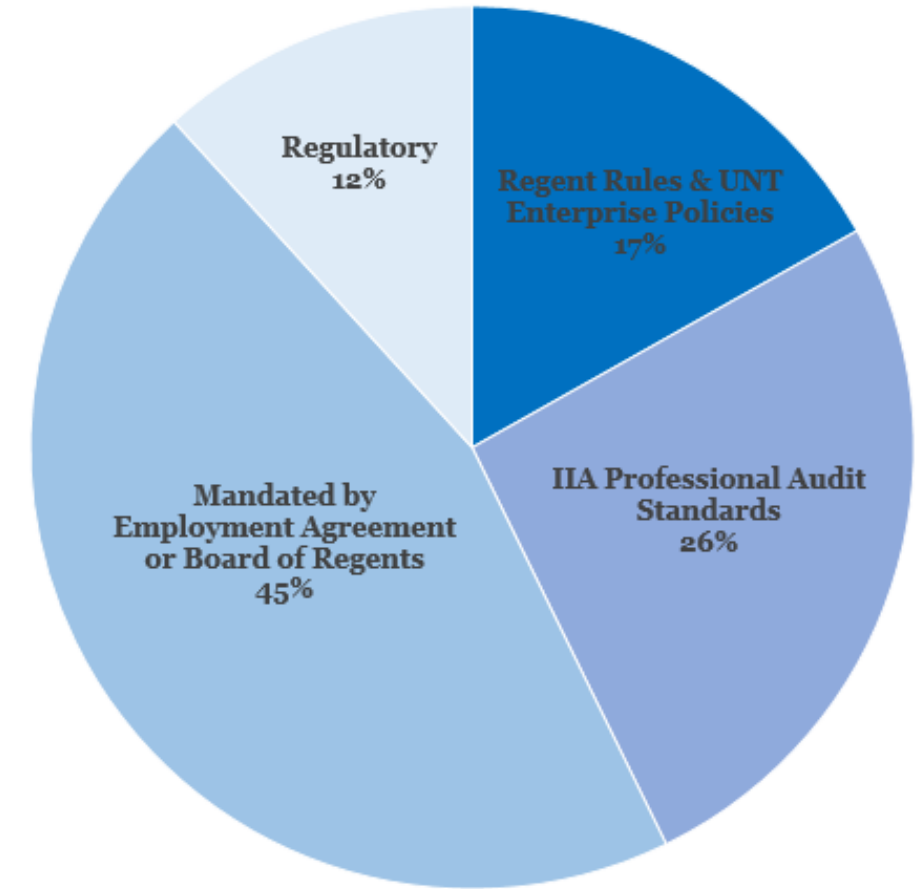
Fiscal Year 2016 Annual Audit Plan (amended)

| Audit Name | Component Institution | | | | Current Status | | | | | Audit Committee Presentation Date |
|--|-----------------------|-----|--------|------------|----------------|------|---------|-------------|--------|-----------------------------------|
| | System | UNT | UNTHSC | UNT Dallas | Outsourced | Open | Planned | In-Progress | Issued | |
| Expenditure Review | X | X | X | X | | | | | X | February 2016 |
| Family Medicine Residency Program Review | | | X | | | | | | X | February 2016 |
| Investments Review | X | X | X | X | | | | | X | February 2016 |
| Joint Admission Medical Program Review | | | X | | | | | | X | February 2016 |
| Security (IT) Governance | X | X | X | X | | | | | X | May 2016 |
| Advisory: PeopleSoft Implementation | X | X | X | X | | | | X | | May 2016 (estimated) |
| Advisory: Hyperion Implementation | X | X | X | X | | | | X | | May 2016 (estimated) |
| Privacy and Data Protection | X | X | X | X | | | | X | | May 2016 (estimated) |
| Student Cell Phone Access Audit | X | X | X | X | | | | X | | May 2016 (estimated) |
| Advisory: FY 15 External Audit Coordination and | X | X | X | X | | | | X | | Continuous |
| Audit Recommendation Follow-up | X | X | X | X | | | | X | | Continuous |
| Financial Transformation Implementation Assurance | X | X | X | X | | | | X | | Continuous |
| Investigations | X | X | X | X | | | | X | | Continuous |
| Management Requests and Emerging Risks | X | X | X | X | | | | X | | Continuous |
| Unrelated Business Income Tax | | X | | | | | | X | | |
| Management Control Review-Policies & Procedures | | | | X | | | | X | | |
| Selected Student Fees Review | | X | | X | | | | X | | |
| Accounts Payable | X | X | X | X | | X | | | | Continuous |
| Task Payments | X | X | X | X | | X | | | | Continuous |
| Journal Entry | X | X | X | X | | X | | | | Continuous |
| Payroll | X | X | X | X | | X | | | | Continuous |
| Affordable Care Act Implementation | | X | | | | X | | | | |
| Change Management | X | X | X | X | | X | | | | |
| Enrollment Management and Planning | | | | X | | X | | | | |
| Federal Financial Aid Review | | | | X | | X | | | | |
| International Travel Process Review | | X | | | | X | | | | |
| PCI Data Security Overview | X | X | X | X | | X | | | | |
| Selected Contract Review (1 of 2) | X | | | | | X | | | | |
| Selected Contract Review (2 of 2) | X | | | | | X | | | | |
| HSC New Consulting Project - UNTHSC/TCU | | | | | | | | | | |
| Selected Scholarships Review | | X | | | | X | | | | |
| Student Managed Investment Fund Review | | X | | | | X | | | | |
| Time & Labor Audit | X | | X | | | X | | | | |
| Unit Specific Management Control Review | | X | | | | X | | | | |
| Unit Specific Management Control Review | | X | | | | X | | | | |
| Unit Specific Management Control Review | | | X | | | X | | | | |
| HRSA Loan Programs | | | X | | | | | | | Performed by Texas SAO A-133 |
| Cancer Prevention Research Institute of TX Program | | X | X | | X | | | | | August 2016 (estimated) |
| Benefits Proportionality Review | X | X | X | X | X | | | | | |
| Endowments | | X | X | X | X | | | | | |
| Financial Review of HSC Reserves | | | X | | X | | | | | |
| Grants Management Process Review | | X | | | X | | | | | |
| Selected Grants Reviews | | X | X | | X | | | | | |
| Federal Financial Aid Review | | | | X | X | | | | | |

Fiscal Year 2016 Annual Audit Plan Compliance/Regulatory Audit Effort Progression #1

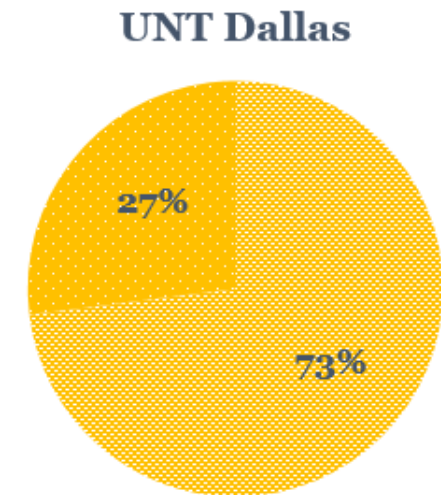
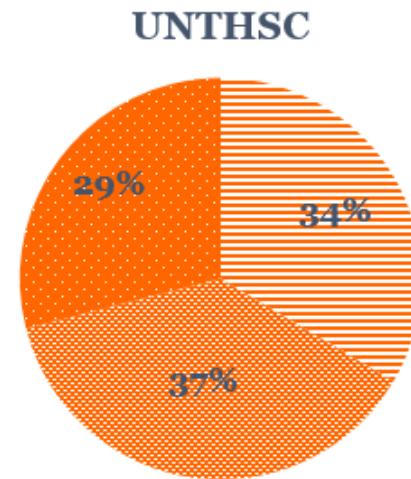
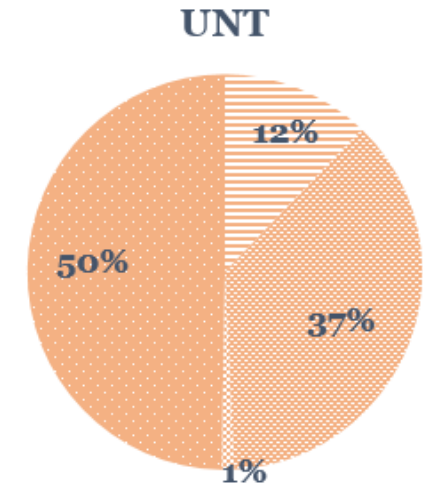
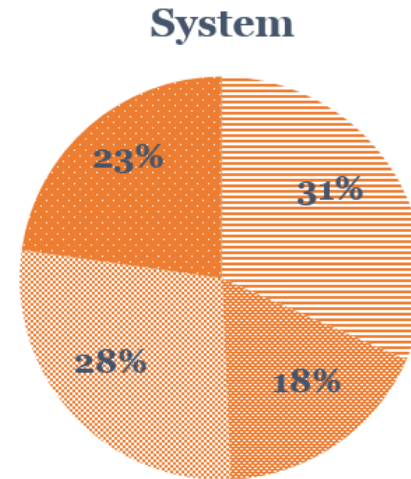
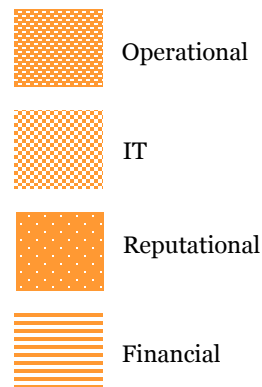
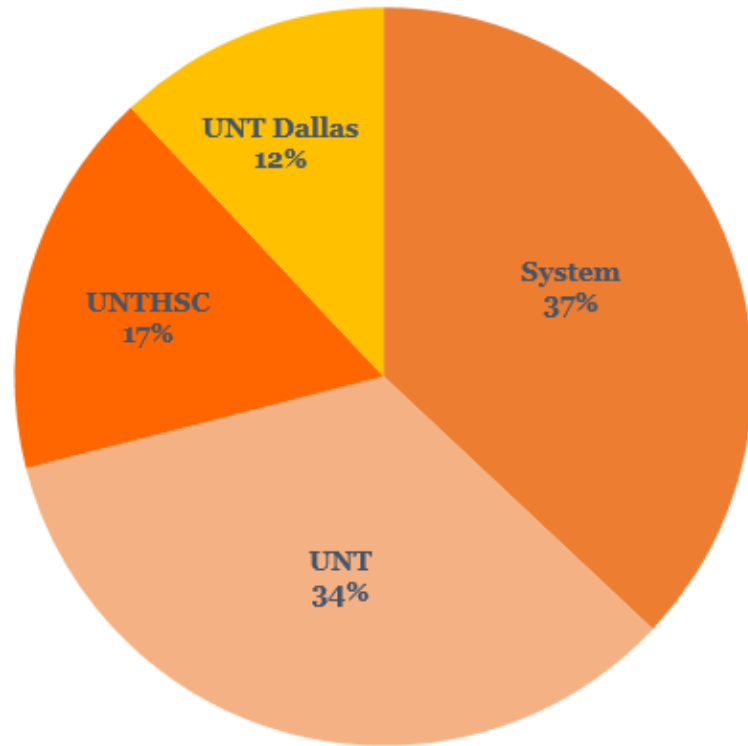
Compliance/Regulatory Audit Effort 2,970 Total Hours

| Regents Rules and UNT Enterprise Policies (500 hours) | IIA Professional Audit Standards (770 hours) |
|--|---|
| Investments Review- UNT Enterprise | Audit Recommendation Follow-Up Quality Assurance Review Process- Internal Quality Assurance Review External |
| Mandated by Employment Agreement or Board of Regents (1,350 hours) | Regulatory (350 hours) |
| President/Chancellor Exp. Review-UNT Enterprise Financial Transformation Implementation Assurance | Family Medicine Residency Program Joint Admission Medical Program Review Student Managed Investment Fund Review Texas State Auditor's Office (SAO)- Complaints and Annual Reporting |

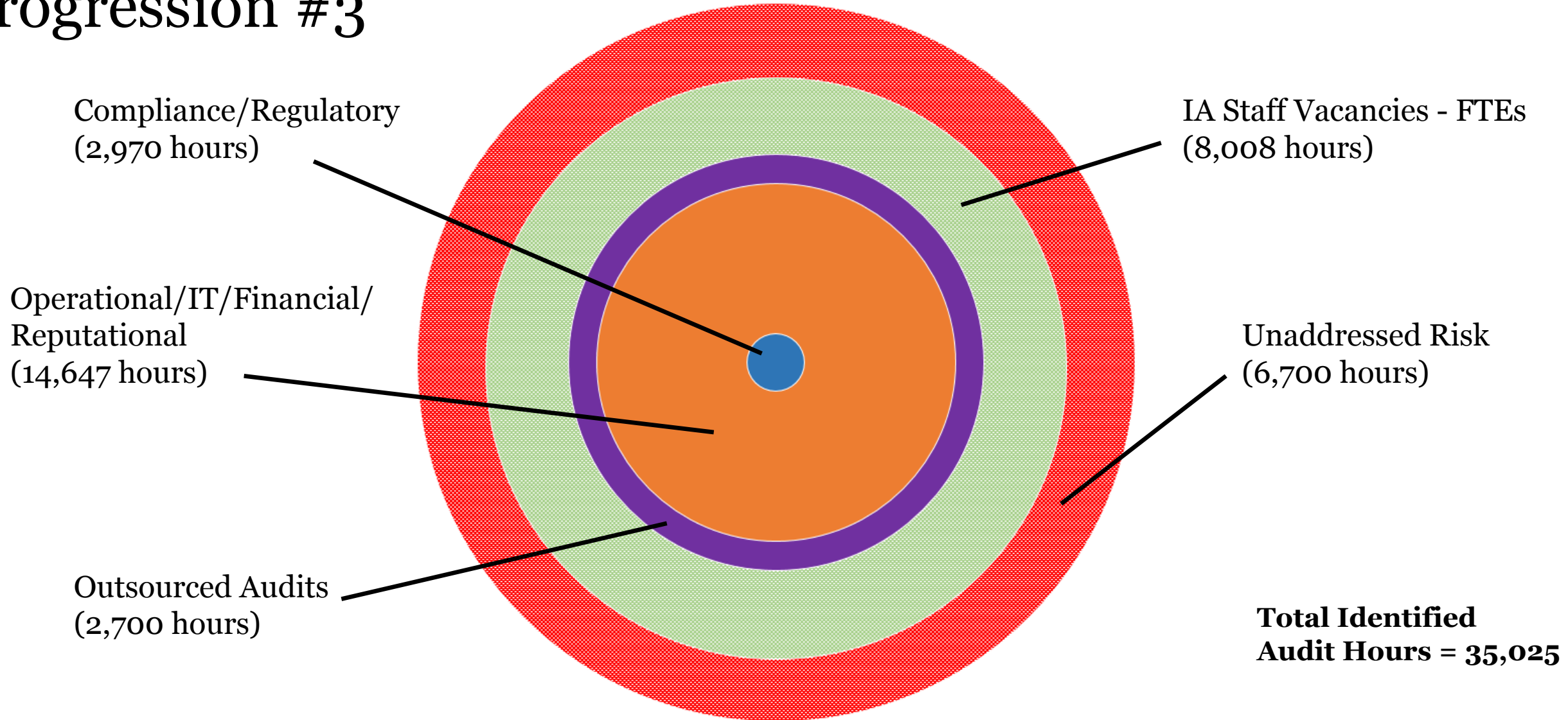


Fiscal Year 2016 Remainder of Audit Plan Progression #2

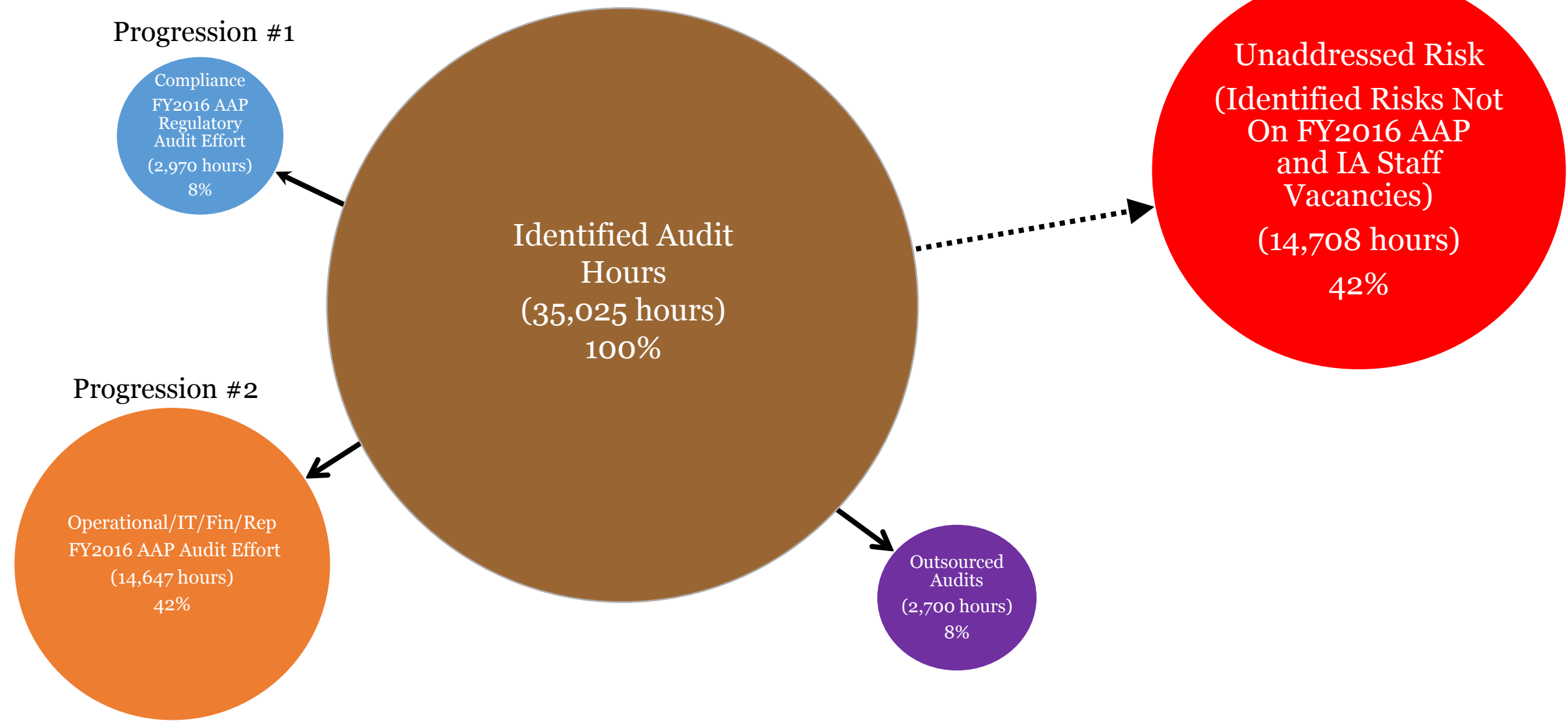
| | |
|---------|---|
| 17,617 | Fiscal Year 2016 Annual Audit Plan Hours |
| (2,970) | Hours for Compliance/Regulatory Audit Effort (Progression #1) |
| 14,647 | Hours for Operational/IT/Reputational/Financial Audit Effort (Fully Staffed) (Progression #2) |



Fiscal Year 2016-Identified Audit Required Effort Progression #3



Identified Unaddressed Risk Progression #4



Audit Reports Issued

- Information Technology Unit
 - IT Governance Audit

- Integrity Unit
 - 1539 UNT OGCA Timesheets Investigation
 - 16-221 UNTS Payroll Collection
 - 16-212 UNT Outreach G-Force
 - 5 Allegation Summaries Submitted to Management

IT Audit Update

Management Advisory Services

Advisory: PeopleSoft Implementation and Hyperion Implementation

- Met Regularly with Project Management to Discover Any Roadblocks and Escalate Concerns as Needed
- Monitored the Timeline and Milestones Ensuring All Delays Were Being Addressed and Alternative Plans Put in Place
- Acted as a Sounding Board to Members of the IT and Business Implementation Teams

IT Audit Update

Training

- Foundations of IT Auditing
 - Enhance IT Audit Team IT skills
 - Prepare staff for more in-depth IT audit training
 - Build core competencies of IT Audit team
- Securing and Auditing Virtualized Environments
 - UNT IT environment is heavily virtualized
 - Develop auditor skills for future audits
 - Increase IT Audit Team advanced IT skills
- ISACA North America Computer Audit, Control and Security Conference (CACCS)
 - Stay abreast of:
 - Trends in cyber security
 - Top risks in IT security
 - Emerging technologies
 - Leverage training to assist with 2017 Risk Assessment
- Benchmarked with University of Oklahoma IT Audit team
 - Scheduling onsite collaboration session
- Member of UNT IT Technical Architecture Group (TAG)

IT Audit Update

Audit Projects Report Issued

IT Governance Audit

- Value Added
 - Provided assurance UNT is in compliance with the provisions set forth in Texas Administrative Code (TAC) 202 guidelines
 - TAC 202 is a baseline of security standards for Texas state agencies and institutions of higher education
 - Having a baseline is important to establish a foundation or basis of consistency to implement and evaluate security standard.
 - The report included a diagram representing a consolidated overview of the IT Governance process throughout the UNT Enterprise
 - Reporting and communication relationships are clearly identified
 - UNT Enterprise personnel will use this as a living document and will reflect future changes in alignment
 - Audit fieldwork provided assurance that policies, processes and procedures supporting the IT Governance structure are in place
 - Efforts are underway by management to further strengthen UNT Enterprise IT Governance and communication
- Risk Assessment
 - Areas of internal control risk or communication deadlocks were identified on diagram
 - Provided Internal Audit with insight on where we should focus future IT audit efforts to address areas of high risk

IT Audit Update

Audit Projects in Progress

Data Privacy Audit

- Report in draft process
- Scope-All laptops purchased and maintained by all University components for use by faculty and staff
- Objective-Verify an inventory process is in place, a standard and secure build process is utilized and anti-virus and encryption is maintained on each laptop

Student Cell Phone Access Audit

- Scope-Student cell phone information under the University
- Objective-To ensure controls surrounding access to student cell phone information is appropriate

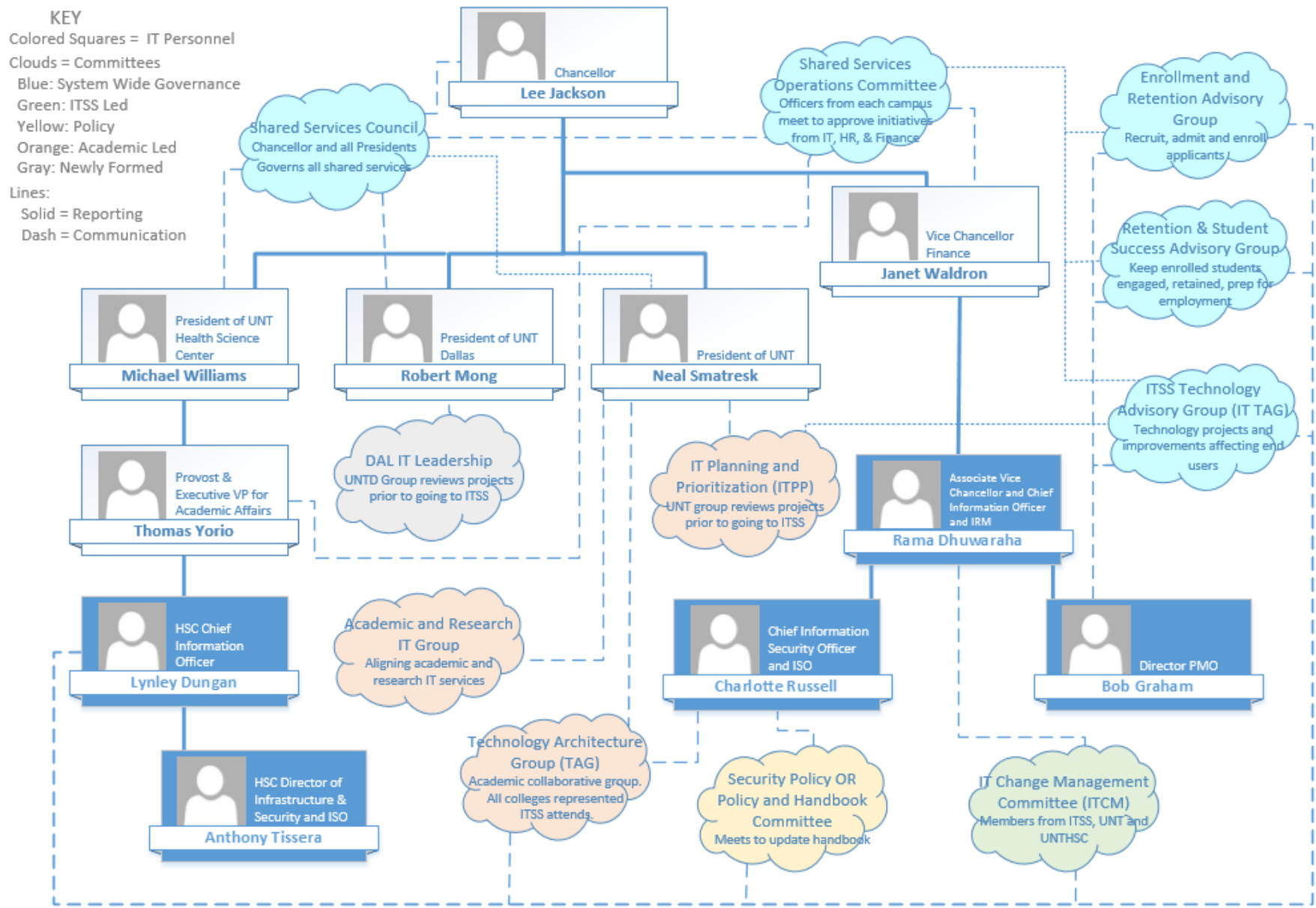
Payment Card Industry (PCI) Audit-(credit card security)

- Review will start May 2016
- Scope-High level overview of the PCI process and controls in place
- Objective-Identify process owners and ensure owners are familiar with the responsibilities of owning the 242 sub-requirements contained in PCI

Change Management Audit

- Review will start June 2016
- Scope-Systems or applications that could impact the UNT Enterprise system functionality
- Objective-Evaluate the process of introducing changes to the IT Production environment

IT Governance Organization and Committees for UNT System



Integrity Unit Update

UNT Enterprise Investigative Groups (for example: Human Resources, Police, Compliance, Dean of Students, and OGC)

- Alignment to Enhance Synergy
 - Identified Investigative Groups Across UNT Enterprise
 - Shared Ideas with Investigative Groups
 - Catalyst for Investigative Network for Effective Communication

- Collaboration to Improve Effectiveness
 - Complaint Reporting Methodologies
 - Approaches on Complex Investigations
 - Expertise in Contentious Issues
 - Investigative Protocols for Documentation and Interview Techniques

Integrity Unit Update

Education

- Increase Fraud Awareness
 - Faculty-UNT-College of Business Faculty Meeting-“*Integrity Unit Overview*”
 - Staff-UNT-Dean of Students Staff Meeting-“*Integrity Unit Overview*” and “*Interviewing Techniques*”
 - Students-UNT-Seminar in Internal Auditing (Graduate Level)-“*Internal Auditing as a Career*”
- Service to the Profession
 - East Central University (Ada, OK) -“*Fraud Investigations*”
 - UNT – Seminar in Internal Auditing (Graduate Level)-“*Internal Auditing as a Career*”

Integrity Unit Update

| Open Investigation Status | | | | | |
|---------------------------|---|-----|--|------------|-------|
| Field Work | Hand-off to Other University Units For Their Assistance | | Investigations Identified Not Yet Actionable | Total | |
| 16 | 12 | | 2 | 30 | |
| Closed Investigations | | | | | |
| | UNTS | UNT | UNTHSC | UNT Dallas | Total |
| Substantiated* | 1 | 4 | 0 | 0 | 5 |
| Unsubstantiated** | 1 | 2 | 0 | 0 | 3 |
| Total | 1 | 7 | 0 | 0 | 8 |

*Investigation corroborated complaint

**Investigation was not able to corroborate complaint

Follow-Up

UNT System Administration Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|------------|--|---|--------------------------|
| <p>16-004 FY 2015 Investments Review Rec #6</p> | <p>Low</p> | <p>Presentation of the UNTHSC and UNTHSC Foundation Investments on the Quarterly Investment Reports – UNTHSC - The August 31, 2015 UNTHSC Quarterly Investment Report did not reflect the separation of investments belonging to UNTHSC and to UNTHSC Foundation.</p> <p>Recommendation for Associate Vice Chancellor for Treasury:</p> <p>6a. For subsequent periods, UNTHSC should identify and exclude all investments belonging to UNTHSC Foundation from the financial statements and investment reports. If investments are not excluded, properly define on the investment reports which amount is for UNTHSC and for Foundation.</p> | <p>Management believes the Board of Regents should have quarterly visibility to all investments that exist for the benefit of the System and therefore each Foundation’s investments should not be excluded. However, we do agree that they should be clearly labeled as such. Treasury is in the process of reformatting all investment reports and will ensure that endowments, both campus and foundation, are included yet clearly labeled. A quality review of these reports is important and has been implemented to ensure that reports to the Board are accurate.</p> <p>Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: March 31, 2016</p> | <p>Fully Implemented</p> |

UNT System Administration Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|------------|---|---|--------------------------|
| <p>16-004 FY 2015 Investments Review</p> <p>Rec #7</p> | <p>Low</p> | <p>Short Term Pool/Long Term Pool Ranges – UNT System / UNT / UNT Dallas - For certain months in fiscal year 2015, short term working capital funds and long term reserves percentage of available cash on hand were outside the ranges prescribed by policy. Additionally, necessary adjustments were not performed to ensure percentages remained within this range as required by the Regulation.</p> <p>Recommendation for Associate Vice Chancellor for Treasury:</p> <p>7a. Review the Investment of System Funds Regulation 08.2000 pertaining to short and long term investment percentages to determine if the percentage requirement ranges should be updated to reflect the financial environment of UNT System and its' institutions.</p> | <p>This has already been addressed in the investment policy adopted by the Board on November 20, 2015.</p> <p>Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: November 20, 2015</p> | <p>Fully Implemented</p> |

UNT System Administration

Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|------------|--|--|---|
| <p>16-004 FY 2015 Investments Review</p> <p>Rec #9</p> | <p>Low</p> | <p>Format and Content of Quarterly Investment Reports – UNT System / UNT / UNT Dallas / UNTHSC - The format and content of quarterly investment reports is not consistent across all institutions.</p> <p>Recommendation for Associate Vice Chancellor for Treasury:</p> <p>9a. Management should determine if cash should be included in the quarterly investment reports, and once defined apply methodology consistently for all institutions.</p> <p>9b. Management should determine an appropriate reporting format and once established utilize the new format for all institutions.</p> | <p>Management has been aware of this need and has already targeted the implementation of a new format that will be standard across the System for the first report on Fiscal Year 2016.</p> <p>Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: February 25, 2016</p> | <p>Fully Implemented</p> <p>Fully Implemented</p> |

UNT System Administration Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|-------------|--|--|--------------------------|
| <p>14-010 Bank Account Authorization Review</p> <p>Rec #3</p> | <p>High</p> | <p>Removal of Employees from Bank Accounts – The removal of signatory authority access for terminating employees from University bank accounts was not completed timely.</p> <p>Recommended actions for the Vice Chancellor for Finance:</p> <p>3b. Implement a System-wide policy specifying a responsible party to monitor University bank accounts for the prompt removal of individuals who no longer would have authorized banking signatory authority.</p> | <p>Management concurs with the recommendations that bank signatory authority is kept up to date and there is a policy created that specifies who will ensure they remain current at all times.</p> <p>Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Expected Implementation Date: Interim process and policies May 1, 2014 and permanent process and policies July 1, 2014 Revised Implementation Date: March 31, 2016</p> | <p>Fully Implemented</p> |

UNT System Administration

Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|-----------------|--|---|--------------------------|
| <p>14-010 Bank Account Authorization Review</p> <p>Rec #5</p> | <p>Moderate</p> | <p>Signature Card Management – The Office of Financial Reporting & Operations discovered a university bank account which was being maintained at the department-level.</p> <p>Recommended action for the Vice Chancellor for Finance:</p> <p>5a. Develop a UNT System policy that documents the authority and requirements to establish, maintain, update, and close bank accounts, which includes:</p> <ul style="list-style-type: none"> • An annual confirmation verifying directly with the bank, all bank accounts bearing the name University of North Texas in their title, listed as their customer, or with a UNT tax ID number, and • A statement of where each entity’s signature cards and policy statements are to be maintained. | <p>Management concurs with the recommendation to develop a policy that documents the authority and requirement to establish, maintain, update, and close bank accounts. The policy will be comprehensive and not only address items presented in recommendation 6 but those policy matters presented above.</p> <p>Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Expected Implementation Date: July 1, 2014 Revised Implementation Date: January 31, 2016</p> | <p>Fully Implemented</p> |

UNT System Administration

Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|-----------------|--|---|--------------------------|
| <p>16-004 FY 2015 Investments Review Rec #4</p> | <p>Moderate</p> | <p>Inaccuracy of Quarterly Investment Report – UNT System / UNT / UNT Dallas - Testing of the accuracy of quarterly investment reports identified footing errors, instances of ending and beginning balances for successive quarters not matching, incorrect balances for the third quarter and incorrect investment report posted on the investment disclosure website. Recommendation for Associate Vice Chancellor for Treasury:</p> <p>4b. Implement a review process for quarterly investment reports to ensure the accuracy of data to be reported prior to the issuance to the Board of Regents and posting on the institution’s investment disclosure website.</p> | <p>Fiscal Year 2015 was a transitional year organizationally for a consolidated treasury operation. Treasury has already begun working with the campuses to ensure that the investment reports on the websites are accurate and will continue to do so. A quality review process of these reports has been implemented and will going forward include ensuring that the posting to each campus’ website is accurate and complete.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: March 31, 2016</p> | <p>Fully Implemented</p> |

UNT System Administration Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|------------|--|---|--------------------------|
| <p>16-004 FY 2015 Investments Review</p> <p>Rec #6</p> | <p>Low</p> | <p>Presentation of the UNTHSC and UNTHSC Foundation Investments on the Quarterly Investment Reports – UNTHSC - The August 31, 2015 UNTHSC Quarterly Investment Report did not reflect the separation of investments belonging to UNTHSC and to UNTHSC Foundation.</p> <p>Recommendation for Associate Vice Chancellor for Treasury:</p> <p>6b. Establish a review process to ensure investments in the quarterly investment reports are appropriate.</p> | <p>Management believes the Board of Regents should have quarterly visibility to all investments that exist for the benefit of the System and therefore each Foundation’s investments should not be excluded. However, we do agree that they should be clearly labeled as such. Treasury is in the process of reformatting all investment reports and will ensure that endowments, both campus and foundation, are included yet clearly labeled. A quality review of these reports is important and has been implemented to ensure that reports to the Board are accurate.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: March 31, 2016</p> | <p>Fully Implemented</p> |

UNT System Administration

Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|-------------|--|--|--------------------------|
| <p>14-010 Bank Account Authorization Review</p> <p>Rec #1</p> | <p>High</p> | <p>Check Signatory Policy – A policy has not been established requiring executive level approval of checks exceeding a set monetary threshold.</p> <p>Recommended actions for the Vice Chancellor for Finance:</p> <p>1b. Create a formal UNT System regulation or policy requiring executive level review and signature of checks for all transactions exceeding an established dollar threshold.</p> | <p>Management concurs with the recommendation to create a formal UNT System regulation requiring executive level review and signature of checks for all transactions exceeding an established dollar threshold. Management has assigned resources to begin the research and development of this policy and will quickly develop drafts for leadership review and approval. The Vice Chancellor for Finance will immediately establish an interim policy that will require the signature of the appropriate VC/VP for Finance on any check equal to or greater than \$500,000 and the Chancellor/President for checks equal to or greater than \$1,000,000.</p> <p>Expected Implementation Date: Interim policy April 16, 2014 and permanent policy July 1, 2014 Revised Implementation Date: May 18, 2016</p> <p>Party Responsible for Implementation: Dan Stephens, Associate Vice Chancellor & Controller</p> | <p>Fully Implemented</p> |

UNT System Administration Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|-----------------|---|--|-----------------|
| <p>16-004 FY 2015 Investments Review Rec #4</p> | <p>Moderate</p> | <p>Inaccuracy of Quarterly Investment Report – UNT System / UNT / UNT Dallas - Testing of the accuracy of quarterly investment reports identified footing errors, instances of ending and beginning balances for successive quarters not matching, incorrect balances for the third quarter and incorrect investment report posted on the investment disclosure website. Recommendation for Associate Vice Chancellor for Treasury:</p> <p>4a. Review fiscal year 2015 quarterly investment reports for which ending and beginning balances for successive quarters did not match and make necessary corrections. Then, update the investment disclosure websites with the corrected reports.</p> | <p>Fiscal Year 2015 was a transitional year organizationally for a consolidated treasury operation. Treasury has already begun working with the campuses to ensure that the investment reports on the websites are accurate and will continue to do so. A quality review process of these reports has been implemented and will going forward include ensuring that the posting to each campus' website is accurate and complete.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: March 31, 2016 Revised Implementation Date: April 30, 2016</p> | <p>0</p> |

UNT System Administration Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|------------|---|--|--|
| <p>09-011 Advancement Office Follow-Up Review</p> <p>Rec #3</p> | <p>Low</p> | <p>The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.</p> <p>3a. Review and update the agreement between the Center and the Foundation including a “right to audit clause.” Refer to Legal Counsel and the AGB-CASE model agreement for guidance.</p> <p>3b. Distribute or make available the reaffirmed agreement to stakeholders including Center administrators, Advancement Office employees, and the Foundation Board of Directors.</p> | <p>Management agrees. In process. The Vice President for Development will raise this topic at the April 2009 Foundation Board meeting and complete by the June meeting. The updated agreement will be distributed upon approval of appropriate Center and Foundation administrators.</p> <p>Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement</p> <p>Planned Implementation Date: November 30, 2012 Revised Implementation Date: May 31, 2016</p> <p>Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement</p> <p>Planned Implementation Date: November 30, 2012 Revised Implementation Date: May 31, 2016</p> | <p>40</p> <p>HSC is currently working with the Foundation, Accounting and Office of General Counsel to revise the agreement.</p> |

UNT System Administration Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|-------------|--|---|--|
| <p>14-023 Adjusting Journal Entry Investigation</p> <p>Rec #1</p> | <p>High</p> | <p>The Net Position in the FY2012 and FY2013 Financial Statements could be Overstated by as much \$23 Million. – The former UNT Associate Vice President for Finance and Controller and the former Director of Financial Reporting and Operations were aware of the unreconciled differences and potentially uncollectible receivables prior to the issuance of the FY2012 and FY2013 UNT and UNTS financial statements. They directed and recorded this adjustment rather than valuating the validity of these differences as to whether they were true assets of the UNTS.</p> <p>Recommendations for the Acting UNT Vice President for Finance and Administration:</p> <p>1a. Develop and document a UNT Allowance for Doubtful Accounts Policy, based on historical receivable information, to establish guidelines for accurately estimating uncollectible amounts.</p> | <p>UNT/UNTS concur and will review the current UNT Allowance for Doubtful Accounts Policy in comparison to historical receivable collectability to ensure the Policy and related process results in an accurate estimate. Any required revisions to the current Policy will be completed before August 31, 2014. UNT/UNTS will periodically evaluate all receivables in light of this Policy to determine receivable collectivity and appropriate asset value.</p> <p>UNT/UNTS will also ensure all necessary action is taken relative to the referenced UNT adjusting journal entry and will recalculate the Allowance for Doubtful Accounts estimate presented in the FY 2013 UNT and UNTS consolidated financial statements to ensure the net accounts receivable balance was presented accurately. Any necessary adjustments to prior period UNT and UNTS consolidated financial statements will be completed by August 31, 2014.</p> <p>Party responsible for implementation: Dan Stephens, Assistant Vice-Chancellor Finance/Controller</p> <p>Planned Implementation Date: August 31, 2014 Revised Implementation Date: August 31, 2016</p> | <p>19</p> <p>This is considered implemented for Audit Finding related to student accounts receivable (AR) allowance.</p> <p>However, the System Regulation related to AR is currently being drafted.</p> |

UNT System Administration Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|------------|---|---|--|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #11</p> | <p>Low</p> | <p>Untimely Replenishment of Petty Cash - An amount of \$20.47 spent from the JAMP Petty Cash Fund was not replenished in order to be reflected on the Accounting System and the Expenditure Report.</p> <p>Office of Finance should consider the following management action.</p> <p>11a. Modify HSC Petty Cash Fund Procedures to enforce the requirement for custodians to replenish the petty cash on a monthly basis, at a minimum, and communicate the updated procedures to all appropriate personnel.</p> | <p>We concur.</p> <p>Party Responsible for Implementation: Paula J. Welch, Associate Controller</p> <p>Expected Implementation Date: January 31, 2016 Revised Implementation Date: July 31, 2016</p> | <p>2</p> <p>To allow time to manage administrative requirements needed to formalize the policy and communicate the procedures across the campus.</p> |

Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|------------|--|--|---|
| <p>12-024 Student Worker Review</p> <p>Rec #2</p> | <p>Low</p> | <p>Internal Audit identified five UNT policies related to student employment that require enrollment; however, not all policies contain the same enrollment requirements.</p> <p>2b. The UNT Career Center, Provost's Office, and UNT Human Resources should evaluate and modify UNT policies related to student employment so enrollment requirements are as consistent as possible.</p> <p>2c. The UNT Career Center, Provost's Office, and UNT Human Resources should develop supplemental procedures to assist University departments in determining the correct job code.</p> | <p>Write a new overarching policy for student employment positions, as well as, develop operational procedures for the various job codes connected to the new overarching policy.</p> <p>Party Responsible for Implementation: Dan Naegeli, Senior Director, Career & Leadership Development</p> <p>Planned Implementation Date: September 1, 2013 Revised Implementation Date: March 31, 2016</p> <p>Party Responsible for Implementation: Dan Naegeli, Senior Director, Career & Leadership Development</p> <p>Planned Implementation Date: September 1, 2013 Revised Implementation Date: March 31, 2016.</p> | <p>Fully Implemented</p> <p>Fully Implemented</p> |

UNT Health Science Center Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|------------|---|--|--------------------------|
| <p>16-009 FY 2015 Investments Review</p> <p>Rec #8</p> | <p>Low</p> | <p>Collateralization Below 102% - UNTHSC - For 11 days in August 2015, collateralization for deposit accounts fell below 102% of deposits.</p> <p>Recommendation for Associate Vice Chancellor for Treasury and UNTHSC Vice President of Finance and Planning</p> <p>8a. Management should establish and follow procedures to inform the bank of changes in the amount or activity of deposits, that may exceed UNTHSC's collateral value, within a reasonable time before the change occurs.</p> | <p>Management agrees with the recommendation. Management will add additional steps to the current set of collateralization review procedures to ensure that the bank is notified in a more timely manner before large changes in deposits occur and when collateralization falls below the required amount.</p> <p>Party Responsible for Implementation: Barbara Holt, UNTHSC Senior Director Financial Operations</p> <p>Planned Implementation Date: March 1, 2016</p> | <p>Fully Implemented</p> |

UNT Health Science Center Recommendations Completed this Quarter

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|------------|--|---|--------------------------|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #14</p> | <p>Low</p> | <p>Non-Compliance with Travel Guidelines - Untimely Submission of Travel Vouchers - Travel Guidelines were not always followed.</p> <p>Admissions & Outreach should consider the following management actions:</p> <p>14a. Provide training to faculty and staff on travel policies to help ensure that University Travel Guidelines are followed.</p> | <p>We are in agreement with this assessment. All staff who work with JAMP travel funding will undergo training from BSC. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: March 1, 2016</p> | <p>Fully Implemented</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|-------------|---|---|--|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #1</p> | <p>High</p> | <p>Non-Compliance with University Policy - The Joint Admission Medical Program (JAMP) agreement was not properly set up in accordance to University Policy Chapter 13.123.</p> <p>Admissions & Outreach should consider the following management action:</p> <p>1a. Work with appropriate management from the Office of Grants and Contract Management and the Office of Finance to set up JAMP as a sponsored project.</p> | <p>We are in agreement with moving JAMP funds to the Office of Grants and Contract Management. It should be noted that this has never been recommended in any previous audit.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 31, 2015 Revised Implementation Date: May 31, 2016</p> | <p>3</p> <p>Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|-------------|---|---|--|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec # 3</p> | <p>High</p> | <p>Lack of Reconciliation Process - Internal Audit was unable to validate the reconciliation process between the FY 2015 Expenditure Reports to the University's Accounting System.</p> <p>Admissions & Outreach should consider the following management action:</p> <p>3a. Develop procedures to help ensure that the expenditures recorded in the Expenditure Report are reconciled on a regular basis to the Accounting System.</p> | <p>We are in agreement with this assessment. We will set aside periodic reconciliation periods to review JAMP expenditures to the Accounting System.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: March 1, 2016 Revised Implementation Date: August 31, 2016</p> | <p>1</p> <p>Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|-------------|--|---|---|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #4</p> | <p>High</p> | <p>Non-Compliance with JAMP Medical School Expenditure Guidelines - Time and Effort Reporting - During our review of payroll activities related to JAMP, we noted that the JAMP Coordinator salary devoted to the project was based on an estimated average of annual time and effort.</p> <p>Admissions & Outreach should consider the following management actions:</p> <p>4a. Develop procedures to track and verify the accuracy of actual time and effort devoted to the program to help ensure compliance with the JAMP Medical School Expenditure Guidelines.</p> <p>4b. Re-evaluate percentage of salary distribution based on actual time and effort to help ensure that it is proportionate to the direct support to the JAMP Project.</p> | <p>We are in agreement with the assessment that there is no official tracking of the JAMP Coordinator time and effort (only estimates). With the move of financials to the Office of Grants and Contract Management this will be a part of a new process for reporting time. It should be noted that this has never been recommended in any previous audit.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: March 1, 2016 Revised Implementation Date: August 31, 2016</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: March 1, 2015 Revised Implementation Date: August 31, 2016</p> | <p>1 Delayed to EIS upgrade</p> <p>1 Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|-------------|--|--|---|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #5</p> | <p>High</p> | <p>Non-Compliance with JAMP Medical School Expenditure Guidelines - Out of State Travel (Unallowable Cost) - A total of \$1,309.11 was used to fund out-of-state travel as a direct administrative cost under the JAMP Administrative Distribution.</p> <p>Admissions & Outreach should consider the following management actions:</p> <p>5a. Use a different funding source to cover the out of state travel expenditures and reimburse the JAMP Program account for the amount of \$1,309.11.</p> <p>5b. Re-educate the JAMP Coordinator on the JAMP Medical Expenditure Guidelines.</p> | <p>We are in agreement with this assessment. We will review JAMP expenditure guidelines to ensure compliance. We will identify another account to reimburse JAMP for the aforementioned expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p> | <p>4 Changes in staffing require additional time.</p> <p>4 Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|-------------|--|--|--|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #6</p> | <p>High</p> | <p>Inadequate Monitoring of Expenditures - Two expenditures were incorrectly processed resulting in an overpayment of \$1,725.00 from the JAMP fund.</p> <p>Admissions & Outreach should consider the following management action:</p> <p>6b. Develop expenditure verification procedures to help ensure that all transactions entered into the Accounting System are verified for accuracy and any errors are timely reported to the appropriate office for correction.</p> | <p>The \$225 reimbursement has been repaid as of 10/22/2015. We will request a refund from the Department of Medical Education for \$1,500.00. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p> | <p>4</p> <p>Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|-----------------|---|--|---|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec # 7</p> | <p>Moderate</p> | <p>Student Wages - For 27 timecards reviewed, hours reported on three timecards could not be reconciled to the student employees' payroll disbursement, for a net effect of \$55.00.</p> <p>Admissions & Outreach should consider the following management actions:</p> <p>7a. Require all personnel entering and approving time and labor to be re-educated on the Hourly Payroll Guidelines.</p> <p>7b. Implement a process to reconcile time entered in EIS Time and Labor to the employee's timecard prior to the payroll cut-off date.</p> | <p>We are in agreement with this assessment. All staff who are in responsible for time cards will undergo training through BSC on time and labor entry. Internal office procedures will be put in the place to allow more time for reconciliation of hourly payroll.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: March 1, 2016 Revised Implementation Date: August 31, 2016</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: March 1, 2016 Revised Implementation Date: August 31, 2016</p> | <p>1 Changes in staffing require additional time.</p> <p>1 Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|-----------------|--|--|---|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #8</p> | <p>Moderate</p> | <p>Non-Compliance with Purchasing Card (P-Card) Guidelines – P-Card Guidelines were not always followed.</p> <p>Admissions & Outreach should consider the following management actions:</p> <p>8a. Require all current P-Card holders, reconcilers and approvers to be retrained on P-Card policies and procedures.</p> <p>8b. Follow University Business Service P-Card Guidelines.</p> | <p>We are in agreement with this assessment. Prior to this audit, changes were made in the P-Card usage process within the department. We have moved all P-Card spending to one account holder and assigned a new reconciler to all P-Card transactions. We expect this change will be decrease risk for non-compliance.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: January 1, 2016 Revised Implementation Date: May 31, 2016</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: January 1, 2016 Revised Implementation Date: May 31, 2016</p> | <p>3 Changes in staffing require additional time.</p> <p>3 Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|--|-----------------|---|---|--|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #9</p> | <p>Moderate</p> | <p>Inappropriately Billing Expenditures to Incorrect Fiscal Years -Testing identified two expenditures that they were not processed within the appropriate fiscal year.</p> <p>Admissions & Outreach should consider the following management action:</p> <p>9a. Re-educate the JAMP Coordinator on the JAMP Expenditure Report process and monitor until sustained compliance is achieved.</p> | <p>We are in agreement with this assessment. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p> | <p>4</p> <p>Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|------------|---|--|--|
| <p>16-011 Joint Admissions Medical Program Audit Rec #10</p> | <p>Low</p> | <p>Improper Commingling of Revenues and Expenditures - Testing identified that the Summer Internship Program and the Administration Distribution funds are deposited into and expended from the same Department ID.</p> <p>Office of Grants & Contract Management should consider the following management action:</p> <p>10a. Consider separating the sources of funds after the JAMP funds are set up as a sponsored project, to help ensure that expenditures are applied to the appropriate funding source.</p> | <p>Office of Grants and Contract Management will follow all standard policies and procedures for project ID management and JAMP terms and conditions.</p> <p>Party Responsible for Implementation: LeAnn Forsberg, Assistant VP, Research Administration, Grants and Contract Management</p> <p>Expected Implementation Date: December 31, 2015 Revised Implementation Date: May 31, 2016</p> | <p>3</p> <p>Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|------------|--|--|--|
| <p>16-011 Joint Admissions Medical Program Audit Rec #12</p> | <p>Low</p> | <p>Inadequate Support Documentation - Adequate support documentation of attendees were not kept (i.e. missing, not used or not sufficient to support the expenditure) for 12 of 31 (39%) expenditures reviewed related to JAMP activities.</p> <p>Admissions & Outreach should consider the following management action:</p> <p>12a. Maintain adequate support for JAMP activities to help ensure that fund is expended for the direct support of JAMP participants.</p> | <p>We are in agreement with this assessment. The Director of Admissions will require all JAMP funded activities maintain a log of participants.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p> | <p>4</p> <p>Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|------------|--|---|--|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #13</p> | <p>Low</p> | <p>Untimely Return of Unspent FY 2014 Funds - An amount of \$361.91 of unspent FY 2014 funds was returned untimely to the JAMP Council. The check was issued on December 2, 2014 to refund unspent FY 2014 funds.</p> <p>Admissions & Outreach should consider the following management action:</p> <p>13a. Develop a procedure to help ensure that any unspent JAMP funds are returned to the JAMP Council in a timely manner in accordance with JAMP Medical Expenditure Guidelines.</p> | <p>We are in agreement with this assessment. We will establish an internal deadline prior to September 30 for reimbursement for unused funds. This is predicated that the Office of Grants and Contract Management is able to provide timely financial data.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: March 1, 2016 Revised Implementation Date: August 31, 2016</p> | <p>1</p> <p>Changes in staffing require additional time.</p> |

UNT Health Science Center Past Due Recommendations

| Audit | Risk Level | Recommendation Details | Management Response | Months Past Due |
|---|------------|---|---|--|
| <p>16-011 Joint Admissions Medical Program Audit</p> <p>Rec #14</p> | <p>Low</p> | <p>Non-Compliance with Travel Guidelines - Untimely Submission of Travel Vouchers - Travel Guidelines were not always followed.</p> <p>Admissions & Outreach should consider the following management actions:</p> <p>14b. Develop procedures to help ensure travel vouchers are submitted timely to the Business Support Services Travel department.</p> | <p>We are in agreement with this assessment. All staff who work with JAMP travel funding will undergo training from BSC. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: March 1, 2016 Revised Implementation Date: August 31, 2016</p> | <p>1</p> <p>Changes in staffing require additional time.</p> |

UNT Dallas Audit Recommendations

All recommendations are complete at this time.



Background Report

Committee: Audit

Date Filed: April 8, 2016

Title: UNT System Consolidated Quarterly Compliance Report, December 2015 through February 2016

Background:

This report represents the compliance actions for the University of North Texas System Administration, University of North Texas, University of North Texas Health Science Center and the University of North Texas at Dallas from December 1, 2015 through February 29, 2016. Regular reporting of compliance actions to the UNT System Board of Regents is required by the United States Sentencing Commission's Federal Guidelines §8B2.1(b)(2)(A).

This quarterly report has been consolidated to reflect the compliance actions for all UNT System components. This report reflects the actions that management and each compliance function has taken to manage their highest risks.

Financial Analysis/History:

This is a report item only.

Janet Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu, c=US
Date: 2016.05.09 19:33:56 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule: NA

No action required. Information only. Submitted by:

Steven A. Hill I

UNT System Compliance Officer

Tracy C. Grunig

Digitally signed by Tracy C. Grunig
DN: cn=Tracy C. Grunig, o=University of
North Texas System, ou=Internal Audit,
email=tracy.grunig@untsystem.edu, c=US
Date: 2016.05.06 16:58:23 -05'00'

Chief Audit Executive

Attachments Filed Electronically:

- UNT System Consolidated Quarterly Compliance Report,
December 2015 through February 2016

UNT System Consolidated Quarterly Compliance Report December 2015 through February 2016



Section I. Organizational Actions

There were no significant actions that affected the Compliance program for this reporting period.

Section II. Compliance Risks

High-Risk #1: Electronic Information Handling (Information Technology Shared Services - ITSS)

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to thirteen (13) new employees.
- IT support is provided to UNT System through Information Technology Shared Services.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with ITSS to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #2: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management and Records Management and/or Institutional Compliance

- The UNT Compliance Officer (and Chief Records Management Officer), the new Director of Institutional Records Management, and the Chief Records Management Representative developed and are delivering records management and retention training to Records Management Representatives (RMRs) for UNT System Administration units in addition to providing technical advice and guidance to System management pertaining to complicated records management and retention questions and situations.
- The UNT Compliance Officer (and Chief Records Management Officer), the new Director of Institutional Records Management, and the Chief Records Management Representative are re-establishing the Records Management Representative (RMR) network for UNT System Administration units.

High-Risk #3: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- System and Institutional Compliance has partnered with UNT Risk Management Services, UNT System/UNT HR, UNT System ITSS and other responsible System-wide partners to develop and implement a training plan that results in UNT System Administration employees being able to complete the seven (7) mandatory trainings identified by the UNT Operations & Infrastructure Implementation Team (work-team for employee training and development).
- UNT Risk Management Services, UNT System/UNT HR, UNT System IT Shared Services, and Institutional Compliance have developed software that allows each campus to produce a report that can identify the employees that have completed the seven (7) mandatory trainings and anyone still needing to complete these trainings.

High-Risk #4: I-9 Compliance (Associate Vice Chancellor for HR & Campus HR Director)

Action Taken by Management:

- System HR is monitoring the list of I-9 Input Coordinators to reduce risk.
- System Talent Acquisition is working with Information Technology Services (ITS) to create new tools in EIS to reduce document transmission risk.
- System Talent Acquisition is developing the new proposed process and will engage the Office of General Counsel (OGC) when the draft process is completed.
- System Talent Acquisition will disseminate the new process, known as version 3.0, to the I-9 Input Coordinators across the UNT System in April 2016.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with UNT System/UNT HR to enhance current I-9 processing so that both processes (I-9 and E-Verify) are completed within the required time-frame.

Section III. Compliance Training

- System/UNT Institutional Compliance developed Compliance Awareness Training that is designed to be completed (web-based) by UNT System, UNT, and UNT Dallas employees. This training was provided in a lecture format to a System-wide group of employees during a UNT System Business Support Services' (BSS) workshop at the Business Service Center.
- The Office of General Counsel (OGC) provided Ethics in Public Service training during the same BSS workshop. System/UNT Institutional Compliance is working with OGC to develop a web-based version of this ethics training designed to be completed by UNT System, UNT, and UNT Dallas employees.

Section IV. Confidential and Other Complaint Reporting for UNT System

- UNT System maintains a web-based Compliance Hotline that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.

- An analysis of the **four (4) reports (via hotline)** received by UNT System during this quarter reveals the following breakdown of complaints:
 - **Two reports were received for system testing purposes.** These reports were closed upon receipt.
 - **One report was received with no complaint information provided.** This report was closed upon receipt.
 - **One report was received that was related to a human resources issue.** Internal Audit is reviewing and taking action to address this report.



Section I. Organizational Actions

There were no significant actions that affected the Compliance program for this reporting period.

Section II. Compliance Risks

High-Risk #1: Laboratory Inspections and Follow-up (Risk Management Services - RMS)

Action Taken by Management:

- Of the 203 laboratories inspected this quarter, three (3) laboratories required re-inspection to resolve the identified findings.
- The new Environmental Health & Safety (EHS) Assist software for all lab safety issues has been purchased and installed, and is being expanded into other areas of the Environmental Management section. Implementation of lab permitting as outlined in the 3 year Lab Safety Plan is currently underway.

Action Taken by Institutional Compliance:

- Institutional Compliance continues to attend regular meetings between Risk Management Services and other applicable UNT System and UNT risk partners to assist in resolving any findings and/or impairments identified during inspections as quickly as possible and identifying opportunities to enhance laboratory inspections and follow-up processes and procedures.
- Institutional Compliance (IC) and RMS are continuing to work on finalizing the results of the laboratory inspection and follow-up review of UNT's most critical laboratories. IC and RMS are evaluating the efficiency of this process.
- As part of the laboratory inspection review, escalation procedures were developed to help assure that findings are addressed within the applicable period designated by RMS. Institutional Compliance, Facilities, and Risk Management Services completed their review and commenting on these draft procedures and has forwarded these procedures to the Office of General Counsel for their final review of the content of the escalation procedures.

High-Risk #2: Emergency Planning & Preparedness and Business Continuity (Risk Management Services - RMS)

Action Taken by Management:

Emergency Planning & Preparedness and Business Continuity

- UNT's Risk Management Services submitted the Continuity of Operations Plan (COOP) and Crosswalk to the State Office of Risk Management (SORM) in Jan 2016.
- RMS hired the EOC manager in February 2016. The EOC manager is responsible for managing the physical location, support personnel, and associated programs and

training. The Physical location of the UNT EOC is complete and personnel are scheduled to move in on 3/1/16.

International Risk Management

- Risk Management Services is in the process of drafting a system wide policy that would require staff, faculty, students and volunteers traveling for University related purposes to register their travel with the Business Services Center. The policy would allow the University of North Texas to take proactive measures to identify and control risk arising from approved and proposed university related international travel.
- The department is working towards having a database to track and document all international travel in order to provide effective support should emergency situations arise; providing pre-departure safety, health, and security resources for travelers traveling abroad; ensuring plans are in place to address crisis or emergency situations; and, establishing an institutional review process for proposed travel to high risk destinations.

Action Taken by Institutional Compliance:

- Institutional Compliance continues to attend regular meetings between Risk Management Services and other applicable UNT System and UNT risk partners to assist in identifying opportunities to enhance Emergency Planning & Preparedness and Business Continuity processes and procedures.

High-Risk #3: Environmental Compliance (Risk Management Services - RMS)

Action Taken by Management:

- Within RMS, Environmental Management (EnvM) continues to monitor the Resource Conservation and Recovery Act (RCRA) metals. Both the Chemistry and Discovery Park outfalls continue to show low levels of RCRA metals, which remain below the Environmental Protection Agency (EPA) established threshold limits.
- The Mercury Scrubber tank was pumped out which removed excessive Mercury. The planned improvements to the Mercury scrubber system were partially implemented in December 2015 to bring the ion exchange absorption of Mercury back online. Further work is needed to finish the upgrades to bring the Mercury scrubber back online.
- EnvM is using the new fats, oil, and grease (FOG) testing process for all grease interceptors on campus (food cooking and vehicle washing facilities). Current cleaning processes disperse most of the fats and oils into the water portion, thus giving a high percentage of fats in the water and low oil and solids being separated out.
- RMS met with the City of Denton to discuss the FOG testing results and now RMS will be monitoring any available outfalls past the grease traps to see if the high levels of FOG remain in the water emulsion. Also, ENVM will test if salts, such as Calcium Chloride, cause a breakdown of the emulsion and precipitate the FOG onto the piping.

Action Taken by Institutional Compliance:

- Institutional Compliance regularly meets with Risk Management Services and other applicable UNT System and UNT risk partners and the City of Denton (as applicable) in preventing exceeding RCRA metal, FOG, or other applicable thresholds.

High-Risk #4: Radiation Safety (Risk Management Services - RMS)

Action Taken by Management and Institutional Compliance:

- The Texas Department of State Health Services (TDSHS) requested that ENVN streamline the radiation license to include new requirements which is currently in progress. ENVN presented those changes to TDSHS and those have been accepted.
- The replacement Radiation Safety Officer (RSO) has started the amendment process to get approval by TDSHS. The RSO has also taken on the Laser Safety Officer (LSO) process and was approved by the State of Texas for this position.
- Institutional Compliance regularly meets with Risk Management Services and other applicable UNT System and UNT risk partners to ensure the program is in compliance with state radiation safety regulations.

High-Risk #5: Research Conflict of Interest (Office of Research Integrity & Compliance)

Action Taken by Management:

- The Office of Research Integrity & Compliance has completed the conflict of interest (COI) disclosures for FY 2016. This is a substantial improvement in terms of timeliness as a result of targeted changes implemented. ORI&C is reviewing the current disclosure process to identify ways to enhance the FY 2017 cycle.

Action Taken by Institutional Compliance:

- Institutional Compliance met with division management to assist with identifying opportunities to enhance Research Conflict of Interest processes and procedures.

High-Risk #6: Time and Effort Reporting (Office of Grants & Contracts Administration)

Action Taken by Management:

- Effort reports will be distributed (by the end of March 2016) using the automated Effort Certification Reporting System (ECRS) for fall 2015 (FY 2016), however, this reporting cycle has been expanded to include February 2016 for this reporting cycle only.

Action Taken by Institutional Compliance:

- Institutional Compliance met with the Associate Director of Grants & Contracts Administration and the Senior Grants and Contracts Specialist responsible for time and effort reporting and discussed ongoing time and effort reporting goals and objectives. One such goal is to automate the cost sharing process.

High-Risk #7: Export Controls (Office of Research and Economic Development – ORED)

Action Taken by Management:

- Based on the procedures that have been implemented and the active communication that exists between the Office of Research and Economic Development and its Export Control consultant, this risk is no longer considered a high-risk to the institution. Management has recommended to the UNT President that this risk be removed from the institution's high-risk list and moved to the institution's controlled risk list. Following this report, any future actions associated with this risk will no longer be included in this report to the Audit Committee.

Action Taken by Institutional Compliance:

- Institutional Compliance met with the AVP and the new Director of Research Integrity and Compliance and supports the request to remove this risk from the institution's high-risk list and moved to the institution's controlled risk list.

High-Risk #8: Grants Management (Office of Grants & Contract Administration – OGCA)

Action Taken by Management and Institutional Compliance:

- Institutional Compliance met with the Office of Grants & Contract Administration management, the Associate VP of Research and Economic Development, the new Director of Research Integrity and Compliance, and other UNT System-wide units (as applicable) to discuss any ongoing sponsored project management goals, objectives, and challenges.

High-Risk #9: Electronic Information Handling (University Information Technology and Information Technology Shared Services - ITSS)

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to one thousand thirty-five (1,035) new employees.
- IT support is provided to UNT through University Information Technology.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with University Information Technology and ITSS to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #10: Health Insurance Portability and Accountability Act (HIPAA) Compliance (Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- Institutional Compliance continues to coordinate with UNT System Administration, UNT, and UNT Dallas units to ensure that all applicable units are designated as health care components, with other applicable units that touch personally identifiable health information, having to comply with other privacy protections in accordance with applicable Health Information Technology for Economic and Clinical Health (HITECH) Act requirements.
- Institutional Compliance continues to work with UNT System Administration, UNT, and UNT Dallas units to ensure that each component unit has a HIPAA Security and Privacy Officer.

High-Risk #11: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management and Records Management and/or Institutional Compliance

- The UNT Compliance Officer (and Chief Records Management Officer), the new Director of Institutional Records Management, and the Chief Records Management Representative developed and are delivering records management and retention training to Records Management Representatives (RMRs) for UNT units in addition to providing technical advice and guidance to UNT management pertaining to complicated records management and retention questions and situations.

The UNT Compliance Officer (and Chief Records Management Officer), the new Director of Institutional Records Management, and the Chief Records Management Representative are re-establishing the Records Management Representative (RMR) network for UNT units.

High-Risk #12: Having policies, procedures, and/or practices in place that may not provide protection of minors participating in UNT related activities (Risk Management Services and Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- Risk Management Services has finalized the web based version of the Sexual Abuse and Child Molestation Prevention Training that was originally planned to be hosted in Blackboard. RMS is considering additional options for hosting and tracking this training.
- UNT Risk Management Services, Institutional Compliance, UNT System/UNT HR, and UNT System IT Shared Services developed a report process within PeopleSoft that will track any type of completed training (including the Sexual Abuse and Child Molestation Prevention Training).

High-Risk #13: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- System and Institutional Compliance has partnered with UNT Risk Management Services, UNT System/UNT HR, UNT System ITSS and other responsible System-wide partners to develop and implement a training plan that results in UNT employees being able to complete the seven (7) mandatory trainings identified by the UNT Operations & Infrastructure Implementation Team (work-team for employee training and development).
- UNT Risk Management Services, UNT System/UNT HR, UNT System IT Shared Services, and Institutional Compliance have developed software that allows each campus to produce a report that can identify the employees that have completed the seven (7) mandatory trainings and anyone still needing to complete these trainings.

High-Risk #14: I-9 Compliance (Associate Vice Chancellor for HR & Campus HR Director)

- I-9 Input Coordinator list is proactively managed by Campus HR to keep total number around 175.
- The scanners have arrived and Campus HR is the owner and gatekeeper of the devices.
- Campus HR is partnering with Administrative Information Technology Services (AITS) for distribution and installation of the scanners.
- Campus HR is testing the new proposed I-9 input process.

- Campus HR has scheduled two feedback sessions with the UNT I-9 Input Coordinators in April 2016.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance is partnering with UNT System/UNT HR to enhance current I-9 processing so that both processes (I-9 and E-Verify) are completed within the required time-frame.

Section III. Compliance Training

- System/UNT Institutional Compliance developed Compliance Awareness Training that is designed to be completed (web-based) by UNT System, UNT, and UNT Dallas employees. This training was provided in a lecture format to a System-wide group of employees during a UNT System Business Support Services' (BSS) workshop at the Business Service Center.
- The Office of General Counsel (OGC) provided Ethics in Public Service training during the same BSS workshop. System/UNT Institutional Compliance is working with OGC to develop a web-based version of this ethics training designed to be completed by UNT System, UNT, and UNT Dallas employees.

Section IV. Confidential and Other Complaint Reporting for UNT

- UNT maintains a web-based Compliance Hotline that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- An analysis of the **four (4) reports (3 hotline and 1 walk-in)** received by UNT Institutional Compliance (IC) during this quarter reveals the following breakdown of complaints:
 - **One report was received for system testing purposes.** This report was closed upon receipt.
 - **One report was received with no complaint information provided.** This report was closed upon receipt.
 - **One report was received pertaining to an alleged fraudulent practice.** Internal Audit is reviewing and taking action to address this report.
 - **One walk-in report was received pertaining to a workplace issue.** This report was referred to and being handled by the department and UNT HR.

Section I. Organizational Actions

There were no significant organizational actions that affected the Compliance program for this reporting period.

Section II. Risk Assessment Monitoring Activities Conducted by Individual Compliance Divisions

The Institutional Compliance Office receives quarterly reports from the Compliance Divisions on all low, medium and high risks identified during the fiscal year 2015-16 risk assessment. The Second Quarter actions taken by UNT Health Science Center (UNTHSC) to address the UNTHSC Compliance high risks are below:

High-Risk #1: Billing and Coding in Compliance with State and Federal Law (Clinical Division)

Description: Review of sample medical records of Medicare and Medicaid patients to confirm that the documentation supports the bill.

Action Taken by Management:

- The percentage of sample medical records reviewed that meet billing documentation requirements during the second quarter is 91%. Our Measure of Success is an aggregate of 90%.
 - One-on-one education was provided by the Clinical Compliance Department to each provider who scored below the 90% threshold. Refunds were initiated for claims which were over coded by two levels or more. A summary of each department's audit results was presented by the Compliance Specialist at the department meetings which allowed for discussion of identified issues and additional education to providers and directors.
- In an effort to enhance compliance related to documentation of Texas Health Steps medical checkup claims, our Clinical Compliance department has implemented the following additional steps:
 - The Compliance Specialists worked with the Health Information Management Template Developer to create a new template for the providers to use in documenting Texas Health Steps medical checkup claims in the electronic medical record. The new template ensures that all mandated components of a Texas Health Steps visit are properly captured.
 - The Compliance Specialists are providing ongoing training to the providers on properly documenting Texas Health Steps medical checkup claims.
 - The Compliance Specialists are conducting prospective audits on all Family Medicine Texas Health Steps medical checkup claims to ensure that all required components are documented to support the claims submitted until an error rate of 10% or lower is reached. Family Medicine is currently at a 55% error rate. The majority of Texas Health Steps claims are submitted by Pediatrics, and its' error rate is currently below 10%.

Action Taken by Compliance:

- The Clinical Division Compliance Officer reports to the Chief Compliance and Enterprise Risk Management Officer.

High-Risk #2: Unauthorized Access to Protected Institutional Data/HIPAA Privacy and Security (Information Resources Technology Division)

Description: UNTHSC monitors actions taken to protect and prevent unauthorized access to Institutional Data and Protected Health Information ("PHI"), including data within UNTHSC's information technology systems.

Action Taken by Management:

- Institutional Laptop Encryption Project – The laptop encryption rollout efforts are currently ongoing.
 - Approximately 48% of UNTHSC issued laptops have been encrypted. Information Technology Services (ITS) is currently working on an action plan for outstanding laptops.
- Review of Office 365 OneDrive Security - The UNTHSC ITS Department, working with UNT System IT Shared Services, is performing a security evaluation of the Microsoft Office 365 OneDrive product as a possible enterprise solution for institutional file storage and sharing.
 - Latest update: The existing product and available feature set is not ready for UNTHSC enterprise-wide rollout due to mobile security related risks and the inability to prevent downloading of Institutional data to employee personal and/or unmanaged, untrusted devices. Awaiting additional security features to be made available within Microsoft OneDrive for possible re-evaluation (expected in the spring of 2016).
- Mobile Device Security Enhancements - This project involves the discovery, evaluation and piloting of a mobile device management solution that can be deployed to protect Institutional data that is downloaded to faculty/staff personal mobile devices.
 - Latest update: Based on discovery work that ITS (UNTHSC) and ITSS (UNT System) have collaborated on, the mobile device management options available within the Microsoft Office 365 suite of products look to offer a viable solution for controlling the risk of mobile devices for conducting UNTHSC business. This effort has been on hold during this quarter due to an issue on the vendor (Microsoft) side that is preventing this feature set from being available to UNTHSC. ITSS is currently pursuing resolution.
- Enterprise Encrypted Messaging - While stand-alone encrypted messaging products such as TigerText and Accellion are currently in use by specific departments at UNTHSC, an enterprise-wide solution would be more ideal. Project scope includes the discovery, evaluation and roll out of an enterprise secure messaging solution for UNTHSC.
 - Latest update: Microsoft Office Message Encryption (#HSCSecure) was selected as a viable (both from a cost and functionality perspective) enterprise solution for secure messaging at UNTHSC. One significant security weakness was identified within the product during the evaluation phase. ITSS has crafted a custom solution to mitigate this weakness and enterprise secure messaging was rolled out campus wide.

- Security Review of Enterprise Web Forms (new this quarter) – A risk assessment and security review of existing UNTHSC web forms publishing technologies and associated customer workflow are currently in the beginning stages. Estimated completion date of the risk assessment is June 30, 2016. This effort aims to identify current risks and possible mitigation actions for additional controls that should be implemented. Risks that were immediately identified have already been mitigated.
- The following activities capture ongoing risk management efforts that are built into the UNTHSC IT Security Program:
 - Training classes and new employee orientations include computer policies and security awareness training. "Refresher" training is delivered to existing staff on an annual basis. Compliance rate for most recently concluded "refresher" training is 100%.
 - Password security policies electronically enforced including use of strong passwords and changing passwords every 12 months.
 - Windows server 2003 (legacy platform) retirement – In progress
 - New Intrusion Detection System implementation – In progress

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Director of Infrastructure and Security to provide support for compliance activities as needed and is responsible for UNTHSC HIPAA training. The Office of Institutional Compliance monitors access to the UNTHSC electronic medical record to confirm access is appropriate based upon role of user.

High-Risk #3: Non-Compliance with Center for Medicaid and Medicare Services ("CMS") 1115 Waiver Requirements (Strategy Division)

Description: The CMS 1115 waiver projects are Medicaid incentive payment programs designed to improve access to and quality of medical care for Medicaid and indigent patients. Incentive payments are awarded based upon meeting target results of selected quality measures. UNTHSC monitors compliance with 1115 waiver requirements.

Action Taken by Management:

- An 1115 Waiver Steering Committee has been formed and meets on a quarterly basis to discuss any potential compliance issues with CMS and/or the Texas Health and Human Services Commission ("HHSC"). The 1115 Waiver management team also meets with the project leads, the Office of Grants and Contracts, clinical operations personnel and the Offices of Institutional Compliance and Quality and Risk Management on a regular basis to build awareness and discuss potential compliance issues before they arise. The 1115 Waiver management team also works with the Offices of Institutional Compliance and Quality and Risk Management to conduct regular audits of patient outcome data in order to minimize risks and potential issues.
 - UNTHSC has received four audit requests within the last month. The same firm that conducted the mid-point assessment is conducting the audit. The team has responded to the audit and is awaiting a response. Similar audits are expected in the future due to the nature of the 1115 Waiver.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Executive Director of Strategic Alignment to provide support for compliance activities as needed. The Chief Compliance and Enterprise Risk Management Officer is involved in key meetings and reviews and signs off on the data submitted to HHSC.

High-Risk #4: Title IX Compliance (Student Affairs Division)

*Description: Title IX of the U.S. Education Amendments of 1972 protects people from discrimination based upon sex in education programs or activities that receive financial assistance. UNTHSC monitors compliance with Title IX requirements. *This risk has been lowered from High to Medium due to the mitigation actions taken during the first and second quarters.*

Action Taken by Management:

- The UNT Health Science Center has designated Dr. Trisha Van Duser as the Campus Title IX Coordinator. Dr. Van Duser and eight other members of the Division of Student Affairs have attended Title IX Investigator Training and Title IX Coordinator Training in October 2015, December 2015, January 2016, and February 2016. Dr. Van Duser has also updated our Student Code of Conduct, Sexual Harassment, and Consensual Relationship policies to reflect changes in the law based on Title IX. Student Conduct and Title IX investigations are now separated and function independently to avoid any perceived conflicts of interest.
- On-going Title IX training is required of all faculty, staff and students.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Vice President of Student Affairs to provide support for compliance activities as needed. The Institutional Compliance Office assisted Student Affairs in developing Title IX training.

High Risk #5: Distance Education (Academic Affairs Division)

Description: Distance Education is highly regulated by state and federal law. UNTHSC monitors compliance with regulatory requirements.

Action Taken by Management:

- The Distance Education Course Development and Release Procedures Policy addressing distance education (DE) at UNTHSC was approved January 20, 2016. According to that policy, faculty planning to offer DE towards a degree or certificate awarded through the UNTHSC must obtain approval to do so through the University's Distance Education Committee (DEC).
- The UNTHSC will adhere to rules and notification procedures established by the Texas Higher Education Coordinating Board (THECB) for the conduct and approval of distance education including the *THECB Principles of Good Practice for Academic Degree and Certificate Programs and Credit Courses Offered Electronically and Approval of Distance Education, including Off-Campus Course and Programs*.
- The DEC and the Center for Innovative Learning (CIL) work with faculty from the five colleges/schools at UNTHSC to assure that curriculum and instruction provided through distance education are appropriate to the requirements listed above. In addition, course

and instructional activities are required to be appropriately evaluated for educational effectiveness, including assessments of student learning outcomes, student retention, and student satisfaction.

- Access to DE materials is restricted to properly enrolled students who possess a unique login identifier which has been assigned to them by the UNTHSC. Login identifiers shall only be provided to students who have been properly registered and who have been approved to participate in online courses by the respective academic school/program.
 - All requests to deliver DE materials for academic credit must be routed through the CIL for review and ultimately through the DEC for approval.
- No internal or external audits have been conducted, however a plan is in place to conduct a review of all DE courses and activities being offered through UNTHSC during FY 2016.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Interim Director of Center for Innovative Learning to provide support for compliance activities as needed.

High-Risk #6: Human Resources (“HR”) Policy Project (Human Resources)

Description: UNTHSC HR campus policies are undergoing review and revision to support and outline HR best practices. UNTHSC monitors status of HR’s policy project.

Action Taken by Management:

- Human Resources has a total of fifty-two (52) policies that need review.
- Human Resources has reviewed and updated ten (10) policies. They have been submitted to the Office of General Counsel and are waiting for approval. Five (5) policies have been reviewed and recommended to the Office of General Counsel for removal.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Director of Human Resources and the Assistant Director of Policy and Records Management to provide support for compliance activities as needed.

High-Risk #7: Time and Effort Reporting (Research Grants and Contracts)

Description: Time and Effort Reporting certification is required to substantiate salaries and benefits charged to sponsored grants and research by UNTHSC. UNTHSC monitors compliance with regulatory requirements. (NOTE: This risk has been elevated from “Medium” to “High”.)

Action Taken by Management:

- UNTHSC is working with the Office of General Counsel (“OGC”) to address discrepancies in time and effort reporting.
- The Office of Grants and Contracts Management (“OGCM”) has established comprehensive, annual mandatory sponsored project compliance training for key employees involved in any aspect of research. OGCM will continue to provide

mandatory one-on-one training on federal and state regulatory requirements, specific sponsor processes, terms and conditions, and refresher training on roles and responsibilities for specific awards prior to approving a sponsored project.

- OGCM established a monthly meeting to train Department Administrators on policies and processes governing sponsored projects.
- OGCM established Project Initiation Meetings (PIMs) for PIs and Department Administrators. A procedure and form was developed to steer the meetings. The PI and Department Administrator are required to attend this meeting in order to get a Project Identification number that allows them to initiate expenditures on the project. Meetings are scheduled upon receipt of a new or continuation award.
- OGCM, under the direction of the OGC and in conjunction with Deloitte, performed a probe audit on a sample of federal and state awards to review for time and effort reporting compliance. Ongoing monitoring will occur going forward on a semi-annual basis.
- OGCM defined actions that can be taken for non-compliance with research policies and procedures, including (1) barring employees from submitting proposals, (2) reducing or eliminating Facilities and Administration returns, and (3) freezing one or all active projects.
- OGCM is continuing to work with ITSS to develop IT functionality to increase the efficiency of monitoring, reviewing, and collecting of time and effort reports.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Assistant VP of Research Administration to provide support for compliance activities as needed. The Chief Compliance and ERM Officer is assisting the OGCM in establishing ongoing compliance monitoring.

Section III. Compliance Training and Additional Monitoring

Compliance Training:

- Code of Ethics/Standard of Conduct training was given to 97% of new employees by the Institutional Compliance Office. Measure of Success is 95%
- HIPAA Privacy and Security training was given to 97% of new employees by the Institutional Compliance Office. Measure of Success is 95%
- Minors on Campus training was given to 97% of new employees by the Institutional Compliance Office. Measure of Success is 95%
- Medicare Compliance Training was given to 98% of new employees by the Institutional Compliance Office. Measure of Success is 95%
- Institutional Compliance Office rolled out the FY16 annual training in November. All training is online and tracked via reports from the WeComply training platform.

Additional Monitoring:

Each quarter, the Institutional Compliance Office selects certain areas to monitor in addition to monitoring the quarterly risk reports received from the Compliance Divisions. The following areas were monitored during the second quarter.

Provider Trust Monitoring

Description: Provider Trust provides software that helps UNTHSC monitor whether employees are on the Office of Inspector General ("OIG") list of excluded individuals for federally funded healthcare programs as well as General Services Administration Excluded Parties List System (GSA-EPLS) and System for Award Management (SAM) exclusion list. UNTHSC runs the names of all UNTHHealth employees through the software on a monthly basis.

- The percentage of UNTHHealth employees reviewed through Provider Trust is 100%. Measure of Success is 100%.
 - 755 UNTHHealth employees were run through Provider Trust to confirm licenses, certifications, documentation, and verification. Completion score was 100% with zero issues found.

Review of Disabling Access to UNTHSC Computers/Systems Upon Employee's Termination

Description: The Accounts Administrator in ITSS is responsible for disabling faculty, staff and contract worker accounts upon termination.

- The Institutional Compliance Office met with the Account Administrator and reviewed the written process and walked through the process for Account Termination. The Accounts Administrator position is currently in transition and the processes are being updated to be less manual and more automated. Now that an understanding of the processes have been established, the Institutional Compliance Office will revisit this with the Account Administrator during the fourth quarter to pull termination reports and confirm that Account Terminations are occurring on a timely basis.

Confirm Timely Reimbursement of Unused Title IV Funding

Description: The Financial Aid Office (FAO), and the Student Finance Office (SFO) are responsible for authorizing, disbursing and delivering Title IV funding to students. The Accounting Office (AO) is responsible for returning unused funds back to the Department of Education electronically and in a timely manner.

- The Institutional Compliance Office received confirmation from the Vice President of Finance and Planning showing that the refund was timely returned to the Department of Education.

Clinical Trials Monitoring

Description: Clinical Trials are required to have Institutional Review Board (IRB) approval or a waiver. Applicable Clinical Trials must be registered on clinicaltrials.gov website. "Applicable Clinical Trials" include (a) trials of drugs and biologics—controlled clinical investigations (other than phase 1) of drugs or biological products subject to FDA regulation and (b) trials of devices – controlled trials with health outcomes of devices subject to FDA regulation (other than small feasibility studies) and pediatric post market surveillance required by the FDA.

- The Institutional Compliance Office confirmed that all UNTHSC Clinical Trials have IRB approval and have been registered on the clinicaltrials.gov website. The Institutional Compliance Office has suggested that the Clinical Trials Office maintain record of the Clinical Trial Identification Number to show confirmation of registration on the clinicaltrials.gov website moving forward.

Credit Balances/UNTHealth

Description: Quarterly reviews of credit balances on patients' bills are conducted to identify third party overpayments and to confirm that overpayments are being processed in an accurate and timely manner according to Medicare and Medicaid guidelines or payer contracts. Overpayments from Medicare and Medicaid programs must be reimbursed within sixty (60) days of identification.

- The Institutional Compliance Office receives credit balance summary reports showing credits that are outstanding to Medicare and Medicaid payers past sixty (60 days). The credit balances are currently up to date.
- The healthcare industry recommended standard for credit balances is 2% or less of the active accounts receivable ("AR") according to the Healthcare Financial Management Association (HFMA). Currently, UNTHealth AR's are under the industry standard at 1.32%. The Institutional Compliance Office receives a weekly aging report of credit balances to monitor compliance of timely repayment of identified overpayments.

Section IV. Compliance Reports

UNTHSC maintains a Compliance Hotline system with a third party vendor that allows a person to report a compliance matter or file a complaint anonymously and confidentially. The Compliance Hotline is managed by the Institutional Compliance Office. In addition, the Institutional Compliance Office receives complaints or becomes aware of compliance matters through email, by telephone or in person.

The Ethics Hotline information, which includes the hotline telephone number and information on how to report a violation, is posted on Institutional Compliance Office's website, UNTHSC's website and on signs through-out the campus. The Institutional Compliance Office provides Ethics Hotline handouts to new employees through the Human Resources orientation process.

100% of Hotline reports were dispatched to the appropriate division within 24 hours of notification. Measure of Success is within 48 hours.

FY 2013-14 Outstanding Reports

- **One** Clinical report – (In Person)
 - Billing issue – (Texas Health Steps) - Referred to the Office of General Counsel –
In Progress

FY 2014-15 Outstanding Reports

- **One** Academic Affairs report – (1 – Hotline)
 - Inappropriate relations allegation – Referred to the Office of General Counsel –
In Progress

- **One** Clinical report – (1 – In Person)
 - Outstanding UNTHSC invoices for hospital Program Director Services – **In Progress**
- **One** Research report – (1 – In Person)
 - Monitoring a Research Integrity investigation by OIG and time and effort investigation by OGC– **In Progress – Managed by the Office of General Counsel**

Second Quarter Reports – December 1, 2015 to February 29, 2016

UNTHSC received the following eight (8) reports during the second quarter:

- **Two** Human Resources reports – (1 – In Person, 1 UNT System Hotline)
 - A resigned physician reported an issue through the State Auditor's Office (SAO) regarding the off-boarding payroll process and an overpayment he received. – **In Progress, Managed by Internal Audit** (In Person – SAO)
 - A report was filed with the UNT System Hotline regarding hiring fraud and abuse. – **In Progress, Managed by Internal Audit** (UNT System Hotline)
- **Four** Clinical Reports – (1 – Hotline, 3 – In Person)
 - A report was made that an employee was posting on Facebook about patients. – **Resolved, no merit** (Hotline)
 - A faculty member received a letter from the Office of the Assistant Secretary of Defense Health Affairs to review prescriptions written for Tricare patients. – **In progress, Managed by the Office of General Counsel** (In Person)
 - Patient medical records were found in the Sleep Center's recycle bin by Facilities and reported it to the Intuitional Compliance Office. – **Resolved, with merit** (In Person)
Reported to the Sleep Center Supervisor and a HIPAA Walk-Through was conducted by the Senior Compliance Manager. Additional education provided to staff regarding HIPAA safeguards.
 - An email containing protected health information of one patient was accidentally emailed to the Graduate Student of Biomedical Science (GSBS) Student group email list. – **Resolved, with merit** (In Person) – The Chief Compliance Officer emailed the GSBS Student group to inform them of the incident and to request them to delete the email. IT purged the email from the GSBS Student

Group Folders. The patient was notified of the incident. Incident was added to the UNTHSC's annual breach report to the Office of Civil Rights.

- **Two** Student Affairs Report (2 – In Person)
 - An email containing residency application information was sent to a student with a similar name as a faculty member. One of the residency applicants was a student at the UNT Health Science Center. Therefore, the incident constituted a potential FERPA concern. – **Resolved, with merit** – IT retrieved the email and a notice of accidental exposure was placed in the student's file by the Registrar's Office.
 - Former student is concerned that his medical records are being seen by Student Affairs staff that do not have permission to see them. – **Resolved, no merit.**

Section I. Organizational Actions

There were no significant actions that affected the Compliance program for this reporting period.

Section II. Compliance Risks

High-Risk #1: Emergency Planning & Preparedness and Business Continuity (UNT Dallas Police Chief and UNT Risk Management Services, as applicable)

Action Taken by Management:

- UNT Dallas Police Chief continues to conduct emergency preparedness training for applicable employees which includes new employee orientation. The training also discusses Senate Bill 11 (Campus Carry) and active shooter situations.
- UNT Dallas Police Chief continues to work with UNT Risk/Emergency Management to update emergency management signage and posters, which are nearing completion.
- UNT Dallas continues to participate in a system-wide project that is designed to enhance emergency notifications to employees and students via phone calls, text messaging, social media and television monitors.
- UNT Dallas has contracted with vendors to address parking/exterior campus lighting and camera issues.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continues to meet regularly with the UNT Dallas Chief of Police and UNT Risk Management Services as applicable to identify opportunities to enhance emergency planning & preparedness and business continuity processes and procedures at UNT Dallas.
- System and Institutional Compliance worked with the UNT Dallas Police Chief to complete the initial Safety and Security Audit for UNT Dallas. The report will be finalized with the results included in next quarter's consolidated compliance report.

High-Risk #2: Electronic Information Handling (Information Technology Shared Services - ITSS)

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human

Resources. Security awareness training was provided to twenty-seven (27) new employees.

- IT support is provided to UNT Dallas through Campus Technology Support Services.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with Campus Technology Support Services and ITSS to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #3: Grants Management (UNT Dallas Grants Writer & Administrator and UNT's Office of Grants & Contract Administration, as applicable)

Action Taken by Management:

- The Mountain View grant was successfully closed out.
- The new Grants Writer & Administrator has reviewed all current grants and developed new internal procedures as well as supported the development of several new regional and federal grants.
- The new Grants Writer & Administrator met with the management and staff of UNT's Division of Research and Economic Development to confirm the research related services that are provided by UNT to UNT Dallas and ensure that open communication is maintained between the two organizations.
- The new Grants Writer & Administrator continues to review procedures and processes so as to enhance the ease of UNT Dallas faculty being able to take advantage of the research related services available to them by both UNT and UNT Dallas.

Action Taken by System and/or Institutional Compliance:

- System/Institutional Compliance met with the new Grants Writer & Administrator, management and staff of UNT's Division of Research and Economic Development (which included the Office of Grants & Contract Administration, the new Director of Research Integrity and Compliance, and the Associate VP of Research and Economic Development) to discuss and document ongoing sponsored project management goals and objectives.

High-Risk #4: Having policies, procedures, and/or practices in place that may not provide protection of minors participating in UNT Dallas related activities (UNT Dallas Police Chief, UNT Risk Management Services, and Institutional Compliance)

Action Taken by Management and System/Institutional Compliance:

- Risk Management Services (RMS) has finalized the web based version of the Sexual Abuse and Child Molestation Prevention Training that was originally planned to be hosted in Blackboard (which includes applicable UNT Dallas employees completing this training). RMS is considering additional options for hosting and tracking this training.
- UNT Risk Management Services, UNT System/UNT HR, UNT System IT Shared Services, and Institutional Compliance have developed software that allows each campus to produce a report that can identify its employees that have completed this Sexual Abuse and Child Molestation Prevention Training.

High-Risk #5: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management and Records Management and/or Institutional Compliance

- The UNT Compliance Officer (and Chief Records Management Officer), the new Director of Institutional Records Management, and the Chief Records Management Representative developed and are delivering records management and retention training to Records Management Representatives (RMRs) for UNT Dallas units in addition to providing technical advice and guidance to UNT Dallas management pertaining to complicated records management and retention questions and situations.
- The UNT Compliance Officer (and Chief Records Management Officer), the new Director of Institutional Records Management, and the Chief Records Management Representative are re-establishing the Records Management Representative (RMR) network for UNT Dallas units.

High-Risk #6: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- System and Institutional Compliance has partnered with UNT Risk Management Services, UNT System/UNT HR, UNT System ITSS and other responsible System-wide partners to develop and implement a training plan that results in UNT Dallas employees being able to complete the seven (7) mandatory trainings identified by the UNT Operations & Infrastructure Implementation Team (work-team for employee training and development).
- UNT Risk Management Services, UNT System/UNT HR, UNT System IT Shared Services, and Institutional Compliance have developed software that allows each campus to produce a report that can identify the employees that have completed the seven (7) mandatory trainings and anyone still needing to complete these trainings.

Section III. Compliance Training

- System/UNT Institutional Compliance developed Compliance Awareness Training that is designed to be completed (web-based) by UNT System, UNT, and UNT Dallas employees. This training was provided in a lecture format to a System-wide group of employees during a UNT System Business Support Services' (BSS) workshop at the Business Service Center.
- The Office of General Counsel (OGC) provided Ethics in Public Service training during the same BSS workshop. System/UNT Institutional Compliance is working with OGC to develop a web-based version of this ethics training designed to be completed by UNT System, UNT, and UNT Dallas employees.

Section IV. Confidential and Other Complaint Reporting for UNT Dallas

- UNT Dallas maintains a Compliance Hotline reporting system that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- There were **two hotline complaints** received pertaining **to an employment issue**. Institutional Compliance (IC) initially requested additional and clarifying information from the complainant along with sharing some retaliation policy protection information with them (via the Compliance Hotline reporting system). The second report tracking number was used by the complainant to respond to IC's request for additional and clarifying information. IC is still waiting for the complainant to answer specific questions in order to proceed.



Board Order

Title: Approval of the Minutes of the February 25-26, 2016 Board Meeting and the April 1-2, 2016 Special Called Board Meeting

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the minutes of the February 25-26, 2016 Board Meeting and the April 1-2, 2016 Special Called Board Meeting have been prepared by the Board Secretary and are attached here for Board approval,

Now, Therefore, The Board of Regents authorizes and approves the following:

1. The minutes of the February 25-26, 2016 Board Meeting and the April 1-2, 2016 Special Called Board Meeting of the UNT System Board of Regents.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



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MINUTES BOARD OF REGENTS MEETING February 25-26, 2016

Thursday, February 25, 2016

The University of North Texas System Board of Regents convened on Thursday, February 25, 2016 in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas, with the following Regents in attendance: Brint Ryan, A.K. Mago, Don Potts, Rusty Reid, Gwyn Shea, Al Silva, Laura Wright, and Courtney Haning. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 8:02 a.m. Regent Glen Whitley joined the meeting at 9:00 a.m.

Chairman Ryan recognized Chancellor Lee Jackson who reported on **2015 Accomplishments, 2016 Forecast and Major Events, and Goals for the Board Meeting**. Following the Chancellor's remarks, UNT Dallas President Bob Mong commented on **Community Partnerships, Non-traditional Recruiting, and the Student's First Year Experience**. President Mong also introduced the new **Dean of the School of Education at UNT Dallas, John Gasko**.

The chairman recessed the Board for the meetings of the Academic Affairs and Student Success, Strategic and Operational Excellence, Audit, and Finance and Facilities Committees.

Following the Committee meetings, the Board reconvened at 4:30 pm, at which time Chairman Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071 and 551.074.

Chairman Ryan reconvened the Board into open session at 7:01 pm with two action items coming out of Executive Session.

2016-01 UNTS Approval of the Collaboration Agreement Between UNT Health Science Center and Texas Christian University for the Purpose of Furthering Medical Education in Fort Worth

Pursuant to a motion by Regent Rusty Reid seconded by Regent Glen Whitley, the Board approved the action item 8-0.

2016-02 UNTS Delegation of Authority to Enter into an Employment Agreement with a Dean to Lead the Medical School in Development by UNT Health Science Center and Texas Christian University

Pursuant to a motion by Regent Glen Whitley seconded by Regent Rusty Reid, the Board approved the action item 8-o.

There being no further business, the Board meeting was recessed at 7:04 p.m. on Thursday, February 25, 2016 to be reconvened at 9:00 a.m. on Friday, February 26, 2016 at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas.

Friday, February 26, 2016

The University of North Texas System Board of Regents convened on Friday, February 26, 2016 at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas with the following Regents in attendance: Brint Ryan, A.K. Mago, Rusty Reid, Gwyn Shea, Al Silva, Glen Whitley, Laura Wright, and Courtney Haning. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 9:01 a.m.

Chairman Ryan recessed the Board for the meetings of the Academic Affairs and Student Success, Finance and Facilities, and Audit Committees.

Following the Committee meetings, Chairman Ryan reconvened the full Board at 9:25 a.m.

The Board considered the following items on the Consent Agenda:

- | | |
|---------------------|---|
| 2016-03 UNTS | Approval of the Minutes of the November 19-20, 2015 Board Meeting and the December 5, 2015 Special Called Board Meeting |
| 2016-04 UNTS | Approval of TexPool Resolutions Amending Authorized UNT System Representatives |
| 2016-05 UNTS | Approval of Intercomponent Transfers of State Appropriations for the College of Law from UNT System Administration to UNT Dallas |
| 2016-06 UNTS | Approval of Intercomponent Transfers of State Appropriations |
| 2016-07 UNT | Approval of UNT Faculty Development Leaves for 2016-2017 Academic Year |
| 2016-08 UNT | Approval of Tenure for New UNT Faculty Appointee |
| 2016-09 UNT | Award of Honorary Degree |
| 2016-10 UNTD | Approval of Tenure Recommendation for the UNT Dallas Faculty Appointee |

Pursuant to a motion by Regent Al Silva seconded by Regent Glen Whitley, the Board approved the action items on the consent agenda 8-o.

The Board then considered the following action items coming out of committees:

Academic Affairs and Student Success Committee Item

- | | |
|---------------------|--|
| 2016-11 UNTS | Review of University of North Texas, University of North Texas Health Science Center at Fort Worth, and University of North |
|---------------------|--|

Texas at Dallas policies related to *Carrying of Concealed Handguns on Campus*

Pursuant to a motion by Regent Al Silva seconded by Regent A.K. Mago, the Board approved the above action item 8-0.

An action item, Approval of University of North Texas, University of North Texas Health Science Center at Fort Worth, University of North Texas at Dallas, and UNT System Administration policies related to *Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*, was withdrawn by UNT System Administration.

Finance and Facilities Committee Items

- | | |
|-----------------------|--|
| 2016-12 UNTS | Approval of Broker/Dealer List for FY16 |
| 2016-13 UNTS | Amendment to Regents Rule 10.200, Accounting, Operating Budgets, and Appropriation Requests |
| 2016-14 UNTS | Authorization to Amend the UNTS FY16 Capital Improvement Plan to Add Multi-phase Residence Hall at UNT |
| 2016-15 UNTS | Amendment to Regents Rules 03.300, Board Ethics and Standards of Conduct; 03.900, Delegation of Authority for Contracts and Agreements; 04.500, Audit and Compliance; and 05.700, System Administration and Institution Ethics and Standards of Conduct |
| 2016-16 UNTHSC | Authorization for UNTHSC to Submit a Proposal to Provide Comprehensive Medical Services to the Federal Correctional Institution – Fort Worth, with Delegation of Authority to the Chancellor or his Designee to Execute the Agreement |
| 2016-17 UNTHSC | Delegation of Authority to Negotiate and Execute Professional Services Agreements for UNTHSC to Provide Physician Services to the Tarrant County Hospital District or Acclaim Physician Group |
| 2016-18 UNTHSC | Authorization to Enter into Agreement between City of Fort Worth and UNTHSC |
| 2016-19 UNTD | UNT Dallas Naming of Outdoor Amphitheater |
| 2016-20 UNTD | UNT Dallas College of Law FY17 Tuition Increase |

Pursuant to a motion by Regent Rusty Reid seconded by Regent A.K. Mago, the Board approved the above Finance and Facilities Committee action items. The motion was approved on an 8-0 vote.

Audit Committee Item

- | | |
|---------------------|--|
| 2016-21 UNTS | Amendment to Regents Rule 04.500, Audit and Compliance and Adoption of Regents Rule 04.1200, Compliance |
|---------------------|--|

Pursuant to a motion by Regent Glen Whitley seconded by Regent Rusty Reid, the Board approved the above Audit Committee action item. The motion was approved on an 8-0 vote.

At 9:41 am, Chairman Brint Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071 and 551.074.

Chairman Ryan reconvened the Board into open session at 10:54 am with one action item coming out of Executive Session.

2016-22 UNTS Delegation of Authority to Amend the UNT President's Employment Agreement

Pursuant to a motion by Regent A.K. Mago seconded by Regent Rusty Reid, the Board approved the above action item. The motion was approved on an 8-0 vote.

At the request of Regent Glen Whitley, the Board of Regents viewed a short clip of a film by Mark Birnbaum entitled "Restore" about the restoration of the Dallas Old Municipal Building.

There being no further business, the Board meeting was adjourned at 11:07 am on Friday, February 26, 2016.

Submitted By:

Approved By:

Rosemary R. Haggett
Rosemary R. Haggett, Board Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Date: March 9, 2016

Date: _____



UNT | SYSTEM

Minutes Special Called Meeting Board of Regents

April 1-2, 2016
Inn on Lake Granbury
Conference Room
205 West Doyle Street
Granbury, Texas

The Board of Regents met in an informal workshop format and one executive session to discuss the posted agenda items.

Friday, April 1

The meeting was called to order by Chairman Brint Ryan at 10:00 a.m. The other regents present were: A.K. Mago, Don Potts, Rusty Reid, Al Silva, Gwyn Shea, Glen Whitley, and Laura Wright.

After opening remarks by the Chairman and the Chancellor and an overview of the agenda, the regents discussed Student and Workplace Safety and Conduct: Policies Process and Risks. Vice Chancellor and General Counsel Nancy Footer introduced Natasha Baker, Hirschfield Kraemer LLP, who gave a briefing on **Campus Sexual Violence**. Three UNT leaders, Elizabeth With, Vice President for Student Affairs, Maureen McGuinness, Dean of Students, and Joanne Woodard, Vice President for Institutional Equity and Diversity, discussed the campus response to such situations.

The meeting recessed at 12:08 p.m. for lunch and reconvened at 1:25 p.m.

Commissioner of Higher Education, Raymund Paredes, and Ms. Janelle Shepard, a member of the Texas Higher Education Coordinating Board (THECB), briefed the regents on the **THECB Strategic Plan, 60x30TX**, with subsequent discussion with the regents.

The next topic on the agenda was **UNTS Strategic Plan: Meeting the Goals of Texas**. The Chancellor and presidents each discussed some of the more challenging parts of their respective strategic plans.

The Board was briefed on **State and Federal Legislative and Governmental Issues** by Vice Chancellor for Government Relations Jack Morton and Associate Vice Chancellor for Government Relations Rey Rodriguez.

The Board meeting recessed at 6:10 p.m. for a reception and dinner.

Friday, April 2

The Board reconvened at 8:32 a.m. with the following regents present: Brint Ryan, A.K. Mago, Don Potts, Rusty Reid, Al Silva, Gwyn Shea, Glen Whitley, and Laura Wright.

Rosemary Haggett, Board Secretary, presented the results of the Board Self Evaluation, which was discussed by the regents.

At 10:11 a.m., the Board recessed to go into Executive Session. It came out of Executive Session at 11:40 a.m. with no action taken.

The Board reconvened at 11:45 a.m. to adjourn the meeting immediately thereafter.

No formal action will result from the Board's discussions throughout the two days.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett,
Board Secretary

Date: April 11, 2016

Approved By:

Brint Ryan,
Chairman

Date: _____



Board Briefing

Committee: Consent

Date Filed: April 7, 2016

Title: Approval of Tenure for New UNT Faculty Appointees

Background:

In accordance with UNT Policy 15.0.1.00000, *Faculty Appointment and the Granting of Tenure and Promotion*,

15.0.2.32000 Maximum Probationary Period

"The maximum probationary period is defined as the maximum amount of time a faculty member may be appointed in probationary ranks in the university. **This period shall be specified for each individual at the time of his or her initial appointment.** Except as otherwise stated in this and related sections of policy, the maximum probationary period is the equivalent of six years of full-time service in the university at the rank of assistant professor, or three years of full-time service in the university at the rank of associate or full professor."

"These provisions do not preclude a recommendation for the granting of tenure or a non-retention decision at any time prior to the expiration of the maximum probationary period."

15.0.6.31300 Review of Dossier by Provost

"Recommendations for tenure are sent to the President. The President then transmits his or her recommendations for tenure to the Board of Regents."

Allen Hightower will join the College of Music's Division of Conducting and Ensembles as a Professor in September 2016. Dr. Hightower received a Bachelor of Music in Music Education (1989) from Sam Houston State University, a Master of Music in Choral Conducting (1990) from the Eastman School of Music, a Master of Music in Orchestral Conducting (1997) from Baylor University, and a Doctor of Musical Arts in Conducting (1992) from the University of California Los Angeles. Dr. Hightower joined Luther College, a program known for its excellence, in 2010 and currently holds the endowed Weston Noble Chair as a tenured professor. He conducts the Nordic Choir which is considered one of the premiere collegiate chorale ensembles in the United States. The Nordic Choir gives annual three-week tours across the United States and abroad in addition to performing television broadcasts of their Christmas concerts. Prior to arriving at Luther College, Dr. Hightower served at Sam Houston State University from 2000-2010 as a tenured Professor of Music and Director of Choral Studies. At Sam Houston State University, he led their graduate program in choral conducting and took their choirs to five juried conventions, including the 2007 National Convention of American Choral Directors Association, the 2010 Southwestern Division of American Choral Directors Association Convention, and the Texas Music Educators Conventions of 2003, 2006, and 2010. Dr. Hightower frequently serves as a guest conductor and clinician around the US, particularly to many All-State Choirs.

Stephanie Ludi will join the College of Engineering's Department of Computer Science and Engineering as a Professor in September 2016. Dr. Ludi received a Bachelor of Science (1994) and a Master of Science (1996) in Computer Science from California Polytechnic State University, and a Ph.D. (2003) in Computer Science from Arizona State University. Dr. Ludi is a tenured Professor of Software Engineering at Rochester Institute of Technology. She joined Rochester Institute of Technology as an Assistant Professor in 2002, was granted tenure and promoted to Associate Professor in 2009, and was promoted to Professor in 2014. Dr. Ludi has also served as Graduate Program Director since June 2009. She has published over 65 refereed papers in journals and conferences, and has been involved in funded research totaling \$2.5 million. Dr. Ludi will transfer \$350,000.00 in NSF funding to UNT. She has taught a variety of courses, and has graduated one Ph.D. and twenty-eight M.S. students.

Wei Jin will join the College of Engineering's Department of Computer Science and Engineering as an Associate Professor in September 2016. Dr. Jin received a Bachelor of Science degree (1998) in Computer Science from the University of Science and Technology in Beijing China, a Master of Engineering degree (2002) in Computer in Computer Science from the Institute of Computing Technology, Chinese Academy of Sciences in Beijing China, a Master of Science degree (2007) in Computer Science and Engineering from the State University of New York (SUNY), Buffalo, and a Ph.D. in Computer Science and Engineering (2008) from SUNY, Buffalo. Dr. Jin is currently a tenured Associate Professor of Computer Science at North Dakota State University. She joined North Dakota State University as an Assistant Professor in 2008, and was granted tenure and promoted to Associate Professor in 2015. She served as an invited grant proposal review panelist for the National Science Foundation (NSF) Computer and Information Science and Engineering research programs and is currently serving as the publicity co-chair for the 2016 International Conference of Data Mining. Dr. Jin has published thirty-two refereed papers in journals and has been involved in funded research totaling over \$720 million. Dr. Jin was the recipient of the NSF Early CAREER award in 2014.

Bugao Xu will join the College of Merchandising Hospitality Management and Tourism's Department of Merchandising and Digital Retailing as Professor and Department Chair in August 2016. Dr. Xu received a Diploma (1977) in Mechanics from Wuchang Locomotive School in Wuhan, China, a Master of Science degree (1984) in Textile Engineering from the University of Maryland, a Master of Science degree (1991) in Textile Science from the University of Maryland, and a Ph.D. in Textile Science (1992) from the University of Maryland. Dr. Xu is currently a tenured Professor of Textiles and Apparel at the University of Texas. He joined the University of Texas faculty as an Assistant Professor in 1993, was granted tenure and promoted to Associate Professor in 1999, and promoted to Professor in 2004. Dr. Xu served as Head of the Division of Textiles and Apparel from 2003--2004 and 2006-2008. He has extensive teaching experience, has received a College of Natural Sciences Teaching Excellence Award, and was twice honored as the Elizabeth Tarpley Regents Faculty Fellow at UT. Dr. Xu has created two research labs (Applied Imaging Lab and the Human Dimension Research Lab), resulting in 133 refereed journal articles, over 4.6 million dollars of funding from NIH, NSF, USDA, THECB and TXDot, and 80 conference presentations.

Financial Analysis/History:

In general, the award of tenure carries with it the assurance of continued employment absent the showing of good cause for termination.

Bob Brown
Digitally signed by Bob Brown
DN: cn=Bob Brown, ou=University of North
Texas, ou=VP for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2016.05.06 11:20:52 -0500

Institution Chief Financial Officer

Janet
Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.05.09 16:25:54 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.05.10 13:04:13 -05'00'

Vice Chancellor/General Counsel

Schedule:

Tenure will be awarded upon the approval of the Board of Regents on the following individuals first day of employment at the University of North Texas:

- Allen Hightower
- Stephanie Ludi
- Wei Jin
- Bugao Xu

Recommendation:

The President recommends that the Board of Regents authorize and approve the award of tenure for Allen Hightower, Stephanie Lundi, Wei Jin and Bugao Xu.

Recommended By:

O. Finley Graves

Provost and VPAA

Neal
Smatresk

Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University of North
Texas, ou=President,
email=neal.smatresk@unt.edu, c=US
Date: 2016.05.06 14:23:07 -05'00'

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North
Texas System, ou=Vice Chancellor for Academic
Affairs and Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2016.05.09 09:50:27 -05'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2016.05.11 11:13:21 -05'00'

Chancellor



Board Order

Title: Approval of Tenure for New UNT Faculty Appointees

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 19-20, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in accordance with UNT Policy 15.0.1.00000, Faculty Appointment and the Granting of Tenure and Promotion,

“The maximum probationary period is defined as the maximum amount of time a faculty member may be appointed in probationary ranks in the university,” and

Whereas, this period shall be specified for each individual at the time of his or her initial appointment,” and

Whereas, “these provisions do not preclude a recommendation for the granting of tenure at any time prior to the expiration of the maximum probationary period,” and

Whereas, Allen Hightower, Stephanie Lundi, Wei Jin and Bugao Xu were all awarded tenure at their previous institution, and

Whereas, Allen Hightower, Stephanie Lundi, Wei Jin and Bugao Xu have the credentials and experience to be awarded tenure as confirmed by their department, college and provost, and

Now, Therefore, The Board of Regents authorizes and approves the following:

- 1. Confer tenure for Allen Hightower, Stephanie Lundi, Wei Jin and Bugao Xu, upon approval by the Board of Regents effective on their first day of employment at UNT.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary Board of Regents

Brint Ryan, Chairman Board of Regents