



UNT | SYSTEM™

Schedule of Events for Board of Regents Meeting

November 19-20, 2015

University of North Texas
Gateway Center, Room 43/47
801 North Texas Blvd.
Denton, TX

Thursday, November 19, 2015

1:00 pm CONVENE FULL BOARD

CHANCELLOR'S REMARKS

- Introductions
- Comments on the Meeting Agenda and Plans
- Quarterly Operations Report

Recess Full Board to Strategic and Operational Excellence Committee.

1:15 pm STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE

Approve Minutes of the August 27-28, 2015 meeting.

Briefings:

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

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

Quarterly Business Process Improvement Status Update: FY16 Priorities and E-Verify as an Example

- Don Sabani, UNT System, Senior Director of Business Process Improvement & Reporting
- Chinten Parikh, UNT System, Associate Vice Chancellor of Equity, Diversity & Inclusion

Discussion, if any, Quarterly Operations Report

Adjourn Strategic and Operational Excellence Committee.

3:00 pm AUDIT COMMITTEE

Approve Audit Committee Minutes of the August 27-28, 2015 meeting.

Quarterly Activity Report:

Internal Audit Report of Audit Activities – November 2015

- Tracy Grunig, UNT System, Chief Audit Executive

Discussion, if any, Quarterly Operations Report

Background Reports:

- UNTS Consolidated Annual Compliance Report

Adjourn Audit Committee.

3:30 pm CONVENE FULL BOARD AND RECESS TO 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 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 issues related to the investigation into state funded employee benefits, adjusting and/or correcting journal entries, financial transactions and controls, and the State Auditor's Office Investigative Report dated September 23, 2014
- 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 ethics, conflicts of interest, and contracting policies
- Consultation with counsel regarding implementation of SB 11 regarding campus carry
- Consultation with counsel regarding a Collaboration Agreement between UNT Health Science Center and Texas Christian University for the purpose of furthering medical education in Fort Worth, including but not limited to legal obligations and duties and any and all related facts, and possible action

Government Code, Chapter 551, Section .072 - Deliberations Regarding the Purchase, Exchange, Lease or Value of Real Property

- Consideration of an agreement for a lease, exchange or other similar transaction with the City of Dallas for the property and improvements located at 106 S. Harwood, Dallas County, Texas, and possible action
- Consideration of one or more agreements with the Texas Department of Transportation for the sale of two tracts of land, generally described as Tract 116 on the southeast side of I-35E running from North Texas Boulevard to Bonnie Brae, and Tract 124 on the northeast side of I-35E running from North Texas Boulevard to Bonnie Brae, Denton County, Texas, both of which are more particularly described here: <http://www.untsystem.edu/regents/agendas/15-11-19/Posting%20Agenda%20-%20Property%20Descriptions.pdf>, and possible action
- Consideration of one or more agreements with the Texas Department of Transportation for the sale of Parcel 124(AC), Denton County, Texas more particularly described here: <http://www.untsystem.edu/regents/agendas/15-11-19/Posting%20Agenda%20-%20Property%20Descriptions.pdf>, and possible action

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 the evaluation and compensation of, and employment agreement with the UNTHSC President, and possible action
- Consideration of individual personnel matters related to the tenure recommendations set forth in action items 3 and 5

Government Code, Chapter 551, Section .076 – Deliberations Regarding Security Devices or Security Audits

- Consideration of matters related to the deployment of security personnel, and the uses of security audits and devices

5:30 pm **CONVENE FULL BOARD AND RECESS**

The full Board will recess until Friday, November 20, at approximately 8:30 am.

6:00 pm **RECEPTION** (Patio Lounge, New Union)

Friday, November 20, 2015

8:30 am CONVENE FULL BOARD

Recess full board to Academic Affairs & Student Success Committee.

8:30 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Approve Minutes of the August 27-28, 2015 meeting.

Quarterly Activity Report

- *Enrollment Trend Data*
- *Degree Production*
- *Research Dollars*
- *Student Success*

Presentation of Certificate of Appreciation to James Scott, Dean of UNT College of Music

Review of Comparative Status, Performance and Quality of Academic Programs
(Annual Committee Calendar Topic)

Presented By:

- Rosemary Haggett, UNT System, Vice Chancellor for Academic Affairs & Student Success
- Finley Graves, UNT, Provost
- Thomas Yorio, UNTHSC, Provost
- Thad Anglin, UNTD, Vice Provost for Academic Experience and Outcomes

Faculty Deployment and Policies *(Annual Committee Calendar Topic)*

Presented By:

- Rosemary Haggett, UNT System, Vice Chancellor for Academic Affairs & Student Success
- Finley Graves, UNT, Provost
- Thomas Yorio, UNTHSC, Provost
- Thad Anglin, UNTD, Vice Provost for Academic Experience and Outcomes

Report on Research Funding *(Annual Committee Calendar Topic)*

Presented By:

- Rosemary Haggett, UNT System, Vice Chancellor for Academic Affairs & Student Success
- Finley Graves, UNT, Provost
- Tom McCoy, UNT, Vice President for Research
- Thomas Yorio, UNTHSC, Provost
- David Cistola, UNTHSC, Vice President for Research

Action Items:

5. UNTD Approval of Tenure Recommendation for New UNT Dallas Faculty Appointee

Adjourn Academic Affairs & Student Success Committee.

10:00 am FINANCE AND FACILITIES COMMITTEE

Approve Finance and Facilities Committee Minutes of the August 27-28, 2015 meeting.

Quarterly Activity Report

- FY15 Budget
- Treasury
- Business Process Improvements
- Information Technology
- Human Resources
- Customer Service
- Capital Improvement Plan
 - Status of Projects
 - Plan Changes

Briefings:

Cost per Degree Factors (Annual Committee Calendar Topic)

Presented By:

- Janet Waldron, UNT System, Vice Chancellor for Finance

Cost Trends in Major NACUBO Categories (Annual Committee Calendar Topic)

Presented By:

- Janet Waldron, UNT System, Vice Chancellor for Finance

New System Budget Regulations: Reserves and Variance Policies

- Paige Smith, UNT System, Associate Vice Chancellor for Budget

FY15 Financial Review (Annual Committee Calendar Topic)

FY15 Budget Status Summary Update

- Paige Smith, UNT System, Associate Vice Chancellor for Budget

FY15 Investment Performance

- Mike Mlinac, UNT Foundation, President and CEO
- Alfred Lockwood, UNT Foundation, Director of Investment Administration
- James Mauldin, UNT System, Associate Vice Chancellor for Treasury

Unaudited FY15 Consolidated Annual Financial Report Status

- Jane-Anne Kanke, UNT System, Senior Director

Campus Master Plan Update

- James Maguire, UNT System, Vice Chancellor for Facilities Planning and Construction

Action Items:

6. UNTS Approval of Amended UNT System Regulation 08.2000, Investment of System Funds
7. UNT Approval for the Naming of the Jim McNatt Institute for Logistics Research
8. UNTHSC Delegation of Authority to Execute an Agreement for Programming Services to Support the National Missing and Unidentified Persons System (NamUs) 2.0 Software Technology Upgrade
9. UNTHSC Delegation of Authority to the Chancellor to Negotiate and Execute Agreements for UNTHSC to Secure Revenue Cycle Services and Accounts Receivable Management for the Clinical Practice

Discussion, if any, Quarterly Operations Report

Adjourn Finance and Facilities Committee.

12:00 pm CONVENE THE FULL BOARD

CONSENT AGENDA

1. UNTS Approval of the Minutes of the August 27-28, 2015 Board Meeting and October 6, 2015 Special-Called Board Meeting
2. UNTS FY17 Holiday Schedule for UNT System, UNT, UNTHSC, and UNT Dallas
3. UNT Approval of UNT Emeritus Recommendations
4. UNTHSC Authorization to Execute an Agreement between UNTHSC and Tarrant County for the Department of Obstetrics and Gynecology to provide limited gynecological services to patients referred by the Tarrant County Public Health Department

ACTION ITEMS:

5. UNTD Approval of Tenure Recommendation for New UNT Dallas Faculty Appointee
6. UNTS Approval of Amended UNT System Regulation 08.2000, Investment of System Funds
7. UNT Approval for the Naming of the Jim McNatt Institute for Logistics Research
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BACKGROUND REPORTS:

- *Quarterly Operations Report*

Recess to executive session.

12:15 pm EXECUTIVE SESSION (Gateway Center, Room 48)

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 contemplated, ongoing and/or finalized investigations and any findings, conclusions or recommendations related to those investigations
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1:30 pm CONVENE THE FULL BOARD

Consider action items out of executive session, if any.

1:35 pm ADJOURN



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MINUTES

BOARD OF REGENTS Strategic and Operational Excellence Committee August 27, 2015

The Strategic and Operational Excellence Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 27, 2015 in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following members in attendance: Regents Milton Lee, Mike Bradford, Gwyn Shea, and Glen Whitley.

There being a quorum present the meeting was called to order by Committee Chair, Regent Milton Lee at 10:20 am. The minutes of the May 21, 2015 Committee meeting were approved on a 4-0 vote following a motion by Regent Shea and seconded by Regent Bradford.

The Committee was briefed on **Quarterly Strategic Plan Review for System and Campus: Progress on UNT System and Institutional Strategic Plans** given by Chancellor Lee Jackson. The institutional presidents, UNT President Neal Smatresk, UNT Health Science Center President Michael Williams, and UNT Dallas President Bob Mong, also participated in the discussion.

The next briefing, **Business Process Improvement & Benchmarking for Business Services**, addressed the other main charge of this Committee and was delivered by Don Sabani, UNT System Senior Director of Business Process Improvement and Reporting, and Donna Asher, UNT System Associate Vice Chancellor for Business Services.

There being no further business, the Committee meeting adjourned at 12:14 pm.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: Nov 13, 2015

Business Process Improvement | Reporting (BPI)

Presented by:

Don Sabani

Senior Director of Business Process Improvement | Reporting

Agenda

- Role of BPI
- Project Portfolio
- BPI Metrics
 - Project
 - Department

Role of BPI

Business Process Improvement | Reporting (BPI) is tasked to add value and enhance the quality and efficiency of the organization's operations and to serve as a catalyst for continuous improvement. BPI helps the organization accomplish its objectives by bringing a systematic approach to evaluate and improve the effectiveness of operational processes.

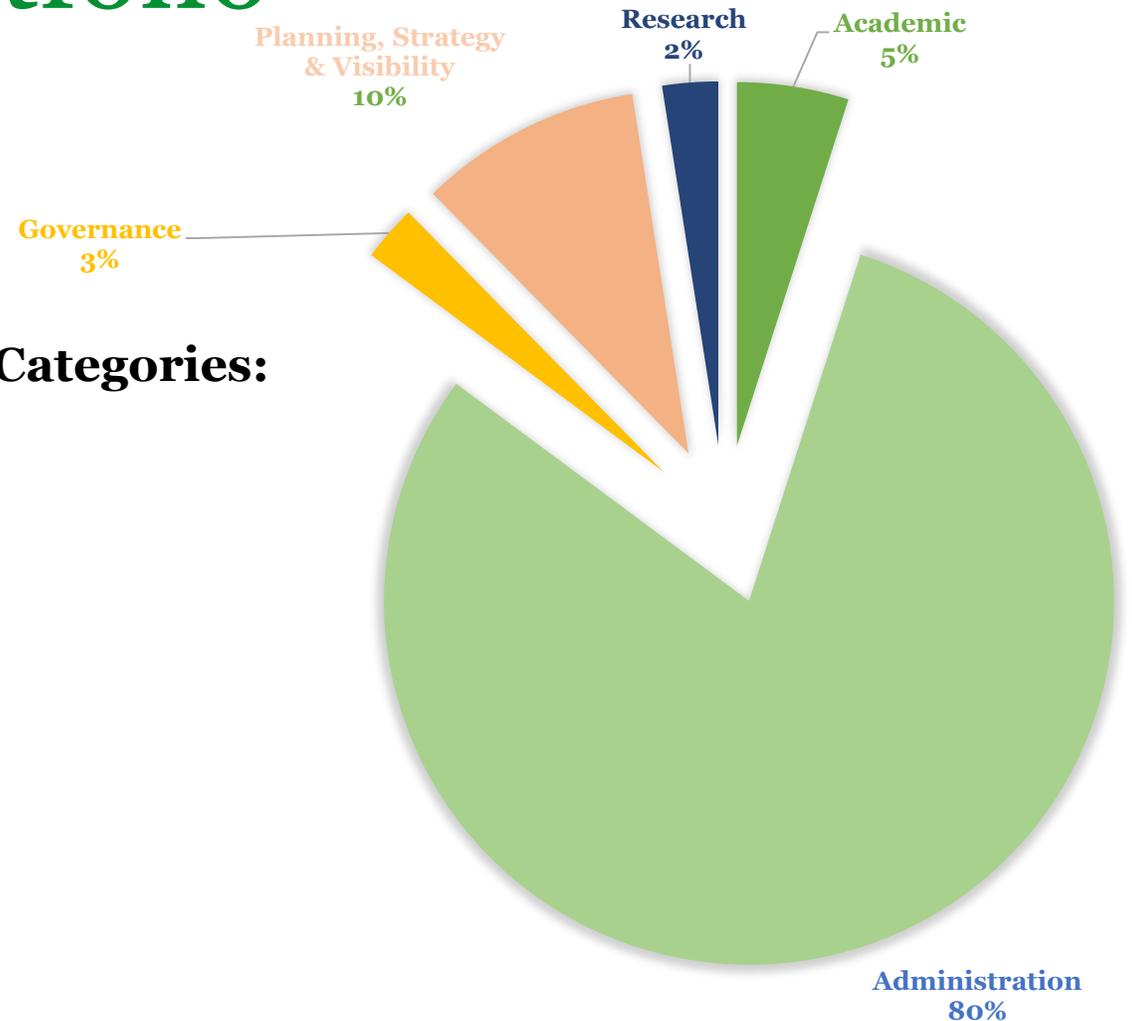
Services Offered:

- Strategic Planning
- Organizational Change Management (OCM)
- Disciplined Project Management Methodology (DMAIC)
- Organizational Standardization

Goals:

- Culture or Incremental Change
- Efficiency and Effectiveness
- Growth and Innovation
- Organizational Engagement

Project Portfolio



BPI Identified 81 different projects within these 5 Categories:

Projects were ranked based on:

- Risk
- Critical impact to daily functioning
- Management Concern
- Strategic Plan Impact
- Major changes in operations, programs, systems
- Controls or gaps identified
- Opportunity to achieve operating benefit

FY16 Plan includes 11 projects underway

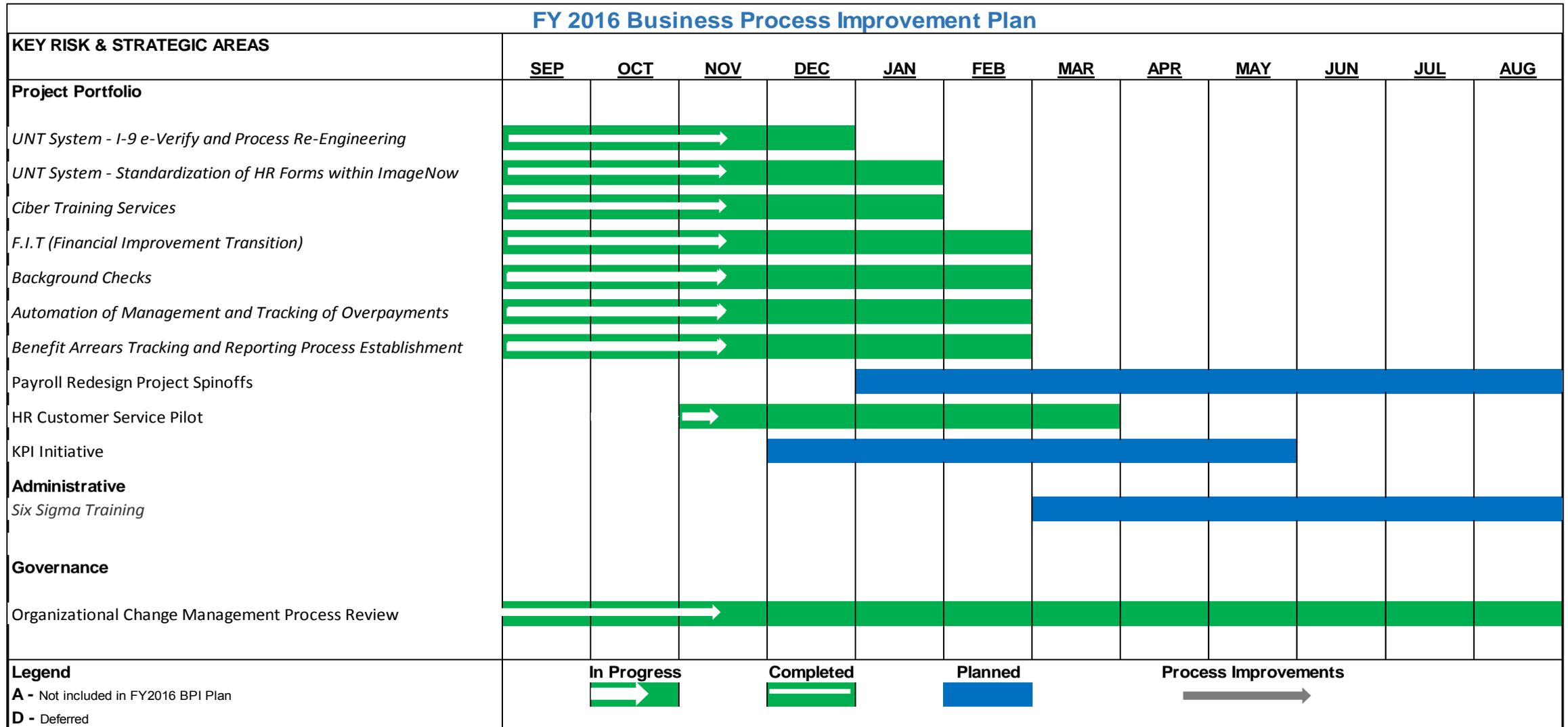
Multi-year plan will be developed for FY17-19 – and will reassess project plan annually

FY 2016: Summary

Function	2016				2017				2018			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Portfolio 2016	████████████████████											
BPI Portfolio 2017					████████████████████							
Portfolio 2018									████████████████████			

Function	2015					2016											
	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
PUFF (PeopleSoft 9.2)								◆									
FIT Chart of Accounts								◆									
Hyperion								◆									
Payroll Redesign																	
Organizational Change Management								◆									
BPI Training Documentation								◆									
Data Cleanup								◆									
Data Analytics																	
Procure to Pay (P2P)																	

FY 2016: Key Projects



FY 2016: Key Projects

Sponsor requested Projects: Lean Six Sigma

- I-9 e-verify and process re-engineering
- Standardization of HR Forms within Image Now
- F.I.T (Financial Improvement Transition)
- Background Checks
- Automation of management and tracking of overpayments
- Benefit arrears tracking and reporting process establishment

Continuous Monitoring/Data Analytics Projects

- Payroll

Continuous Monitoring Benefits

- Improve business processes and activities
- Execute more timely quantitative and qualitative decisions
- Increase cost-effectiveness of controls and monitoring through automation

Estimated Results

- ~\$320,000 savings
- ~2,000 of work hours
- 11 Projects
 - Nine active (BPI)
 - Two support by BPI

FY 2016: Project Status

UNT System FY 2016 Project Status					
Project No.	Project Name	Scope	Schedule	Progress	
1	Ciber Training Services				
2	Background Checks				
3	Automation of Management and Tracking of Overpayments				
4	Benefit Arrears Tracking and Reporting Process Establishment				
5	UNT System - I-9 e-Verify and Process Re-Engineering				
6	F.I.T (Financial Improvement Transition)				
7	UNT System - Standardization of HR Forms within ImageNow				
8	HR Customer Service Pilot				
9	KPI Initiative				
10	Organizational Change Management Review				
11	Payroll Redesign Project Spinoffs (eight in queue)				

-  No change
-  Minor adjustment
-  Substantial change

FY 2016: Key Projects

UNT System FY 2016: Business Process Improvement Projects Underway

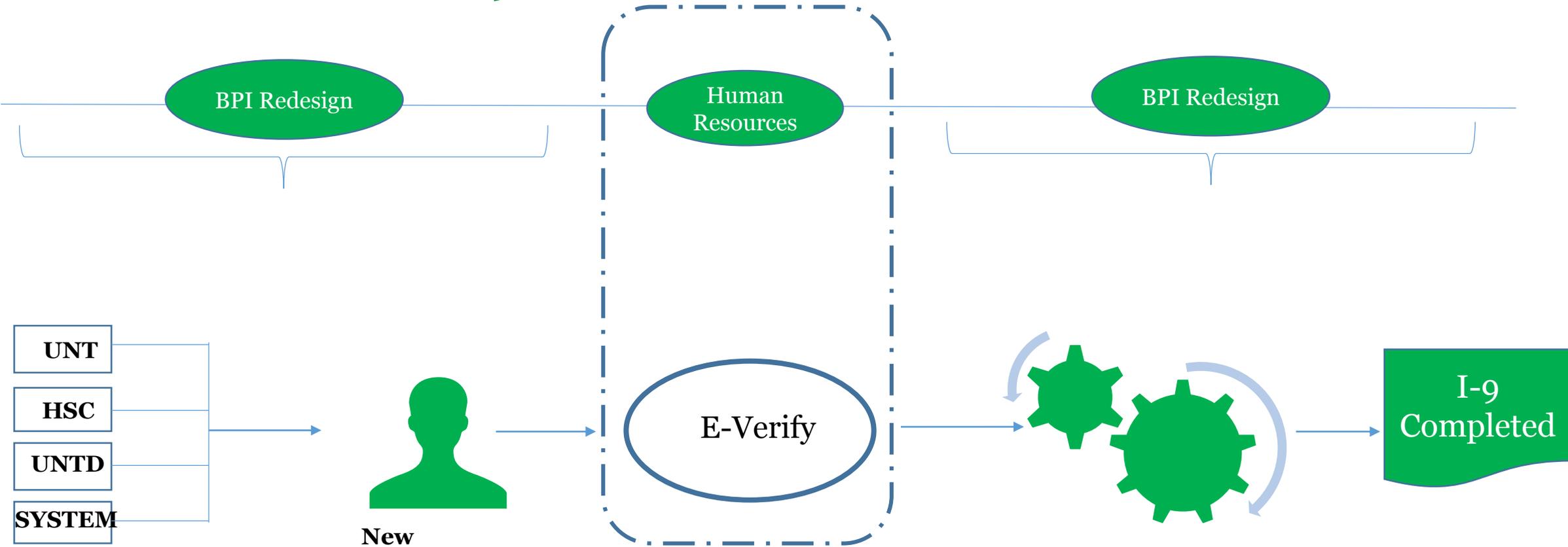
Project Count	Project Name	Estimated Savings	Actual Savings	Estimated Hours	Actual Hours	Start Date	Completion Date
1	Ciber Training Services	\$ 100,000.00 *	-	421	-	7/1/2015	-
2	Background Checks	\$ 3,500.00 **	-	110	-	7/1/2015	-
3	Automation of Management and Tracking of Overpayments	\$ 109,000.00 **	-	268	-	7/1/2015	-
4	Benefit Arrears Tracking and Reporting Process Establishment	\$ 107,000.00 **	-	245	-	7/1/2015	-
5	UNT System - I-9 e-Verify and Process Re-Engineering	NA	-	220	-	7/1/2015	-
6	F.I.T (Financial Improvement Transition)	NA	NA	250	-	7/1/2015	-
7	UNT System - Standardization of HR Forms within ImageNow	NA	NA	220	-	8/1/2015	-
8	HR Customer Service Pilot	NA	NA	45	-	11/1/2015	-
9	KPI Initiative	NA	NA	45	-	11/1/2015	-
10	Organizational Change Management Review	NA	NA	100	-	7/1/2015	NA
11	Payroll Redesign Project Spinoffs (eight in queue)	NA	NA	-	-	-	-
12	Continuous Monitoring	NA	NA	150	-	-	-

Total	\$ 319,500.00	-	2,074	-
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*Single Savings

**Continuous

I-9 Process Flow



Re-engineering:

- Completion of I-9s
- Numerous I-9 Coordinators
- Compliance Requirements

I-9 Re-Engineering Process:

- Employee reports to work and completes I-9 and submits to I-9 Input Coordinator

E-Verify Process:

- Human Resources Talent Acquisition inputs and submits data

I-9 Re-Engineering Process:

- e-Verify results received (employee either approved for work or has a specific time frame to resolve the identified issue.)

FY 2016: Key Projects

Identified System-Wide & Business Process re-engineering Lean Projects

- Organizational Change Management (OCM) Review
- Six Sigma Training Development
- Payroll Redesign Project Spinoffs (ITSS related tasks)
 - 75 total projects; eight in queue

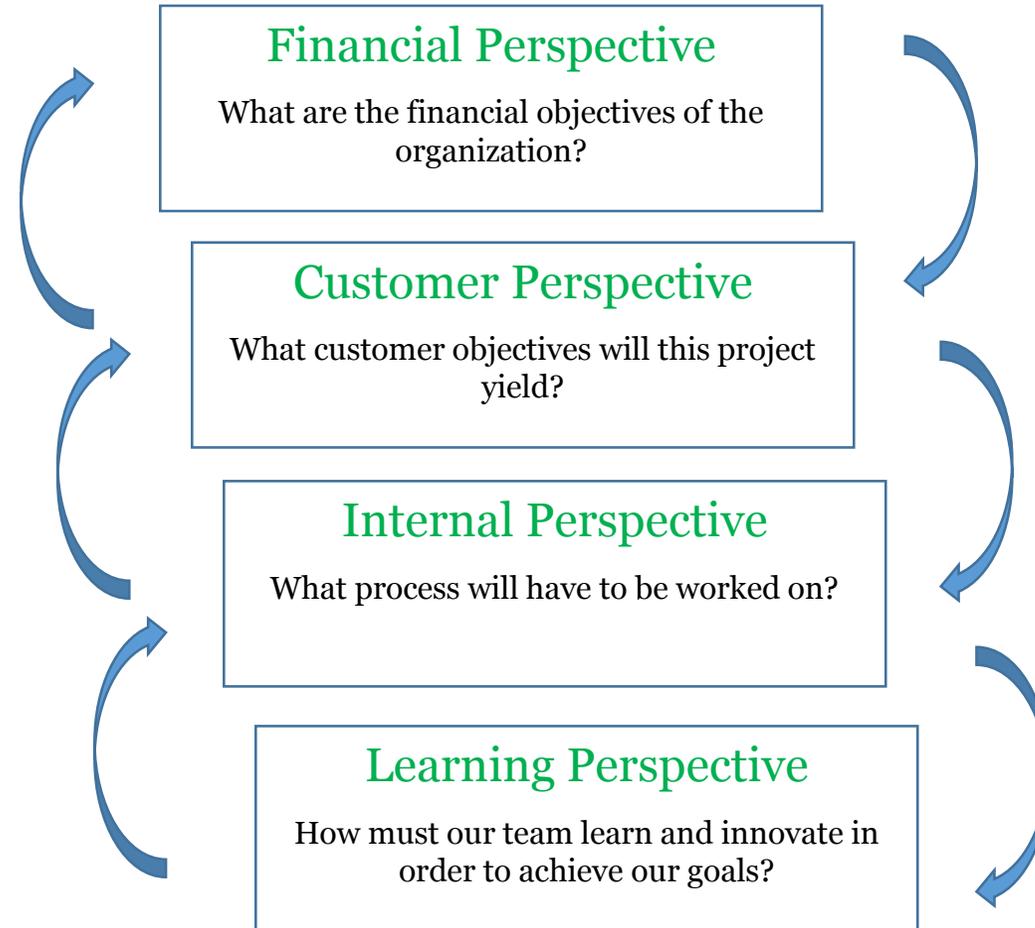
Other Types of Projects, Consulting, & Activities

- Cyber Training Services
- KPI Initiative
- HR Customer Service Pilot

BPI Project Metrics

BPI Project Metrics

- Billable Hours (Financial/Efficiency)
- Cost Savings (Financial)
- Opportunity Cost
- Fee Avoidance (Financial)
- Customer (Efficiency/Internal)
 - Cycle Time
 - Rework



BPI Departmental Metrics

BPI Departmental Metrics

- BPI Engagement Execution (Lagging Indicator)
- Green Belt/Black Belt Ratio (Lagging Indicator)
- Savings Goals (Lagging Indicator)
- Budget Hours to Actual Hours (Leading Indicator)
 - % of milestones missed
 - Cost/time variance
- Project Stakeholder Satisfaction Index
- Categorical Distribution (see slide 4)
- Rework

Talent Acquisition

E-Verify Process Improvement

Presented by:

Chinten Parikh

Assistant Vice Chancellor of Equity, Diversity and Inclusion

Interim Director of Talent Acquisition

Agenda

- Overview & Requirements
- Implemented Solutions
- E-Verify Results
- Continuous Process Improvement

Overview & Requirements

- State law on June 10, 2015 for all State Agencies to use E-Verify for all new hires effective September 1, 2015.
- Does not require agencies to E-Verify all current employees.
- Required each entity to sign a MOU (memorandum of understanding) with the Federal Government.
- Decision to insource rather than outsource.

Implemented Solutions

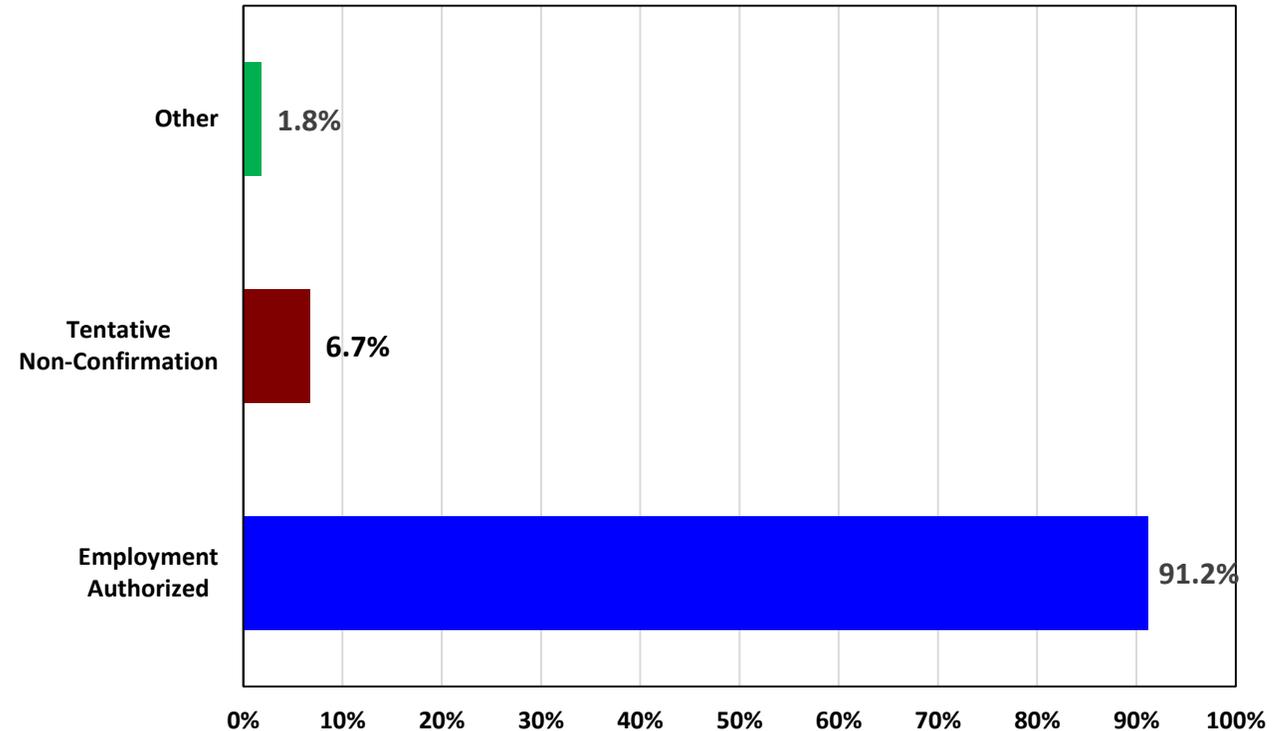
- Engaged campus leadership to reduce I-9 approvers from over 1200 across the UNT System down to 175 total.
- Controls installed to validate I-9 documents and regulate e-par submission.
- I-9 documents scanned and sent via encrypted email to System Talent Acquisition. These I-9 experts create E-Verify cases and communicate results to employee, hiring manager and department.
- Created detailed Step-by-Step Guide, FAQ document, and a process map.

E-Verify Results

- September 1st to October 31st (two months)

Successes

- E-Verify process implemented by September 1st and the UNT System is **in compliance**.
- 925** employees hired, including student employees.
- Reduction of I-9 approvers by over **85%**.
- Increased knowledge through training.
- Implemented controls and security measures.
- Conducted feedback sessions with I-9 approvers to increase process efficiency.



Continuous Process Improvements

- Process version 1.0 implemented for September 1st.
- Version 2.0 of process implemented October 15th incorporates additional situations and improved efficiency.
- Version 3.0 will reflect improved security as recommended by a task force consisting of ITSS security teams, OGC, Compliance, and Talent Acquisition. Expected launch date is January 4th.
- Feedback sessions from I-9 Input Coordinators on campuses held in November.
- Continual evolving process will improve efficiency over time.

Questions?

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UNT System Strategic Plan

*A Review of Our Mission, Vision, Core Values,
System Strategies and Objectives*

Plan Dates: 2016-2020

Our Mission

We prepare students for a lifetime of personal success and help people and communities reach their full potential.

Our Vision

The UNT System will be a team focused on talent development, advancing discovery, scholarship, exceptional service, and fulfillment of healthy lives.

UNT System Core Values

Be Collaborative:

We build talent through teamwork, on campus and off.

Be Trustworthy:

We act with honesty, trust, and good character in our personal and institutional behaviors.

Be Respectful:

We serve diverse communities by demonstrating respect for all, creating places for everyone to be valued for their contributions.

Be Exceptional:

We expect creative approaches and uncommon innovation in everything we do.

Be Accountable:

We add value by managing resources wisely to be productive and cost-effective.

Four Strategic Planning Focus Areas



Learning & Discovery



Sustainable Growth,
Finances & Resources



Quality Experiences
for Lifetime Success



People & Teamwork

Plan Objective #1

LEARNING & DISCOVERY:

Create and continuously improve **vibrant** and innovative academic communities

Plan Objective #2

*SUSTAINABLE GROWTH,
FINANCES & RESOURCES*

Achieve excellent customer service and value for all customers including students.

[Proposed 2016-2020
Strategic Plan Language]



Plan Objective #3

QUALITY EXPERIENCES FOR LIFETIME SUCCESS
Provide quality experiences for lifetime success for all students.

Plan Objective #4

PEOPLE & TEAMWORK:

Develop the **fullest potential** of every team member.

“How will this work?”

1. Learning & Discovery:

Create and continuously improve vibrant and innovative academic communities.

UNTS ADMINISTRATION

- 1.1 Guide and support high performing standards and goals for every academic, research, and clinical program
- 1.2 Maintain a thorough, regular evidence-based process of consistent performance reporting and innovation to improve continuously

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- 1.3 Strengthen the quality, numbers and accessibility of academic offerings to address evolving student and regional economic and workforce needs
- 1.4 Enhance research activities in key established and emerging areas of strength to promote innovation, entrepreneurialism and increase research funding
- 1.5 Grow a high quality and diverse student population

UNT HEALTH
SCIENCE CENTER

- 1.6 Transform to high-performing health science center

UNT DALLAS

- 1.7 Align our work to our market's greatest needs
- 1.8 Identify priority programs that are relevant, distinctive and differentiated, including one that will be the best in North Texas
- 1.9 Develop expertise serving under-resourced college students
- 1.10 Recruit and retain outstanding teacher-scholars

2. Sustainable Growth, Finances & Resources:

Achieve excellent customer service and value for all customers including students.

UNTS ADMINISTRATION

- 2.1 Instill performance standards with peer benchmarks, improvement goals, regular reporting, and customer feedback across System Administration and institutions
- 2.2 Manage total expenditures and student-borne costs to restrain student cost to degree and student debt, and be able to provide a strong and sustainable value proposition for a UNTS education
- 2.3 Provide comprehensive support and guidance in core system services that are excellent, timely, cost effective, and responsive

UNIVERSITY OF NORTH TEXAS

- 2.4 Responsibly steward fiscal and physical resources to improve efficiencies and cost savings
- 2.5 Broaden and engage constituency base to expand institutional resources
- 2.6 Improve student and administrative customer service

UNT HEALTH SCIENCE CENTER

- 2.7 Strengthen HSC long-term viability

UNT DALLAS

- 2.8 Establish strategic priorities. Act on them. Be disciplined. Regularly measure progress
- 2.9 Use data strategically to guide better decision-making
- 2.10 Attract philanthropy through our mission, vision, student outcomes
- 2.11 Increase enrollment, retention and completion rates
- 2.12 Benchmark with similar aspirational universities regionally, nationally, best in class
- 2.13 Seek operational excellence
- 2.14 Keep tuition and fees affordable
- 2.15 Align opening of residence hall and third academic building with programs that help UNTD grow and become more appealing
- 2.16 Develop private-public partnerships.

3. Quality Experiences for Lifetime Success: Provide quality experiences for lifetime success for all students.

UNTS ADMINISTRATION

- 3.1** 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
- 3.2** Develop alumni engagement through student mentorships, alumni surveys, and alumni education opportunities

UNIVERSITY OF
NORTH TEXAS

- 3.3** Foster and support student persistence and success
- 3.4** Prepare students to be competitive in the global marketplace

UNT HEALTH
SCIENCE CENTER

- 3.5** Design outcomes & experiences that deliver value and extraordinary service to others

UNT DALLAS

- 3.6** Active Learning: Every student graduates with one or more of these experiential credentials: a paid internship; a demanding research effort; a scholarly work-related project; extensive service learning participation
- 3.7** Demonstrated Competencies: All graduates demonstrate outstanding oral and written communication skills; strong critical thinking and analytical abilities; ethical decision making; ability to work well with others
- 3.8** Pathway to Social and Economic Mobility: Become a national leader in producing graduates who make better than expected earnings after graduation

4. People & Teamwork:

Develop the fullest potential of every team member.

UNTS ADMINISTRATION

- 4.1 Establish a culture of employee engagement, assessment and satisfaction
- 4.2 Become a "Best Place to Work"

UNIVERSITY OF NORTH TEXAS

- 4.3 Recruit, retain, develop and support an outstanding team of faculty and staff
- 4.4 Develop a common sense of purpose based on best practices

UNT HEALTH SCIENCE CENTER

- 4.5 Build culture based on values

UNT DALLAS

- 4.6 Plan carefully, execute quickly
- 4.7 Practice inter-professional cooperation and respect
- 4.8 Provide excellent, student-centered customer service
- 4.9 Communicate actively
- 4.10 Establish traditions
- 4.11 Serve different constituencies equally well
- 4.12 Be known for service learning in our community

UNT Strategic Planning

Neal Smatresk, President

Shared Values

UNT System Values

- Be Collaborative
- Be Trustworthy
- Be Respectful
- Be Exceptional
- Be Accountable

UNT Values

- Access
- Accountability
- Collaboration
- Diversity
- Engagement
- Excellence
- Sustainability
- Service

UNT Planning Process

- University-wide listening sessions
- Fall topic-specific town hall meetings
- Topic-specific spring planning workshops
- Cabinet planning retreat
- Annual Planning Implementation Workshop
- Planning implementation reporting
- State of the University Address
- Planning implementation teams form
- Implementation initiatives and supporting projects developed/launched
- Budget process driven by implementation initiatives

UNT Stretch Goals

Texas Higher Education Coordinating Board

Hot Metrics

By 2020, increase the number of:

- Bachelor's degrees awarded annually to 7,604
- Doctoral degrees awarded annually to 277
- African American students completing bachelor's degrees to 1,093 annually
- Hispanic students completing bachelor's degrees to 1,093 annually
- Students completing engineering, computer science, math and physical science degrees to 700 annually
- Teachers certified through UNT to 1,500 annually
- Math and science teachers certified through UNT to 125

- Undergraduate Enrollment Total
- Graduate Enrollment Total
- Total Enrollment
- New Transfer Headcount
- SAT Average
- GRE Average
- Number of Full Time Faculty
- Number of Tenured Faculty
- First year retention rates
- 6-year graduation rates
- Students Employed Upon Graduation
- Degrees Awarded – Bachelors, Masters, Ph.D.s, Doctoral
- Total Degrees Awarded
- Federally Reported Research Expenditures
- Campus Research Space Gross Square Footage
- Other Faculty Awards
- Expenditures per FTSE
- Total Annual Gifts
- Alumni (Living)

UNT System Perspectives

UNT Strategic Objectives through Project Team Member Tasks

Learning & Discovery



Sustainable Growth Finances and Resources



Quality Experiences for Lifetime Success



People and Teamwork



Alignment of UNT Strategic Objectives to System Perspectives

UNT Strategic Objectives through Project Team Member Tasks

Learning & Discovery

- 1 Strengthen the quality, numbers and accessibility of academic offerings to address evolving student and regional economic and workforce needs.
- 2 Enhance research activities in key established and emerging areas of strength to promote innovation, entrepreneurialism and increase research funding.
- 3 Grow a high quality and diverse student population

Alignment of UNT Strategic Objectives to System Perspectives

UNT Strategic Objectives through Project Team Member Tasks

Learning & Discovery

Sustainable Growth Finances and Resources

- 4 Responsibly steward fiscal and physical resources to improve efficiencies and cost savings
- 5 Broaden and engage constituency base to expand institutional resources
- 6 Improve student and administrative customer service

Alignment of UNT Strategic Objectives to System Perspectives

UNT Strategic Objectives through Project Team Member Tasks

Learning & Discovery

Sustainable Growth Finances and Resources

Quality Experiences for Lifetime Success

7 Foster and support student persistence and success

8 Prepare students to be competitive in the global marketplace

Alignment of UNT Strategic Objectives to System Perspectives

UNT Strategic Objectives through Project Team Member Tasks

Learning & Discovery



Sustainable Growth Finances and Resources



Quality Experiences for Lifetime Success



People and Teamwork



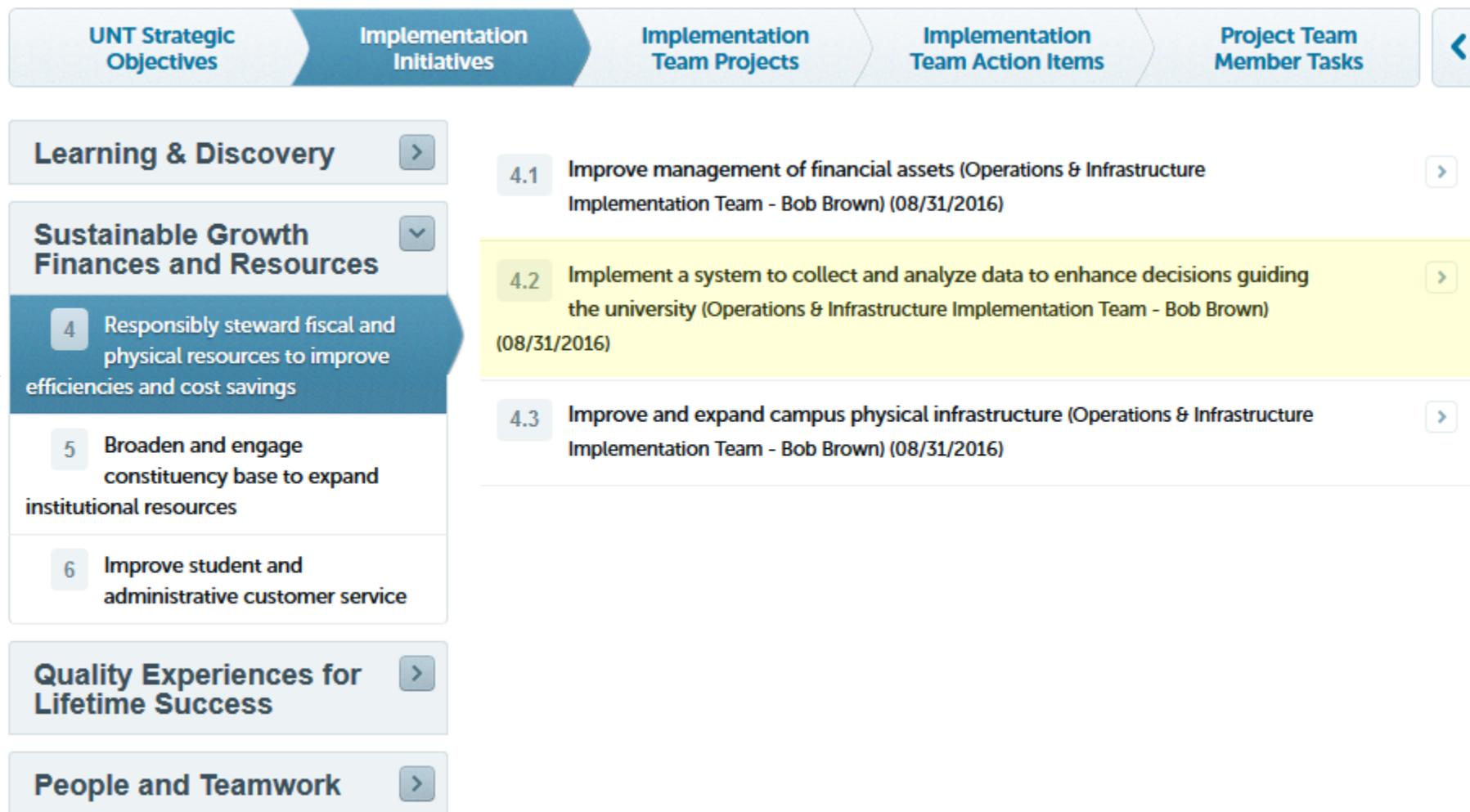
9 Recruit, retain, develop and support an outstanding team of faculty and staff



10 Develop a common sense of purpose based on best practices



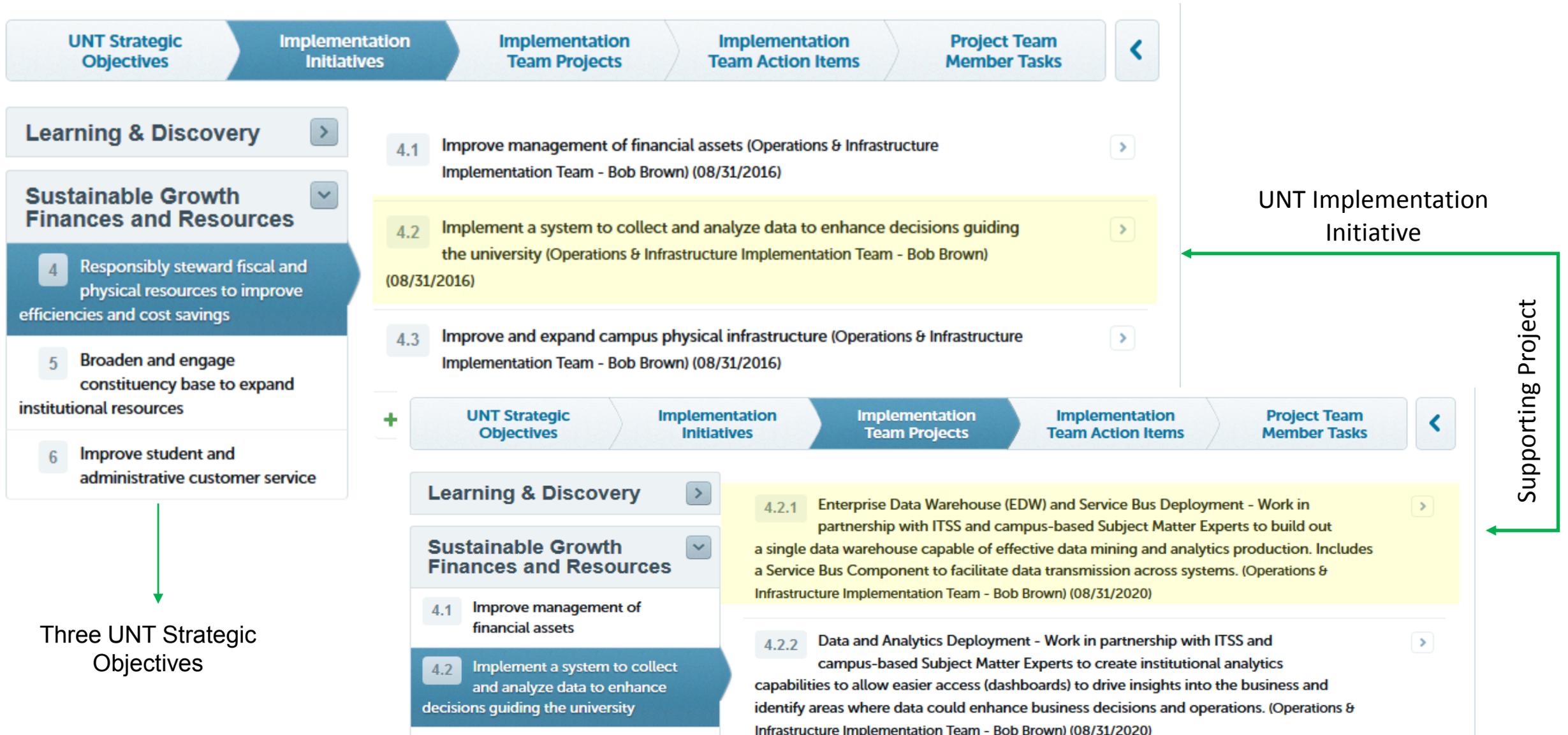
UNT Strategic Objective to Implementation Initiatives



UNT Strategic Objective

UNT Implementation Initiative

Implementation Initiative to Team Project



Three UNT Strategic Objectives

UNT Implementation Initiative

Supporting Project

Implementation Team Action Steps

UNT Strategic Objectives Implementation Initiatives Implementation Team Projects **Implementation Team Action Items** Project Team Member Tasks

Learning & Discovery

**Sustainable Growth
Finances and Resources**

4.1.1 Implement new accounting and general ledger software and training

4.1.2 Provide oversight, coordination and communication to ensure the new chart of accounts provides more management tools.

4.2.1 Enterprise Data Warehouse (EDW) and Service Bus Deployment - Work in partnership with ITSS and campus-based Subject Matter Experts to build out a single da...

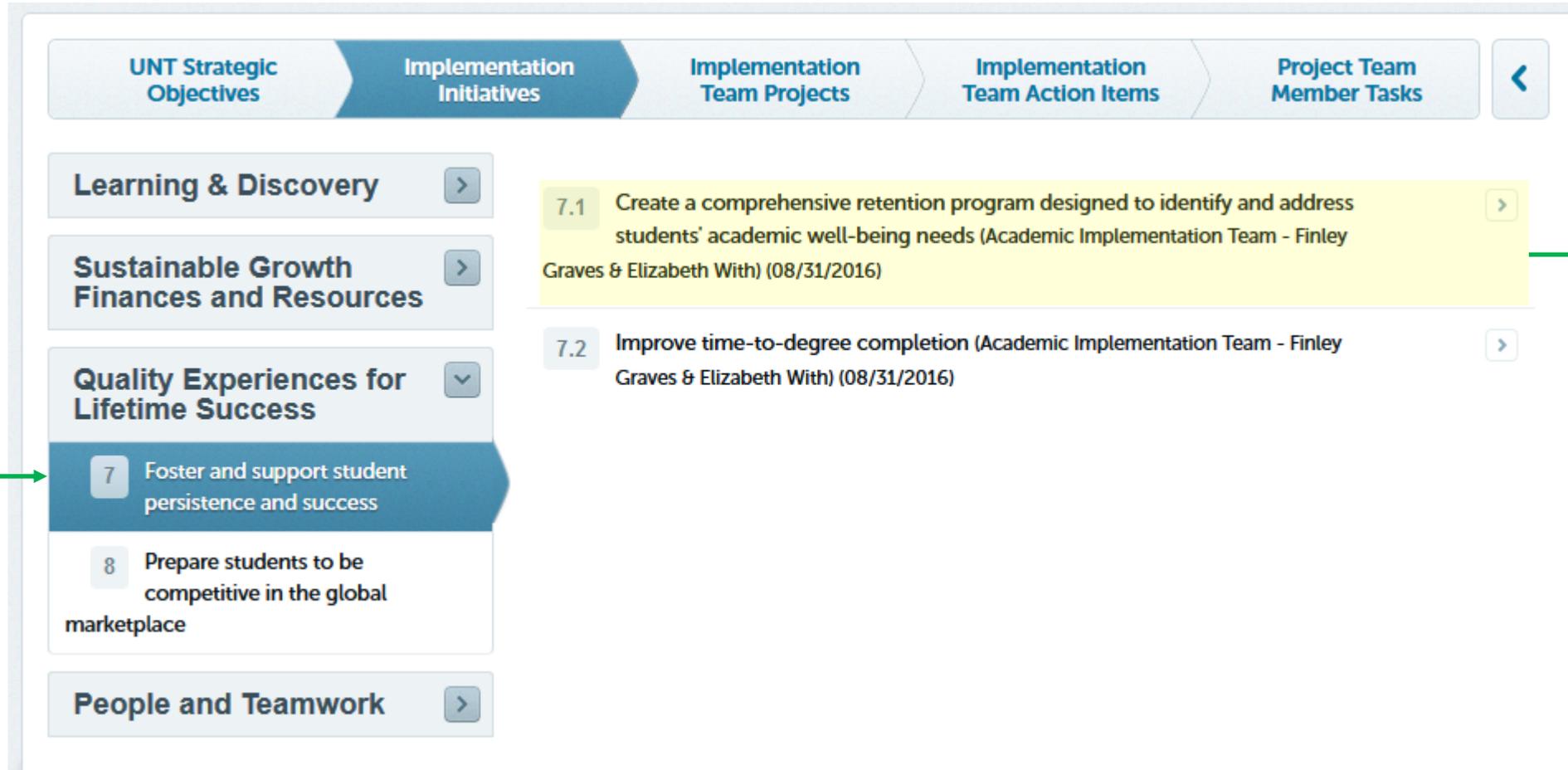
- 4.2.1.1 Define Scope of EDW/Service Bus Project (Rama Dhuwaraha) (10/01/2015)
- 4.2.1.2 Identify owners for each Campus for Data warehouse and Resources Requirements (Jason Simon)
- 4.2.1.3 Conduct Benchmarking University Visits To Identify Best Practices Around EDW/Service Bus, People, Processes, and Culture (Jason Simon) (11/21/2015)
- 4.2.1.4 Develop a data governance program for UNT and its campuses which will include roles, expectations, and data standards (Jason Simon) (01/01/2017)
- 4.2.1.5 Develop organizational and people competencies and capacity to support EDW/Service Bus (Jason Simon) (02/15/2016)
- 4.2.1.6 Create a plan for, and implement, a EDW/Service Bus Delivery Model (Rama Dhuwaraha) (02/15/2016)

Team Project

Sampling of Action Steps

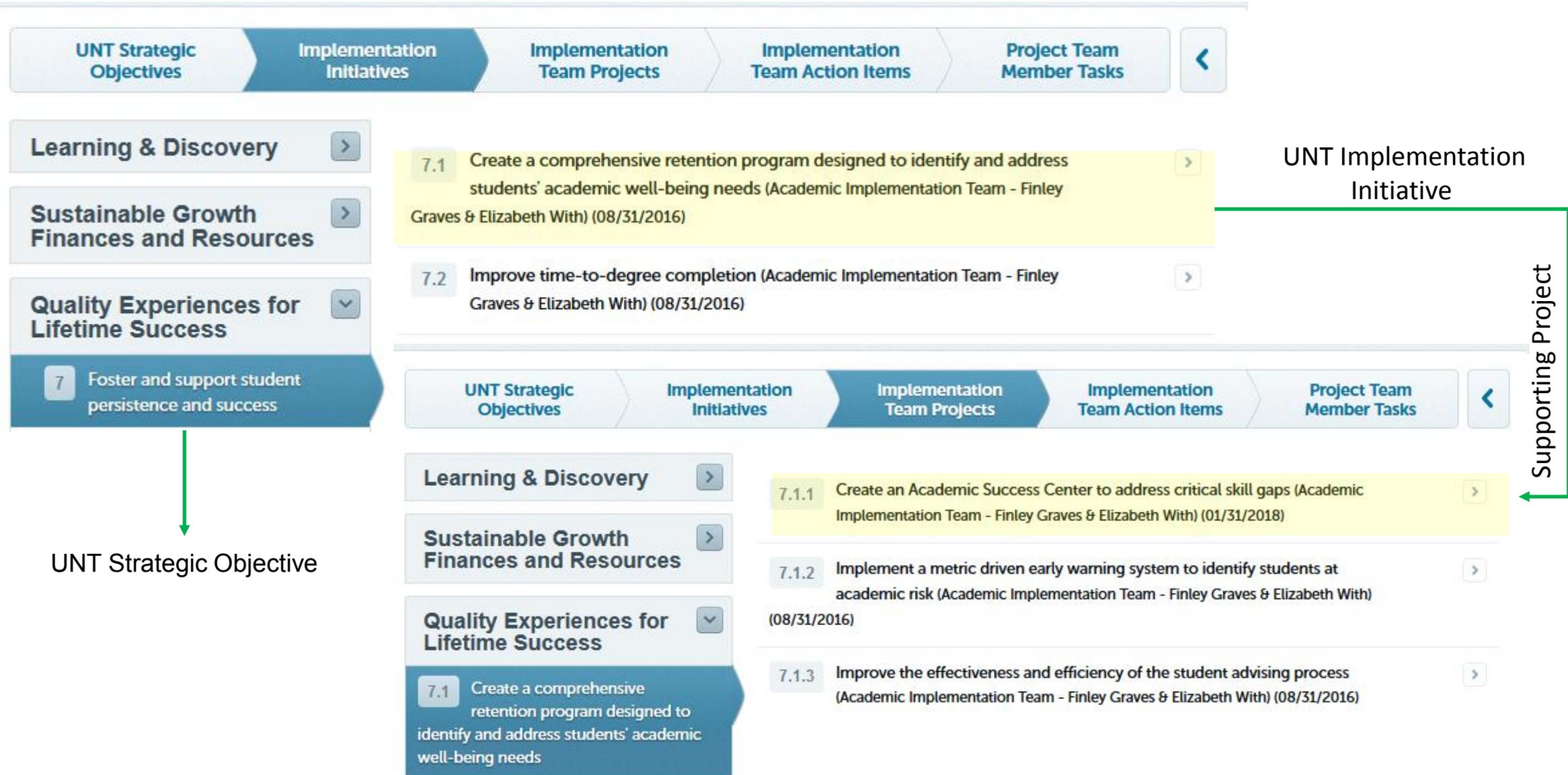
- Responsible parties
- Deadlines

UNT Strategic Objective to Implementation Initiatives



UNT Strategic Objective

Implementation Initiative to Team Project



Implementation Team Action Steps

UNT Strategic Objectives Implementation Initiatives Implementation Team Projects **Implementation Team Action Items** Project Team Member Tasks

Learning & Discovery

Sustainable Growth Finances and Resources

Quality Experiences for Lifetime Success

7.1.1 Create an Academic Success Center to address critical skill gaps

7.1.2 Implement a metric driven early warning system to identify students at academic risk

7.1.3 Improve the effectiveness and efficiency of the student advising process

8.1.1 Implement UNT Quality Enhancement Plan - UNT Career Connect

7.1.1.1 Identify strategic units (Finley Graves) (09/30/2015)

7.1.1.2 Engage key stakeholders (Finley Graves) (10/31/2015)

7.1.1.3 Assess space requirements and possible solutions (Finley Graves) (10/31/2015)

7.1.1.4 Validate space assumptions (Finley Graves) (10/31/2015)

7.1.1.5 Engage architectural firm for programming/conceptual floor plans (Finley Graves) (04/30/2016)

7.1.1.6 Validate programming/floor plan (Finley Graves) (05/31/2016)

7.1.1.7 Design project with FY17 funds (Finley Graves) (05/31/2017)

7.1.1.8 Construct project (Finley Graves) (12/31/2017)

7.1.1.9 Coordinate move (Finley Graves) (12/31/2017)

Team Project

Sampling of Action Steps

- Responsible parties
- Deadlines

Implementation Initiative – Student Enrollment

Initiative:

Retain students who otherwise would withdraw due to financial circumstances through improved customer service and communication

Challenges:

- Complex problem that requires the engagement of virtually every VP area
- Data suggests first-generation students are impacted more by financial withdrawal and accumulated debt

Comprehensive Retention Initiative – Another View

Implementation Team Projects:

- Employ disaggregated data from data warehouse to investigate which students are most likely subject to financial withdrawal and which year most likely to occur
- Encourage students to register and persist
- Target communications to advise impacted students about payment and registration times and options
- Increase education about money management and the significance of accumulated debt
- Provide earlier financial verification and awarding
- Provide earlier comprehensive billing (tuition, fees, housing, etc.) in keeping with Tuition Simplification Plan
- Improve access to emergency loans and grants through university sources and donor support
- Track the impact of these interventions on semester-to-semester and long-term retention and graduation rates

Comprehensive Retention Initiative – Another View

Outcomes:

Number of students washed/withdrawn due to non-payment

Fall Semester	Regular Registration	Regular Registration Census
2013	1,559	58
2014	1,724	52
2015	1,537	46



UNT Health Science Center Strategic Planning

Michael Williams, President

UNTHSC Purpose

Transform Lives in Order to Improve the Lives of Others

UNTHSC Mission

Create Solutions for a Healthier Community

UNTHSC Vision

Be an extraordinary team, committed to excellence,
unafraid to challenge conventional wisdom

UNTHSC Values

SERVE OTHERS FIRST

- Encourage growth, well-being and success of each other and people we serve

INTEGRITY

- Uphold the highest ethical standards

RESPECT

- Treat everyone with dignity and compassion

COLLABORATION

- Work together to achieve shared goals

BE VISIONARY

- Create innovative solutions in the pursuit of excellence

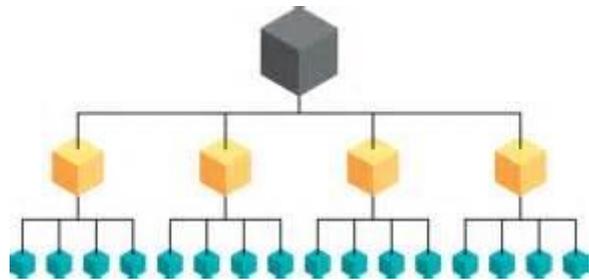
Trust: The cornerstone to the foundation of our success

Objective 4. Strengthen HSC Long-Term Viability

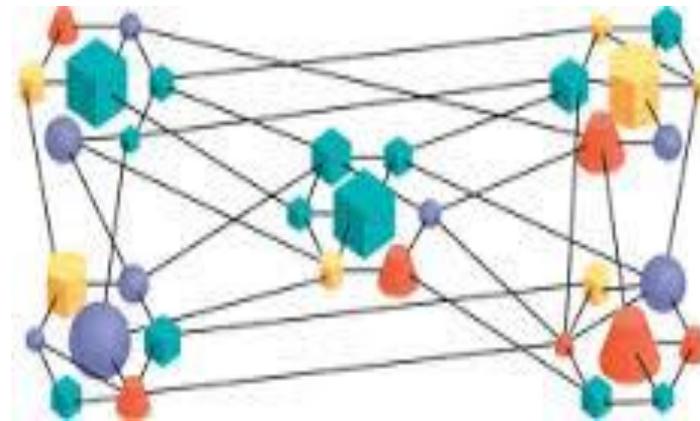
4.3 Create a Culture of Continuous Improvement

Objective	Initiatives	2016 Desired Results	Performance Measures and Targets
4 Strengthen HSC long-term viability	4.1 Develop practice plan	4.1.1 Reduce practice plan net margin loss	M: Net margin loss T: \$3,000,000
	4.2 Develop and implement GME programs	4.2.1 Create new GME programs	M: Number of new GME programs T: 2
	4.3 Create a culture of continuous improvement	4.3.1 Lean consultant engaged & process piloted in 3 key areas & significant improvement accomplished	M: Return on investment (\$, work flow reduction, waste reduction) T: Three Key Areas (hiring, contract & budget) with Lean Fully Implemented
	4.4 Improve financial net position	4.4.1 \$30M donor funds raised/pledged	M: Dollars raised/pledged T: \$30,000,000
4.4.2 \$4M added to HSC reserves		M: Annual dollar amount of reserve increase T: \$4,000,000	

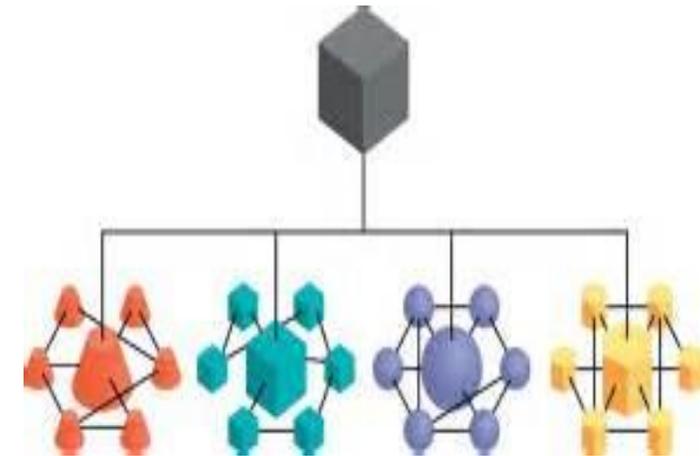
UNTHSC Strategic Plan Execution



Hierarchy



Team of Team



Command/team

UNT Dallas Strategic Planning

Bob Mong, President

MISSION, VISION, VALUES, GOALS

Mission

UNT Dallas **empowers** students, **transforms** lives, **strengthens** communities.

Vision

Through education and community connectedness, UNT Dallas aspires to be the pathway to social mobility in its primary market.

Values

- Resilience
- Sense of purpose
- Excellence
- Mentoring
- Integrity
- Efficiency
- Strategic

Goals

Rooted in community. Become the leading university in Southern Dallas and nearby suburbs.

Grow. Increase enrollment, retention and completion rates with experiential learning while developing critical thinking and marketable skills for every student.

Serve. Relentless pursuit of student success.

OBJECTIVES

1. Learning and Discovery

- Align our work to our market's greatest needs.
- Identify priority programs that are relevant, distinctive and differentiated, including one that will be the best in North Texas.
- Develop expertise serving under-resourced college students.
- As primarily a teaching university, recruit and retain outstanding teacher-scholars.

2. Sustainable Growth, Finance and Resources

- Establish strategic priorities. Act on them. Be disciplined. Regularly measure progress.
- Use data strategically to guide better decision-making.
- Attract philanthropy through our mission, vision, student outcomes.
- Increase enrollment, retention and completion rates.
- Benchmark with similar aspirational universities regionally, nationally, best in class.
- Seek operational excellence.
- Keep tuition and fees affordable.
- Align opening of residence hall and third academic building with programs that help UNTD grow and become more appealing.
- Develop private-public partnerships.

OBJECTIVES

3. Quality Experiences for Lifetime Success

- Active learning. Every student graduates with one or more of these experiential credentials: a paid internship; a demanding research effort; a scholarly work-related project, extensive service learning participation.
- Demonstrated competencies. All graduates demonstrate outstanding oral and written communication skills; strong critical thinking and analytical abilities; ethical decision making; ability to work well with others.
- Pathway to social and economic mobility. Become a national leader in producing graduates who make better than expected earnings after graduation.

4. People and Teamwork

- Plan carefully, execute quickly.
- Practice inter-professional cooperation and respect.
- Provide excellent, student-centered customer service.
- Communicate actively.
- Establish traditions.
- Serve different student constituencies equally well.
- Be known for service learning in our community.

What's been done?

- Strategic planning evolving, coalescing.
- Improved student support and student life.
- Strengthened community partnerships.
- Expanded academic offerings.

What's left to do?

- Hire outstanding Advancement VP.
- Align tenure and promotion with mission.
- Get new Education Dean onboard and active.
- Expand health care related programs.
- Reimagine first-year experience.
- Create holistic approach to student recruiting, enrollment management, retention and completion.
- Expand academic bridge programs.
- Improve internal and external communications.
- Develop plan for universal experiential learning.
- Improve infrastructure.

UNT | SYSTEM™

UNT System

Strategic Plan as of November 17, 2015

Full Strategic Plan w/Progress Created by OnStrategy

MISSION STATEMENT

We prepare students for a lifetime of personal success and help people and communities reach their full potential.

VISION STATEMENT

Be a team focused on talent development, advancing discovery, exceptional service, and fulfillment of healthy lives.

CORE VALUES

Be Collaborative: We build talent through teamwork, on campus and off.

Be Trustworthy: We act with honesty, trust, and good character in our personal and institutional behaviors.

Be Respectful: We serve diverse communities by demonstrating respect for all, creating places for everyone to be valued for their contributions.

Be Exceptional: We expect creative approaches and uncommon innovation in everything we do.

Be Accountable: We add value by managing resources wisely to be productive and cost-effective.

STRATEGIC PLAN - PROGRESS AT-A-GLANCE

Organization Goals	Measure	Target	Actual	Status
1.1 UNTS: Guide and support high performing standards and goals for every academic, research, and clinical program				 As of 11/10/15
1.2 UNTS: Maintain a thorough, regular evidence-based process of consistent performance reporting and innovation to improve continuously				 As of 11/10/15
1.3 UNT: Strengthen the quality, numbers and accessibility of academic offerings to address evolving student and regional economic and workforce needs.				 As of 11/14/15
1.4 UNT: Enhance research activities in key established and emerging areas of strength to promote innovation, entrepreneurialism and increase research funding.				 As of 11/14/15
1.5 UNT: Grow a high quality and diverse student population				 As of 11/14/15
1.6 UNTHSC: Transform to high-performing health science center				 As of 11/15/15
1.7 UNTD: Align our work to our market's greatest needs				 As of 11/14/15
1.8 UNTD: Identify priority programs that are relevant, distinctive and differentiated, including one that will be the best in North Texas				 As of 11/14/15
1.9 UNTD: Develop expertise serving under-resourced college students				 As of 11/14/15
1.10 UNTD: Recruit and retain outstanding teacher-scholars				 As of 11/14/15
2.1 UNTS: Instill performance standards with peer benchmarks, improvement goals, regular reporting, and customer feedback across System Administration and institutions				 As of 11/14/15
2.2 UNTS: Manage total expenditures and student-borne costs to restrain student cost to degree and student debt, and be able to provide a strong and sustainable value proposition for a UNTS education				 As of 11/14/15
2.3 UNTS: Provide comprehensive support and guidance in core system services that are excellent, timely, cost effective, and responsive				 As of 11/14/15
2.4 UNT: Responsibly steward fiscal and physical resources to improve efficiencies and cost savings				 As of 11/14/15
2.5 UNT: Broaden and engage constituency base to expand institutional resources				 As of 11/14/15
2.6 UNT: Improve student and administrative customer service				 As of 11/14/15

2.7 UNTHSC: Strengthen HSC long-term viability				 As of 09/24/15
2.8 UNTD: Establish strategic priorities. Act on them. Be disciplined. Regularly measure progress.				 As of 11/14/15
2.9 UNTD: Use data strategically to guide better decision-making				 As of 11/14/15
2.10 UNTD: Attract philanthropy through our mission, vision, student outcomes				 As of 11/14/15
2.11 UNTD: Increase enrollment, retention and completion rates				 As of 11/14/15
2.12 UNTD: Benchmark with similar aspirational universities regionally, nationally, best in class				 As of 11/14/15
2.13 UNTD: Seek operational excellence				 As of 11/14/15
2.14 UNTD: Keep tuition and fees affordable				 As of 11/14/15
2.15 UNTD: Align opening of residence hall and third academic building with programs that help UNTD grow and become more appealing.				 As of 11/14/15
2.16 UNTD: Develop private-public partnerships				 As of 11/14/15
3.1 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				 As of 11/14/15
3.2 UNTS: Develop alumni engagement through student mentorships, alumni surveys, and alumni education opportunities				 As of 11/14/15
3.3 UNT: Foster and support student persistence and success				 As of 11/14/15
3.4 UNT: Prepare students to be competitive in the global marketplace				 As of 11/14/15
3.5 UNTHSC: Design outcomes & experiences that deliver value and extraordinary service to others				 As of 11/05/15
3.6 UNTD: Active Learning: Every student graduates with one or more of these experiential credentials: a paid internship; a demanding research effort; a scholarly work-related project; extensive service learning participation				 As of 11/14/15
3.7 UNTD: Demonstrated Competencies: All graduates demonstrate outstanding oral and written communication skills; strong critical thinking and analytical abilities; ethical decision making; ability to work well with others.				 As of 11/14/15

3.8 UNTD: Pathway to Social and Economic Mobility: Become a national leader in producing graduates who make better than expected earnings after graduation.				 As of 11/14/15
4.1 UNTS: Establish a culture of employee engagement, assessment and satisfaction				 As of 11/14/15
4.2 UNTS: Become a "Best Place to Work"				 As of 11/14/15
4.3 UNT: Recruit, retain, develop and support an outstanding team of faculty and staff				 As of 11/14/15
4.4 UNT: Develop a common sense of purpose based on best practices				 As of 11/14/15
4.5 UNTHSC: Build culture based on values				 As of 11/05/15
4.6 UNTD: Plan carefully, execute quickly				 As of 11/15/15
4.7 UNTD: Practice inter-professional cooperation and respect				 As of 11/15/15
4.8 UNTD: Provide excellent, student-centered customer service				 As of 11/15/15
4.9 UNTD: Communicate actively				 As of 11/15/15
4.10 UNTD: Establish traditions				 As of 11/15/15
4.11 UNTD: Serve different constituencies equally well				 As of 11/15/15
4.12 UNTD: Be known for service learning in our community				 As of 11/15/15

STRATEGIC PLAN - PROGRESS DETAIL

LEARNING & DISCOVERY SYSTEM-WIDE STRATEGIC OBJECTIVES & ORGANIZATION GOALS

1 Create and continuously improve vibrant and innovative academic communities

1.1 UNTS: Guide and support high performing standards and goals for every academic, research, and clinical program (UNT System) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/10/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
1.1.1 Establish clear goals for each academic, student support, and research program on UNTS campuses, working closely with Presidents, Provosts, and other leaders to set targets for above average peer performance in the areas most important to each program. (UNT System)	09/24/15, 07/31/20			 As of 11/15/15

1.2 UNTS: Maintain a thorough, regular evidence-based process of consistent performance reporting and innovation to improve continuously (UNT System) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/10/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
1.2.1 Hold a formal assessment meeting on each campus each year to review progress and consider innovation opportunities. (UNT System)	11/10/15, 07/31/20			 As of 11/15/15

1.3 UNT: Strengthen the quality, numbers and accessibility of academic offerings to address evolving student and regional economic and workforce needs. (UNT) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
1.3.1 Establish regional satellite campuses (UNT)	09/24/15, 08/31/16			 As of 11/15/15
1.3.2 Evaluate and adjust academic programs within colleges and school to address emerging needs (UNT)	09/24/15, 08/31/16			 As of 11/15/15
1.3.3 Evaluate and restructure online offerings in distance education (UNT)	09/24/15, 04/30/17			 As of 11/15/15
1.3.4 Achieve re-accreditation through the Southern Association of Colleges and Schools Commission on Colleges (UNT)	09/24/15, 08/31/17			 As of 11/15/15

1.4 UNT: Enhance research activities in key established and emerging areas of strength to promote innovation, entrepreneurialism and increase research funding. (UNT) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
1.4.1 Form semi-autonomous research institutes (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.4.2 Strengthen faculty in key established and emerging areas (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.4.3 Create an Office of Economic Development (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.4.4 Build intellectual property commercialization (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.4.5 Optimize and expand research space (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.4.6 Grow federal research funding (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.4.7 Improve graduate student funding model (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.4.8 Align promotion and tenure standards to our national prominence goals (UNT)	11/14/15, 08/31/16			 As of 11/15/15

1.5 UNT: Grow a high quality and diverse student population (UNT) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
1.5.1 Develop and implement a robust student enrollment plan (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.5.2 Implement robust CRM and marketing automation software (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.5.3 Achieve minority-serving institution (MSI) status (UNT)	11/14/15, 08/31/16			 As of 11/15/15
1.5.4 Achieve Hispanic-serving institution (HSI) status (UNT)	11/14/15, 08/31/16			 As of 11/15/15

				As of 11/15/15
1.5.5 Increase the number of National Merit Scholars (UNT)	11/14/15, 08/31/16			 As of 11/15/15

1.6 UNTHSC: Transform to high-performing health science center (UNTHSC) (08/31/18) Measure: Target: Actual: Status:

As of 11/15/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
1.6.1 Restructure to high-performing institutes (UNTHSC)	09/01/15, 07/31/16			 As of 11/05/15
1.6.2 Expand educational and research programs (UNTHSC)	09/01/15, 07/31/16			 As of 11/05/15

1.7 UNTD: Align our work to our market's greatest needs (UNT Dallas) (07/31/20) Measure: Target: Actual: Status:

As of 11/14/15

1.8 UNTD: Identify priority programs that are relevant, distinctive and differentiated, including one that will be the best in North Texas (UNT Dallas) (07/31/20) Measure: Target: Actual: Status:

As of 11/14/15

1.9 UNTD: Develop expertise serving under-resourced college students (UNT Dallas) (07/31/20) Measure: Target: Actual: Status:

As of 11/14/15

1.10 UNTD: Recruit and retain outstanding teacher-scholars (UNT Dallas) (07/31/20) Measure: Target: Actual: Status:

As of 11/14/15

2 Achieve exceptional service and value for all customers including students

2.1 UNTS: Instill performance standards with peer benchmarks, improvement goals, regular reporting, and customer feedback across System Administration and institutions (UNT System) (08/31/20)

Measure: Target: Actual: Status:  As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
2.1.1 Establish Service Level Agreements for all administrative and student services and performance targets based on peer data and assist campus officials in doing the same for all campus-based services. (UNT System)	10/14/15, 08/31/20			 As of 11/15/15
2.1.2 Implement technology tools to track service performance on a continuing basis across all key services. (UNT System)	10/14/15, 08/31/20			 As of 11/15/15
2.1.3 Create a comprehensive customer service training program. (UNT System)	10/14/15, 08/31/20			 As of 11/15/15

2.2 UNTS: Manage total expenditures and student-borne costs to restrain student cost to degree and student debt, and be able to provide a strong and sustainable value proposition for a UNTS education (UNT System) (07/31/20)

Measure: Target: Actual: Status:  As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
2.2.1 Create a recognized and meaningful measure of Administrative Costs and consider innovative measures to control these costs in each operating budget. (UNT System)	11/10/15, 07/31/20			 As of 11/15/15
2.2.2 Expect each campus to create appropriate tuition and financial aid strategies to reduce student costs to degree award and student debt upon graduation. (UNT System)	11/10/15, 07/31/20			 As of 11/15/15

2.3 UNTS: Provide comprehensive support and guidance in core system services that are excellent, timely, cost effective, and responsive (UNT System) (07/31/20)

Measure: Target: Actual: Status:  As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
2.3.1 Establish and maintain high performance standards for all financial management responsibilities including auditing, accounting, and treasury functions. (UNT System)	11/14/15, 07/31/20			 As of 11/15/15
2.3.2 Collaborate with campus leadership in master planning, land acquisition, and facility design and construction, achieving high functionality, cost effectiveness, and innovation. (UNT System)	11/14/15, 07/31/20			 As of 11/15/15

2.3.3 Provide valuable advice and counsel in legal matters, government relations, and auditing that improve the operations of UNTS and its institutions and accomplish full compliance with all relevant laws, regulations, and standards. (UNT System)	11/14/15, 07/31/20			 As of 11/15/15
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2.4 UNT: Responsibly steward fiscal and physical resources to improve efficiencies and cost savings (UNT) (07/31/20)

Measure: Target: Actual: Status:

As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
2.4.1 Improve management of financial assets (UNT)	10/14/15, 08/31/16			 As of 11/15/15
2.4.2 Implement a system to collect and analyze data to enhance decisions guiding the university (UNT)	10/14/15, 08/31/16			 As of 11/15/15
2.4.3 Improve and expand campus physical infrastructure (UNT)	10/14/15, 08/31/16			 As of 11/15/15

2.5 UNT: Broaden and engage constituency base to expand institutional resources (UNT) (07/31/20)

Measure: Target: Actual: Status:

As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
2.5.1 Assess and reorganize Advancement to improve fundraising and expand alumni network and engagement (UNT)	11/14/15, 08/31/16			 As of 11/15/15
2.5.2 Create President's Leadership Board (UNT)	11/14/15, 08/31/16			 As of 11/15/15
2.5.3 Increase donor support for student scholarships (UNT)	11/14/15, 08/31/16			 As of 11/15/15

2.6 UNT: Improve student and administrative customer service (UNT) (07/31/20)

Measure: Target: Actual: Status:

As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
2.6.1 Implement a mobile application that provides access to the highest value functions and information by current and prospective students (UNT)	11/14/15, 08/31/16			 As of 11/15/15
2.6.2 Work with UNT System to improve shared service and develop improved financial & accounting, HR and student data systems (UNT)	11/14/15, 08/31/16			

				As of 11/15/15
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2.7 UNTHSC: Strengthen HSC long-term viability (UNTHSC)

Measure:

Target:

Actual:

Status:



As of 09/24/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
2.7.1 Develop practice plan (UNTHSC)	11/05/15, 07/31/16			 As of 11/05/15
2.7.2 Develop and implement GME programs (UNTHSC)	11/05/15, 07/31/16			 As of 11/05/15
2.7.3 Create a culture of continuous improvement (UNTHSC)	11/05/15, 07/31/16			 As of 11/05/15
2.7.4 Improve financial net position (UNTHSC)	11/05/15, 07/31/16			 As of 11/05/15

2.8 UNTD: Establish strategic priorities. Act on them. Be disciplined. Regularly measure progress. (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

2.9 UNTD: Use data strategically to guide better decision-making (UNT) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

2.10 UNTD: Attract philanthropy through our mission, vision, student outcomes (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

2.11 UNTD: Increase enrollment, retention and completion rates (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

2.12 UNTD: Benchmark with similar aspirational universities regionally, nationally, best in class (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

2.13 UNTD: Seek operational excellence (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

2.14 UNTD: Keep tuition and fees affordable (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



2.15 UNTD: Align opening of residence hall and third academic building with programs that help UNTD grow and become more appealing. (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

2.16 UNTD: Develop private-public partnerships (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/14/15

3 Provide quality experiences for lifetime success for all students

3.1 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) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
3.1.1 Broaden the exposure of all UNTS students to career-related experiences and leadership and team-based activities. (UNT System)	11/05/15, 07/31/20			 As of 11/15/15
3.1.2 Establish a comprehensive portfolio opportunity for all students to recognize their significant achievements in addition to those reflected on transcripts. (UNT System)	11/05/15, 07/31/20			 As of 11/15/15

3.2 UNTS: Develop alumni engagement through student mentorships, alumni surveys, and alumni education opportunities (UNT System) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
3.2.1 Encourage each campus to build broader alumni participation in student support programs and continuing educational opportunities. (UNT System)	11/10/15, 07/31/20			 As of 11/15/15

3.3 UNT: Foster and support student persistence and success (UNT) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
3.3.1 Create a comprehensive retention program designed to identify and address students' academic and well-being needs (UNT)	11/05/15, 08/31/16			 As of 11/15/15
3.3.2 Improve time-to-degree completion (UNT)	11/05/15, 08/31/16			 As of 11/15/15

3.4 UNT: Prepare students to be competitive in the global marketplace (UNT) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
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3.4.1 Expand professional development and internship opportunities available to students (UNT)	11/14/15, 08/31/16			 As of 11/15/15
3.4.2 Improve student career preparedness (UNT)	11/14/15, 08/31/16			 As of 11/15/15

3.5 UNTHSC: Design outcomes & experiences that deliver value and extraordinary service to others (UNTHSC) (07/31/18)

Measure: Target: Actual: Status:

As of 11/05/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
3.5.1 Create a customer service culture (UNTHSC)	11/05/15, 07/31/18			 As of 11/05/15
3.5.2 Operationalize Patient Safety Institute (UNTHSC)	11/05/15, 07/31/18			 As of 11/05/15

3.6 UNTD: Active Learning: Every student graduates with one or more of these experiential credentials: a paid internship; a demanding research effort; a scholarly work-related project; extensive service learning participation (UNT Dallas) (07/31/20)

Measure: Target: Actual: Status:

As of 11/14/15

3.7 UNTD: Demonstrated Competencies: All graduates demonstrate outstanding oral and written communication skills; strong critical thinking and analytical abilities; ethical decision making; ability to work well with others. (UNT Dallas) (07/31/20)

Measure: Target: Actual: Status:

As of 11/14/15

3.8 UNTD: Pathway to Social and Economic Mobility: Become a national leader in producing graduates who make better than expected earnings after graduation. (UNT Dallas) (07/31/20)

Measure: Target: Actual: Status:

As of 11/14/15

4 Develop the fullest potential of every team member

4.1 UNTS: Establish a culture of employee engagement, assessment and satisfaction (UNT System) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
4.1.1 Strengthen training programs for managers and leaders to encourage greater use of team-based work projects. (UNT System)	11/05/15, 07/31/20			 As of 11/15/15
4.1.2 Regularly assess employee satisfaction and incorporate findings into all evaluations of administrators. (UNT System)	11/05/15, 07/31/20			 As of 11/15/15

4.2 UNTS: Become a "Best Place to Work" (UNT System) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
4.2.1 Select an externally sponsored Best Place to Work program and become recognized. (UNT System)	11/10/15, 07/31/20			 As of 11/15/15

4.3 UNT: Recruit, retain, develop and support an outstanding team of faculty and staff (UNT) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
4.3.1 Improve mentoring, training and career development support for staff (UNT)	11/05/15, 08/31/16			 As of 11/15/15
4.3.2 Expand mentoring and networking support for existing and new faculty (UNT)	11/05/15, 08/31/16			 As of 11/15/15
4.3.3 Ensure robust academic leadership structure (UNT)	11/05/15, 08/31/16			 As of 11/15/15

4.4 UNT: Develop a common sense of purpose based on best practices (UNT) (07/31/20)

Measure: Target: Actual: Status:

 As of 11/14/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
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4.4.1 Hold VP-led town hall and spring planning implementation sessions to develop a shared sense of key learning, research, identity and university community pride goals (UNT)	11/14/15, 08/31/16			 As of 11/15/15
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4.5 UNTHSC: Build culture based on values (UNTHSC) (07/31/18)

Measure:

Target:

Actual:

Status:



As of 11/05/15

Unit Goals and Department Goals	Start Date, End Date	Target Measure	Actual	Status
4.5.1 Create best places to work environment (UNTHSC)	11/02/15, 07/31/18			 As of 11/05/15
4.5.2 Create leadership institute (UNTHSC)	11/02/15, 07/31/18			 As of 11/05/15

4.6 UNTD: Plan carefully, execute quickly (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/15/15

4.7 UNTD: Practice inter-professional cooperation and respect (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/15/15

4.8 UNTD: Provide excellent, student-centered customer service (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/15/15

4.9 UNTD: Communicate actively (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/15/15

4.10 UNTD: Establish traditions (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/15/15

4.11 UNTD: Serve different constituencies equally well (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/15/15

4.12 UNTD: Be known for service learning in our community (UNT Dallas) (07/31/20)

Measure:

Target:

Actual:

Status:



As of 11/15/15

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



UNT | SYSTEM™

MINUTES

BOARD OF REGENTS Audit Committee August 27-28, 2015

Thursday, August 27, 2015

The Audit Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 27, 2015 in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following members in attendance: Regents Steve Mitchell, Don Potts, Rusty Reid, and Al Silva.

There being a quorum present, the meeting was called to order by Committee Chairman Mitchell at 3:18 pm. The minutes of the May 21-22 and July 31, 2015 Audit Committee meetings were approved on a 4-0 vote following a motion by Regent Potts and seconded by Regent Reid.

Interim Chief Internal Auditor, Steve Goodson delivered the **Internal Audit Report of Audit Activities, August 2015**.

There being no further business, the Committee meeting recessed at 3:22 pm until the following day.

Friday, August 28, 2015

The Audit Committee of the Board of Regents of the University of North Texas System convened on Friday, August 28, 2015 in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following members in attendance: Regents Steve Mitchell, Don Potts, Rusty Reid, and Al Silva.

There being a quorum present, the meeting was called to order by Committee Chairman Mitchell at 9:31 am.

Steve Hill, UNT System Compliance Officer and Ann Long, Chief Compliance and Enterprise Risk Management Officer, UNTHSC, presented the action item to the Board for approval.

28. UNTS

FY16 UNT System Compliance Risk Assessment and Work Plan

Pursuant to a motion by Regent Al Silva and seconded by Regent Rusty Reid, the Committee approved the above item on a 4-0 vote.

Chair Mitchell noted that the Committee had received one background report:

- **UNTS Consolidated Quarterly Compliance Report March 2015 through May 2015**

There being no further business, the Committee meeting adjourned at 10:39 am.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: Nov 13, 2015

**Internal Audit
Report of Audit Activities
November 2015**

Tracy C. Grunig, MPA, CISSP, CISA, CFE
Chief Audit Executive

Activities reflected within are as of October 28, 2015

Completed Projects and Audit Reports Issued

System

- FY 2014 Investments Audit

UNT

- UNT Facilities Certification Review
- UNT International Cash Loss Investigation
- Student-Managed Investment Fund Review
- Cancer Prevention and Research Institute of Texas (CPRIT)
- FY 2014 Investments Audit

UNTHSC

- Cancer Prevention and Research Institute of Texas (CPRIT)
- FY 2014 Investments Audit

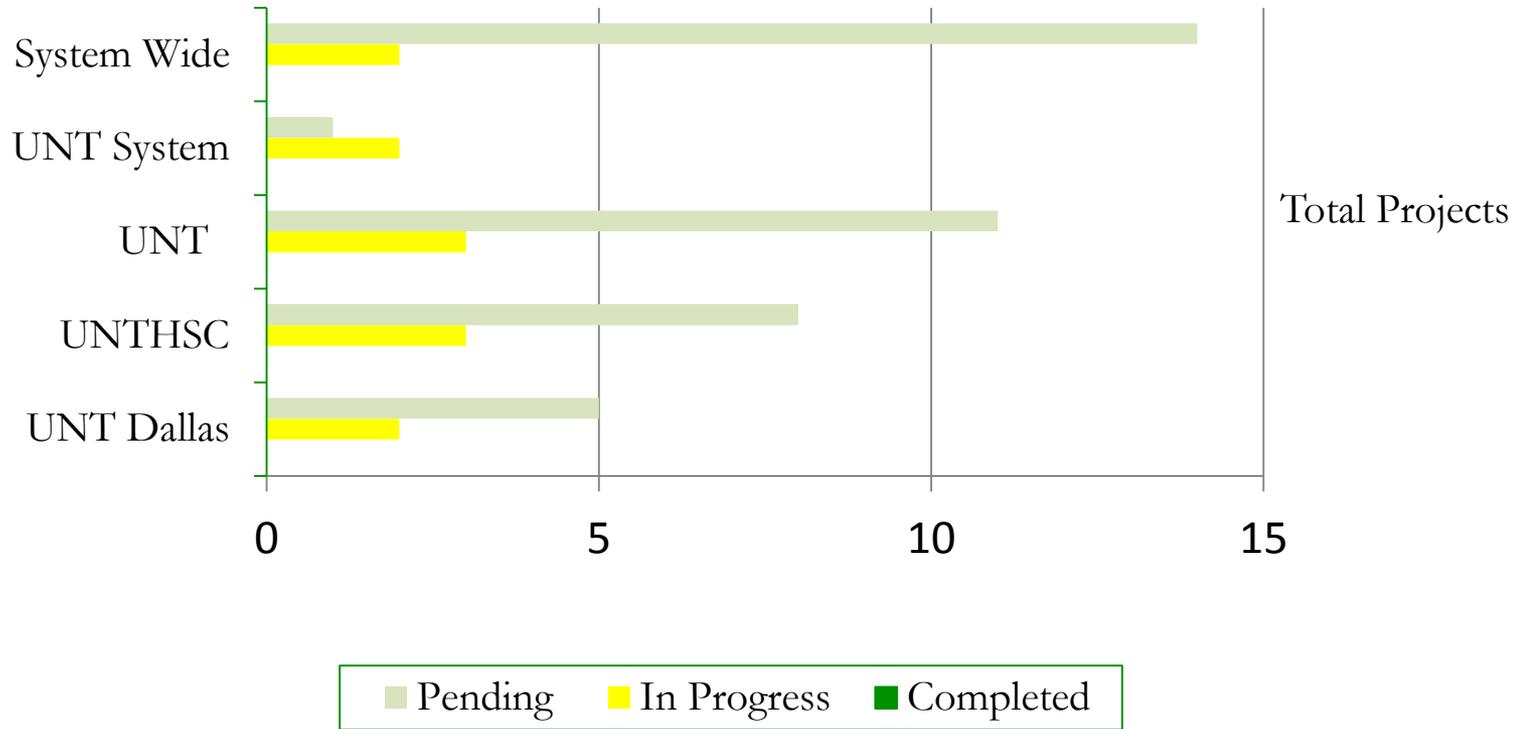
UNT Dallas

- FY 2014 Investments Audit

Integrity Unit Update

- Actively addressing open complaints & concerns
- Progressed in implementing Integrity Helpline
- Hired two Senior Internal Auditor-Investigators
- Completed presentations
 - Integrity Unit Overview-UNT Division of Student Affairs
 - Interviewing-UNT Division of Student Affairs
 - Developing a Forensic Group-UNT Student Organization Meeting

Fiscal Year 2016 Audit Plan Progress



Kudos & Value Added Activities

Kudos

- Fiscal Year 2015 Annual Report

Accomplishments

- New Employees
 - Sheba Joyner, Senior Director, UNT System & UNTHSC
 - Carla Patroliia, Senior Internal Auditor, UNT System & UNTHSC
 - B.J. Lott, Senior Internal Auditor-Investigator, Integrity Unit
 - Chad Ramsey, Senior Internal Auditor-Investigator, Integrity Unit

In-Process

- Integrity Unit
 - Integrity Helpline implementation
- Information Technology
 - Recruiting for Continuous Auditor
 - Audits in progress: IT Security Governance & PeopleSoft Implementation
- UNT & UNT Dallas
 - Recruiting for Senior Internal Auditor & Internal Audit Associate
- UNT System & UNTHSC
 - Recruiting for Senior Internal Auditor

Financial Transformation Verification

The 54 items identified by the Financial Oversight Task Force are either complete or in various stages of completion at this time. Internal Audit has been tasked to verify implementation of the remedial items.

Management asserts additional items have been completed but Internal Audit has not yet verified as complete.

	Verified as Complete by Internal Audit	In-Process	Total Remedial Items
54 Remedial Items Identified by Task Force	27	27	54

UNT System Recommendation Completed this Quarter

Report No.	Report Name	Number of Recommendations
High		
1525 SYS	Cell Phone Taxability	1

System Administration Open Recommendations

Report No.	Report Name	Open Recommendations	Number of Months Past Due	Revised Expected Implementation Date
High				
14-010	Bank Account Authorization Review	2	15	January 31, 2016
Moderate				
14-010	Bank Account Authorization Review	1	15	January 31, 2016
14-002	Fiscal Year 2013 Investments Review	1	11	December 31, 2015
Low				
1505 SYS	Fiscal Year 2014 Investments Review	1	0	December 1, 2015
1505 UNT	Fiscal Year 2014 Investments Review	1	0	November 20, 2015

UNT Recommendations Completed this Quarter

Report No.	Report Name	Number of Recommendations
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High

14-001	NCAA Agreed Upon Procedures	1
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Low

14-001	NCAA Agreed Upon Procedures	1
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UNT Open Recommendations

Report No.	Report Name	Open Recommendations	Number of Months Past Due	Revised Expected Implementation Date
High				
14-023	Adjusting Journal Entry Investigation	5	14	TBD
Moderate				
12-021	Employment Waiver Review	1	26	December 31, 2015
Low				
12-024	Student Worker Review	2	25	March 31, 2016

UNTHSC Recommendations Completed this Quarter

Report No.	Report Name	Number of Recommendations
High		
13-005	UNT Health Revenue Cycle Back Office Review	2

UNTHSC Open Recommendations

Report No.	Report Name	Open Recommendations	Number of Months Past Due	Revised Expected Implementation Date
Low				
09-011	Advancement Office Follow-Up Review	2	35	December 30, 2015

Questions?

Tracy C. Grunig, MPA, CISSP, CISA, CFE
Chief Audit Executive
940.565.2355

**Internal Audit
Report of Audit Activities
November 2015**

Background Information

Fiscal Year 2016 Audit Plan Status

Legend
Completed
In Progress
Planned
On Going

Required Audits	System-Wide Risk Based Audits
Chancellor's Expenditure Review	Investigations
System Benefits Proportionality Review	Management Requests and Emerging Risks
System Investments Review	Audit Recommendation Follow-up
UNT President's Expenditure Review	Financial Transformation Implementation Assurance
UNT Investments Review	Advisory: FY 15 External Audit Coordination and Assistance
UNT Student-Managed Investment Fund Review	Time & Labor Audit
UNT Benefits Proportionality Review	Selected Contact Review (1 of 2)
UNT Cancer Prevention Research Institute of TX Program	Selected Contact Review (2 of 2)
UNT HSC President's Expenditure Review	Risk Based Continuous Audits
UNT HSC Investments Review	Accounts Payable
UNT HSC Family Medicine Residency Program Review	Payroll
UNT HSC Joint Admission Medical Program Review (JAMP)	Journal Entry
UNT HSC Cancer Prevention Research Institute of TX Program	Task Payments
UNT HSC HRSA Loan Programs	Information Technology Risk Based Audits
UNT HSC Benefits Proportionality Review	Security Governance
UNT Dallas President's Expenditure Review	Privacy and Data Protection
UNT Dallas Investments Review	Change Management
UNT Dallas Benefits Proportionality Review	Advisory: PeopleSoft Implementation
Component Risk Based Audits	Advisory: Hyperion Implementation
UNT Unit Specific Management Control Review (1 of 4)	Affordable Care Act Implementation
UNT Unit Specific Management Control Review (2 of 4)	PCI Data Security Overview
UNT Unrelated Business Income Tax (UBIT)	Outsourced Risk Based Audits
UNT Selected Scholarships Review	UNT Grants Management Process Review
UNT International Travel Process Review	Selected Policies Review
UNT Selected Student Fees Review	UNT Endowments
UNT HSC Unit Specific Management Control Review (3 of 4)	UNT HSC Endowments
UNT HSC Financial Review of HSC Reserves	UNT Dallas Endowments
UNT Dallas Unit Specific Management Control Review (4 of 4)	UNT Selected Grants Reviews
UNT Dallas Enrollment Management and Planning	UNT HSC Selected Grants Reviews
UNT Dallas Federal Financial Aid Review	

System Administration

Management Action Status Summary

Post Audit Review Status Report

University of North Texas System

As of October 28, 2015

14-010 4/14/2014 **Bank Account Authorization Review**

High Level Objective: The objective of this review was to determine the timeliness of the removal of signature authority on UNT System, UNT, UNT Health Science Center, and UNT Dallas bank accounts.

Observations and Recommendations:

Removal of Employees from Bank Accounts – The removal of signatory authority access for terminating employees from University bank accounts was not completed timely.

Recommended actions for the Vice Chancellor for Finance:

4. 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.

Risk Level: High

Impact

Response

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.

Expected Implementation Date: Interim process and policies May 1, 2014 and permanent process and policies July 1, 2014

Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury

Months Past Due 15

Implementation

In Process, Partially Implemented.

We commend management for swiftly addressing the control issues identified in this observation by immediately implementing an interim policy. Internal Audit will consider this recommendation to be fully implemented when the interim policy has been adopted as final formal policy.

Revised Implementation Date: January 31, 2016

Observations and Recommendations:

Check Signatory Policy – A policy has not been established requiring executive level approval of checks exceeding a set monetary threshold.

Recommended actions for the Vice Chancellor for Finance:

1. Create a formal UNT System regulation or policy requiring executive level review and signature of checks for all transactions exceeding an established dollar threshold.

Risk Level: High

Impact

Response

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.

Expected Implementation Date: Interim policy April 16, 2014 and permanent policy July 1, 2014

Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury

Months Past Due 15

Implementation

In Process, Partially Implemented.

We commend management for swiftly addressing the control issues identified in this observation by immediately implementing an interim policy. Internal Audit will consider this recommendation to be fully implemented when the interim policy has been adopted as final formal policy.

Revised Implementation Date: January 31, 2016

High Level Objective:

Observations and Recommendations:

In calendar year 2011, the tax treatment for employee cell phone allowances and cell phone purchase reimbursements was changed entity-wide to a non-taxable allowance. However, procedures have not been established requiring documentation to ensure that the cell phone expense reimbursements do not exceed the employee's actual business expense and the reimbursement is provided for the IRS required business purposes. The current cell phone allowance policies are not consistent with the current tax-treatment and practices, and need to be revised.

We recommend that all components review the current tax treatment practice for cell phone allowances and cell phone purchase reimbursements, and update the cell phone policies according to IRS guidelines. Additionally, determine if W-2 corrections are necessary for the time frame that cell phone allowances and cell phone purchase reimbursements were processed as non-taxable.

Risk Level:

High

Impact

Implementation will assist in assuring compliance with IRS regulations.

Response

Party responsible for implementation: Joey Saxon, Senior Director Business Support Services

Planned Implementation Date: August 31, 2015

Implementation

Fully Implemented.

Months Past Due

0

High Level Objective: The objective of this review was to determine the timeliness of the removal of signature authority on UNT System, UNT, UNT Health Science Center, and UNT Dallas bank accounts.

Observations and Recommendations:

Signature Card Management – The Office of Financial Reporting & Operations discovered a university bank account which was being maintained at the department-level.

Recommended action for the Vice Chancellor for Finance:

6. Develop a UNT System policy that documents the authority and requirements to establish, maintain, update, and close bank accounts, which includes:

- 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.

Risk Level:

Moderate

Impact

Response

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.

Expected Implementation Date: July 1, 2014

Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury

Implementation

In Process, Partially Implemented.
A policy has been developed. It is awaiting final approval.
Revised Implementation Date: January 31, 2016

Months Past Due

15

High Level Objective:

The objective was to perform a compliance review of management controls over investing activities as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and Public Funds Investment Act (PFIA) including State Auditor's Office (SAO) Article III, Rider 5 reporting requirements.

Observations and Recommendations:

A report of investment performance over the course of the year was not submitted to the Board of Regents at its first regularly scheduled board meeting following the end of the fiscal year as required by System Regulation 08.2000.

4. At the end of each fiscal year, prepare and submit a report of investment performance for the year to the UNT System Board of Regents at its first regularly scheduled board meeting following the end of the fiscal year.

Impact

Implementation will assure compliance with UNT System Regulation, 08.2000.

Response

UNT System Response: Agree. Submit a report of investment performance at the Board of Regents first regularly scheduled board meeting following the end of the fiscal year.

Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury

Planned Implementation Date: November 30, 2014

Implementation

In Process, Partially Implemented.

The Annual Investment Report is due December 31st of each year. When a board meeting is held between September 1st and December 31st, we will always be out of compliance with this section of the policy. We need to change the language in the policy as follows, "12.c. Annual Report. At the end of each fiscal year, the System will prepare a report of investment performance for the year and submit it to the Board of Regents at its first regularly scheduled board meeting following the end of the calendar year." The policy is expected to be revised before the start of the next fiscal year.

Revised Implementation Date: December 31, 2015

Risk Level:

Moderate

Months Past Due

11

High Level Objective:

The objective was to perform a compliance audit of management controls over investing activities as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and Public Funds Investment Act (PFIA) including State Auditor's Office (SAO) Article III, Rider 5 reporting requirements.

Observations and Recommendations:

Compliance with System Policy Requirements – Based on Internal Audit's detail review of investment information reported for period ending May 31, 2014, the resulting recalculation of short term and long term investment percentages for UNT System based on market values were 50.6% and 49.4% respectively. These percentage investment results were not within establish Board approved investment percentage range requirements for short and long term investments.

Per UNT System policy 08.2000 the range for short term investments is to be at least 55% but not more than 75%. For long term investments the percentage range is to be at least 25% but not more than 45%.

We recommend the Vice Chancellor for Finance;

1. 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 potential actual investment needs of the UNT System and its institutions.

Impact

Response

System Regulation 08.2000 is already under review for potential revisions, including appropriate percentage ranges for each investment pool. In addition, the increased professional staffing in Treasury will allow for improved compliance with the current and future versions of the regulation.

Review of System Regulation 08.2000 to determine if modification is needed and resulting Board Order, if so.

Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury

Planned Implementation Date: December 01, 2015

Implementation

In Process.

Expected Implementation Date: December 01, 2015

Risk Level:

Low

Months Past Due

0

High Level Objective: The objective was to perform a compliance audit of management controls over investing activities as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and Public Funds Investment Act (PFIA) including State Auditor's Office (SAO) Article III, Rider 5 reporting requirements.

Observations and Recommendations:

Impact

Response

Implementation

Accuracy of Quarterly Investment Report - The book and market value amounts reported in the Total Cash and Investment Amounts section on the UNT Quarterly Investment Report for the period ending May 31, 2014, were not accurate.

We recommend the Vice Chancellor for Finance;

1. Implement a review process of the UNT Quarterly Investment Reports to assure the accuracy of information prior to the issuance of the quarterly report to the Board of Regents and posting of the report on the institution's investment disclosure website.

It is imperative that information reported by Finance be complete and accurate.
Implement a review process of investment reporting prior to issuance to the Board or posting to the public

Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury

Planned Implementation Date: November 20, 2015

In Process

Expected Implementation Date: November 20, 2015

Risk Level:

Low

Months Past Due

0

University of North Texas

Management Action Status Summary

Post Audit Review Status Report

University of North Texas

As of October 28, 2015

14-001 1/15/2014 **NCAA Agreed Upon Procedures**

High Level Objective: Perform Agreed Upon Procedures review in accordance with NCAA Bylaws.

Observations and Recommendations:

Impact

Response

Implementation

Other Findings - Journal Template Entries

It was noted during the course of the review that all journal template entries booked by the any UNT department, including the Athletic Department, are booked on the general ledger without inclusion and review of supporting documentation by Financial Reporting. The current process of booking journal entries is for an employee to submit a journal template to Financial Reporting for review that consists of an account type match and a budget check. It is expected that the department has and maintains the supporting documentation for every journal template entry submitted. Lack of review of supporting documentation can result in inappropriate, inaccurate journal entries and/or errors and discrepancies going undetected.

We recommend that Financial Reporting develop a written standard for journal entry documentation and review the supporting documentation for journal entries

Implementation will assist in assuring journal entries are accurate appropriate, and adequately supported.

The Controller's Office and Financial Reporting are developing a written standard for journal entry documentation that will require all submitted journals with line item amounts \$5K and above to include appropriate supporting documentation that fully explains the journal being booked to the system.

Supporting documentation for journals with line item amounts less than \$5,000 will continue to be retained within the originating department in accordance with UNT's Records Management and Retention policy 10.10. This will require a culture change throughout campus and numerous training sessions.

Party responsible for implementation: Bob Brown, Vice President for Finance and Administration

Planned Implementation Date: June 1, 2014

Fully Implemented.

Risk Level:

High

Months Past Due

16

High Level Objective:

Observations and Recommendations:

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.

Recommendations for the Acting UNT Vice President for Finance and Administration:

1. Develop and document a UNT Allowance for Doubtful Accounts Policy, based on historical receivable information, to establish guidelines for accurately estimating uncollectible amounts.

Risk Level:

High

Impact

Response

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.

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.

Party responsible for implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting

Planned Implementation Date: August 31, 2014

Months Past Due

14

Implementation

Internal Audit is discussing implementation status with management. A revised implementation date is forthcoming.

Revised Implementation Date: TBD

Observations and Recommendations:

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.

Recommendations for the Acting UNT Vice President for Finance and Administration:

4. Periodically evaluate receivables to determine their collectability.

Risk Level:

High

Impact

Response

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.

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.

Party responsible for implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting

Planned Implementation Date: August 31, 2014

Months Past Due

14

Implementation

Internal Audit is discussing implementation status with management. A revised implementation date is forthcoming.

Expected Implementation Date: TBD

Observations and Recommendations:

Impact

Response

Implementation

Inappropriate Management Review – The UNT Financial Reporting & Operations Department does not require an escalation of review and approval based on a monetary threshold or for unusual or non-recurrent transactions. Failure to require an appropriate level of management to review all journal entries that are unusual, over a specified monetary threshold or non-recurrent increases the risk of error and/or fraud.

Recommendation for the UNT System Interim Chief Financial Officer:

10. Develop and document a System-wide policy for processing journal entries that includes an escalated approval process for transactions above a pre-determined monetary threshold. Transactions over a specified monetary threshold should require executive level review and approval.

UNT/UNTS will develop an appropriate improved Journal Entry Policy, including documentation requirements, segregation of duties, and an escalation approval process for transactions based on a pre-determined threshold. Implementation of new policy controls and any corrective actions will be completed by August 31, 2014. While a comprehensive policy is under development, directives from the UNTS CFO will be provided to the UNTS components outlining requirements that all journal entries be properly evidenced with supporting documentation, approved by an individual with appropriate institutional authority, reviewed by the Financial Reporting & Operation Offices, and approved by an executive level for a specified monetary threshold. Further, UNT will perform an assessment of resources needed to address the recommendation that all journal entries be reviewed by the Financial Reporting & Operations Office and any need for additional personnel resources will be evaluated.

In support of these procedure and policy improvements, UNT will begin an assessment in collaboration with UNT System Information Technology Shared Services to Implement PeopleSoft Journal Entry (JE) review and approval functionality. To strengthen the control environment, journal entry training sessions will be held for the UNT Financial Reporting & Operations Department to address the new directives and outline compliance with GAAP. These steps to improve the journal entry process will be in place by August 31, 2014.

Party responsible for implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting

Planned Implementation Date: August 31, 2014

Internal Audit is discussing implementation status with management. A revised implementation date is forthcoming.

Revised Implementation Date: TBD

Risk Level:

High

Months Past Due

14

High Level Objective:

Observations and Recommendations:

Ineffective Reconciliation Processes – The UNT Financial Reporting & Operations Department does not maintain adequate account reconciliation definition schedules, reconciliation processes, or policies regarding reconciliation preparation, review, and approval. Key to an effective reconciliation process is timely review and resolution of reconciling items.

The majority of the line items on the adjusting journal entry related to unresolved reconciling differences dated prior to September 1, 2010 that remained unresolved at the time of the issuance of this report. Bank and account reconciliations are detective controls and are crucial elements of the internal control structure. Failure to resolve differences identified in the reconciliation process in a timely manner increases the risk of error and fraud.

Recommendations for the UNT System Interim Chief Financial Officer:

11. Create System-wide Policies and develop procedures related to account reconciliations and write-off timelines for unresolved reconciling items.

Risk Level:

High

Impact

Response

To ensure reconciliations are comprehensive and fully address unresolved transactions, UNT/UNTS will put in place a standardized reconciliation procedure and template. UNT/UNTS will also develop a formal Account Reconciliation Policy and initiate the necessary training of all affected employees. This new Policy will be in place by August 31, 2014, and a training program will be created and put on place by November 2014, to ensure that future reconciliations will occur timely and in accordance with accepted standards. UNT/UNTS will immediately begin corrective actions necessary to resolve any identified reconciliation discrepancies from past years that have not been addressed. It is anticipated that all reconciliations will be brought current and fully addressed by November 2014.

Party responsible for implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting

Planned Implementation Date: November 2014

Months Past Due

11

Implementation

In Process, Partially Implemented.

A policy has been developed related to account reconciliations. Internal Audit is coordinating with management to obtain documented write-off timelines.

Revised Implementation Date: TBD

Observations and Recommendations:

Ineffective Reconciliation Processes – The UNT Financial Reporting & Operations Department does not maintain adequate account reconciliation definition schedules, reconciliation processes, or policies regarding reconciliation preparation, review, and approval. Key to an effective reconciliation process is timely review and resolution of reconciling items.

The majority of the line items on the adjusting journal entry related to unresolved reconciling differences dated prior to September 1, 2010 that remained unresolved at the time of the issuance of this report. Bank and account reconciliations are detective controls and are crucial elements of the internal control structure. Failure to resolve differences identified in the reconciliation process in a timely manner increases the risk of error and fraud.

Recommendations for the UNT System Interim Chief Financial Officer:

13. Institute an effective review process of all differences identified in the reconciliation process. This process should require the reviewer to

Impact

Response

To ensure reconciliations are comprehensive and fully address unresolved transactions, UNT/UNTS will put in place a standardized reconciliation procedure and template. UNT/UNTS will also develop a formal Account Reconciliation Policy and initiate the necessary training of all affected employees. This new Policy will be in place by August 31, 2014, and a training program will be created and put on place by November 2014, to ensure that future reconciliations will occur timely and in accordance with accepted standards. UNT/UNTS will immediately begin corrective actions necessary to resolve any identified reconciliation discrepancies from past years that have not been addressed. It is anticipated that all reconciliations will be brought current and fully addressed by November 2014.

Party responsible for implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting

Planned Implementation Date: November 2014

Implementation

In Process, Partially Implemented.

Management has put a process in place to review all differences identified in reconciliation process. Internal Audit is testing to evaluate the effectiveness of the reconciliation process as required by the recommendation.

Expected Implementation Date: TBD

immediately research and follow up on the nature of the difference and elevate the issue to the appropriate level of upper management. In addition, differences identified to-date should be immediately evaluated as to the reason and amount to determine if potential write-off of those items is appropriate.

Risk Level:

High

Months Past Due

11

12-021 3/22/2013 **Employment Waiver Review**

High Level Objective: The objective was to review the process for awarding Employment Waivers.

Observations and Recommendations:

There is not sufficient, independent review and approval of Employment Waivers prior to processing.

5. Either comply with UNT Policy 2.2.10 by requiring approval by the dean of the graduate school or revise the policy to reflect the actual process for awarding Employment Waivers.

Impact

Implementation will provide assurance that Employment Waivers receive proper review, are awarded in accordance with TEC 54.212.

Response

Change wording of the Section 2.2.10 of the UNT Policy Manual to reflect the Employment Waiver must be signed by dean of the graduate school or "her or his designee."

Change Employment Waiver form to include three questions to help programs determine eligibility.

Change Employment Waiver form to include graduate dean's signature.

Change processing procedure to require graduate dean's signature prior to final approval by Student Accounting

Planned Implementation Date: August 1, 2013

Implementation

In Process, Partially Implemented.

The policy has been drafted and is currently being reviewed.

Revised Implementation Date: December 31, 2015

Risk Level:

Moderate

Months Past Due

26

12-024 10/3/2012 **Student Worker Review**

High Level Objective: The objectives were to:

1. Review positions which require student enrollment and test positions held in Fall 2011 to ensure that employees were enrolled in classes, and
2. Review student's class and work schedules in the Federal Work Study (FWS) program to determine if students worked during scheduled class times which is prohibited by FWS guidelines.

Observations and Recommendations:

Internal Audit identified five UNT policies related to student employment that require enrollment; however, not all policies contain the same enrollment requirements.

2. 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.

3. 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.

Impact

Maintaining the least and most consistent policies related to student employment could reduce the confusion for individuals processing payroll documents and subsequently lead to fewer errors in processing and employment.

Response

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.

Parties responsible for implementation:
Dan Naegeli, Senior Director, Career & Leadership Development

Planned Implementation Date: September 1, 2013

Implementation

In Process, Partially Implemented.

Policy changes are currently in process.

Revised implementation date is March 31, 2016.

Risk Level:

Low

Months Past Due

25

High Level Objective: Perform Agreed Upon Procedures review in accordance with NCAA Bylaws.

Observations and Recommendations:

Equipment Uniforms & Supplies - Supporting Documentation for Journal Entries

During the course of the review, we noted that detailed supporting documentation for two transactions was not available. These transactions were journal entries prepared by Athletics Department staff to move an expense into one account from another. We recommend that Athletics retain detailed supporting documentation for all journal entries.

We recommend that Athletics retain detailed supporting documentation for all journal entries

Impact

Implementation will assist in assuring journal entries are accurately appropriate, and adequately supported.

Response

It is not the practice of the Athletic Department to process journal entries without proper backup documentation. To ensure in the future there are no journal entries without documentation the Athletic Department agrees to do the following:

1. Require documentation review on all transactions with spot department checks.
2. The Athletic Department will follow the policy set by Financial Reporting for journal entry documentation.

Party responsible for implementation: Mike Ashbaugh, Troy Taylor

Planned Implementation Date: Immediately

Implementation

Fully Implemented.

Risk Level:

Low

Months Past Due

20

Health Science Center

Management Action Status Summary

Post Audit Review Status Report

University of North Texas Health Science Center

As of October 28, 2015

13-005 7/22/2013 **UNT Health Revenue Cycle Back Office Review**

High Level Objective: The objective was to evaluate back office billing functions including accounts receivable, unapplied payments, credit balances, adjustments, and denials.

Observations and Recommendations:

UNT Health has \$1.2 million of unapplied payments: 88% of these payments are over one year old.

1. Develop and implement a plan for reviewing and disposing of all unapplied payments including when a payment should be returned to payer.

Impact

Implementation will ensure charges are properly posted to patient accounts and overpayments are identified and refunded in a timely manner.

Response

Management agrees and will implement the following:

1. *Revise Refund Policy to establish clearly defined time frames for resolving and refunding unapplied payments. The policy will consider types of deposits, for example co-pays pending insurance adjudication, payments for OB delivery, payments for long term treatments and will set deadlines based on insurance adjudication.*
2. *An additional Business Office Account Representative has been dedicated to resolution of unapplied payments on a permanent basis.*
3. *Nextgen EPM provides daily reports of unapplied payments for monitoring.*
4. *New Assistant Director, Patient Accounts, position has been created and filled to ensure that the unapplied payments are monitored through Nextgen reporting capabilities and to ensure that all are resolved or refunded within guidelines of revised Refund Policy.*
5. *Monthly Nextgen Reports will be developed to detail all unapplied payments over 60 days from date of payment. Payments over 60 days will be explained and monitored for resolution as soon as treatment and insurance adjudication complete.*

Party Responsible for Implementation: Karen Cruz, Controller and Executive Director of Financial Reporting
Barbara Tucker, Director, Patient Accounts

Expected Implementation Date: Prepayments in the Signature system will be completely resolved by Dec 31, 2013.

Implementation

Fully Implemented.

Risk Level: High

Months Past Due 22

Observations and Recommendations:

UNT Health has credit balances totaling \$480,322: 68% of the balances are more than one year old.

5. Develop and implement a plan for reviewing and disposing of all credit balances, including when a balance should be returned to payer.

Impact

Implementation will provide assurance that overpayments are identified and refunded in a timely manner.

Response

Management agrees and will implement the following:

1. *Revise Refund Policy to establish clearly defined timeframes and clearly defined requirements for resolving and/or refunding credit balances.*
2. *Two Business Office Account Representatives will be dedicated to the credit balances in addition to the Business Office Account Representative already dedicated to the unapplied payments.*
3. *Nextgen Credit Balance reports will be developed to detail the payer, date of payment and balance of account and will be produced monthly.*
4. *Assistant Director, Patient Accounts, will monitor the credit balance report and the production and progress of the Business Office Account Representatives with the assistance of the Patient Services Supervisor.*
5. *A new process for handling unclaimed money has been developed with the assistance of UNTHSC Accounting. UNT Health will transfer*

Implementation

Fully Implemented.

the unclaimed money to an account held by the UNTHSC Accounting Department. The money will be held in that account for the required three years which will relieve the Unhealthy Business Office of the required holding period.

Party Responsible for Implementation: Karen Cruz, Controller and Executive Director of Financial Reporting
Barbara Tucker, Director, Patient Accounts

Expected Implementation Date: Credits balances will be completely resolved in Signature system by December 31, 2013.

Risk Level: **High**

Months Past Due 22

09-011 4/21/2009 **Advancement Office Follow-Up Review**
 High Level Objective: Objectives of the review were to evaluate the actions taken in response to recommendations reported in Audit No. 07-012, Advancement Office Review.

Observations and Recommendations:

Impact

Response

Implementation

The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.

6. 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.

7. Distribute or make available the reaffirmed agreement to stakeholders including Center administrators, Advancement Office employees, and the Foundation Board of Directors.

Implementation will provide assurance that the agreement meets legal, fiscal, and administrative requirements, and is distributed to those primarily responsible for contract compliance.

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.

Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement

Planned Implementation Date: November 30, 2012 *Revised

In Process, Partially Implemented.
 Management is currently working with OGC on finalizing the agreement.
 Revised Implementation Date: December 30, 2015

Risk Level: **Low**

Months Past Due 35

UNT Dallas

Management Action Status Summary

All recommendations are complete at this time.



Background Report

Committee: Audit

Date Filed: October 9, 2015

Title: UNT System Consolidated Annual Compliance Report, September 2014 through August 2015

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 September 1, 2014 through August 31, 2015. 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 annual 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: 2015.11.10 08:30:17 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule: N/A

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: 2015.11.06 11:37:11 -06'00'

Chief Audit Executive

Attachments Filed Electronically:

- UNT System Consolidated Annual Compliance Report,
September 2014 through August 2015

UNT | SYSTEM™

Section I. Organizational Actions

There were no significant organizational actions that affected the Compliance program for this fourth quarter reporting period (June 1 through August 31, 2015).

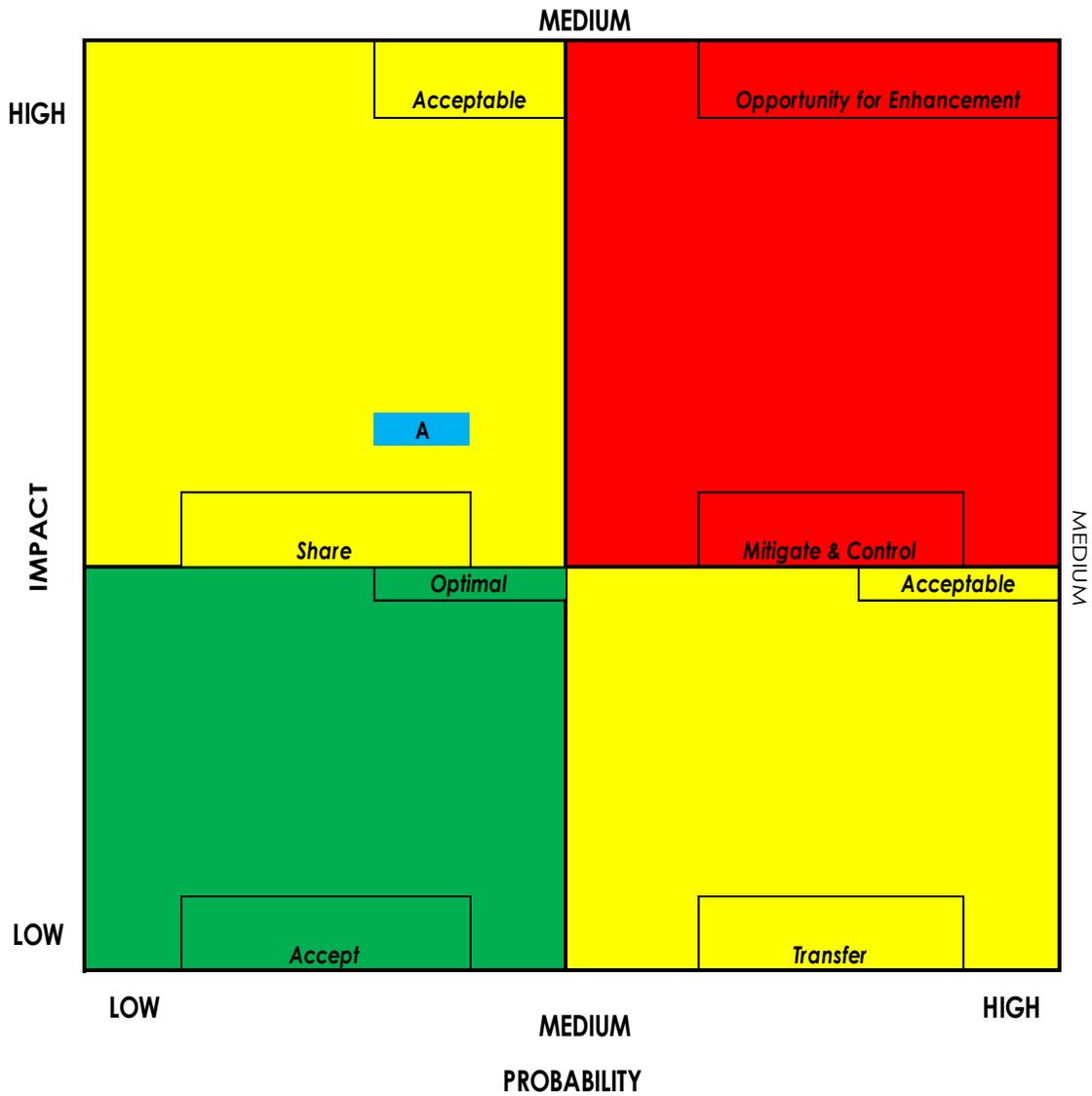
Section II. Compliance Risks

The following information represents the status of the University of North Texas System fiscal year 2015 Compliance Risks and management's efforts to implement adequate controls for the risks indicated, each risk's impact (severity) and probability (frequency) valuation, and the on-going risk mitigation strategy for each risk. The following information is provided to enhance the UNT System Board of Regent's ability to meet its compliance oversight responsibilities.

Chart #1: Reflects UNT System's "Compliance" (Statutory) Risks. This chart reflects the impact and probability of this risk and the on-going risk reduction effort that has been adopted to manage this risk.

Chart #1.

UNT System - Compliance (Statutory) Risks



		August 31, 2015		September 1, 2014	
Reference	Reference	Impact	Probability	Impact	Probability
A	E-Information Handling (TAC, ISO 27,000, HIPAA, SSN, GLB)	M	M	M	M

Highest risks appear in the top right corner of the chart.

Blue lettering indicates a risk that may be monitored permanently based on the nature of the risk, even with adequate controls in place.

Figure # 1.

Mitigate & Control (Lessens risk, sets standards, measures performance, and takes corrective action)	Requires quarterly compliance reviews by System and/or Institutional Compliance and reporting to the Board.
Share (Adequate controls in place, continued monitoring and reporting is required)	Requires quarterly monitoring and reporting.
Transfer (Adequate controls in place, but not a controlled risk)	Transfer of monitoring responsibility from System and/or Institutional Compliance to campus management.
Accept	It appears that all actions have been taken to resolve this risk, with monitoring and reporting reduced from quarterly to annually or every two years depending on the nature of the risk.

Chart #2: Reflects the same UNT System "Compliance" (Statutory) risk as the previous chart, but reflects the status of management's efforts to appropriately address this risk along with a summary of the specific on-going risk reduction effort still required.

The three categories reflected in the arrow chart below are defined as:

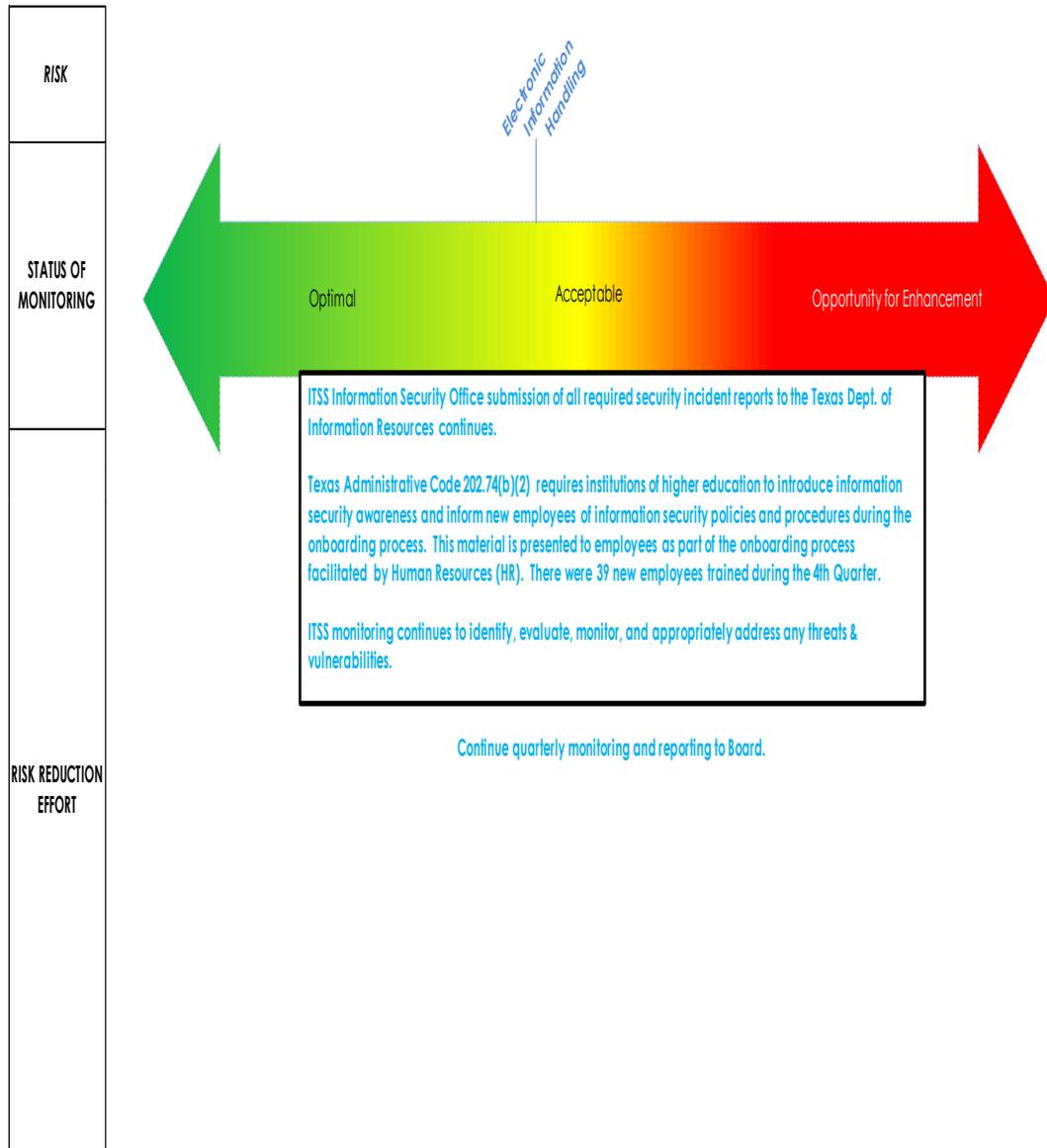
Opportunity for Enhancement indicates there are opportunities to enhance the controls in place for risks in this category, which will continue the quarterly Compliance monitoring and reporting process.

Acceptable presents two options, both options indicate that adequate controls are in place, however, **Share** recommends that quarterly Compliance monitoring and reporting continue and **Transfer** recommends that quarterly Compliance monitoring could be transferred to management for completion.

Optimal indicates that this risk is now considered to be a Controlled risk, which means that all controls appear to be in place for this risk and monitoring should be reduced from quarterly to annually or every two years, depending on the nature of the risk to ensure that adequate controls remain in place.

Chart # 2.

UNT System - Compliance (Statutory) Risks



Risk reduction effort appears immediately below the arrow directly under the risk.

Highest risks appear on the right side of the red arrow.

Blue lettering indicates a risk that may be monitored permanently based on the nature of the risk, even with adequate controls in place.

Section III. Compliance Awareness and Ethics Training

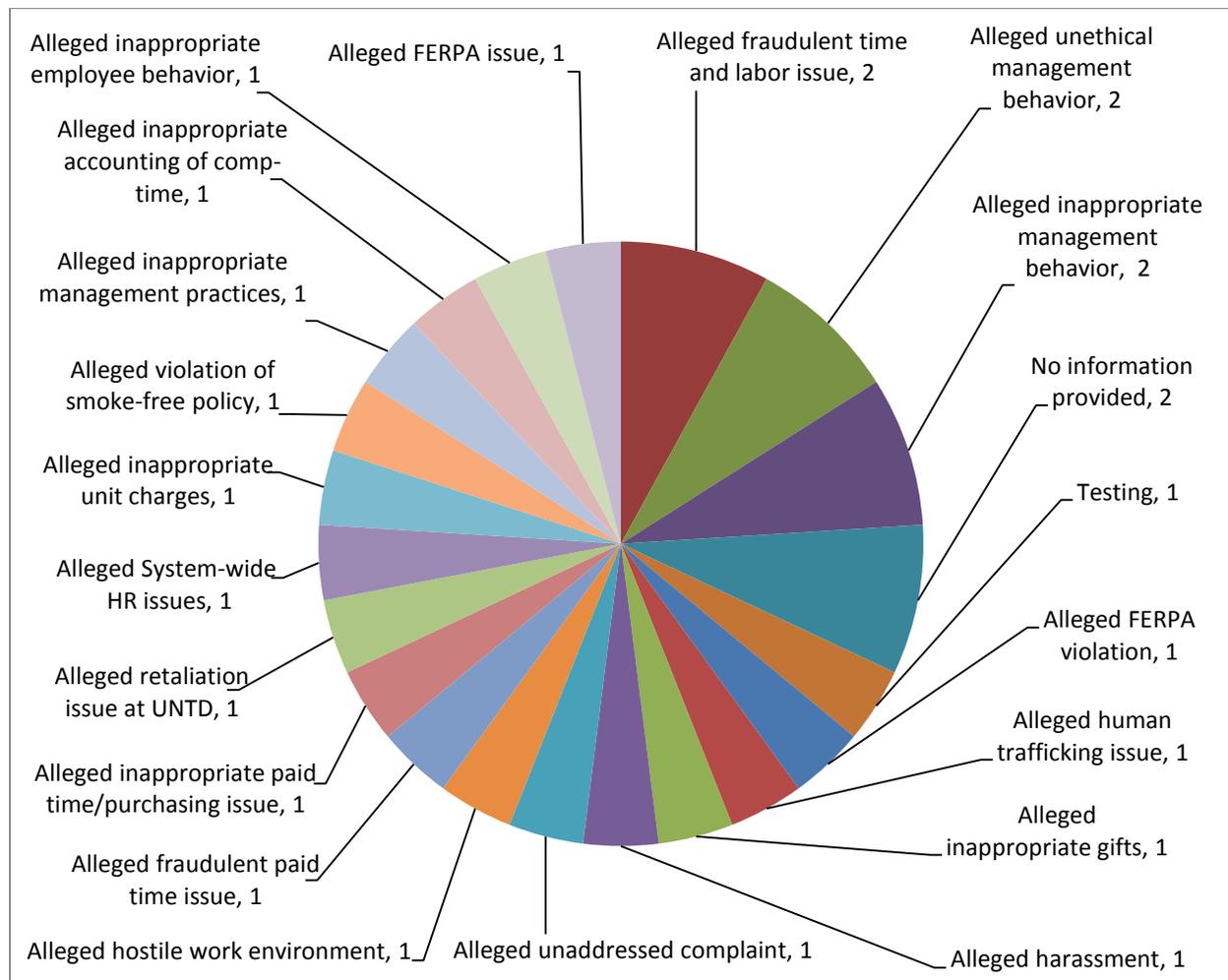
Institutional Compliance and the Office of General Counsel developed Compliance Awareness and a separate Ethics in Public Service training designed initially to be presented to financial personnel during the BSC's Financial Management Overview in September as well as to be presented web-based to all UNT System Administration, UNT, and UNT Dallas employees ongoing.

Section IV. Confidential and Other Complaint/Concern Reporting for UNT System

UNT System maintains a web-based Compliance Hotline reporting system that allows anonymous and confidential reporting as required by the U.S. Sentencing Guidelines. System and Institutional Compliance also receives complaints by telephone, email, appointment, and walk-ins.

- An analysis of the **four (4) reports** received during the **fourth quarter** by UNT System revealed the following breakdown of complaints:
 - There were **two (2) hotline reports** pertaining to an **allegation of inappropriate management behavior**. These reports are being addressed by Institutional Compliance.
 - There was **one (1) hotline report** pertaining to an **allegation of inappropriate employee behavior**. This report was addressed by Institutional Compliance.
 - There was **one (1) hotline report** pertaining to an **alleged FERPA issue**. This report is being addressed by Internal Audit.

There were **twenty-five (25) reports** received by UNT System during **fiscal year 2015** as compared to **fourteen (14) reports** during **fiscal year 2014** and are summarized below:





Section I. Organizational Actions

There were no significant organizational actions that affected the Compliance program for this fourth quarter reporting period (June 1 through August 31, 2015).

Section II. Compliance Risks

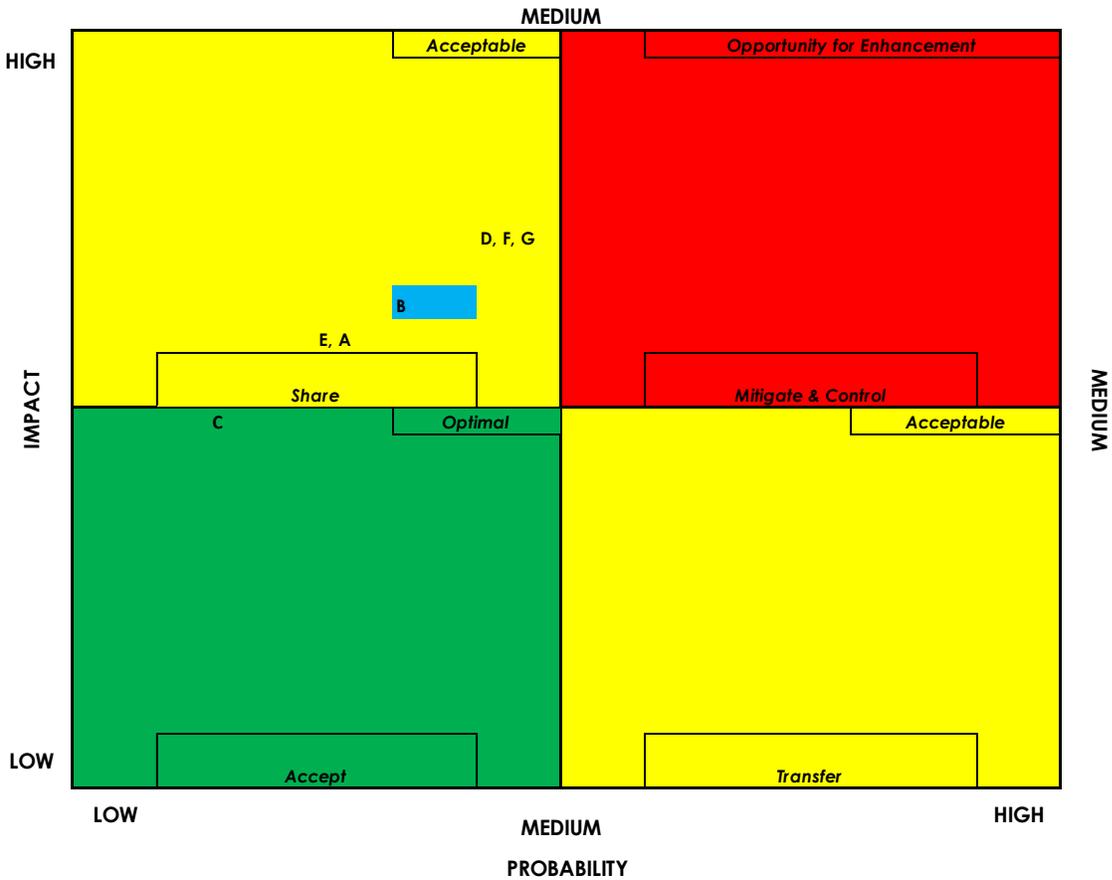
Institutional Compliance conducted a Safety and Security Audit under the risk area "Emergency Planning & Preparedness and Business Continuity" and found the program to be in compliance with Texas Education Code 51.217. The Texas Division of Emergency Management (TDEM) will be notified of the results.

The following information represents the status of the University of North Texas fiscal year 2015 Compliance Risks and management's efforts to implement adequate controls for the risks indicated, each risk's impact (severity) and probability (frequency) valuation, and the on-going risk mitigation strategy for each risk. The following information is provided to enhance the UNT System Board of Regent's ability to meet its compliance oversight responsibilities.

Chart #3: reflects UNT's "Compliance" (Statutory) Risks. This chart reflects the impact and probability of each risk and the on-going risk reduction effort that has been adopted to manage each risk.

Chart #3.

UNT - Compliance (Statutory) Risks



		August 31, 2015		September 1, 2014	
Reference	Risk	Impact	Probability	Impact	Probability
A	Lab Inspections and Follow-Up	M	M	M	M
B	E-Information Handling (TAC, ISO 27,000, HIPAA, SSN, GLB)	M	M	M	M
C	Emergency Planning & Preparedness and Business Continuity	M	L	M	L
D	Environmental Compliance	M	M	M	H
E	Radiation Safety	M	M	M	H
F	HIPAA Compliance	M	M	M	M
G	Records Mgmt & Retention	M	M	M	M

Highest risks appear in the top right corner of the chart.

Blue lettering indicates a risk that may be monitored permanently based on the nature of the risk, even with adequate controls in place.

Figure #3.

<u>Mitigate & Control</u> (Lessens risk, sets standards, measures performance, and takes corrective action)	Requires quarterly compliance reviews by System and/or Institutional Compliance and reporting to the Board.
<u>Share</u> (Adequate controls in place, continued monitoring and reporting is required)	Requires quarterly monitoring and reporting.
<u>Transfer</u> (Adequate controls in place, but not a controlled risk)	Transfer of monitoring responsibility from System and/or Institutional Compliance to campus management.
<u>Accept</u>	It appears that all actions have been taken to resolve this risk, with monitoring and reporting reduced from quarterly to annually or every two years depending on the nature of the risk.

Chart #4: Reflects the same UNT “Compliance” (Statutory) risks as the previous chart, but reflects the status of management’s efforts to appropriately address each risk along with a summary of the specific on-going risk reduction effort still required.

The three categories reflected in the arrow chart below are defined as:

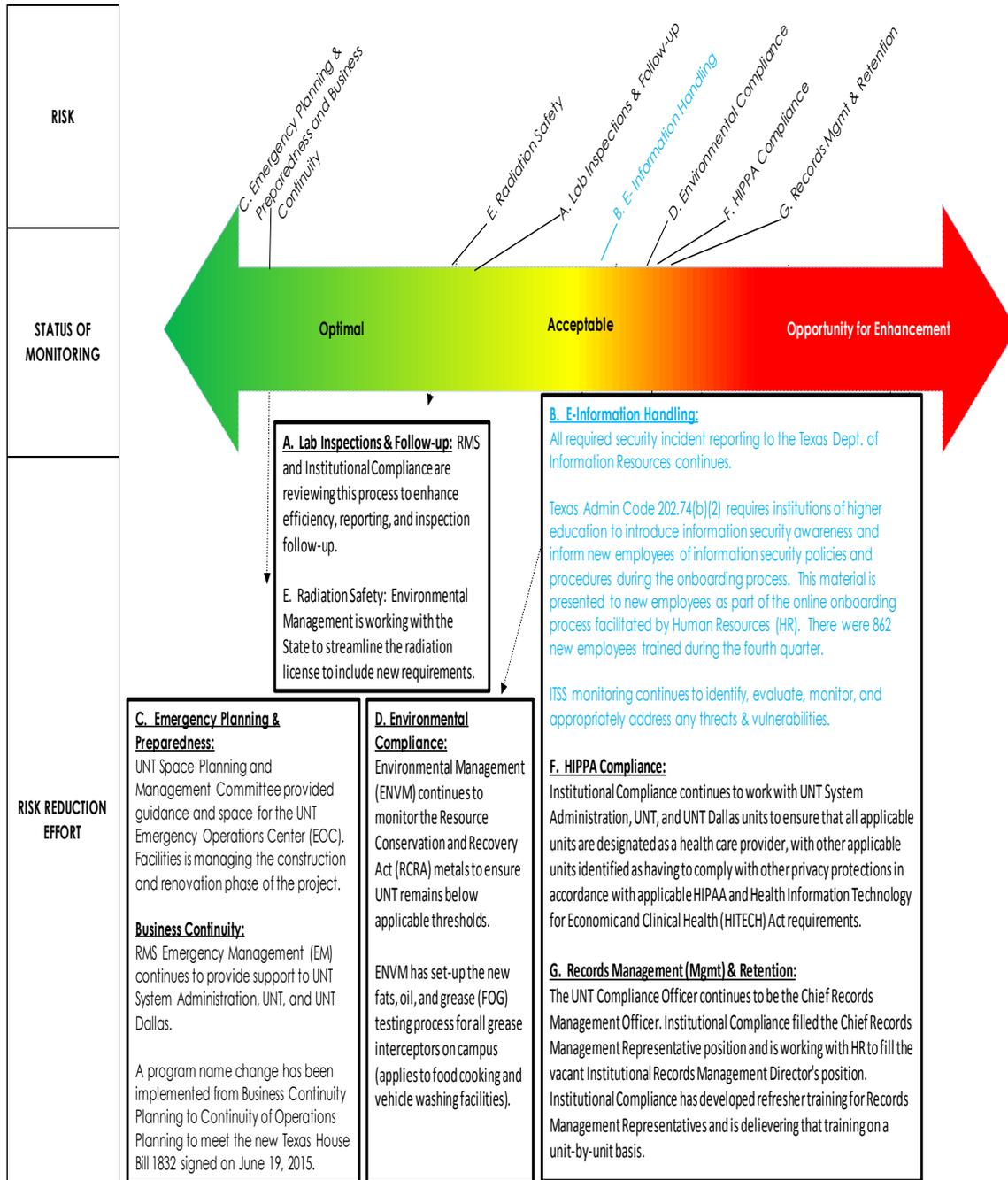
Opportunity for Enhancement indicates there are opportunities to enhance the controls in place for these risks, which will continue the quarterly Institutional Compliance monitoring and reporting process.

Acceptable presents two options, both options indicate that adequate controls are in place, however, **Share** recommends that quarterly Compliance monitoring and reporting continue and **Transfer** recommends that quarterly Compliance monitoring could be transferred to management for completion.

Optimal indicates that this risk is now considered to be a Controlled risk, which means that all controls appear to be in place for this risk and monitoring should be reduced from quarterly to annually or every two years, depending on the nature of the risk to ensure that adequate controls remain in place.

Chart # 4.

UNT - Compliance (Statutory) Risks



Continue quarterly monitoring and reporting to the Board

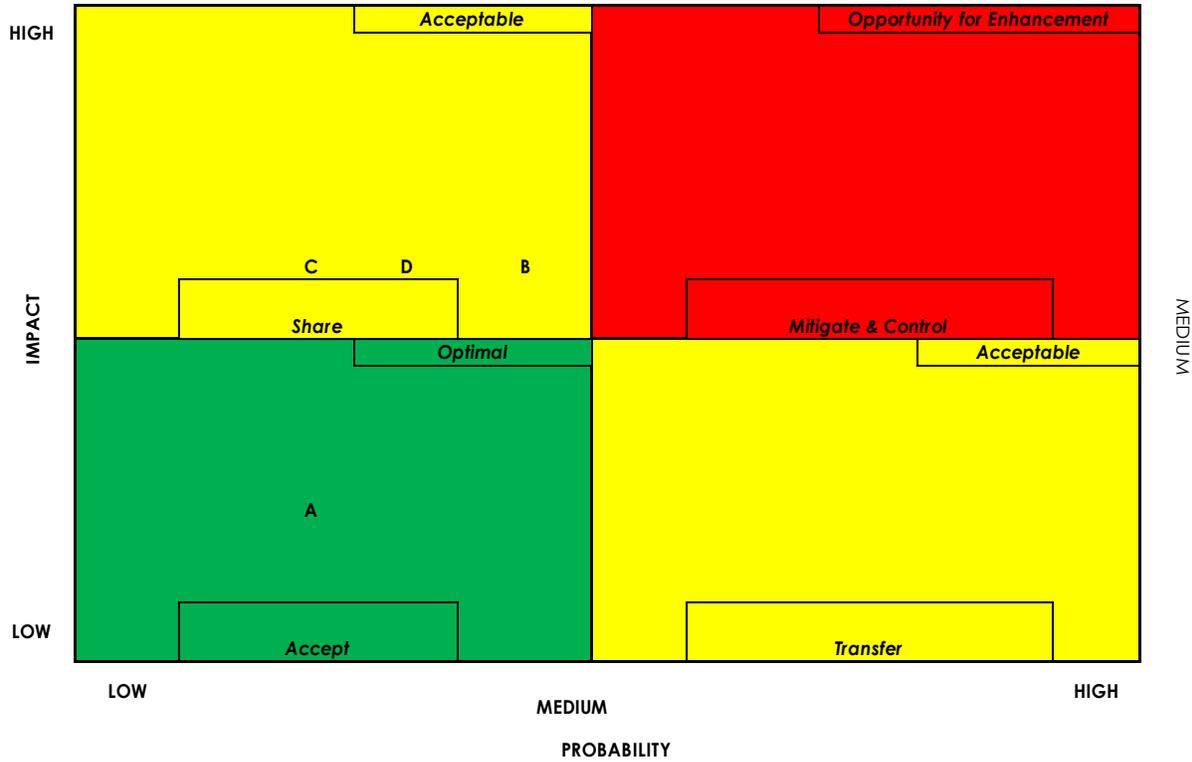
Risk reduction effort appears immediately below the arrow directly under the risk.

Highest risks appear on the right side of the red arrow.

Blue lettering indicates a risk that may be monitored permanently based on the nature of the risk, even with adequate controls in place.

Chart # 5: Reflects the remaining UNT “Compliance” (Statutory) risks. This chart reflects the impact and probability of each risk and the on-going risk reduction effort that has been adopted to manage each risk.

Chart #5. UNT - Compliance (Statutory) Risks (Continued)



Reference	Risk	August 31, 2015		September 1, 2014	
		Impact	Probability	Impact	Probability
A	Research Conflict of Interest	L	L	L	L
B	Time and Effort Reporting	M	M	L	M
C	Export Controls	M	L	M	L
D	Protecting Minors Participating in UNT Related Activities	M	M	M	M

Highest risks appear in the top right corner of the chart.

Figure #5.

Mitigate & Control (Lessens risk, sets standards, measures performance, and takes corrective action)	Requires quarterly compliance reviews by System and/or Institutional Compliance and reporting to the Board.
Share (Adequate controls in place, continued monitoring and reporting is required)	Requires quarterly monitoring and reporting.
Transfer (Adequate controls in place, but not a controlled risk)	Transfer of monitoring responsibility from System and/or Institutional Compliance to campus management.
Accept	It appears that all actions have been taken to resolve this risk, with monitoring and reporting reduced from quarterly to annually or every two years depending on the nature of the risk.

Chart #6: Reflects the same UNT "Compliance" (Statutory) risks as the previous chart, but reflects the status of management's efforts to appropriately address each risk along with a summary of the specific on-going risk reduction effort still required.

The three categories reflected in the arrow chart below are defined as:

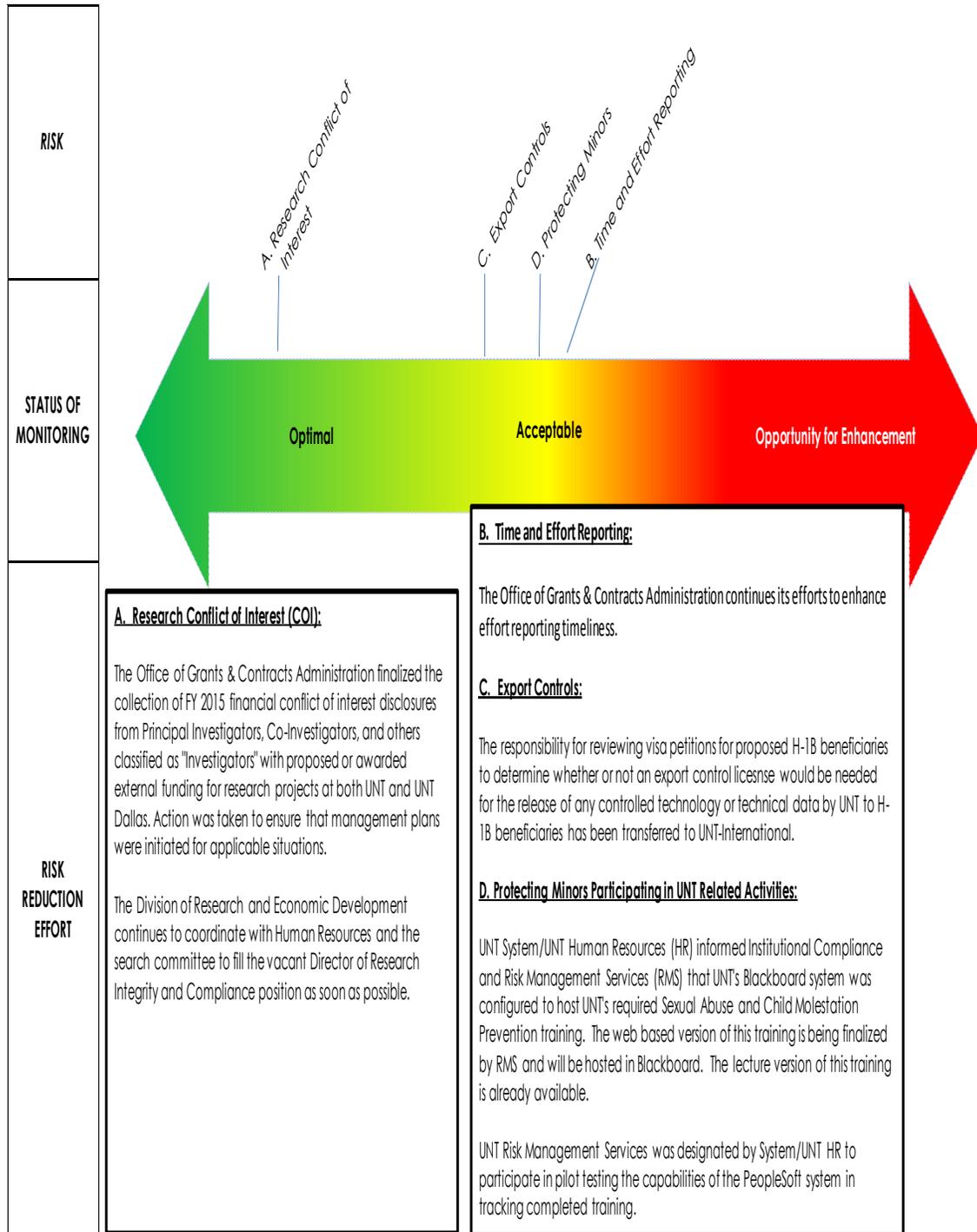
Opportunity for Enhancement indicates there are opportunities to enhance the controls in place for these risks, which will continue the quarterly Compliance monitoring and reporting process.

Acceptable presents two options, both options indicate that adequate controls are in place, however, **Share** recommends that quarterly Compliance monitoring and reporting continue and **Transfer** recommends that quarterly Compliance monitoring could be transferred to management for completion.

Optimal indicates that this risk is now considered to be a Controlled risk, which means that all controls appear to be in place for this risk and monitoring should be reduced from quarterly to annually or every two years, depending on the nature of the risk to ensure that adequate controls remain in place.

Chart #6.

UNT - Compliance (Statutory) Risks (Continued)



Continue monitoring and reporting to the Board.

Risk reduction effort appears immediately below the arrow directly under the risk.

Highest risks appear on the right side of the red arrow.

Section III. Compliance Related and Ethics Training

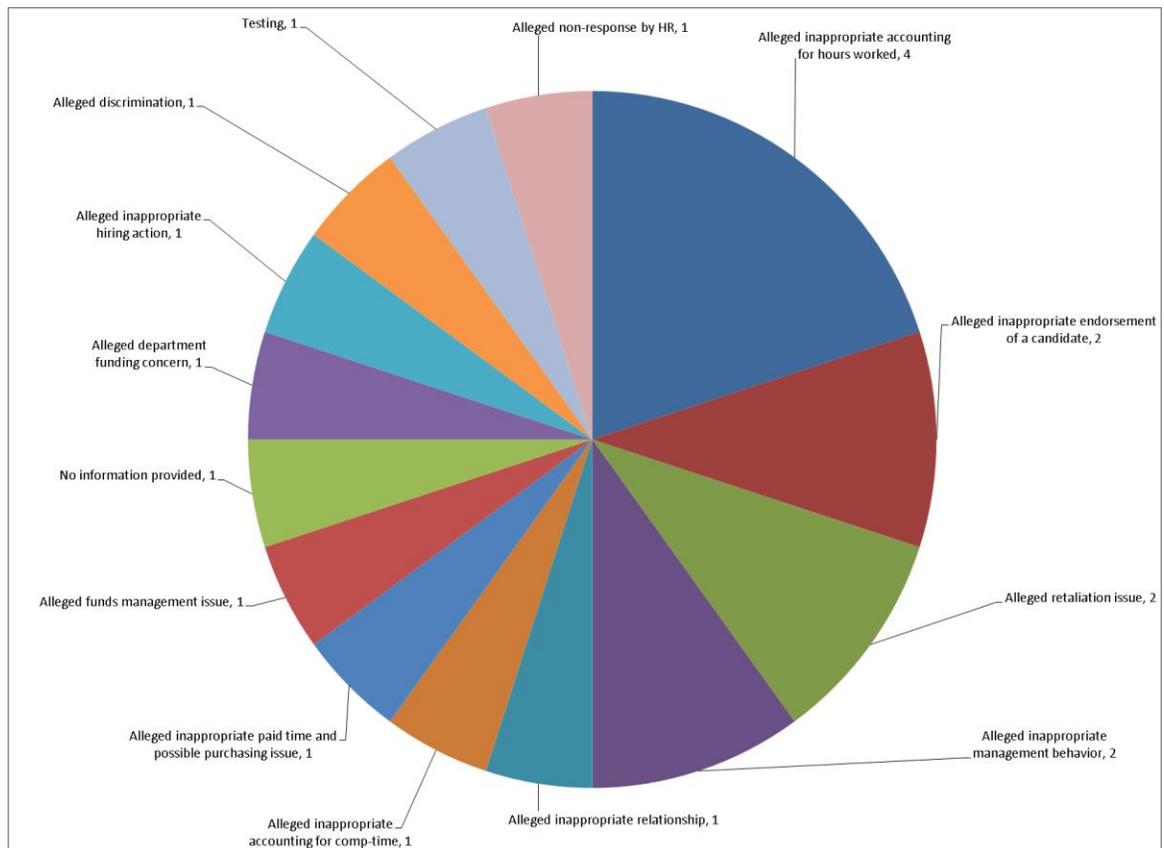
Institutional Compliance and the Office of General Counsel developed Compliance Awareness and a separate Ethics in Public Service training designed initially to be presented to financial personnel during the BSC's Financial Management Overview in September as well as to be presented web-based to all UNT System Administration, UNT, and UNT Dallas employees ongoing.

Section IV. Confidential and Other Complaint/Concern Reporting

UNT maintains a web-based Compliance Hotline reporting system that allows anonymous and confidential reporting as required by the U.S. Sentencing Guidelines. System and Institutional Compliance also receives complaints by telephone, email, appointment, and walk-ins.

- An analysis of the **three (3) reports** received during the **fourth quarter** by UNT revealed the following breakdown of concerns or complaints:
 - There was **one (1) hotline report** pertaining to an **allegation of inappropriate management behavior**. This report is being addressed by Internal Audit.
 - There was **one walk-in report** pertaining to an **alleged non-response by UNT HR**. This report is being addressed by Institutional Compliance.
 - There was **one email report** pertaining to an **alleged department funding concern**. This report is being addressed by Institutional Compliance.

There were a total of **twenty (20) reports** received by UNT during **fiscal year 2015** as compared to **seventeen (17) reports** during **fiscal year 2014** and are summarized below:



Section I. Organizational Actions

There were no significant organizational actions that affected the Compliance program for this reporting period. An operational assessment and review of the UNTHSC Compliance program was conducted by Deloitte at the request of the Chief Internal Auditor and the UNTHSC Chief Compliance/ Enterprise Risk Management Officer. The Institutional Compliance Office conducted the Safety and Security Audit in accordance with Texas Education Code, Section 51.217 at the request of the System Compliance Office.

Section II. Risk Assessment Monitoring and Status of Fourth Quarter and FY15 Annual Risks

The list of Compliance risks for FY 2015-16 was revised to add additional risks based upon the discussions at the 3Q Board of Regents Audit Committee meeting.

The Fourth Quarter actions taken by UNT Health Science Center (UNTHSC) to address the UNTHSC Compliance Risks identified during the fiscal year 2014-15 risk assessment are below:

High-Risk #1: Physicians at Teaching Hospitals (PATH) (Clinical Division)

Description: Review of sample medical records of Medicare and Medicaid patients to confirm that the attending physician has documented his/her presence and participation when a resident is involved in the care of a patient.

Action Taken by Management:

- The following departments were audited for compliance during the fourth quarter: Obstetrics and Gynecology, Surgery and Community Medicine. One-on-one education was completed for each provider who did not achieve a score of 100%.

Action Taken by Compliance:

- The Clinical Division Director and Regulatory Compliance Officer reports to the Chief Compliance and Enterprise Risk Management Officer.

High-Risk #2: Procedures – for inpatient and outpatient (Clinical Division)

Description: Review of sample medical records of Medicare and Medicaid patients to confirm that the physician's documentation supports the procedures performed and billing requirements.

Action Taken by Management:

- The following departments were audited during the fourth quarter: Obstetrics and Gynecology, Surgery and Community Medicine. One-on-one education was completed by the Clinical Compliance Department to providers who did not meet the 90% threshold.

Action Taken by Compliance:

- The Clinical Division Director and Regulatory Compliance Officer reports to the Chief Compliance and Enterprise Risk Management Officer.

High-Risk #3: Evaluation and Management Codes (E&M): inpatient and outpatient (Clinical Division)

Description: Review of sample medical records of Medicare and Medicaid patients to confirm that the physician's documentation supports the E&M code(s) billed.

Action Taken by Management:

- The following departments were audited during the fourth quarter: Obstetrics and Gynecology, Surgery and Community Medicine. One-on-one education was provided by the Clinical Compliance Department to each provider who scored below the 90% threshold.

Action Taken by Compliance:

- The Clinical Division Director and Regulatory Compliance Officer reports to the Chief Compliance and Enterprise Risk Management Officer.

High-Risk #4: Billing versus Performing Provider (Clinical Division)

Description: Review of sample billed claims and medical records of Medicare and Medicaid patients to confirm that the physician who billed for the service is the same physician who actually performed the billed service.

Action Taken by Management:

- An audit was performed on a sample of medical records. No errors noted.

Action Taken by Compliance:

- The Clinical Division Director and Regulatory Compliance Officer reports to the Chief Compliance and Enterprise Risk Management Officer.

High-Risk #5: Place of Service (Clinical Division)

Description: Review of sample medical records of Medicare and Medicaid patients to confirm that the proper place of service is included on the bill.

Action Taken by Management:

- The following departments were audited during the fourth quarter: Obstetrics and Gynecology, Surgery and Community Medicine. No errors noted.

Action Taken by Compliance:

- The Clinical Division Director and Regulatory Compliance Officer reports to the Chief Compliance and Enterprise Risk Management Officer.

For High Risks 1-5, above, 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. Refunds are processed when overpayments are identified.

High-Risk #6: Unauthorized Access to Protected Institutional Data (Infrastructure and Security Division)

Description: UNTHSC monitors actions taken to protect and prevent unauthorized access to Institutional Data including data within UNTHSC's information technology systems.

Action Taken by Management:

- On-going Information Security Awareness training is provided to all employees, students, and contractors.
 - Information Security training educates employees, students and contractors (as applicable), on how to protect Institutional data, acceptable use when using State technology resources and information on various information security-based regulatory drivers that are applicable to UNTHSC.
- Completed fourth quarter external vulnerability assessment of all UNTHSC public facing applications, services, and networks.
- Completed fourth quarter compliance assessment of anti-virus and windows security updates posture of all Institutional servers and PCs.
- HSC Infrastructure and Security, alongside the UNT System ITSS Department, is evaluating data protection options within Microsoft's Office 365 environment, specifically around the OneDrive product and its use as institutional file storage and sharing.
 - Current Assessment: 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.
- Mobile Device Security Enhancement: 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.
 - 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 looks 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 a 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.
 - 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 will release this custom feature for testing on September 10, 2015. UNTHSC ITS is currently QA'ing the product. A mid-November campus rollout looks feasible.

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.

High-Risk #7: HIPAA Security Compliance (Infrastructure and Security Division)

Description: UNTHSC monitors actions taken to protect and prevent unauthorized access to Protected Health Information ("PHI") including PHI within UNTHSC's information technology systems.

Action Taken by Management:

- On-going HIPAA Privacy & Security training is provided to all employees, students and contractors (as applicable).
- An Institutional Laptop Encryption Project is ongoing and products for full disk encryption on all laptops have been selected. Pilot testing has been completed and rollout has begun on all institutional laptops with priority given to clinical departments. Clinical departments will have scheduled rollouts while other institutional laptops will have encryption applied through new purchases, repair visits and user requests.
 - A deadline of December 31, 2015 has been set for all UNTHSC Institutional owned laptops to be encrypted.

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 UNTHHealth electronic medical record to confirm access is appropriate based upon role of user.

High-Risk #8: Centers for Medicare and Medicaid Services ("CMS") 1115 Waiver Requirements Compliance (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:

- The Office of Strategy and Organizational Excellence ("OSOE") has formed an 1115 Waiver Steering Committee which meets on a quarterly basis review the 1115 waiver projects. The 1115 Waiver management team and OSOE also work with the Offices of Institutional Compliance and Healthcare Quality and Risk Management to conduct regular audits of outcome data in order to minimize risks and identify potential issues.

- UNTHSC received notification of a random "Category 3" audit for two of our projects. The same firm that conducted the mid-point assessment, Myers and Stauffer, is conducting the audit. The OSOE and the Office of Institutional Compliance have submitted the requested data. 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 Programs and Policy 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 the Health and Human Services Commission.

High-Risk #9: 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.

Action Taken by Management:

- The Division of Student Affairs in-conjunction with the Compliance Office has implemented training modules for students and employees related to Title IX compliance. Title IX training is on-going.
- A summary of all Title IX investigations are provided to the Office of Institutional Compliance for review.

Action Taken by Compliance:

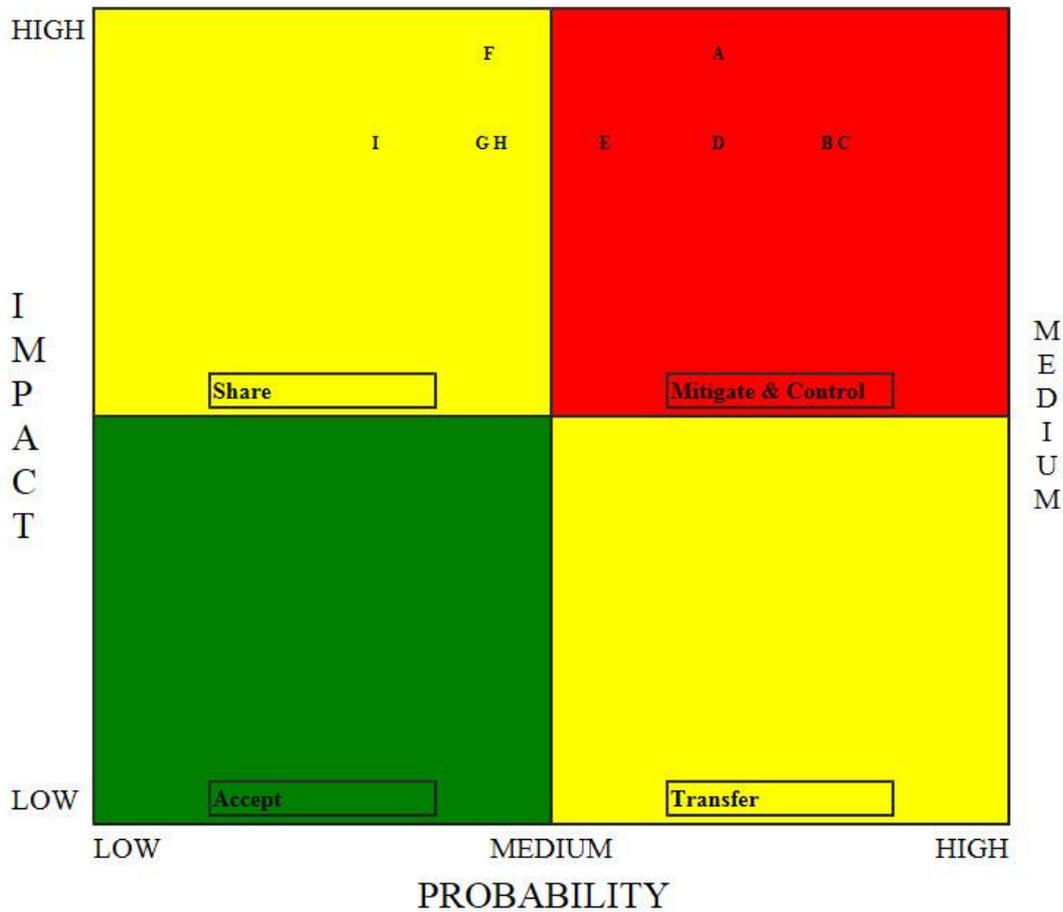
- The Institutional Compliance Office works closely with the Vice President of Student Affairs to provide support for compliance activities as needed. The Institutional Compliance Office assisted Student Affairs in developing Title IX training.

The following information represents the status of the UNTHSC fiscal year 2015 Institutional Compliance Risks and the efforts to implement adequate controls for the risks indicated, their impact (severity) and probability (frequency) valuation, and the on-going risk mitigation strategy for each risk. Risks were identified as high (H), medium (M), low (L), impact (severity) and probability (frequency).

Chart #7: Reflects UNT Health Science Center "Compliance" (Statutory) risks. This chart reflects the impact (severity) and probability (frequency) of each risk and the on-going risk reduction effort that has been adopted to manage each risk.

Chart #7:

UNT Health Science Center - Compliance Risks



Key to Chart:

Mitigate & Control Lessens risk, sets standards, measures performance, and takes corrective action	Requires quarterly monitoring and reporting by executive management.
Share Adequate controls in place, continued monitoring based on nature of risk	Requires quarterly monitoring and reporting.
Transfer Adequate controls in place, but not a controlled risk	Transfer of monitoring responsibilities to campus management.
Accept	All actions have been taken to resolve this risk, with monitoring and reporting reduced from quarterly to annually or every two years depending on the nature of the risk.

Reference	Risk	Division	Aug-15		Sep-14	
			Impact	Probability	Impact	Probability
A	Unauthorized Access to Protected Institutional Data	ITS	H	M	*	*
B	PATH Regulations	CL	H	H	H	H
C	Place of Service	CL	H	H	*	*
D	Procedures - for inpatient and outpatient	CL	H	M	H	M
E	Evaluation & Management Services - inpatient and outpatient	CL	H	M	H	M
F	HIPAA Security	ITS	H	M	*	*
G	Billing verses Performing Provider	CL	H	M	H	M
H	Non-compliance with CMS 1115 Waiver requirements	OSOE	H	M	*	*
I	Title IX Compliance	SA	H	L	*	*

Infrastructure and Security (ITS); Clinical (CL); Office of Strategy and Organizational Excellence (OSOE); Student Affairs (SA)

Chart #8: Reflects the same “Compliance” (Statutory) risks as the previous chart, but reflects the status of management’s efforts to appropriately address each risk along with a summary of the specific on-going risk reduction effort still required.

The three categories reflected in the arrow chart below are defined as:

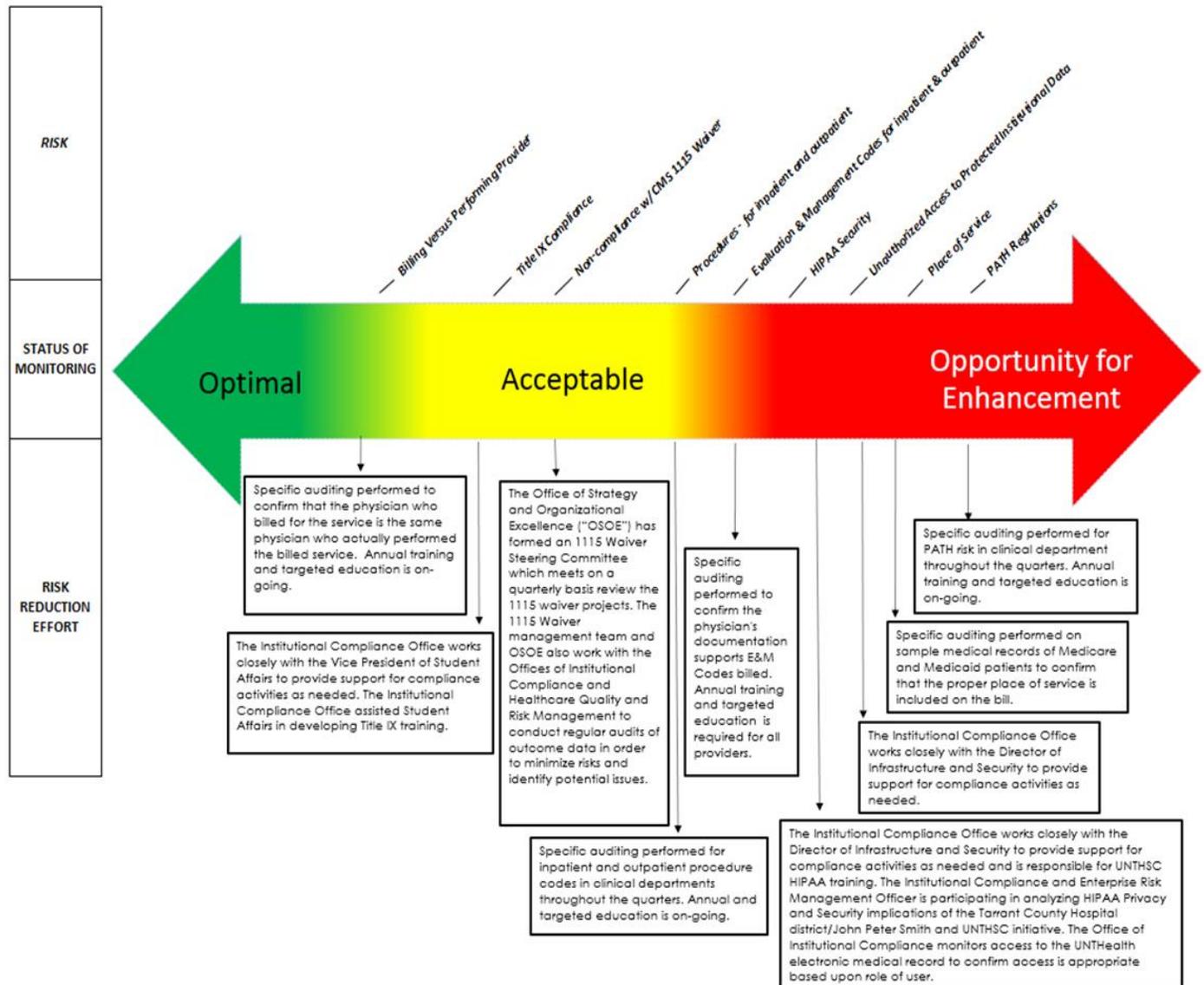
Opportunity for Enhancement indicates there are opportunities to enhance the controls in place for these risks, which will continue the quarterly Institutional Compliance monitoring and reporting process.

Acceptable presents two options, both options indicate that adequate controls are in place; however, (1), it is recommended that quarterly Institutional Compliance monitoring and reporting continue or (2), quarterly compliance monitoring could be transferred to management for completion.

Optimal indicates that this risk is now considered to be a Controlled risk, which means that all controls appear to be in place for this risk and monitoring by Institutional Compliance should be reduced from quarterly to annually or every two years, to confirm that adequate controls remain in place. Divisions/Departments may continue to operationally monitor compliance quarterly.

Chart #8

Compliance (Statutory) Risks



Section III. Compliance Training

This section reflects relevant information pertaining to tracking the completion of required general compliance training during the 2014/2015 academic year.

- Code of Ethics/Standard of Conduct training was given to 91% of new employees by the Institutional Compliance Office.
- HIPAA Privacy and Security training was given to 97% of new employees by the Clinical Division Director of Regulatory Compliance.
- Minors on Campus training was given to 97% of new employees by the Institutional Compliance Office.

- Institutional Compliance signed an agreement with *WeComply*, a vendor that can provide UNTHSC with numerous training modules. Annual required training was rolled out for FY15 and was the first step in consolidating all required training on one platform.

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 Office of Institutional Compliance. In addition, the Office of Institutional Compliance 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 the Office of Institutional Compliance'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.

FY 2013-14 Outstanding Reports

- **One** Clinical report – (In Person)
 - Billing issue - Referred to the Office of General Counsel – **In Progress**

Third Quarter Reports Outstanding Reports

- **One** Academic Affairs report – (1 – Hotline)
 - Inappropriate relations allegation - **In Progress**
- **One** Research report – (1 – In Person)
 - Monitoring a Research Integrity report – **Resolved, no merit**

Fourth Quarter Reports – June 2015 to August 2015

UNTHSC received the following seventeen (17) reports during the fourth quarter:

- **Two** Clinical reports – (2 – In Person)
 - Outstanding hospital invoices for Program Director Services – **In Progress**
 - Patient charged two copays, facility and provider – **Resolved, no merit**
- **One** Faculty Affairs report – (1 – In Person)
 - Faculty member reported discrimination during tenure review. – **Resolved, no merit – Faculty pursuing appeal according to Faculty Bylaws**
- **Eleven** Human Resources reports – (9 – Hotline; 2 – In Person)
 - Staff in one clinic reported discrimination by their managers. – **Resolved, no merit** (Hotline)
 - Staff member reported her co-worker's poor attitude. **Resolved, with merit – corrective action taken.** (Hotline)

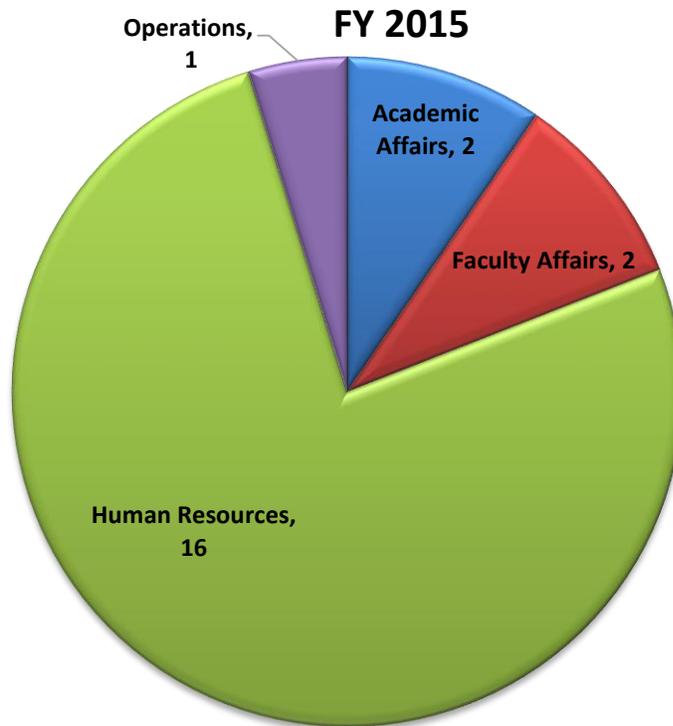
- A patient's wife reported that a staff member had inappropriate interaction with her husband. – **Resolved, no merit** (Hotline)
- Six individual complaints were filed by the custodial staff against the supervisor for wrongfully treating and terminating employees. – **Resolved, no merit - Additional supervisor training provided.** (Hotline)
- Staff member reported discrimination related to an employment decision based on the school she attended. – **In Progress** (In Person)
- Monitoring a report that UNT units have improperly released confidential employee and student employee data. – **In Progress – Managed by Chief Internal Auditor's Office** (In Person)
- **One** Research report – (1 - In Person)
 - Monitoring a Research Integrity investigation by OIG – **In Progress – Managed by the Office of General Counsel**
- **One** Operations report – (1 - In Person)
 - Lack of compliance with ADA in Sleep Lab building – **In Progress**
- **One** Strategy and Organizational Excellence report – (1 - In Person)
 - Employee reported that the Cost Accounting process in the 1115 Waiver Project is not in compliance with policy – **Resolved, no merit**

FY 2015 Annual Hotline and Non-Hotline Report

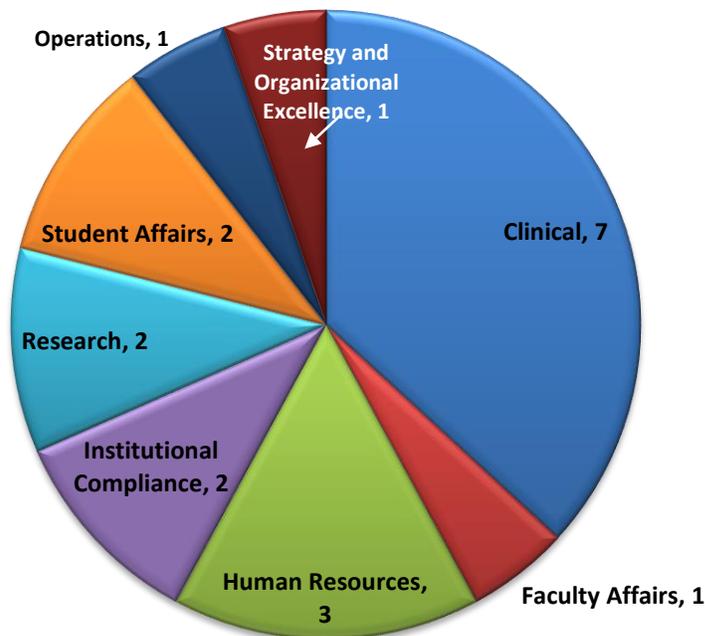
An analysis of the complaints and/or concerns received during the 2015 fiscal year is reflected as follows:

There were **twenty-one** (21) Ethics Hotline reports registered for the UNTHSC. There were also **nineteen** (19) non-hotline reports. These reports are summarized by type below:

Institutional Compliance Hotline Reports



Non-Hotline Reports FY 2015



All reports were reviewed by the Institutional Compliance Office and referred to the appropriate compliance division for resolution. The Institutional Compliance Office currently has five (5) non-hotline reports and two (2) hotline reports that are in the process of being reviewed and/or investigated. All other reports have been investigated and resolved.

Section I. Organizational Actions

There were no significant organizational actions that affected the Compliance program for this fourth quarter reporting period (June 1 through August 31, 2015).

Section II. Compliance Risks

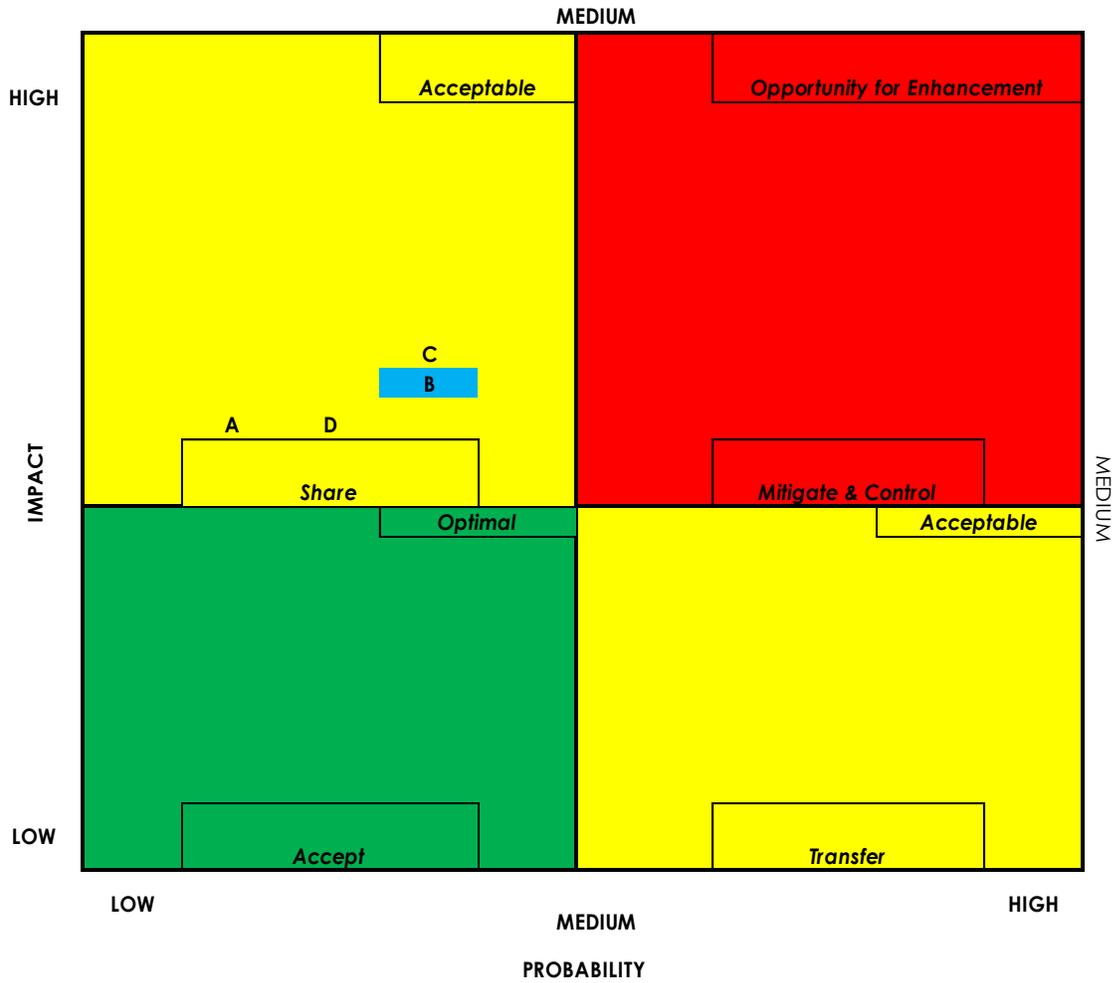
Institutional Compliance will conduct an initial Safety and Security Audit under the risk area “Emergency Planning & Preparedness and Business Continuity” to ensure the program is in compliance with Texas Education Code 51.217. The Texas Division of Emergency Management (TDEM) and the UNT System Board of Regents will be notified of the results in the next quarter’s report.

The following information represents the status of the University of North Texas at Dallas fiscal year 2015 Compliance Risks and management’s efforts to implement adequate controls for the risks indicated, each risk’s impact (severity) and probability (frequency) valuation, and the on-going risk mitigation strategy for each risk. The following information is provided to enhance the UNT System Board of Regent’s ability to meet its compliance oversight responsibilities.

Chart #9: Reflects UNT Dallas’ “Compliance” (Statutory) Risks. This chart reflects the impact and probability of each risk and the on-going risk reduction effort that has been adopted to manage each risk.

Chart # 9.

UNT Dallas - Compliance (Statutory) Risks



		August 31, 2015		September 1, 2014	
Reference	Reference	Impact	Probability	Impact	Probability
A	Emergency Planning & Preparedness and Business Continuity	M	L	M	L
B	E-Information Handling (TAC, ISO 27,000, HIPAA, SSN, GLB)	M	M	M	M
C	Grants Management	M	M	M	M
D	Protecting Minors Participating in UNT Dallas Related Activities	M	M	M	M

Highest risks appear in the top right corner of the chart.

Blue lettering indicates a risk that may be monitored permanently based on the nature of the risk, even with adequate controls in place.

Figure # 9.

Mitigate & Control (Lessens risk, sets standards, measures performance, and takes corrective action)	Requires quarterly compliance reviews by System and/or Institutional Compliance and reporting to the Board.
Share (Adequate controls in place, continued monitoring and reporting is required)	Requires quarterly monitoring and reporting.
Transfer (Adequate controls in place, but not a controlled risk)	Transfer of monitoring responsibility from System and/or Institutional Compliance to campus management.
Accept	It appears that all actions have been taken to resolve this risk, with monitoring and reporting reduced from quarterly to annually or every two years depending on the nature of the risk.

Chart # 10: Reflects the same UNT Dallas "Compliance" (Statutory) risks as the previous chart, but reflects the status of management's efforts to appropriately address each risk along with a summary of the specific on-going risk reduction effort still required.

The three categories reflected in the arrow chart below are defined as:

Opportunity for Enhancement indicates there are opportunities to enhance the controls in place for these risks, which will continue the quarterly Compliance monitoring and reporting process.

Acceptable presents two options, both options indicate that adequate controls are in place, however, **Share** recommends that quarterly Compliance monitoring and reporting continue and **Transfer** recommends that quarterly Compliance monitoring could be transferred to management for completion.

Optimal indicates that this risk is now considered to be a Controlled risk, which means that all controls appear to be in place for this risk and monitoring should be reduced from quarterly to annually or every two years, depending on the nature of the risk to ensure that adequate controls remain in place.

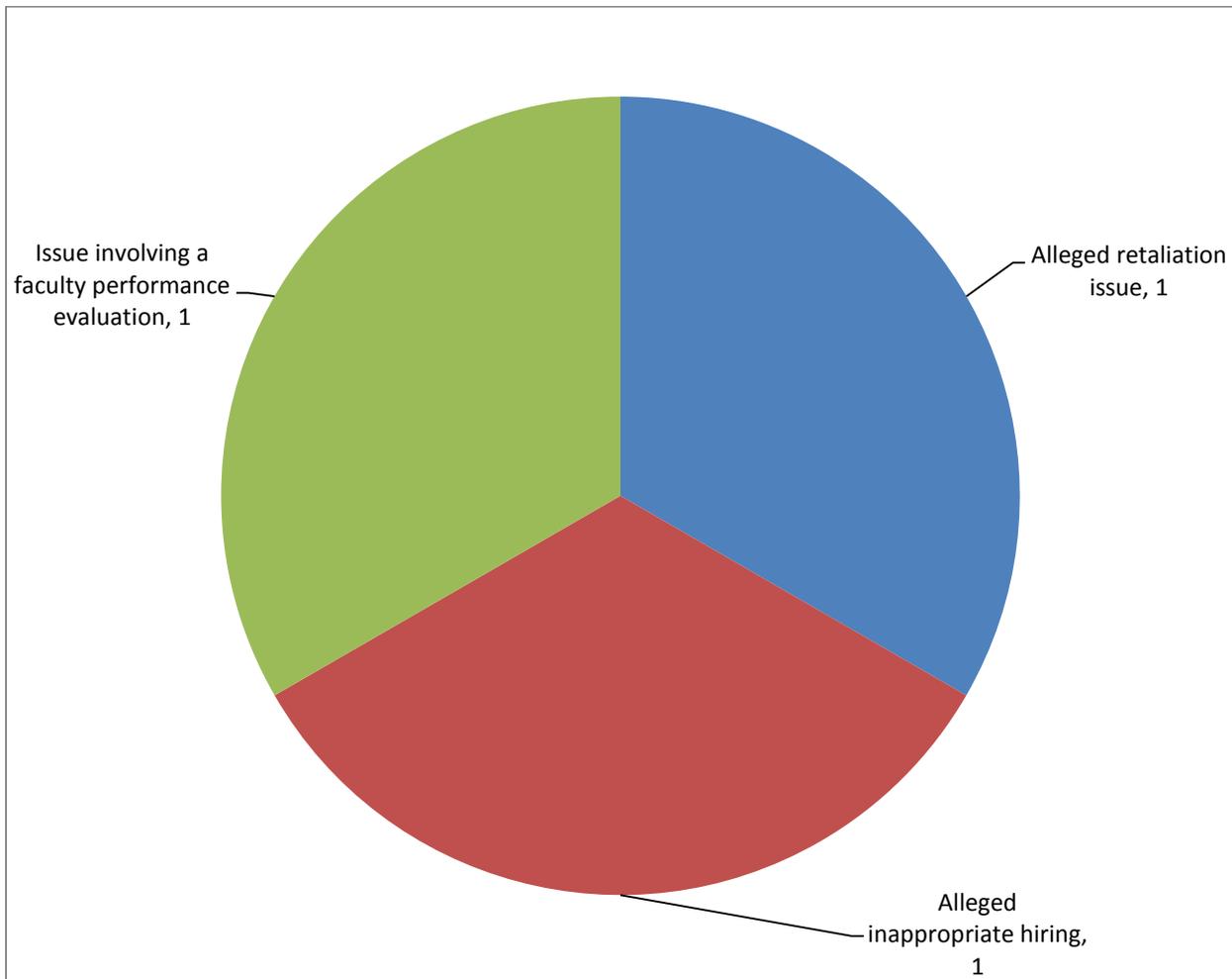
Section III. Compliance Related and Ethics Training

Institutional Compliance and the Office of General Counsel developed Compliance Awareness and a separate Ethics in Public Service training designed initially to be presented to financial personnel during the BSC's Financial Management Overview in September as well as to be presented web-based to all UNT System Administration, UNT, and UNT Dallas employees ongoing.

Section IV. Confidential and Other Complaint/Concern Reporting for UNT Dallas

UNT Dallas maintains a web-based Compliance Hotline reporting system that allows anonymous and confidential reporting as required by the U.S. Sentencing Guidelines. System and Institutional Compliance also receives complaints by telephone, email, appointment, and walk-ins.

- There was **one (1) report (Hotline)** received during the **fourth quarter** by UNT Dallas.
 - There was **one (1) Hotline report** pertaining to an **allegation of inappropriate hiring**. This report was previously addressed by System Compliance with the assistance of an external law firm.
- An analysis of the **three (3) reports** received by UNT Dallas during **fiscal year 2015** as compared to **eight (8) reports during fiscal year 2014** and are summarized below:





UNT | SYSTEM™

MINUTES

BOARD OF REGENTS Academic Affairs and Student Success Committee August 27-28, 2015

Thursday, August 27, 2015

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 27, 2015 in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following members in attendance: Regents Al Silva, Michael Bradford, Gwyn Shea, and Milton Lee.

There being a quorum present the meeting was called to order by Committee Chairman Silva, at 1:13 pm. The minutes of the May 21-22, 2015 Academic Affairs and Student Success Committee meeting were approved on a 4-0 vote following a motion by Regent Shea seconded by Regent Lee.

Chair Silva introduced Ms. Amy Heiss, Social Media Global Program Manager for Dell who briefed the Board on **Effective Use of Social Media in Higher Education**.

Chair Silva noted that the Committee had received two background reports:

- **UNT Report of Faculty on Modified Service 2014-2015**
- **UNT Southern Association of Colleges and Schools Commission on Colleges Quality Enhancement Plan Update.**

There being no further business, the Committee meeting recessed at 2:10 pm until the following day.

Friday, August 28, 2015

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System reconvened on Friday, August 28 22, 2015 in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following members in attendance: Regents Al Silva, Michael Bradford, Gwyn Shea, and Milton Lee.

There being a quorum present the meeting was called to order by Committee Chair Silva at 10:39 am.

Provost Finley Graves, UNT, presented to the Committee for consideration two new degree programs, which were considered one at a time.

29. UNT Approval of New UNT Bachelor of Science Degree Program with a Major in Retailing

Pursuant to a motion by Regent Milton Lee and seconded by Regent Gwyn Shea, the Committee approved the above item on a 4-0 vote.

30. UNT Approval of UNT Bachelor of Science Degree Program in Public Health

Pursuant to a motion by Regent Milton Lee and seconded by Regent Gwyn Shea, the Committee approved the above item on a 4-0 vote.

Provost Graves presented a request for tenure for a new faculty appointee who had not previously held tenure.

31. UNT Approval of UNT Tenure Recommendation for a New Faculty Appointee

Pursuant to a motion by Regent Milton Lee and seconded by Regent Gwyn Shea, the Committee approved the above item on a 3-0 vote. Regent Bradford did not vote.

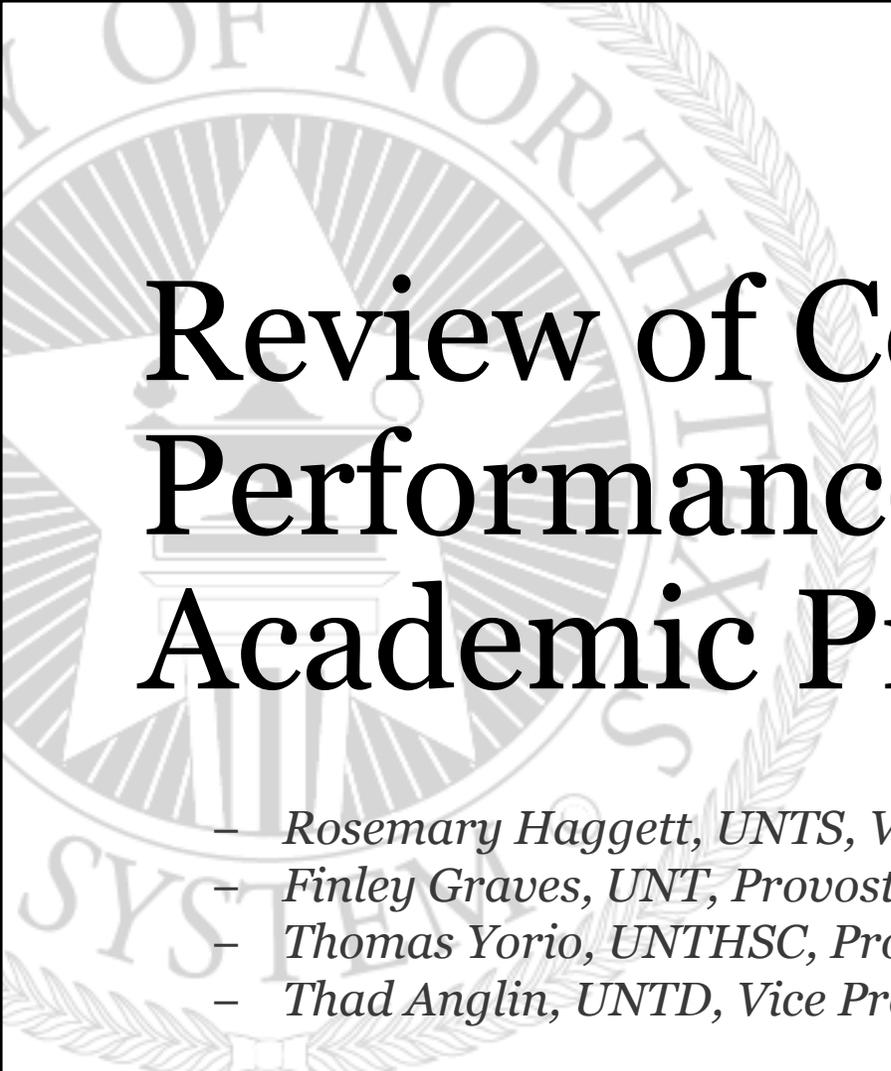
There being no further business, the Committee meeting adjourned at 11:07 am.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: Nov 13, 2015



Review of Comparative Status, Performance and Quality of Academic Programs

- *Rosemary Haggett, UNTS, VC for Academic Affairs & Student Success*
- *Finley Graves, UNT, Provost*
- *Thomas Yorio, UNTHSC, Provost*
- *Thad Anglin, UNTD, Vice Provost for Academic Excellence & Outreach*

*Presented to the Board of Regents Academic Affairs & Student Success
Committee November 20, 2015*

Framing Questions

1. *What academic programs are highly ranked nationally and on what basis? How has this changed over time?*
2. *Apart from rankings, what are the strongest programs in the eyes of academic and institution leaders on campus? What evidence supports this?*

The seal of the University of North Texas System is visible in the background on the left side of the slide. It features a central five-pointed star with a lamp of knowledge on a pedestal in front of it. The words "UNIVERSITY OF NORTH TEXAS" are written around the top of the star, and "SYSTEM" is written at the bottom. The entire seal is surrounded by a laurel wreath.

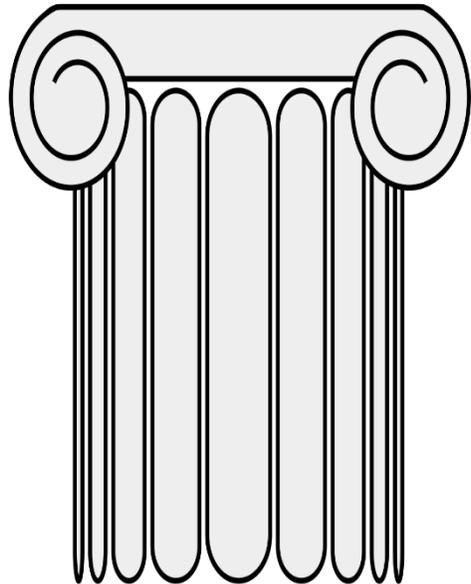
U.S. News & World Report Best College Rankings

“The host of intangibles that makes up the college experience can't be measured by a series of data points.”

– U.S. News

U.S. News Ranking System

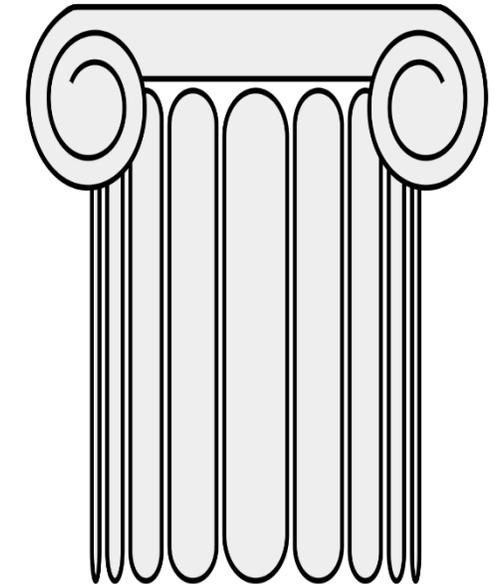
ACADEMIC QUALITY



1. "Academic Quality"

The first pillar in U.S. News' formula for best college rankings is to use quantitative measures that education have proposed as reliable indicators of academic quality, such as as retention & graduation rate performance.

WHAT MATTERS IN EDUCATION



2. "What Matters in Education"

The second pillar in the formula is U.S. News' researched view of what matters in education, such as undergraduate academic reputation and faculty resources.

How the Methodology Works

1. Regionally accredited schools are categorized by their mission.
 - National Universities (like UNT)
 - National Liberal Arts Colleges
 - Regional Universities – *further divided by geographical group*
 - Regional Colleges – *further divided by geographical group*
2. Data are gathered from each institution on up to 16 indicators of academic excellence.
3. Colleges and universities in each category are ranked against their peers based on their composite weighted score.

Ranking Model Indicators

22.5%

Undergraduate Academic Reputation:

- Peer assessment
- High school counselor rankings from U.S. News' "Best High Schools"

12.5%

Student Selectivity:

- Admissions test scores for all enrollees who took the critical reading and math portions of the SAT and composite ACT score = 65%
- The proportion of enrolled first-year students at National Universities and National Liberal Arts Colleges who graduated top 10% of HS class, or at Regional Universities and Colleges who graduated top 25% of HS class.
- Acceptance rate: Ratio of students admitted to applicants = 10%

22.5%

Retention:

- 6 year grad rate = 80% of retention score
- First year retention rate = 20% of retention score

10%

Financial Resources:

- Average spending per student on instruction, research, student services, and related educational expenditures in last 2 fiscal years
- Spending on sports, dorms and hospitals do not count

20%

Faculty Resources:

- Class size:
 - Proportion of classes with <20 students = 30%
 - Proportion of classes with ≥50 students = 10%
- Faculty Salary: average faculty pay, plus benefits for last 2 years, adjusted for regional differences = 35%
- Proportion of professors with the highest degree in their fields = 15%
- Student-faculty ratio = 5%
- Proportion of faculty who are full-time = 5%

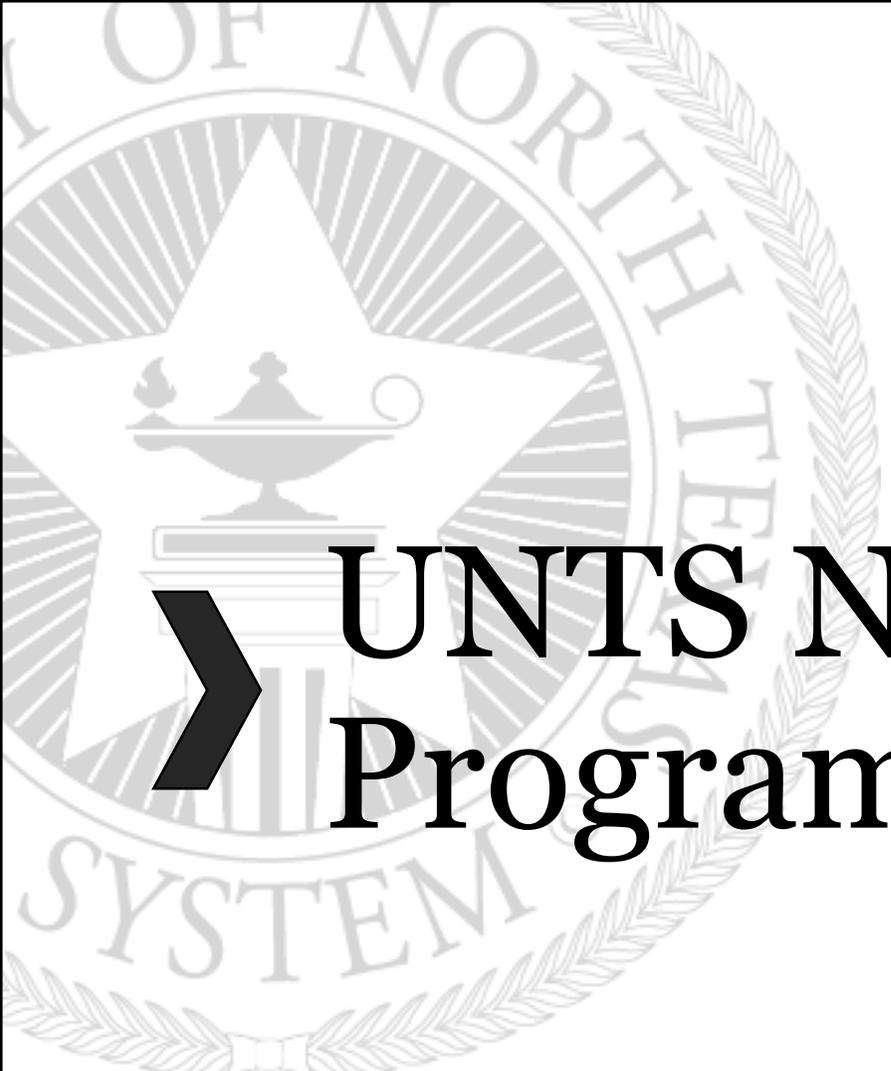
7.5%
5%

Graduation Rate Performance / Alumni Giving Rate:

- Graduation rate viewed as an indicator of added value. The 6 year graduation rate is measured against the U.S. News predicted graduation rate. educational expenditures in last 2 fiscal years
- Alumni giving reflects the average percentage of living alumni with bachelor's degrees who gave in the past 2 years, which is considered an indirect measure of student satisfaction

Ranking Classifications

- **Top 200:** Ranks of those in top 200 are published in order. Ties within the top 200 are published in alphabetical order.
- **Rank Not Published (RNP):** Institutions not falling in the top 200 are listed as RNP and are listed in alphabetical order following the top 200. (UNT listed in RNP for Best Colleges 2016)
- **Unranked:** Institutions that do not use SAT/ACT for admission, receive too few peer assessment responses, and have a large proportion of nontraditional students or no first year students are unranked.

The seal of the University of North Texas System is visible in the background on the left side of the slide. It features a central five-pointed star with a lamp of knowledge on a pedestal in front of it. The words "UNIVERSITY OF NORTH TEXAS" are written around the top of the star, and "SYSTEM" is written at the bottom. The entire seal is surrounded by a laurel wreath.

UNTS Nationally Ranked Programs Over Time

UNT U.S. News & World Report Program Rankings

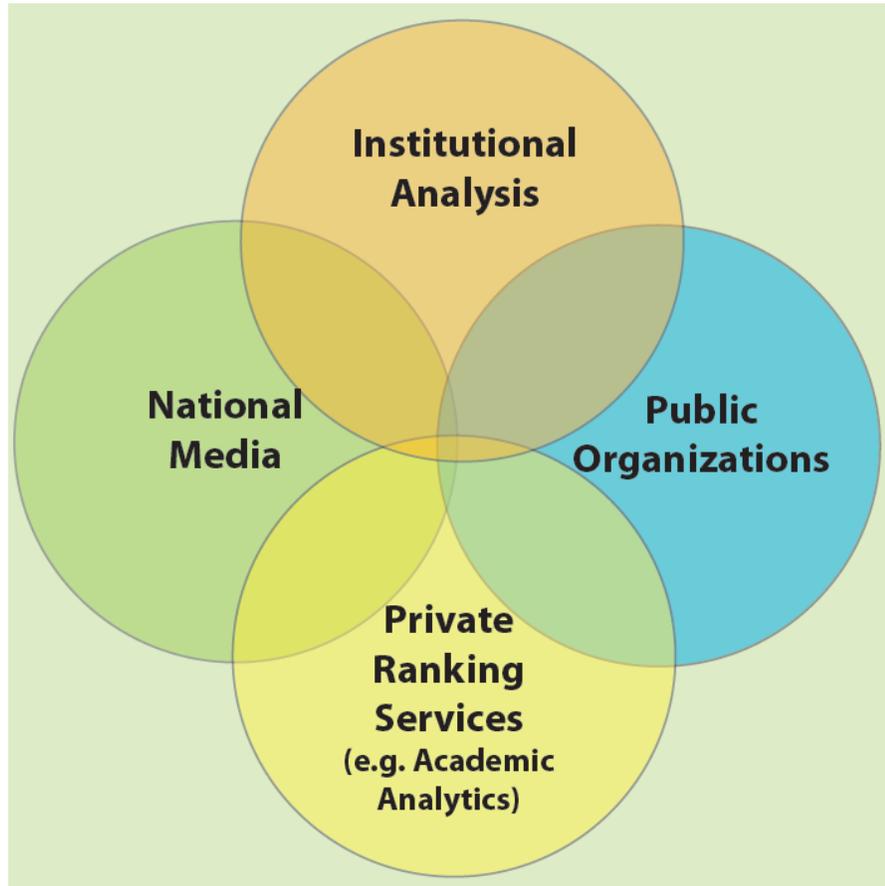
<u>Rank</u>	<u>Ranking Title</u>	<u>Year of Rank</u>	<u>Rank</u>	<u>Ranking Title</u>	<u>Year of Rank</u>
RNP	<i>National Universities</i>	2015	#125 of 134	<i>English</i>	2013
#191 of 472	<i>Best Undergraduate Business Programs</i>	2015	#62 of 206	<i>Fine Arts</i>	2012
#58 of 214 (Tie)	<i>Best Undergraduate Engineering Programs</i> <i>(at schools where doctorate not offered)</i>	2015	RNP	<i>History</i>	2013
Unranked	<i>Best Business Schools</i>	2015	#21 of 43	<i>Library & Information Studies</i>	2013
#199 of 213	<i>Part-time MBA</i>	2015	#6 of 7	<i>Health Librarianship</i>	2013
#136 of 184	<i>Best Education Schools</i>	2015	#8 of 13	<i>School Library Media</i>	2013
RNP	<i>Best Engineering Schools</i>	2015	#134 of 134	<i>Math</i>	2014
RNP	<i>Computer Engineering</i>	2015	RNP	<i>Physics</i>	2014
RNP	<i>Electrical/ Electronic/ Communications</i>	2015	#61 of 86	<i>Political Science</i>	2013
#65 of 140	<i>Materials Engineering</i>	2015	#141 of 214	<i>Psychology</i>	2013
#52 of 64	<i>Audiology</i>	2012	#59 of 166	<i>Public Affairs</i>	2012
RNP	<i>Biological Sciences</i>	2014	#8 of 19	<i>City Management & Urban Policy</i>	2012
#131 of 148	<i>Chemistry</i>	2014	#13 of 86	<i>Counseling</i>	2014
#114 of 177	<i>Clinical Psychology</i>	2012	RNP	<i>Sociology</i>	2013
RNP	<i>Computer Science</i>	2014	#106 of 229	<i>Speech-Language Pathology</i>	2012
			#47 of 142	<i>Best Online MBA Programs</i>	2014

UNT Health Science Center U.S. News & World Report Rankings

<u>Rank</u>	<u>Ranking Title</u>	<u>Year of Rank</u>
#52 of 85	<i>Best Medical Schools: Primary Care</i>	2015
RNP	<i>Best Medical Schools: Research</i>	2015
#57 of 68	<i>Health Care Management</i>	2015
#33 of 141	<i>Physician Assistant</i>	2015
#44 of 44	<i>Public Health</i>	2015

Apart from rankings, what are the strongest programs in the eyes of academic and institution leaders on campus? What evidence supports this?

Academic Program Strength Evaluation – Sources of measurement



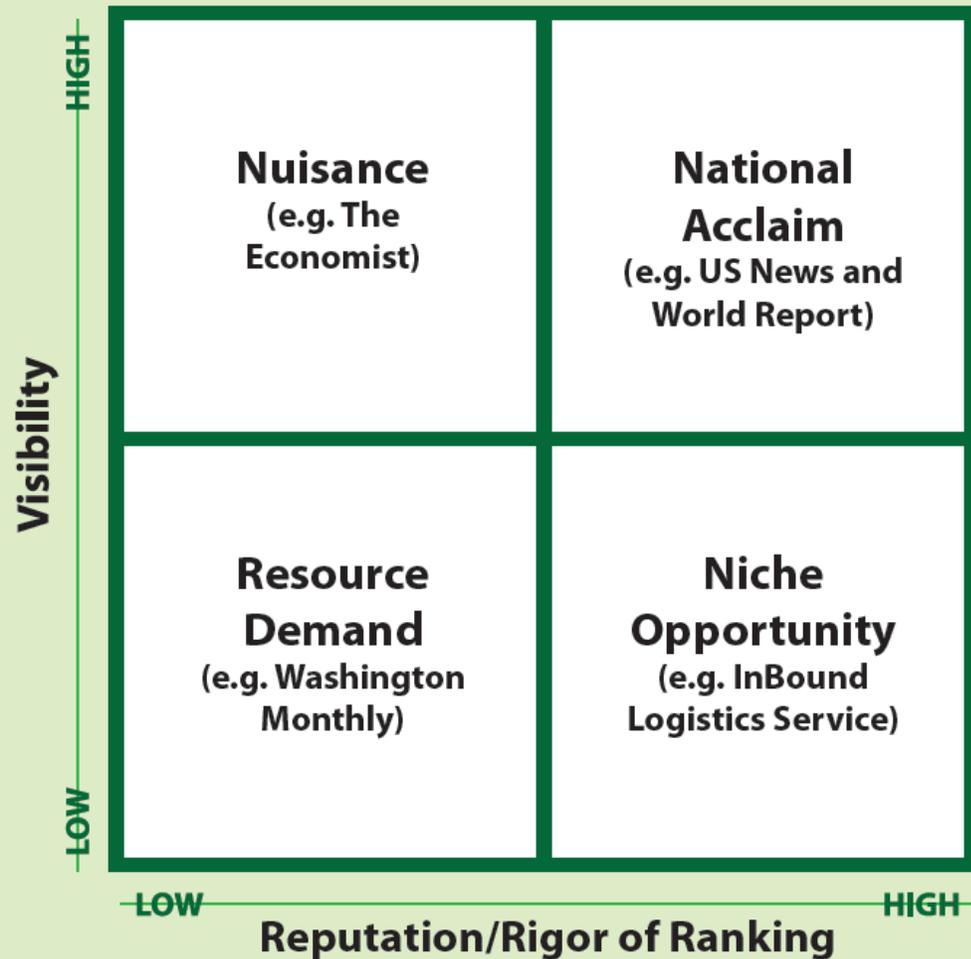
Measurement Level:

- Institution
- Department
- Degree Program

Type of Analysis:

- Quantitative
- Qualitative
- Peer Review/Peer Referral
- Targeted Institutional Assessment

Decision Value Proposition Matrix



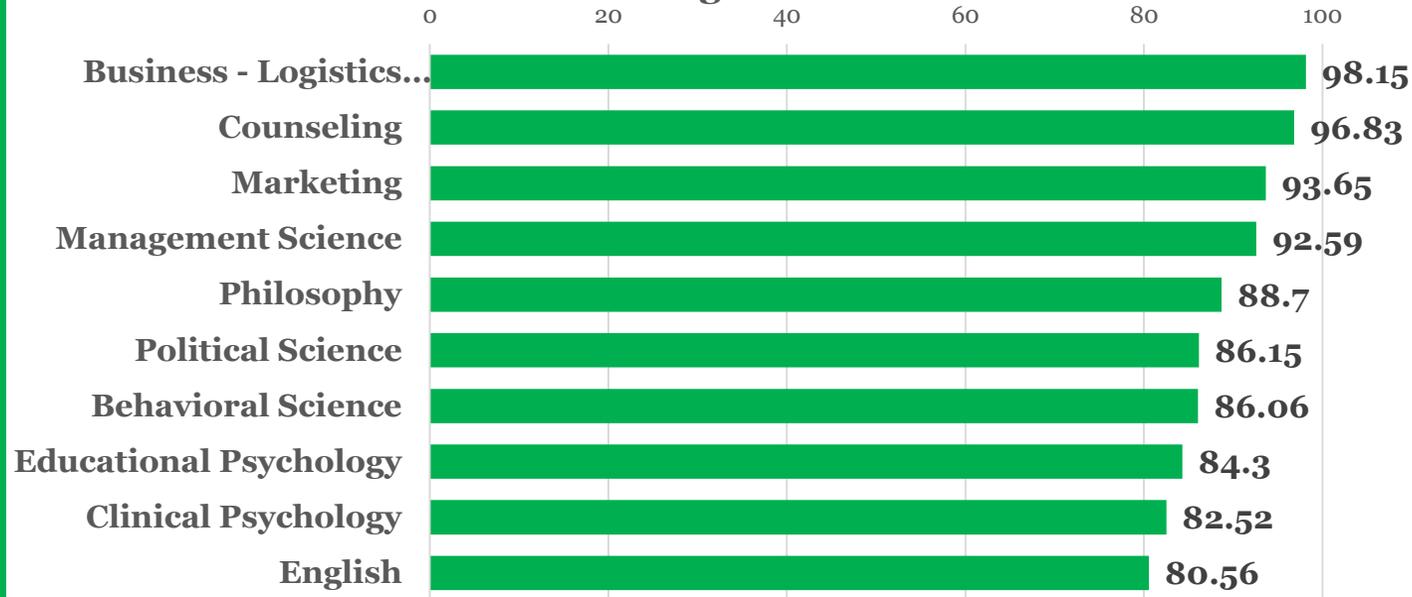
Appraisal of external sources in evaluation of academic strength

External Source Decision Tree for Appraisal of Program Academic Strength

- Are UNT’s aspirational peers adopting this ranking/list?
- Are UNT’s Texas peers adopting this ranking/list?
- Is the dean/chair familiar with the ranking/website/authoring organization and approve of its potential use?
- Does the ranking place UNT in a position of strength?
- Does the ranking provide a competitive edge for UNT in relation to our peers?
- Is the ranking organization issuing the ranking reputable?
- Does the ranking organization stand to earn a profit from website visitors?
- What is the methodology used for this ranking?
 - Is it sound and transparent?
 - Is the source of the sponsoring organization’s data clear?
 - Is there a timeframe for the data source?
 - Is the methodology defensible?

Private Source Appraisal of Academic Strength

**Academic Analytics at UNT: Top 10 Performing Programs
By Percentile Ranking Across All Institutions With Similar
Programs**



Source: Academic Analytics

Academic Analytics: UNT Top 10 Programs

Program Name	Rank & Population
Business - Logistics Systems	2nd out of 53
Counseling	3rd out of 62
Marketing	5th out of 62
Management Science	5th out of 53
Philosophy	14th out of 114
Political Science	19th out of 129
Behavioral Science	24th out of 164
Educational Psychology	20th out of 120
Clinical Psychology	19th out of 102
English	29th out of 143

Other Activities that Influence Academic Program Appraisal

- Program Accreditation
- Curricular Development/Alignment through Academic Program Review
- Degree Program Rigor through Student Evaluation/Survey
- Peer Faculty Evaluation
- Academic Student Experiences
- Faculty Engagement/Research
- Recognized Centers and Endowed Chairs
- Interaction with Diverse Peer Community
- Peer Program Awards and Recognition
- Alumni Institutional Commitment
- Personal Development Among Students
- Holistic Appreciative Experience at UNT

Examples of Strong Programs at UNT

- **Logistics and Supply Chain Management**
- Teacher Education and Administration
- Environmental Philosophy
- **Counseling**
- Jazz Studies
- Behavior Analysis
- **Political Science**
- **Materials Science and Engineering**
- Marketing

Logistics and Supply Chain Management

- The Logistics program is helping to manage one of the most crucial areas of growth in companies throughout Texas and the U.S.
- Rankings:
 - Undergraduate program ranked 3rd of 15 for Supply Chain Management programs by Software Advice
 - Undergraduate program ranked 6th, graduate program ranked 24th in North America by Gartner Inc.
 - Ranked 5th globally based on faculty publishing
 - Undergraduate business program ranked 191th in the nation by *U.S. News & World Report*

Counseling

- Rankings:
 - 13th in the Nation and 1st in Texas from *U.S. News & World Report* for 2014 Best Graduate School ranking
 - Received 1st ranking in 1998, and 2014 signified the 11th time ranked as 1st in Texas and in top 20 nationally
- Other Criteria:
 - Two consecutive years of perfect pass rates on first attempts at the National Counselor Examination and TExES School Counselor Examinations
 - Since 2010, more than 50 awards to department graduate students from professional associations and foundations
 - Since 2010, more than 35 awards to department faculty members for teaching, research and service

Political Science

- Rankings:
 - Political science graduate program ranked 61st in the nation by *U.S. News & World Report*
- Other Criteria:
 - One of the nation's two NSF Research Experience for Undergraduate political science programs
 - The political science department was recently named the editorial home of the *American Political Science Review*, the premier political science journal in the world
 - Houses the Castleberry Peace Institute, home to UNT's Peace Studies program, which addresses the questions of how to forge secure, decent democracies in the face of war, ethnic and religious conflict, corruption, and low levels of development

Materials Science and Engineering

- Rankings:
 - Materials engineering graduate program ranked 65th in the nation by *U.S. News & World Report*
- Other Criteria:
 - Engineering enrollment has doubled in the 12 years since the college was established
 - Undergraduate engineering program ranked 58th in nation by *U.S. News & World Report*
 - Accredited by the Accreditation Board for Engineering and Technology, Inc. (ABET)

Strongest Programs at UNTHSC

Education:

- TCOM, *performance on licensure exams*
- PA program, *performance on licensure exams*
- Medical Sciences Masters Program, *placement in medical school*

Research:

Three institutes, *NIH Funding & National/International Reputation:*

- Institute for Cardiovascular and Metabolic Diseases
- Healthy Aging
- North Texas Eye Research Institute

Other:

- Center for Human Identification, *world renowned for DNA identification*

Administering Institute/Center	Projects	Total Funding
NHLBI	31	\$14,708,566
NIA	25	\$13,645,515
NINDS	34	\$9,409,315
NIDA	21	\$9,080,920
NEI	31	\$8,609,071
NIMHD	9	\$5,022,509
NIMH	12	\$4,500,035
NIDDK	11	\$2,751,657
NCHHSTP	2	\$2,134,179
NIBIB	5	\$1,779,985
NIAID	11	\$1,715,388
NCI	13	\$1,660,884
NCCAM	8	\$1,592,191
NIGMS	3	\$1,545,597
NIAAA	3	\$668,138
NIEHS	1	\$469,670
NICHD	2	\$159,002
NIOSH	2	\$140,932
Total	224	\$79,593,554

Examples of Strong Programs at UNT Dallas

Masters of Counseling:

- Graduates who pass the National Counseling Exam are eligible to become Licensed Professional Counselors (LPC) in the state of Texas.
- **Overall pass rate at UNTD from 2011 - 2015 = 98%** (as reported by the Texas LPC Board) **vs. a national pass rate of 84%** reported by the National Board of Certified Counselors (NBCC) (2012).

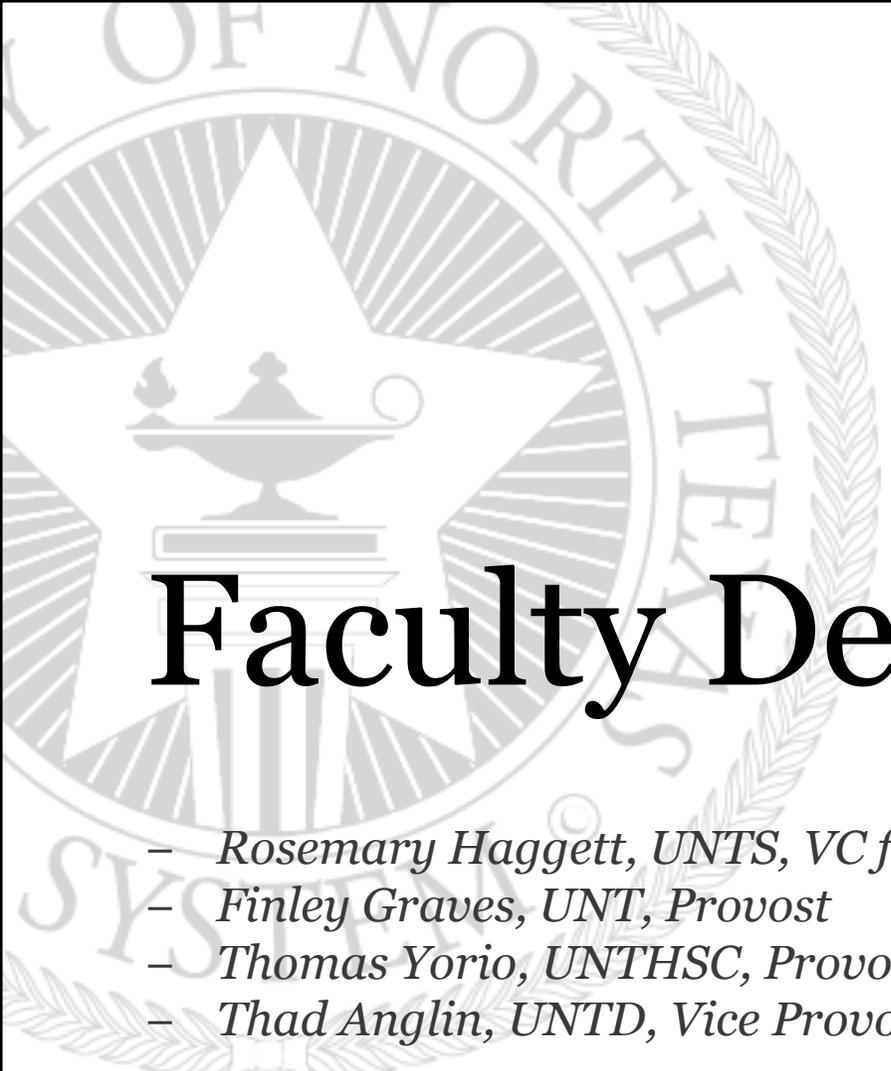
Business - Human Resource Management:

- Three students presented in the ACBSP Region 6 conference in the Student Showcase on experiential learning and their Life School research project.
- Students have been awarded the **Best of Region 6 Student Showcase**.
- Voted to elevate the presentation to the international competition level at the annual conference in Atlanta next June.

Examples of Strong Programs at UNT Dallas

Mathematics:

- Dr. Khan and Dr. Kahng have received \$169,000 in funding over the last five years to promote undergraduate excellence and research in mathematics.
- Worked with students during the summer, creating and executing research programs in math.
- State, regional, and national conference presentations for 16 students, who have been fully funded for their conference travel throughout the country.
- Dr. Khan has also been recommended for the Fulbright Specialist Roster by the U.S. Department of State's Bureau of Educational and Cultural Affairs (ECA) and the Institute of International Education's Council for International Exchange of Scholars (CIES).

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Faculty Deployment & Policies

- *Rosemary Haggett, UNTS, VC for Academic Affairs & Student Success*
- *Finley Graves, UNT, Provost*
- *Thomas Yorio, UNTHSC, Provost*
- *Thad Anglin, UNTD, Vice Provost for Academic Excellence & Outreach*

*Presented to the Board of Regents Academic Affairs & Student Success
Committee November 20, 2015*

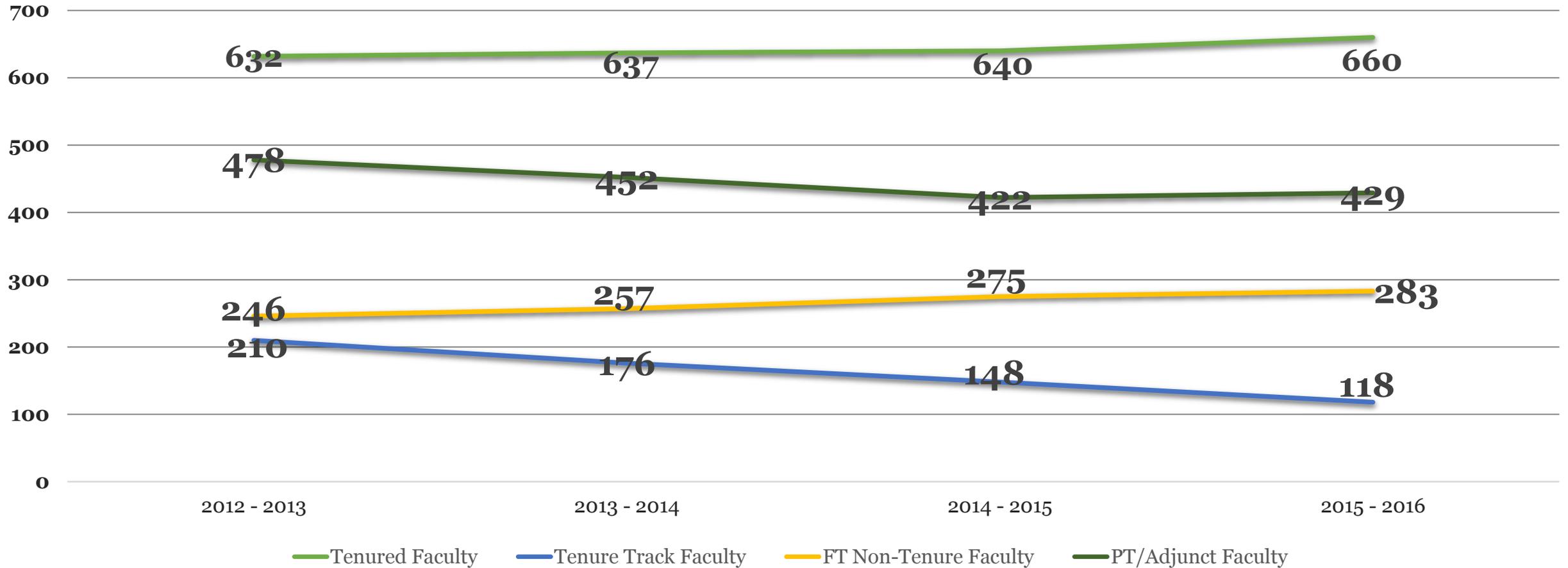


- *How many faculty at the institution are tenure/tenure track, full time non-tenure, and part-time/adjunct, and how have these numbers changed over time?*
- *What are the institution's policies and practices for the awarding of tenure? What is the percentage of tenured faculty at the institution? How has this changed in the past five years and why?*
- *What are the institution's policies and practices for post-tenure review?*

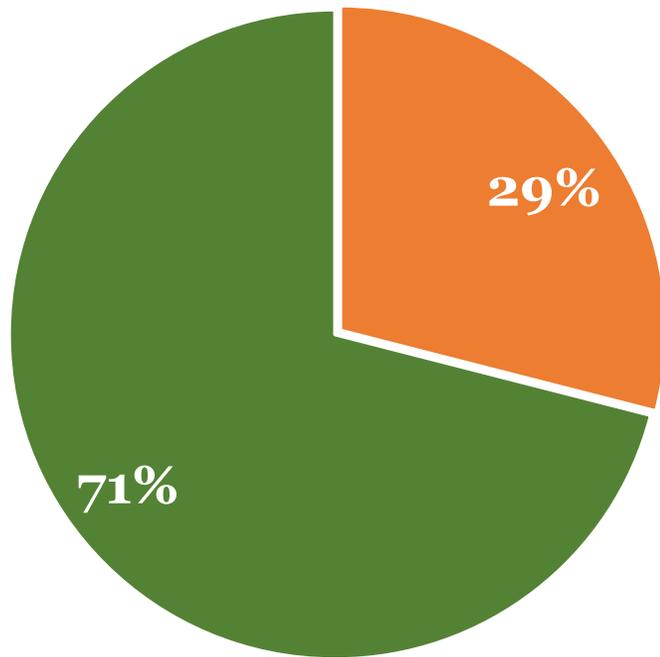


A Look at the Faculty Numbers Over Time

UNT Faculty Data Comparison – 4 Years

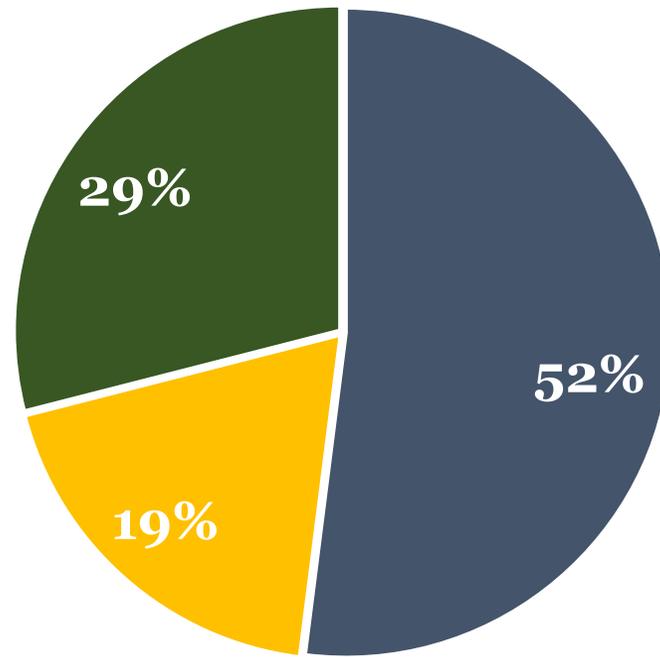


Part Time v. Full Time



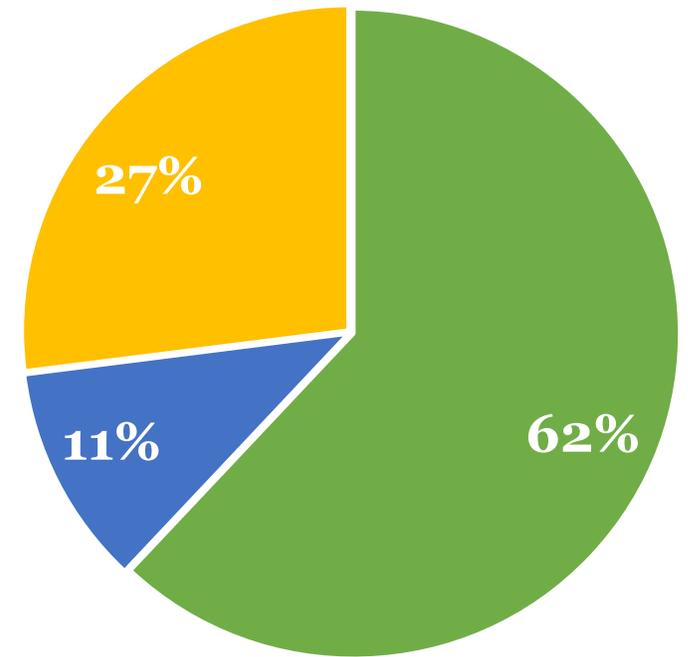
■ Part Time ■ Full Time

Tenure/Tenure Track v. FT Non-Tenure v. PT/Adjunct



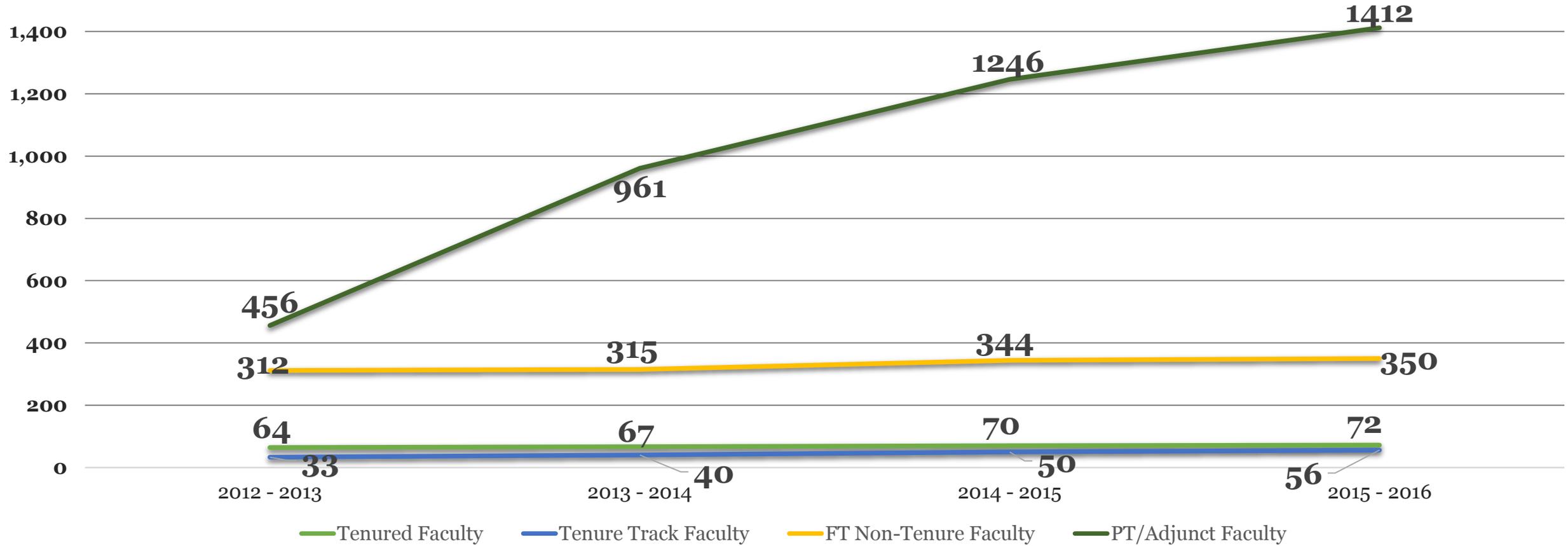
■ Tenure / Tenure Track ■ FT Non-Tenure
■ PT/Adjunct

Full Time Breakdown

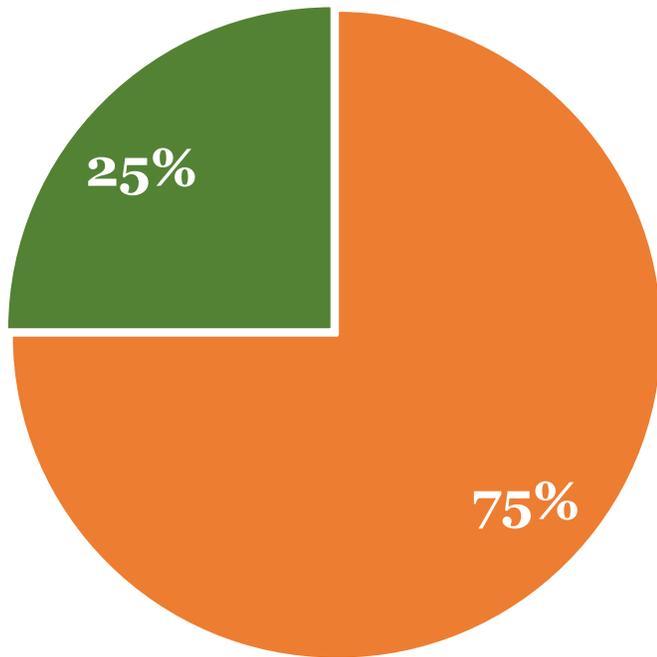


■ Tenured ■ Tenure Track ■ FT Non-Tenure

UNT Health Science Center Faculty Data Comparison – 4 Years

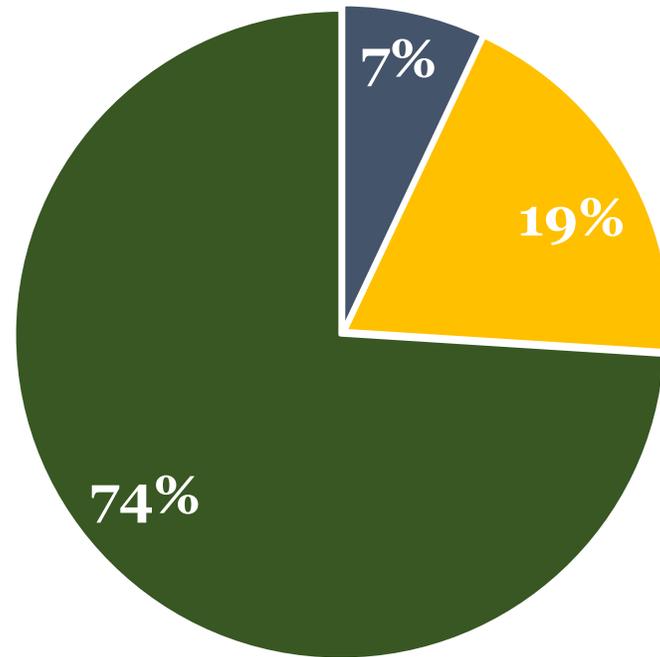


Part Time v. Full Time



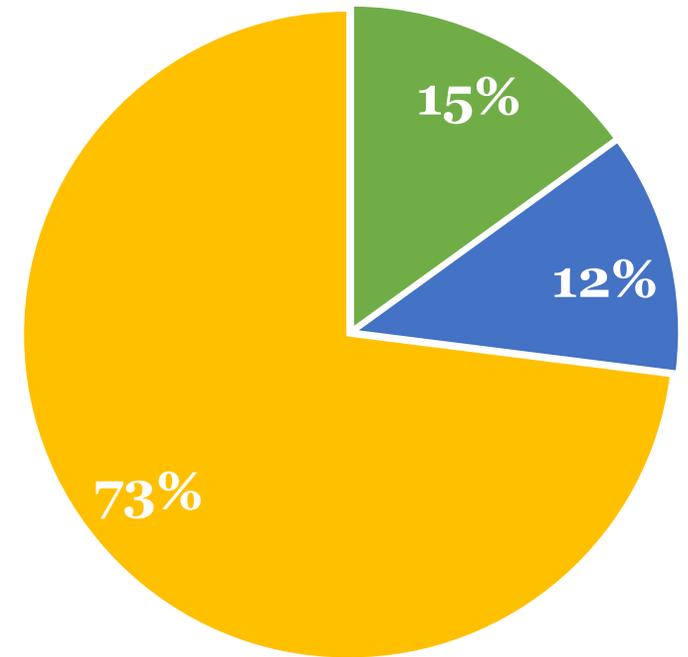
■ Part Time ■ Full Time

Tenure/Tenure Track v.
FT Non-Tenure v.
PT/Adjunct



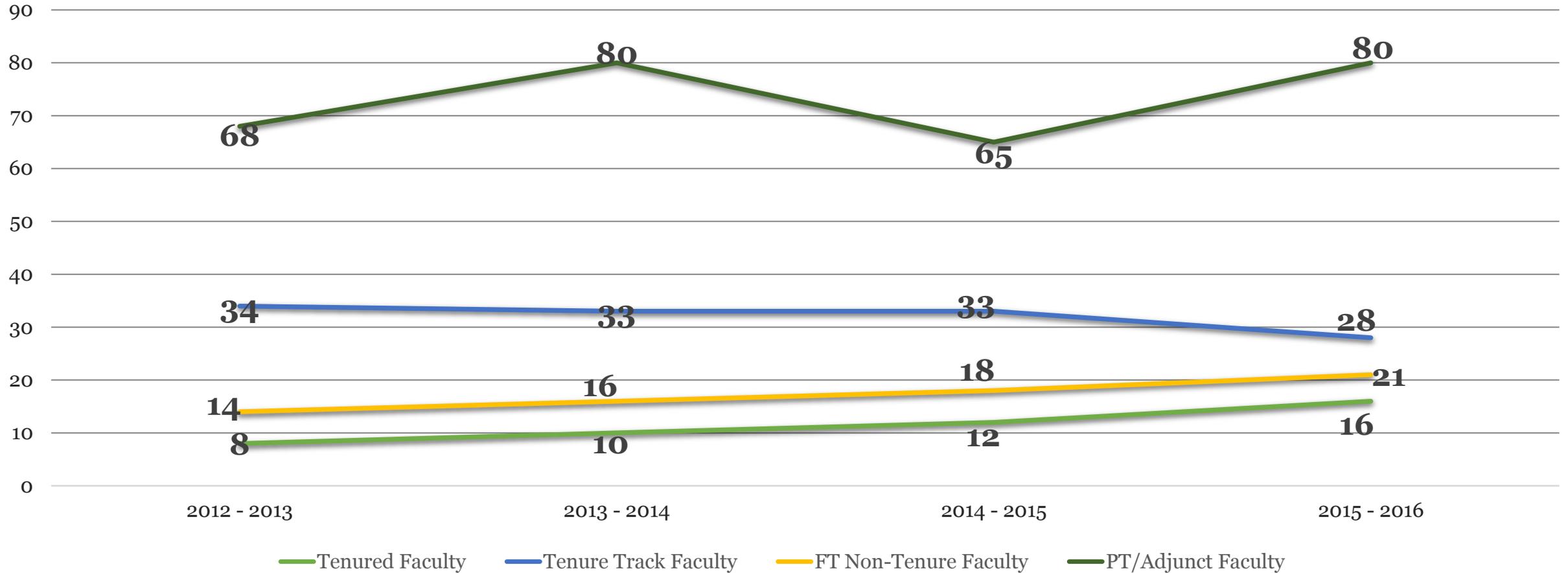
■ Tenure / Tenure Track ■ FT Non-Tenure
■ PT/Adjunct

Full Time Breakdown

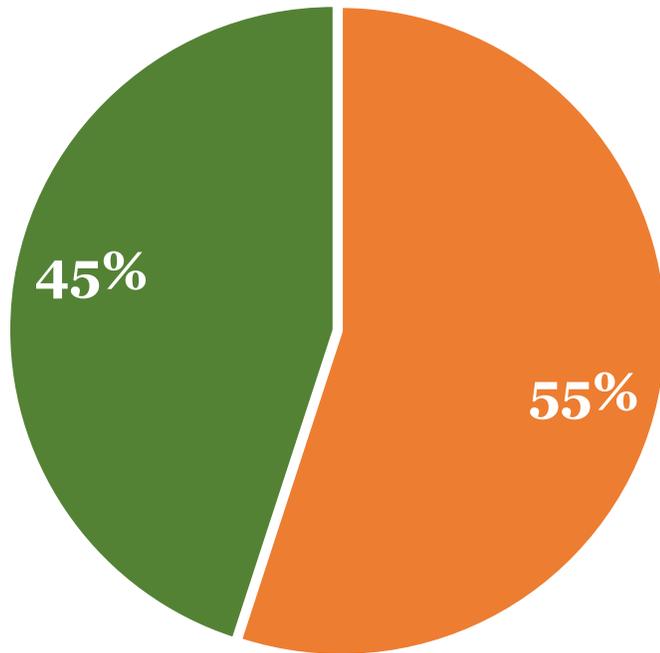


■ Tenured ■ Tenure Track ■ FT Non-Tenure

UNT Dallas Faculty Data Comparison – 4 Years

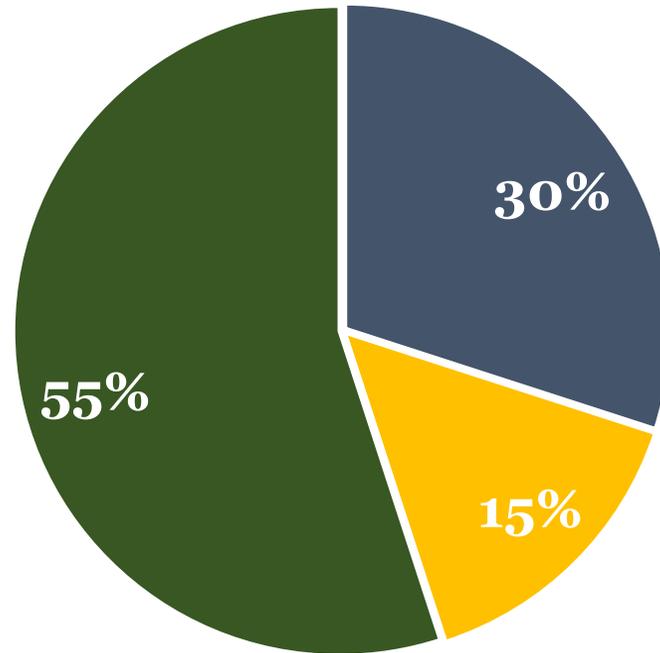


Part Time v. Full Time



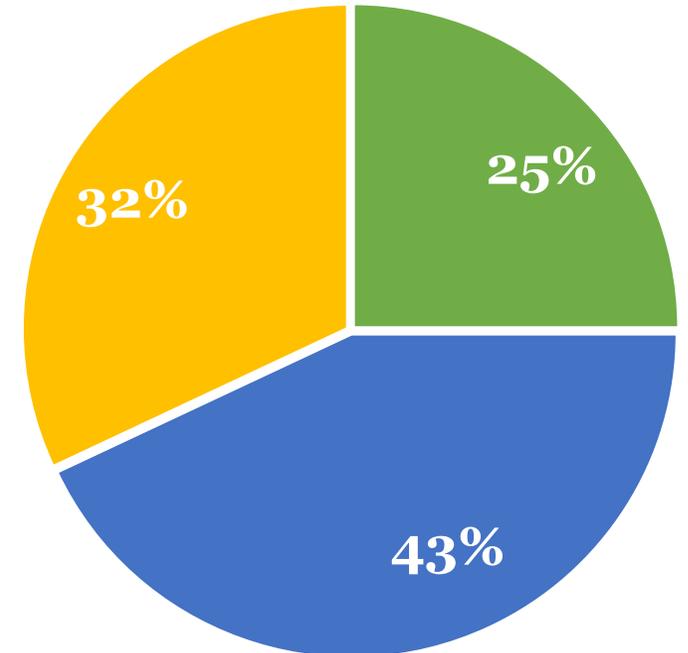
■ Part Time ■ Full Time

Tenure/Tenure Track v.
FT Non-Tenure v.
PT/Adjunct



■ Tenure / Tenure Track ■ FT Non-Tenure
■ PT/Adjunct

Full Time Breakdown



■ Tenured ■ Tenure Track ■ FT Non-Tenure



Policies & Procedures for Awarding Tenure

UNT Promotion & Tenure

- A tenure-track probationary period is specified for each individual at the time of his or her initial appointment, with a maximum probationary period of six years.
- Tenure- track faculty go through a series of rigorous evaluation processes which includes:
 - Second Year Review by the department chair and departmental Reappointment Promotion and Tenure Committee (RPTC)
 - Third Year Reappointment Review by the departmental chair, departmental RPTC and forwarded to the Dean and Provost
 - A fourth and/or fifth year review may be needed and recommended if the assessment warrants
- Assistant professor will be granted tenure upon the recommendation of the Provost, with the concurrence of the President, and the approval of the Board of Regents
- Any faculty member not granted tenure by the end of the probation period will be granted a terminal contract.

Policies and Procedures for Promotion And Tenure

- Faculty initiate the process of Promotion and Tenure. Each School publishes their criteria for promotion and tenure.
- Faculty apply through their department or now institute. There is a requirement for an external review of faculty credentials by individuals selected by the Chair or Executive Director of the Institute.
- Process for review includes local department or institute P&T Committee, the Chair or Executive Director, the school P&T Committee and then the Dean. Recommendations are forward to the Provost and then to the President. For tenure, only the positive recommendations are sent to the Board of Regents.

UNTD Tenure & Promotion Process

1. Rigorous annual review and a mid-tenure review.
UNTD has coached 1 tenure-track faculty into a lecturer position and three other tenure-track faculty were coached out of the university in the last two years on the basis of annual and mid-tenure reviews.
2. Excellence in Teaching is required. Excellence is also required in either Scholarship or Service, with Service defined more broadly to encourage innovation and the development of new programs.
3. Outside evaluators, chosen by Dean with consultation of the faculty member, comment on the strength of the candidate's portfolio.



Policies & Procedures for Post-Tenure Review

UNT Policies and Practices: Post-Tenure Review

- Initiated when a faculty member receives an “unsatisfactory” evaluation from both the department personal affairs committee (PAC) and department chair in their annual performance evaluation
- Faculty are required to enter a Professional Development Program (PDP). The PDP has three possible outcomes:
 1. Completion of the near-term PDP
 2. Initiation of a comprehensive PDP
 3. Termination for cause

Policies and Practices for Post-Tenure Review

- To promote UNTHSC's endeavor to recruit and retain quality and outstanding faculty members, UNTHSC utilizes faculty member performance reviews. This policy establishes guidelines for faculty performance evaluations for post-tenure review.
- Each Tenured Faculty member receives a comprehensive peer evaluation by their department chair/institute executive and a promotion and tenure committee (PTC) and school/college PTC made up of members from the Tenured Faculty members department and/or institute and school/college, no less than once every six (6) years after the date the Tenured Faculty was granted tenure, received an academic promotion or approval of post tenure performance.
- The PTC will review evidence of a Tenured Faculty member's teaching, research and/or other scholarly activities, service, and patient care (for faculty with clinical responsibilities) skills, with the process being directed toward the professional development of the Tenured Faculty member .
- Recommendations from these PTCs are sent to the appropriate Dean for review and action.
- Recommendations include: satisfactory performance, superior performance, or needs improvement.
- Needs Improvement generates a two-year development plan. If after two years performance is unsatisfactory, sanctions will be administered, which can include a terminal contract.

UNTD Policies and Practices: Post-Tenure Review

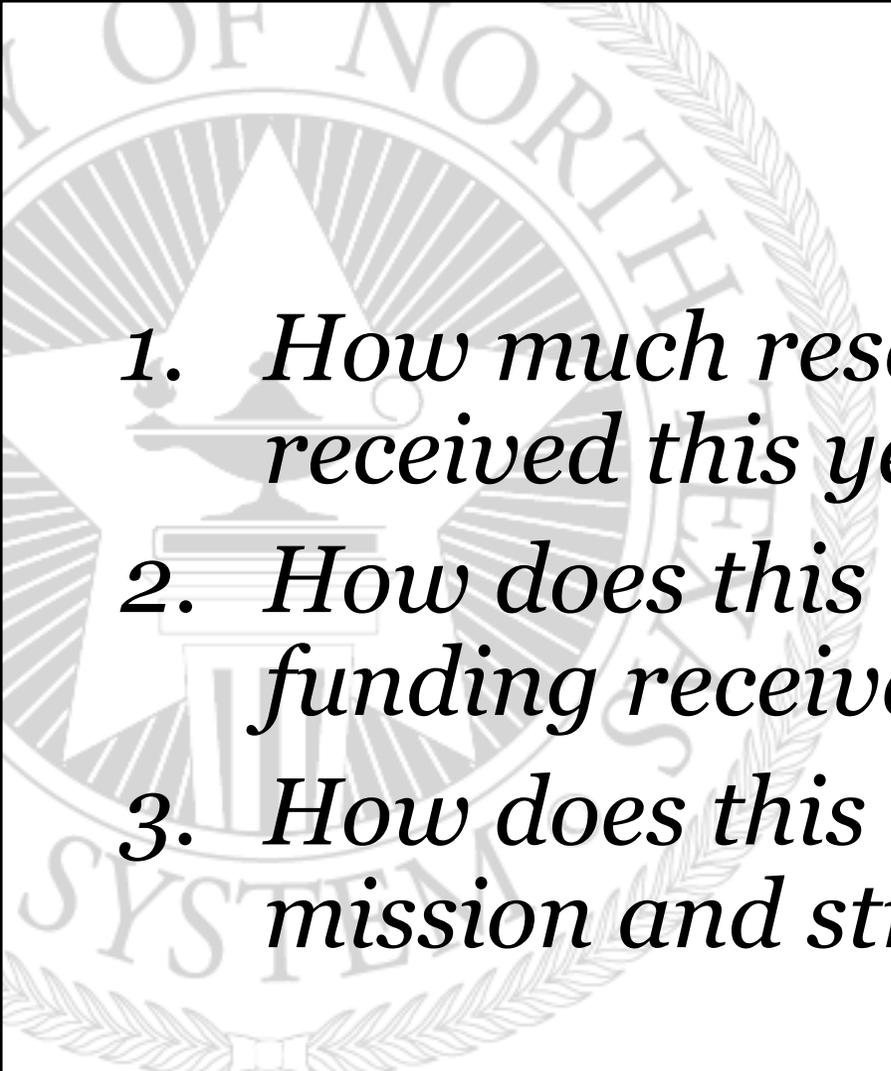
- UNTD is currently updating the Tenure and Promotion procedures and will include post-tenure review for all tenured faculty.
- All faculty are annually reviewed.

The seal of the University of North Texas System is visible in the background on the left side of the page. It features a central five-pointed star with a lamp of knowledge on a pedestal in front of it. The words "UNIVERSITY OF NORTH TEXAS" are written around the top of the star, and "SYSTEM" is written at the bottom. The entire seal is surrounded by a laurel wreath.

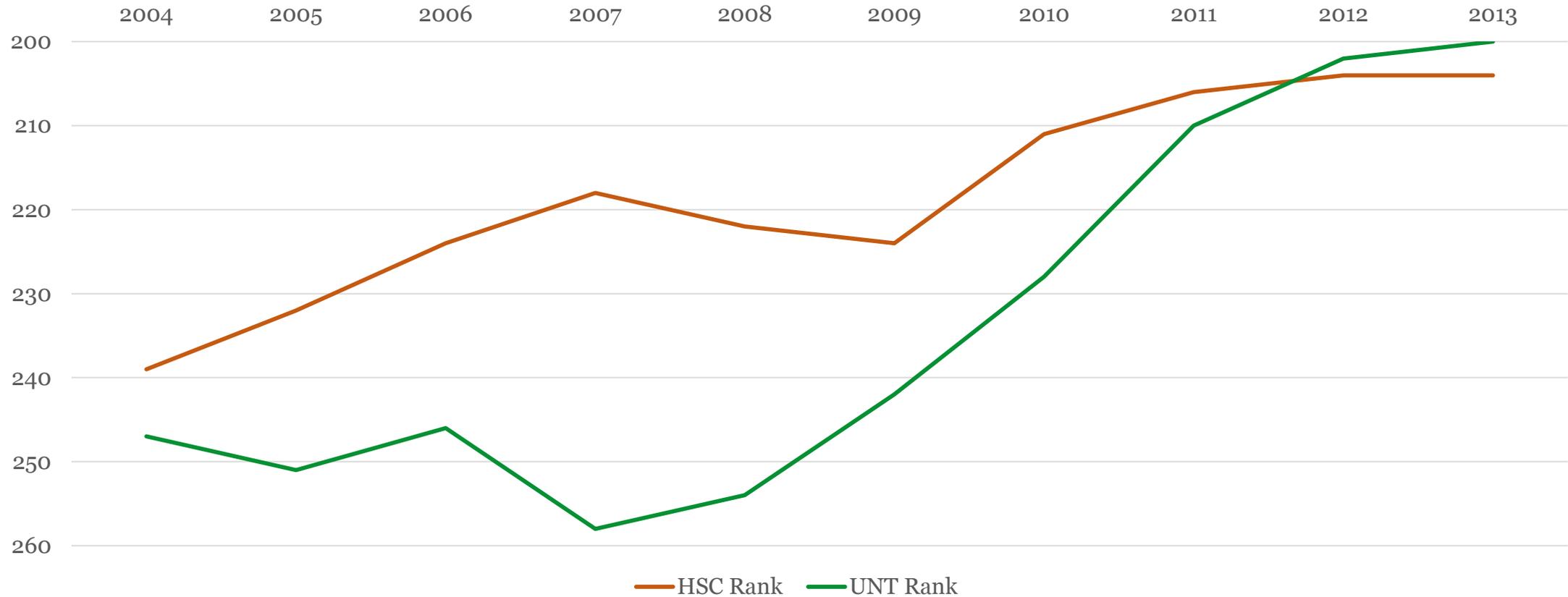
Report on Research Funding

- *Rosemary Haggett, UNTS, VC for Academic Affairs & Student Success*
- *Finley Graves, UNT, Provost*
- *Thomas Yorio, UNTHSC, Provost*

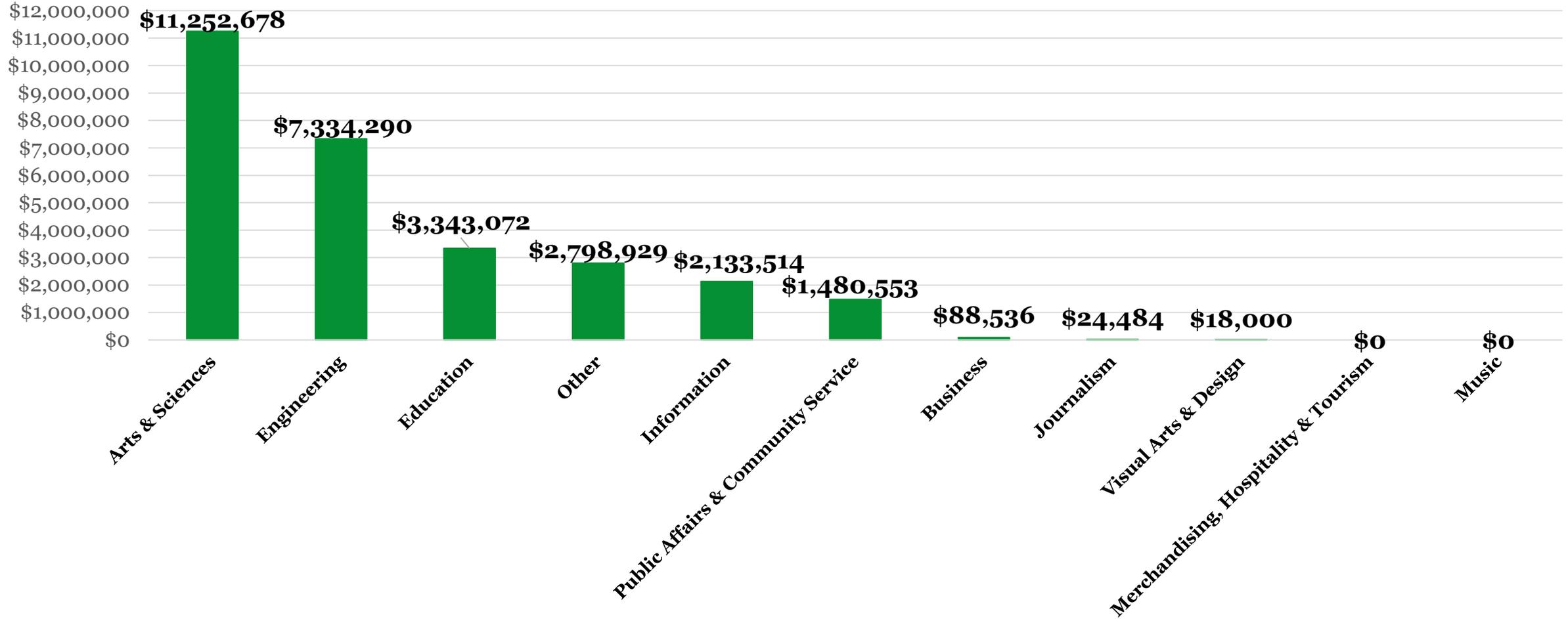
*Presented to the Board of Regents Academic Affairs & Student Success
Committee November 20, 2015*

- 
1. *How much research funding has the institution received this year and in what areas?*
 2. *How does this compare to past years and to funding received by peers?*
 3. *How does this align with the institution's mission and strategic plan?*

National Ranking by Total R&D Expenditure

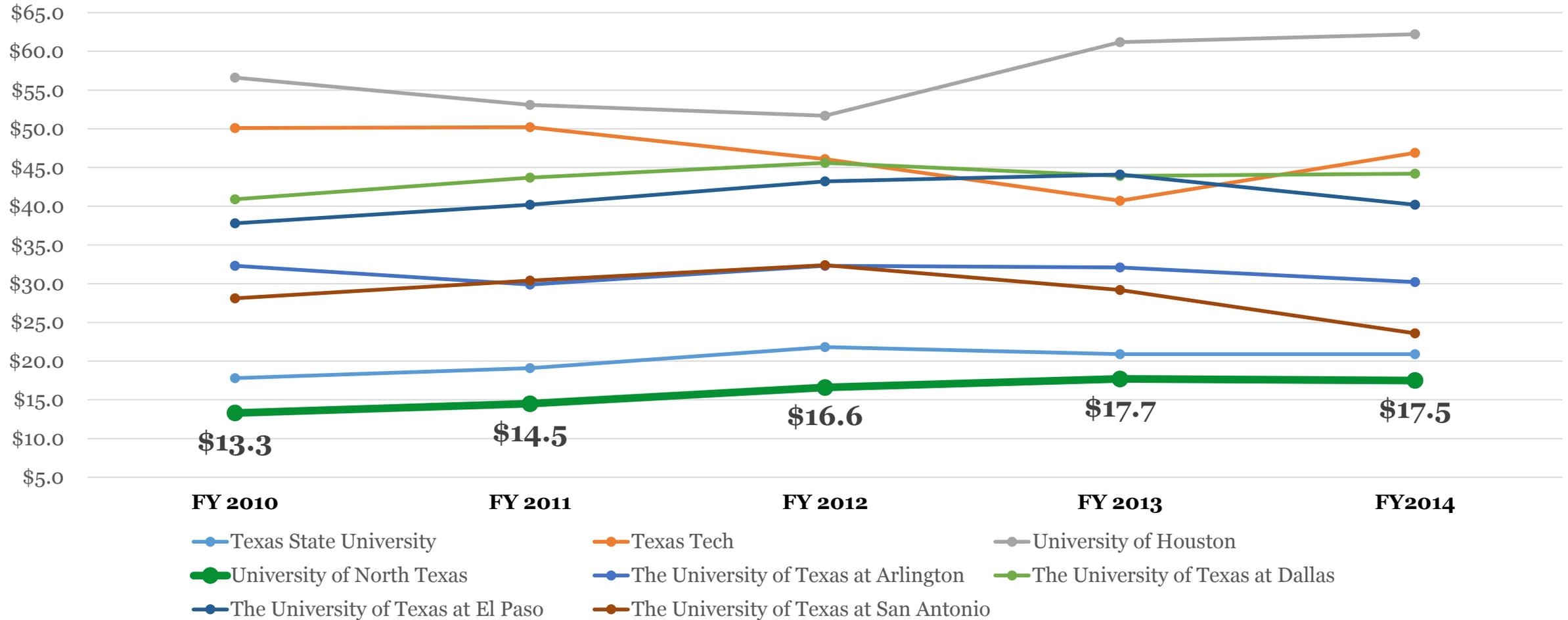


Annual Awards by College – FY 2015



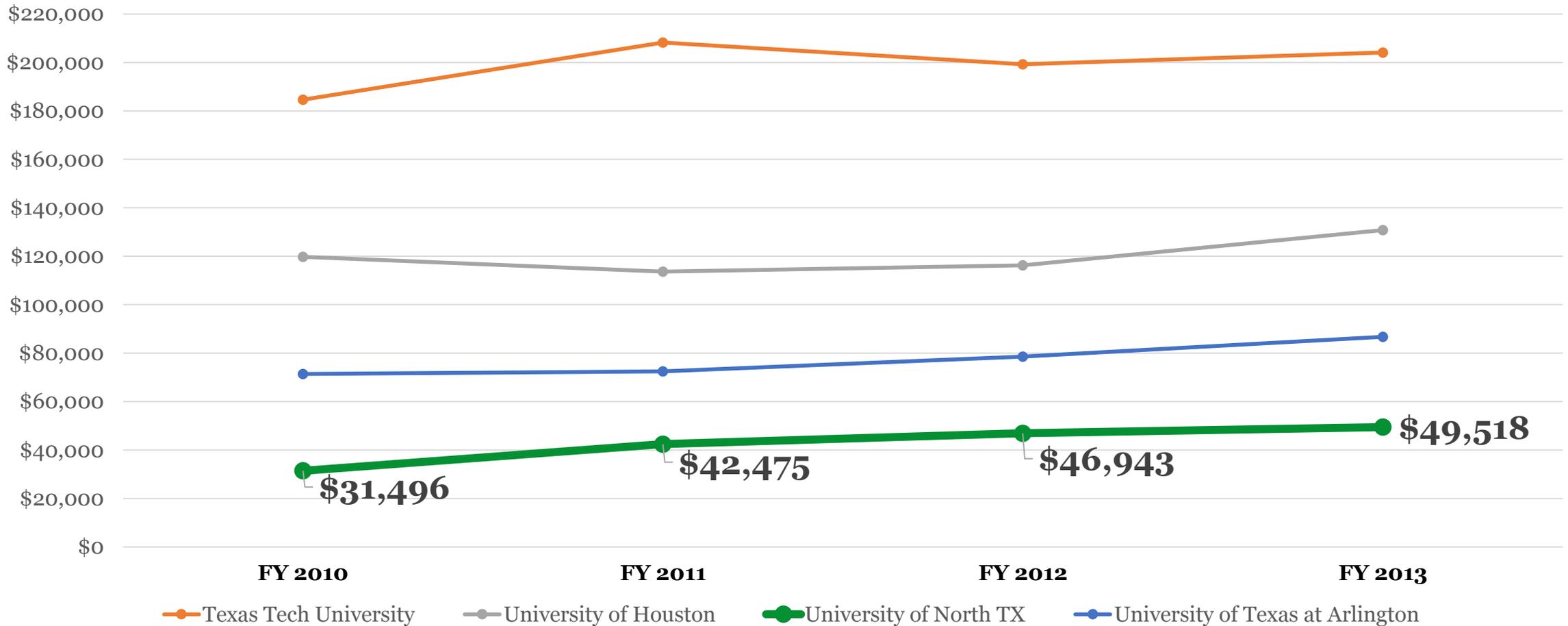
Total Restricted Research Expenditures Compared to Texas Peers

(Numbers in millions; Data from the Texas Higher Education Coordinating Board)



Total Research Expenditures Compared to Texas Selected Peers

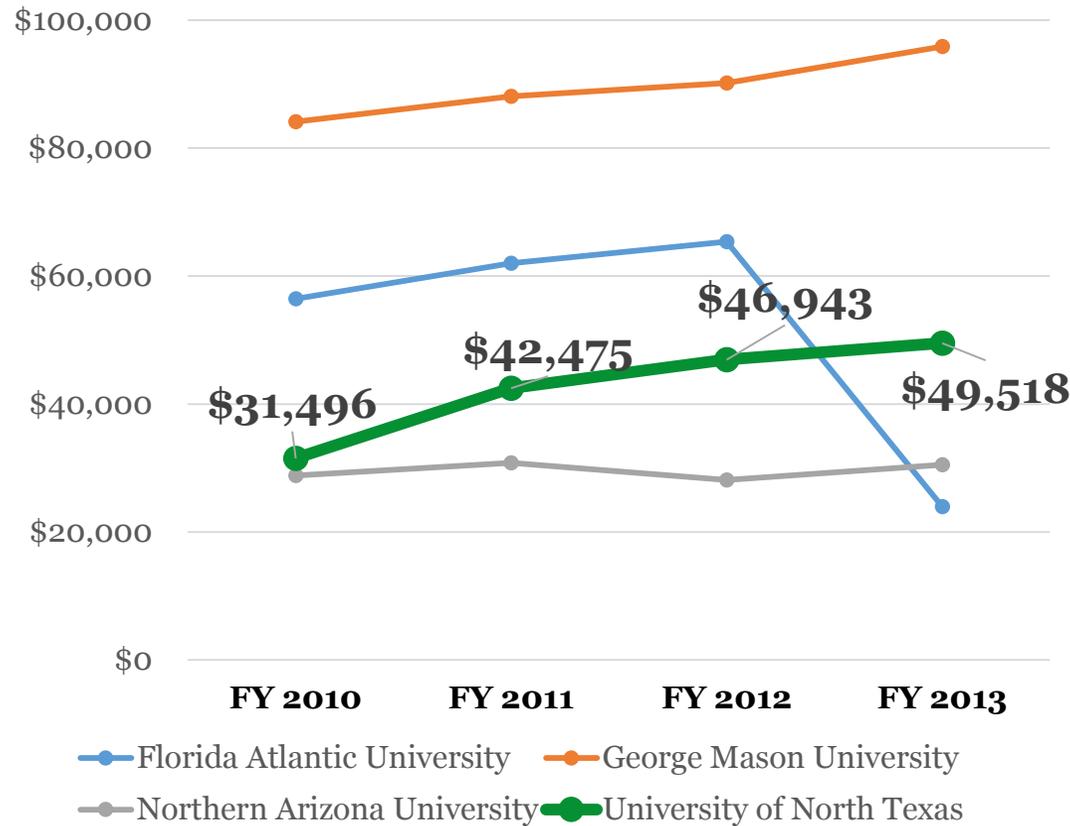
(numbers in thousands, data from NSF R&D Expenditure Survey)



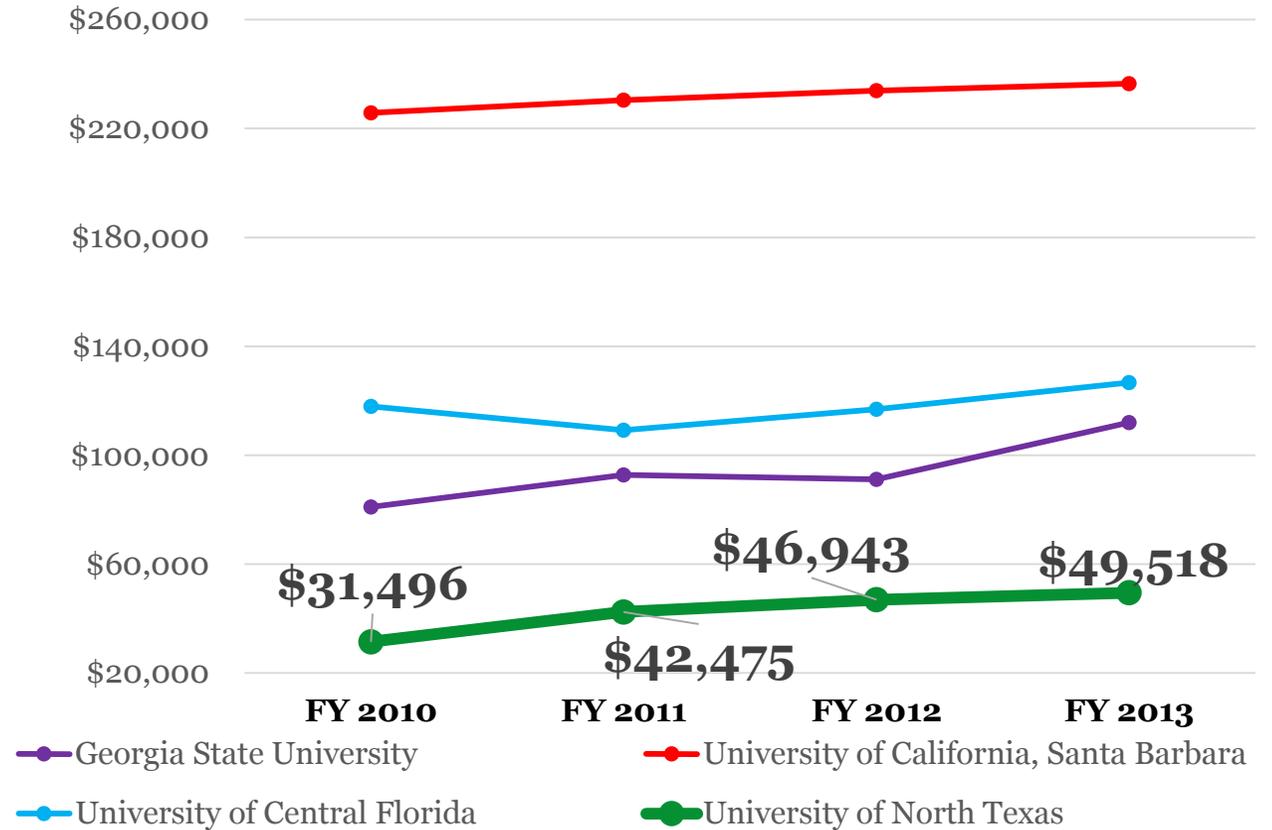
Total Research Expenditures Compared to National Peers

(numbers in thousands, data from NSF R&D Expenditure Survey)

Similar to UNT



Tier One Selected Peers



Alignment with the UNT Mission

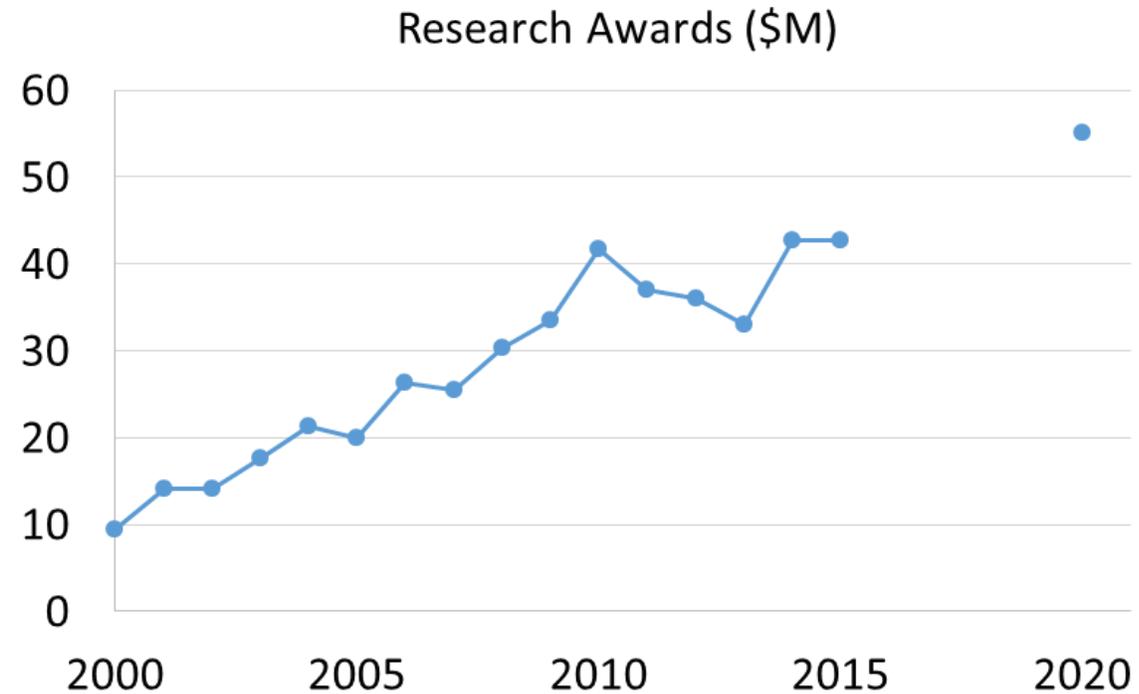
Focus to significantly improve the following areas:

- **People:** Recruit faculty in STEM disciplines who will be able to transfer their grants from their current institution to UNT.
- **Research Space:** Identify other ways to increase research space over the next several years as UNT did not receive a TRB for the science and technology building. Renovate the SRB to provide space for new hires next year. Renovate and repurpose other spaces. Expand research space at Discovery Park.
- **Instrumentation and User Facilities:** Continue developing high-end, state-of-the-art equipment facilities, such as the Center for Advanced Research and Technology and associated Clean Room, the Bioanalytical Facility and the Logistics Lab.

Alignment with the UNT Mission, Cont.

- Situation:** Federal funding in constant dollars has decreased by 16% since 2010. Only real growth in funding has been for interdisciplinary and multi-investigatory multi-million dollar awards.
- Solution:** Four cross-departmental Institutes of Research Excellence. Proposals for these large awards pursue private sector funding.
- **Advanced Environmental Research Institute (AERI)**
 - **Advanced Materials and Manufacturing Processes Institute (AMMPI)**
 - **BioDiscovery Institute (BDI)**
 - **Institute for Logistics Research**

Total Research Awards & Expenditures Compared to Peers



UNTHSC	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
Expenditures (M\$)	18.520	22.325	25.124	28.187	28.179	29.582	38.862	45.943	46.865	44.904
Rank	239	232	224	218	222	224	211	206	204	204

Peer Comparison – Total Research Expenditures

Peer Institutions - 2013

LSU Health Science Center, New Orleans	\$49.4M
UNT Health Science Center, Fort Worth	\$44.9M
Eastern Virginia Medical School, Norfolk	\$44.2M
SUNY Health Science Center, Brooklyn	\$39.3M
SUNY Upstate Medical Center, Syracuse	\$34.3M

Aspirational Peers:

Texas Tech Health Science Center, Lubbock	\$61.4M
Georgia Regents University, Augusta	\$64.0M
Rush University, Chicago	\$81.8M

Out of State Peers*		Total Research Expenditures			
Institution		FY 2010	FY 2011	FY 2012	FY 2013
UNTHSC		\$39,854,879	\$41,549,340	\$41,954,584	\$44,936,415
University of Mississippi Medical Center		\$26,490,614	\$31,892,856	\$33,361,020	\$30,880,268
Upstate Medical University		\$24,745,268	\$25,888,504	\$23,322,850	\$17,694,826

*Out of state peers as used by the THECB for their Accountability System

Mission and Strategic Plan Alignment

- Mission: Create Solutions for a Healthier Community
- Strategic Plan Alignment: Key objective is to Transform to High-Performing Health Science Center
 - Implement Institute Structure that promotes interdisciplinary research
 - Create new research partnerships
 - Increase research funding to \$55 million by 2020



Board Briefing

Committee: Academic Affairs and Student Success

Date Filed: November 5, 2015

Title: Approval of Tenure Recommendation for New UNT Dallas Faculty Appointee

Background:

In accordance with the University of North Texas at Dallas Policy 6.009 Tenure and/or Promotion Review, " the President, in consultation with the Provost, is responsible for ensuring that any individual who is considered for tenure before the institution has a sufficient number of faculty with the credentials necessary to establish departmental, division and/or institutional promotion and tenure committees, has demonstrated significant academic work in his or her academic discipline; demonstrated excellence and substantial professional achievements in the areas of teaching and student success, research, scholarly and creative activities, and service and public engagement in the context of, and consistent with, levels expected at peer or aspirational peer programs; and demonstrated a desire to work as a member of a group and understands the nature of membership in a community of scholars. The President may appoint an ad hoc committee on tenure and promotion to assist with this responsibility.

Dr. John Gasko, Ph.D. is starting in March 2016 at UNT Dallas as Dean of the School of Education and Professor of Education. Dr. Gasko comes to UNT Dallas from UChicago Impact where he served as Chief Executive Officer as well as Managing Director of The University of Chicago Urban Education Institute.

Dr. Gasko earned his Ph.D. in Educational Leadership, Policy and Strategic Planning, Summa Cum Laude from the Public School Executive Leadership Program, University of Texas Austin in 2008, his Master of Arts in Education and Teaching from St. Mary's University, and his Bachelor of Science in Engineering from the New York Merchant Marine Academy.

Upon completing his Ph.D. in 2008, Dr. Gasko was recruited by Dr. Susan Landry as Associate Director of the Children's Learning Institute at the University of Texas Health Science Center in Houston. For the next six years he oversaw several research-based initiatives including preparing teachers across the State to advance school readiness for 40,000 young children, while also chairing the Texas Governor's Early Learning Council. In 2014 John moved to the University of Chicago to grow UChicago Impact, a nonprofit business arm of the University that provided "highest quality research-based diagnosis and training" to 60 schools districts across the country, including large districts and leading charters (they serve every KIPP elementary school, Achievement First, Rocketship, Uncommon Schools, etc.). He also directed University of Chicago's Urban Education Institute, which conducts applied research and creates and disseminates solutions that are research-based and practice-proven.

Dr. Gasko has a long history in education. In addition to the above, he served as Director of Research and Public Policy at the Children's Defense Fund in Austin, TX, as Dean of Academic

(Curriculum Instruction & Guidance) at Holy Cross Middle and High School in San Antonio, TX, and as a Research Associate at the University of Texas Center for Education Policy in Austin.

He has a proven track record in philanthropic and fundraising activities securing over \$9 million funding in the past two years.

After review of his qualifications, the UNT Dallas Tenure and Promotion committee, made up of tenured faculty and chaired by Dr. Isaura Flores, Associate Professor of Business Entrepreneurship, recommended that tenure be granted to Dr. John Gasko. The provost concurred with the recommendation and presented it to the president. 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: 2015.11.11 15:50:05 -06'00'

Institution Chief Financial Officer

Janet
Waldron

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DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2015.11.11 17:46:40 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule:

Tenure will be effective upon Board approval on Dr. Gasko's official start date.

Recommendation:

The President recommends, with the concurrence of the Chancellor, that the Board of Regents authorize and approve the award of tenure for Dr. John Gasko.

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: 2015.11.11 15:58:20 -06'00'

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: 2015.11.11 13:36:50 -06'00'

Vice Chancellor

Lee Jackson Digitally signed by Lee Jackson
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ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2015.11.12 11:02:50 -06'00'

Chancellor



Board Order

Title: Approval of Tenure Recommendation for New UNT Dallas Faculty Appointee

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 19-20, 2015, 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, the President, in consultation with the Provost, is responsible for ensuring that any individual who is considered for tenure has the necessary credentials before the institution has a sufficient number of faculty with the credentials necessary to establish departmental, division and/or institutional promotion and tenure committees, and the President may appoint an ad hoc committee on tenure and promotion to assist with this responsibility, and

Whereas, Dr. John Gasko will begin as Dean of Education and Professor of Education in March, 2016 coming to UNT Dallas from UChicago Institute and the University of Chicago Urban Education Institute, and

Whereas, Dr. John Gasko has a proven record as an effective fundraiser, administrator, and educator and has met the UNT Dallas criteria for the awarding of tenure,

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

1. The conferring of tenure to Dr. John Gasko, effective on his official start date at the University of North Texas at Dallas.

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 August 27-28, 2015

Thursday, August 27, 2015

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 27, 2015 in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following members in attendance: Regents Don Potts, Steve Mitchell, Rusty Reid and Glen Whitley.

There being a quorum present the meeting was called to order by Committee Chairman Potts, at 2:10 pm. The minutes of the May 21-22, and July 31, 2015 Finance and Facilities Committee meetings were approved on a 4-0 vote following a motion by Regent Whitley seconded by Regent Reid.

Chair Potts introduced Rama Dhuwaraha, UNT System Interim Associate Vice Chancellor and Chief Information Officer, and Dan Stephens, UNT System Associate Vice Chancellor for Finance & Controller, who briefed the Board on **PeopleSoft 9.2 Implementation and Business Process Changes**.

UNT System Vice Chancellor for Finance Janet Waldron presented the **Financial Transformation Remediation Update**.

Chair Potts noted that there were four action items on the agenda for that afternoon, with more to be considered the following day. The first action item was presented by Vice Chancellor Waldron.

16. UNTS Contract Approval with Deloitte & Touche, LLP for Continued Financial Remediation in Conjunction with UNTS Financial Transformation Project

Pursuant to a motion by Regent Steve Mitchell and seconded by Regent Rusty Reid, the Committee approved the above item on a 4-0 vote.

Paige Smith, Associate Vice Chancellor for Budget, presented the Fiscal Year 2016 UNT System Consolidated Operating Budget and requested its approval.

17. UNTS FY16 UNT System Consolidated Budget

Pursuant to a motion by Regent Rusty Reid and seconded by Regent Steve Mitchell, the Committee approved the above item on a 4-0 vote.

James Maguire, UNT System Vice Chancellor, presented the next action item.

18. UNTS Approval of the UNTS FY16 Capital Improvement Plan

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

The final action item of the afternoon was presented by James Mauldin, Associate Vice Chancellor of Treasury.

19. UNTS 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

Pursuant to a motion by Regent Rusty Reid and seconded by Regent Steve Mitchell, the Committee approved the above item on a 4-0 vote.

Chair Potts noted that the Committee had received six background reports:

- **UNTS FY15 Year-to-Date Budget to Actual Report**
- **UNTS Investment Update – Q3 FY15**
- **UNT System Construction and Major Renovation Projects Status Report**
- **UNT Capital Projects Plan Update**
- **UNTHSC Capital Projects Plan Update**
- **UNTD Capital Projects Plan Update**

There being no further business, the Committee meeting recessed at 3:18 pm until the following day.

Friday, August 28, 2015

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System reconvened on Friday, August 28 22, 2015 in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following members in attendance: Regents Don Potts, Steve Mitchell, Rusty Reid and Glen Whitley.

There being a quorum present the meeting was called to order by Committee Chair Potts at 9:01 am.

Chair Potts noted that the Committee had eight action items to consider. Vice Chancellor James Maguire presented the first action item.

20. UNTS Update to the Project Budget and Project Scope for the UNT Science Research

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

The next action item pertained to a set of changes to a number of Regents Rules. Vice Chancellor and General Counsel, Nancy Footer, explained what these changes entailed and why they were necessary.

- 21. UNTS** **Amendment to Regents Rules 03.400, Committees; 03.900, Delegation of Authority for Contracts and Agreements; 04.500, Audit and Compliance; 05.700, System Administration and Institution Ethics and Standards of Conduct; 10.500, Disposal of Property; 11.100, Campus Master Plan; 11.200, Construction and Repair and Renovation Projects; 11.300, Real Property Acquisition; 11.400, Real Property Acquisition by Eminent Domain; 11.700, System or Institution Action Affecting Private Real Property Rights; 11.800, Parking and Traffic Regulations and Deletion of Regents Rule 11.500, Transfer of Real Property Rights**

Pursuant to a motion by Regent Steve Mitchell and seconded by Regent Rusty Reid, the Committee approved the above item on a 4-0 vote.

Vice Chancellor James Maguire presented the next action item.

- 22. UNTS** **Acquisition of Real Property located at 975 Haskell Street, Fort Worth, Texas**

Pursuant to a motion by Regent Rusty Reid and seconded by Regent Steve Mitchell, the Committee approved the above item on a 4-0 vote.

Susan Sherman, Assistant Vice Chancellor for Financial Planning and Policy presented the next action item.

- 23. UNTS** **Approval to Request to Exceed the Full-time Equivalent Limitation for Fiscal Year 2016**

Pursuant to a motion by Regent Rusty Reid and seconded by Regent Steve Mitchell, the Committee approved the above item on a 4-0 vote.

The next action item was a request from UNT to increase the UNT Intercollegiate Athletic Fee. Rick Villarreal, Director of Athletics, discussed the item with the Board.

- 24. UNT** **Request for Increase of UNT Intercollegiate Athletic Fee**

Pursuant to a motion by Regent Steve Mitchell and seconded by Regent Rusty Reid, the Committee approved the above item on a 4-0 vote.

The next action item was presented by Vice Chancellor James Maguire.

25. UNT Approval of Construction Contract for Willis Library – Mechanical, Electrical, and Plumbing (MEP) Renovation Project

Pursuant to a motion by Regent Rusty Reid and seconded by Regent Steve Mitchell, the Committee approved the above item on a 4-0 vote.

John Harman, UNT Health Science Center Chief Financial Officer presented the last two action items for the Committee's consideration.

26. UNTHSC Delegation of Authority to the Chancellor for Approval of UNTHSC Intergovernmental Transfers (IGT) of Funds for FY 2016 in the Texas Healthcare Transformation and Quality Improvement Program (1115 Transformation Waiver)

Pursuant to a motion by Regent Rusty Reid and seconded by Regent Steve Mitchell, the Committee approved the above item on a 4-0 vote.

27. UNTHSC UNTHSC Plan for Professional Medical Malpractice Self-Insurance Annual Report and Approval of FY 2016 Premium Rates

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

There being no further business, the Committee meeting adjourned at 9:31 am.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: Nov 13, 2015

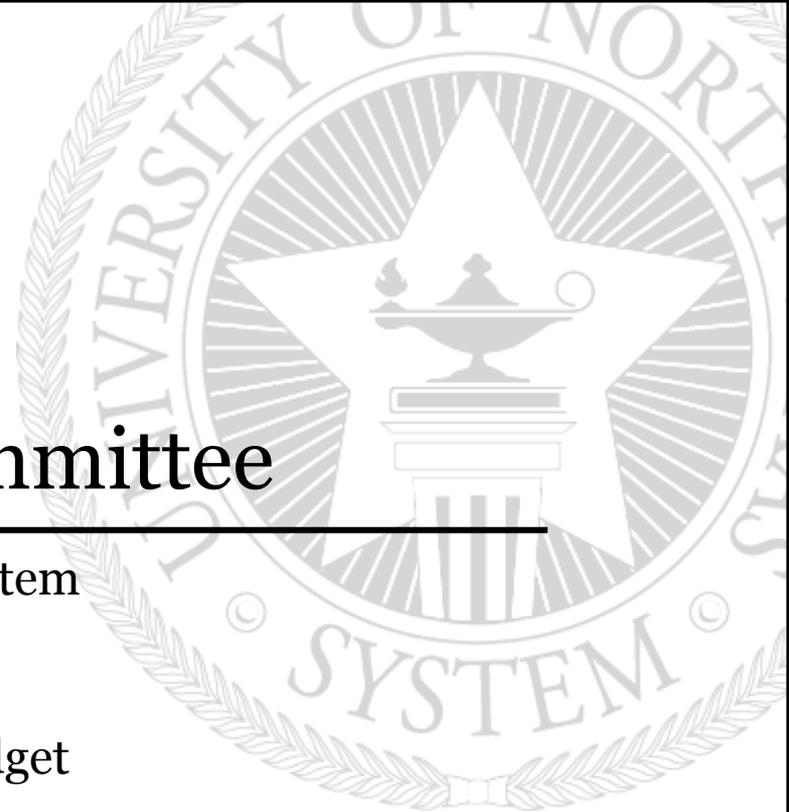
Board of Regents Finance and Facilities Committee

Fiscal Year 2015 University of North Texas System
Review of New System Regulations

Presented by:

Paige Smith, Associate Vice Chancellor for Budget

Date: November 19-20, 2015



New System Regulations

Reserves Policy

- Primary reserve ratio (unrestricted operating reserves) of no less than 25% with target of 50%
- Equivalent of 3-6 months of operating disbursements
- Unrestricted operating reserves ratio <15% results in monitoring by System Administration until minimum unrestricted operating reserve ratio of 15% is achieved
- Unrestricted operating reserve ratio >50% requires explanation and submission of plan to reduce unrestricted operating reserves to <50% by the of next fiscal year.

Primary Reserve Ratio - is the level of expendable net assets divided by total expenses using financial statement information. The ratio can be used to determine the number of months a campus could operate if it brought in no additional revenue but maintained its expenses by using expendable reserves to pay its bills



Net Assets – include unrestricted (designated and undesignated), and restricted fund balances resulting from assets in excess of liabilities at fiscal year-end



Unrestricted Operating Reserves (or expendable net assets) – funds available to support the day-to-day operations of an institution; includes unrestricted-undesignated fund balances, and can also include unrestricted-designated fund balances (should not include funds set aside for future capital replacement needs, future debt service needs, etc.)

New System Regulations

Variance Policy

- Variances of more than 5 percent and more than \$500,000—or any variance in excess of \$750,000 must be reported and explained to the Vice Chancellor for Finance.
- Variances of more than 10 percent and more than \$1,000,000—or any variance in excess of \$2,000,000—must be reported and explained to the Board of Regents Finance and Facilities Committee.
- Each year, corresponding with the presentation of the Consolidated Annual Financial Report, or within a reasonable time period thereafter, the Vice Chancellor for Finance at UNTS will present the Board of Regents Finance Committee with a report of all fiscal year end budget to actual variances (at the component unit level).

Variance - the difference between the budgeted amount for a line-item within each fund group and the actual amount incurred for a defined period (ex. quarterly, annually).



Variance Percentage - calculated by dividing the difference between the budgeted amount for a line item and the actual amount incurred by the budgeted amount and multiplying the result by 100.



Applicability – this regulation applies to each line item in the budget of revenues, expenditures, and transfers by fund group. The applicable amounts are period totals for all Current Funds in the budget templates, and applies to all UNT institutions and System Administration.

Proposed Revision to Regents Rule

Regents Rule 10.200 Section 10.203 – Budget Recommendations

Issue:

- Currently, nothing within the Fiscal Management Chapter (Chapter 10) of the Regents Rules addresses the broad guidelines, timelines, forms, and instructions issued from the Chancellor (System level) in order to manage consolidated system-wide financial analysis and reporting.

Intent:

- Guidance for preparation of the annual operating budgets for each component of the UNT system.
- Incorporate a practice where the Chancellor issues system-wide guidelines to facilitate consistent financial reporting.

Proposed Revision to Regents Rule

At a future meeting of the UNT Board of Regents, we will propose a revision to section 10.203 of Regents Rule 10.200 to incorporate that the broad guidelines and instructions for preparing annual operating budgets be issued at the UNT System level. The recommended revision will maintain that local instructions be issued at the institution level.

Current Text Section 10.203:

Budget Recommendations. The Chancellor for the System Administration and the President of each Institution shall issue local instructions and forms to employees making budget requests. The Chancellor and the Presidents shall review the budget requests and prepare a budget that is within the System Administration and each Institution's estimates for available funds. The Presidents must submit Institution budgets to the Chancellor for approval and recommendation to the Board.

Proposed Revised Text Section 10.203:

Budget Recommendations. The Chancellor of the UNT System shall issue general system-wide guidelines for preparing annual operating budgets. The President of each Institution, shall issue local instructions and forms to employees preparing annual operating budgets in accordance with the guidelines provided by the Chancellor. Each institution in the UNT System and System Administration shall prepare a budget that is within estimates for available funds. The Presidents of each institution and the Vice Chancellor for Finance of System Administration must submit budgets to the Chancellor for approval and recommendation to the Board.

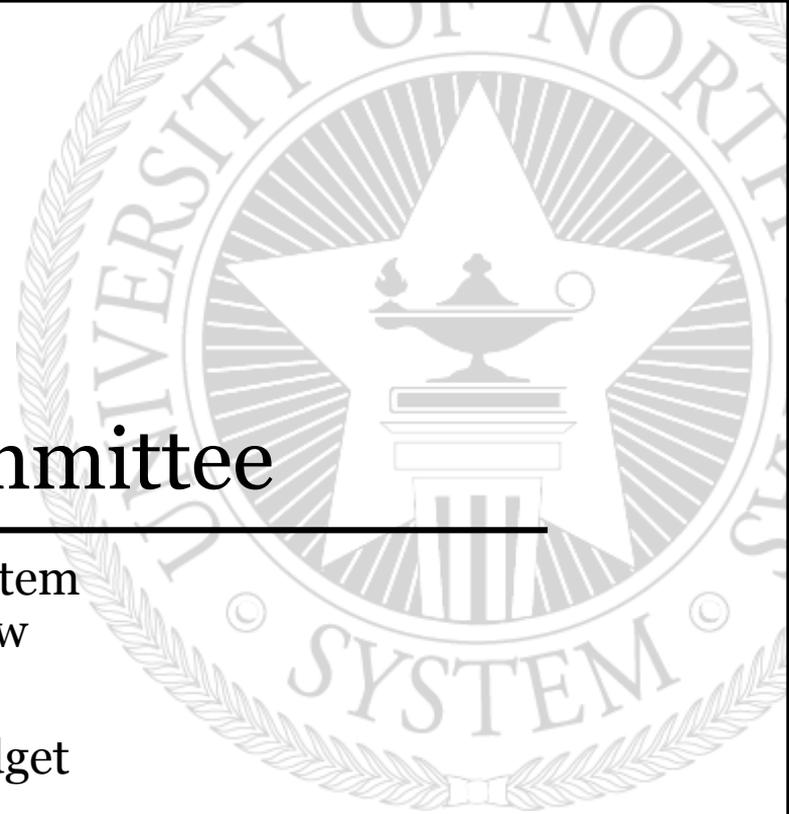
Board of Regents Finance and Facilities Committee

Fiscal Year 2015 University of North Texas System
Consolidated Budget to Actual Year End Review

Presented by:

Paige Smith, Associate Vice Chancellor for Budget

Date: November 19-20, 2015



Overview – Summary & Highlights

Consolidated UNT System

	2015 Budgeted	2015 Actual	Variance
Revenues	\$894.8M	\$911.5M	\$16.7M
Expenditures	\$884.2M	\$851.1M	\$33.1M
Surplus	\$ 10.6M	\$60.4M	\$49.8M

Positive variances in revenues (\$16.7M) and expenditures (\$33.1M) increased the fiscal year 2015 UNT System Consolidated budgeted surplus of \$10.6M by a net total of \$49.8M, resulting in an actual surplus of \$60.4M.

Overview – Summary & Highlights

In Fiscal Year 2015, all three institutions and System Administration are reporting a surplus:

System Component	Budgeted Surplus	Actual Surplus
UNT	\$ 9.1M	\$35.9M
UNT Health Science Center	\$ 0.0M	\$16.8M
UNT Dallas	\$ 0.0M	\$ 2.0M
UNT System Administration	\$ 1.5M	\$ 6.4M
UNT System Consolidated	\$10.6M	\$60.3M

Overview – Summary & Highlights

UNT Surplus:

- \$9.0M Budgeted Surplus
- \$12.1M Tuition Revenue (Over)
- \$11.9M Capital Outlay Expenses (Under)
- \$35.9M Realized Surplus

UNT Health Science Center Surplus:

- \$ 0.0M Budgeted Surplus
- \$13.3M Contracts & Grants (Over)
- \$3.0M Scholarship Expenses (Under)
- \$16.8M Realized Surplus

UNT Dallas Surplus:

- \$0.0M Budgeted Surplus
- \$1.2M Tuition & Fees (Over)
- \$1.0M Contracts & Grants (Over)
- \$2.0M Realized Surplus

UNT System Administration Surplus:

- \$1.5M Budgeted Surplus
- \$2M Reserved for Fiscal Year 2016 Transformation Costs
- \$6.4M Realized Surplus

Overview – Summary & Highlights

Consolidated UNT System

	2015 Budgeted	2015 Actual	Variance
Discounts and Allowances	\$ 76.6M	\$ 96.8M	(\$ 20.2M)
Scholarships and Financial Aid	\$ 81.8M	\$ 61.0M	\$ 20.8M
Total	\$158.4M	\$157.8M	\$.6M

In fiscal year 2015, Consolidated UNT System provided \$157.8M in financial assistance to students.

UNT Foundation

UNTS Long-Term Pool Update
Board of Regents Meeting
November 2015

Mike Mlinac, UNT Foundation President and CEO
Tim Dwight, UNT Foundation Investment Committee Chair
Alfred Lockwood, UNT Foundation Director of Investment Administration



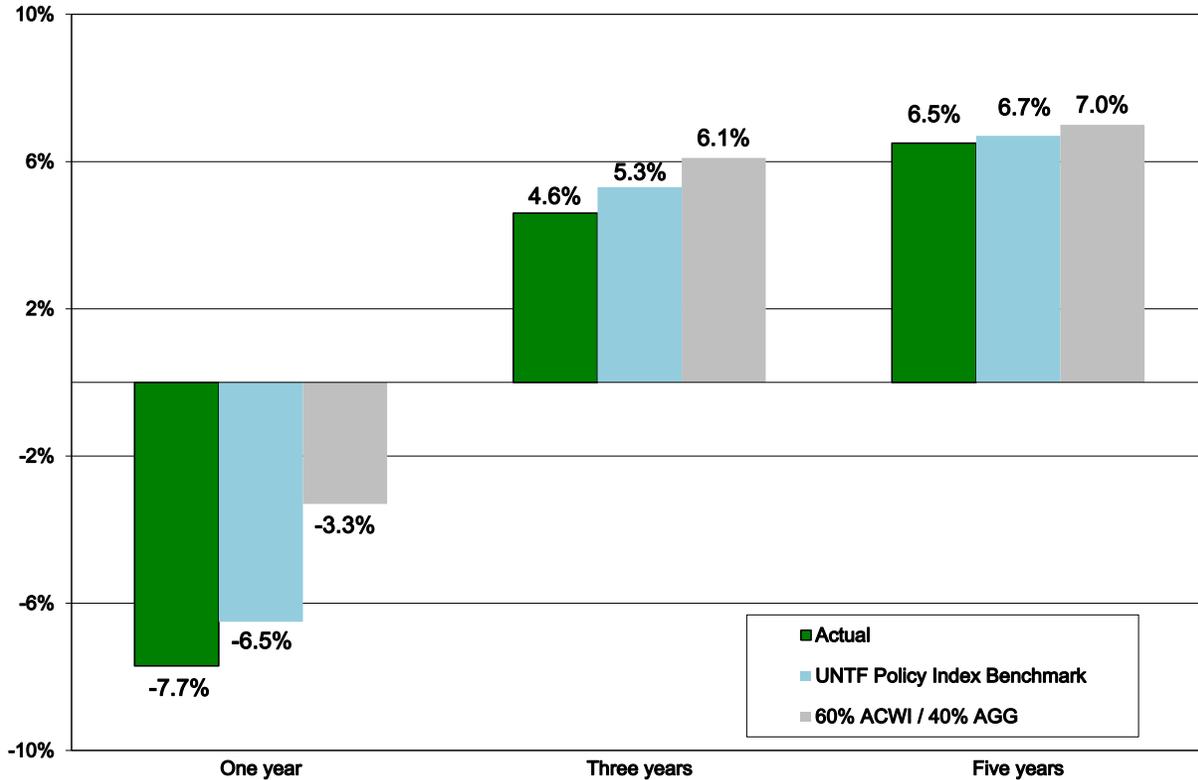
Agenda

- Investment Performance – 1, 3, 5 Years
- Recent Performance Drivers
- Asset Allocation
- Importance of Diversification
- Recent Results



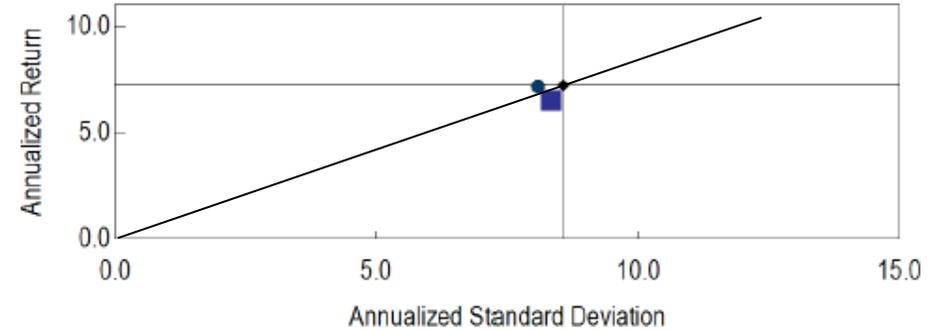
LTP Performance – FY 2015

LTP Investment Performance Periods Ending August 31, 2015



NOTE: All returns adjusted to be net of fees.

Annualized Return vs. Annualized Standard Deviation 5 Years Ending August 31, 2015



- UNIVERSITY OF NORTH TEXAS FOUNDATION - UNTF-MGR: LONG T...
- ◆ UNTF Policy Index
- 60% MSCI ACWI (net)/40% BC Agg

	5 Year	LTP	Policy Index	60/40 Endow
Sharpe Ratio		0.78	1.00	0.99
Standard Deviation		8.32%	8.55%	8.07%

5 year returns are comparable with broad market. Recent returns dragged down by corrections in underperforming asset categories

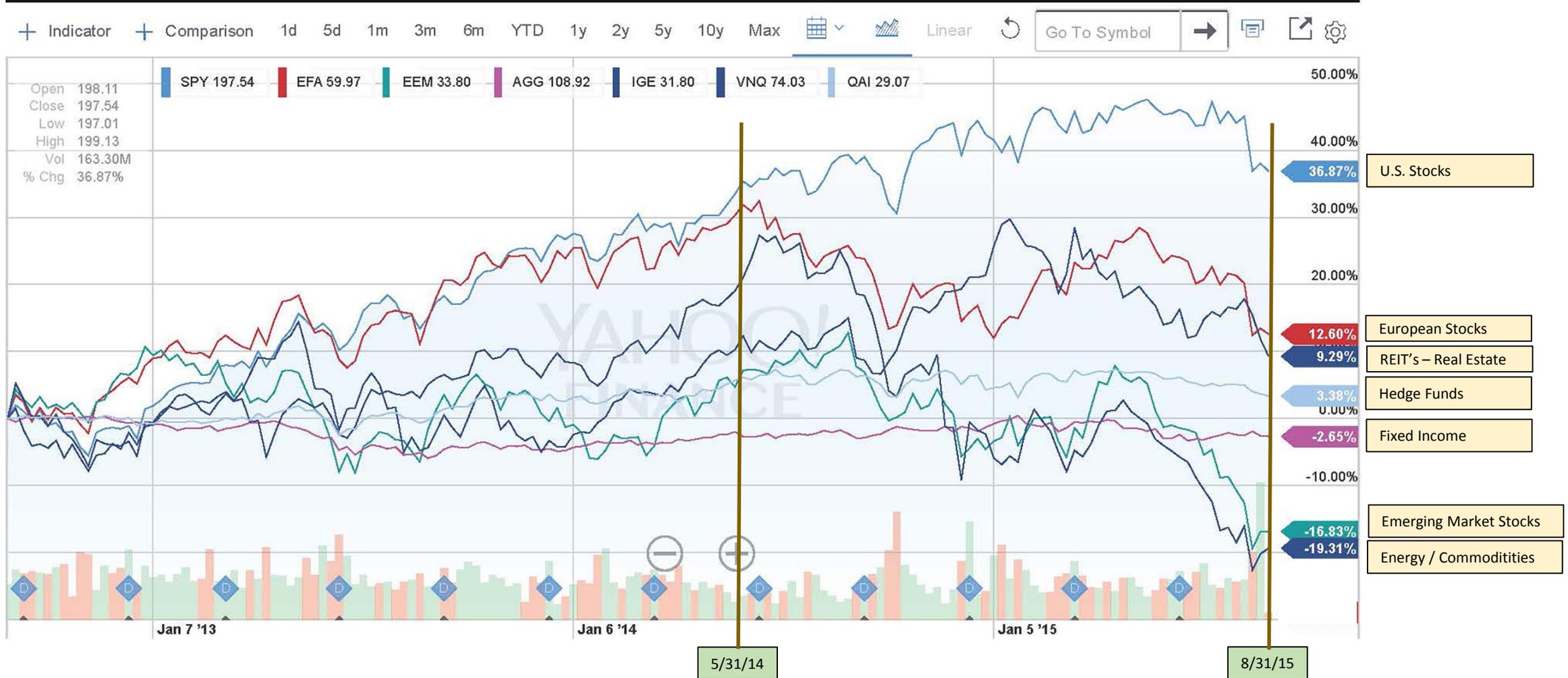
Performance Attribution

	Return	Return	Return	Return
	Qtr	1 Year	3 Yr Annual	5 Yr Annual
Long-Term Pool	-7.2%	-7.7%	4.6%	6.5%
UNTF Policy Index	-6.7%	-6.5%	5.3%	6.8%
Broad Market (60% ACWI / 40% Agg)	-5.2%	-3.3%	6.1%	7.0%
Domestic Equity	-6.3%	-0.4%	13.4%	15.4%
Developed International Equity	-8.1%	-6.3%	6.7%	7.6%
Emerging Market Equity	-15.9%	-21.5%	-1.9%	-0.6%
Domestic Fixed Income	-1.0%	-0.3%	1.7%	2.7%
Emerging Market Debt	-10.0%	-23.1%	-9.4%	na
Hedge Funds	-2.8%	3.3%	7.6%	6.6%
Energy & Commodities	-22.1%	-42.0%	-9.0%	-2.8%
Other Liquid Alternatives	-7.0%	-7.6%	1.8%	na

NOTE: All returns adjusted to be net of fees.

Energy & Commodities reduced prior year results by 3.6%. Strong Dollar and Emerging Market declines contributed further headwinds of 2.5%. U.S. Stocks have outperformed international equities for 5 years

Divergence of Asset Classes - U.S. Equities Dominant



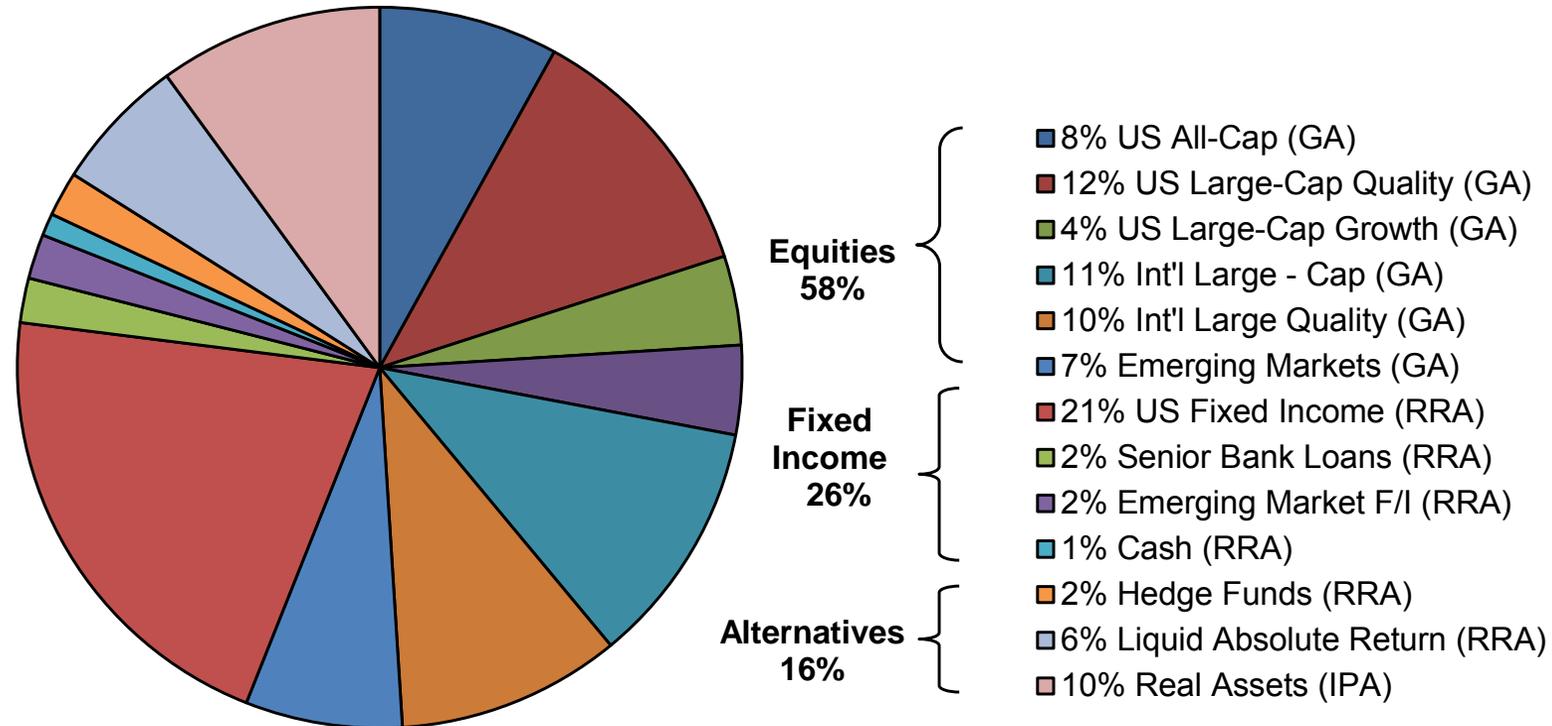
Prior to May 2014, U.S. and European stocks were largely comparable with diversifying assets providing stability to the portfolio landscape.

Asset classes diverged: US equity performance continued its upward trend, while concerns over weak global economic growth drove down prices of international equities and natural resources. Additionally, oil prices declined by half due to over-supply and reduced demand. Strong dollar creates headwinds for foreign investments.

Note: The charts represent price performance only (excludes dividends and interest) and are ETFs of indexes selected as proxies for significant asset classes included in the Foundation's portfolio. Their performance will be representative, but not correspond precisely to the UNTF portfolio's.



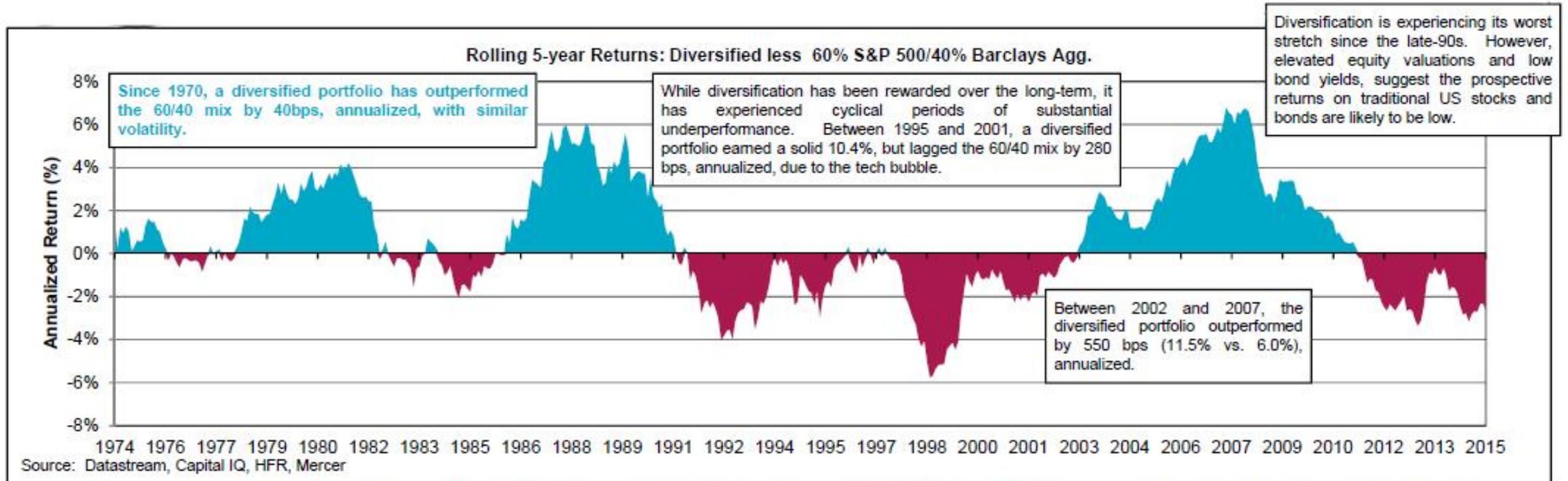
LTP Policy Asset Allocation – 08/31/2015



Growth Assets (GA), Risk Reduction Assets (RRA), Inflation Protection Assets (IPA)

Portfolio is broadly diversified to spread risk and achieve attractive long-term, risk-adjusted returns

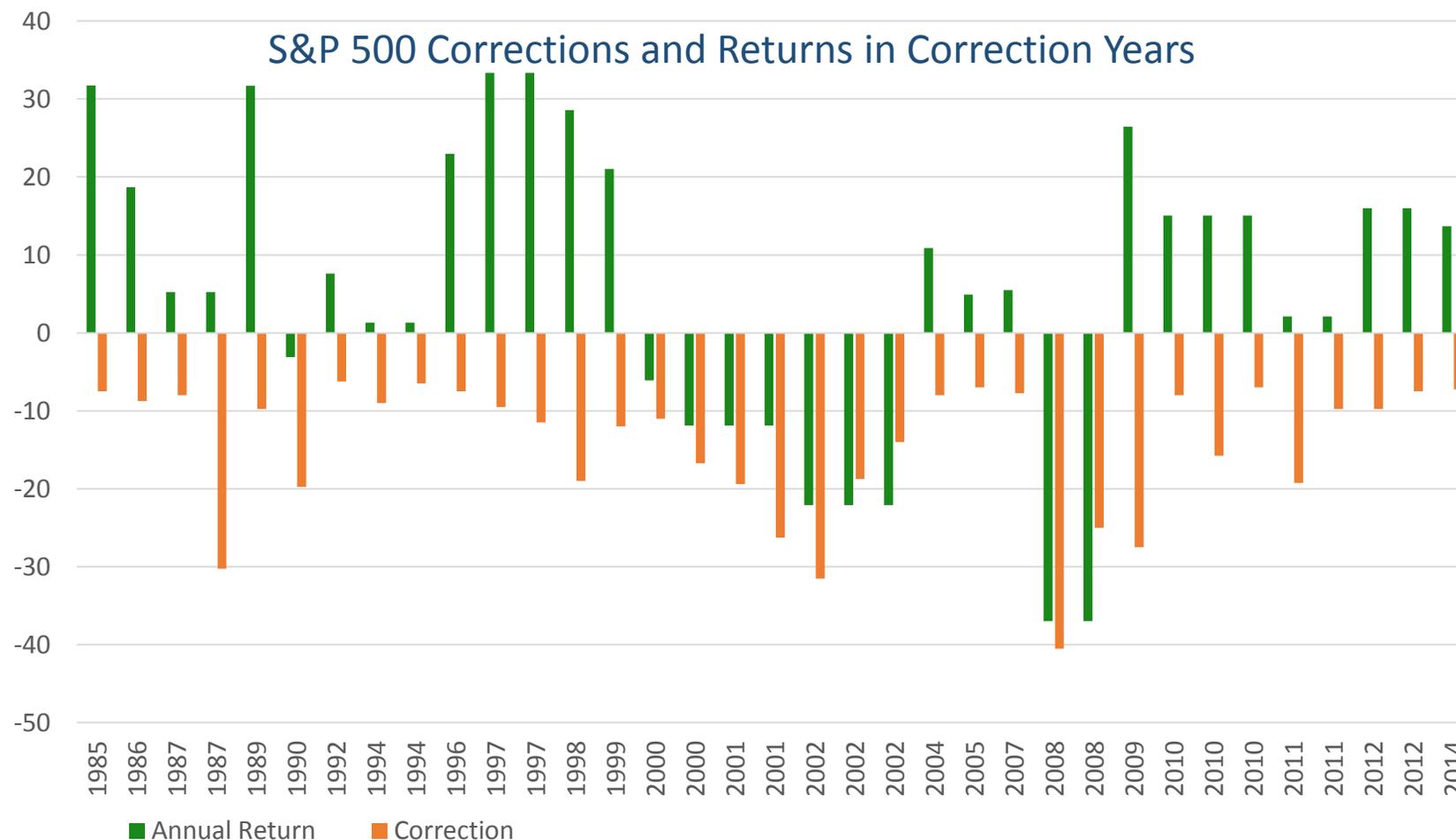
Diversification Works Over Time ... But Cycles



Note: Diversified portfolio: 45% global stocks, 10% private equity, 5% real estate, 5% natural resources, 15% hedge fund of funds, 2.5% HY bonds, 2.5% LC EMD, 15% core fixed income. In cases where an asset class did not have a representative index for the full period, we used the closest substitute we could identify.

Broadly diversified global portfolios have been out of favor versus the U.S. markets in the recent past, but diversification works in over the long-term

S&P 500 Corrections History

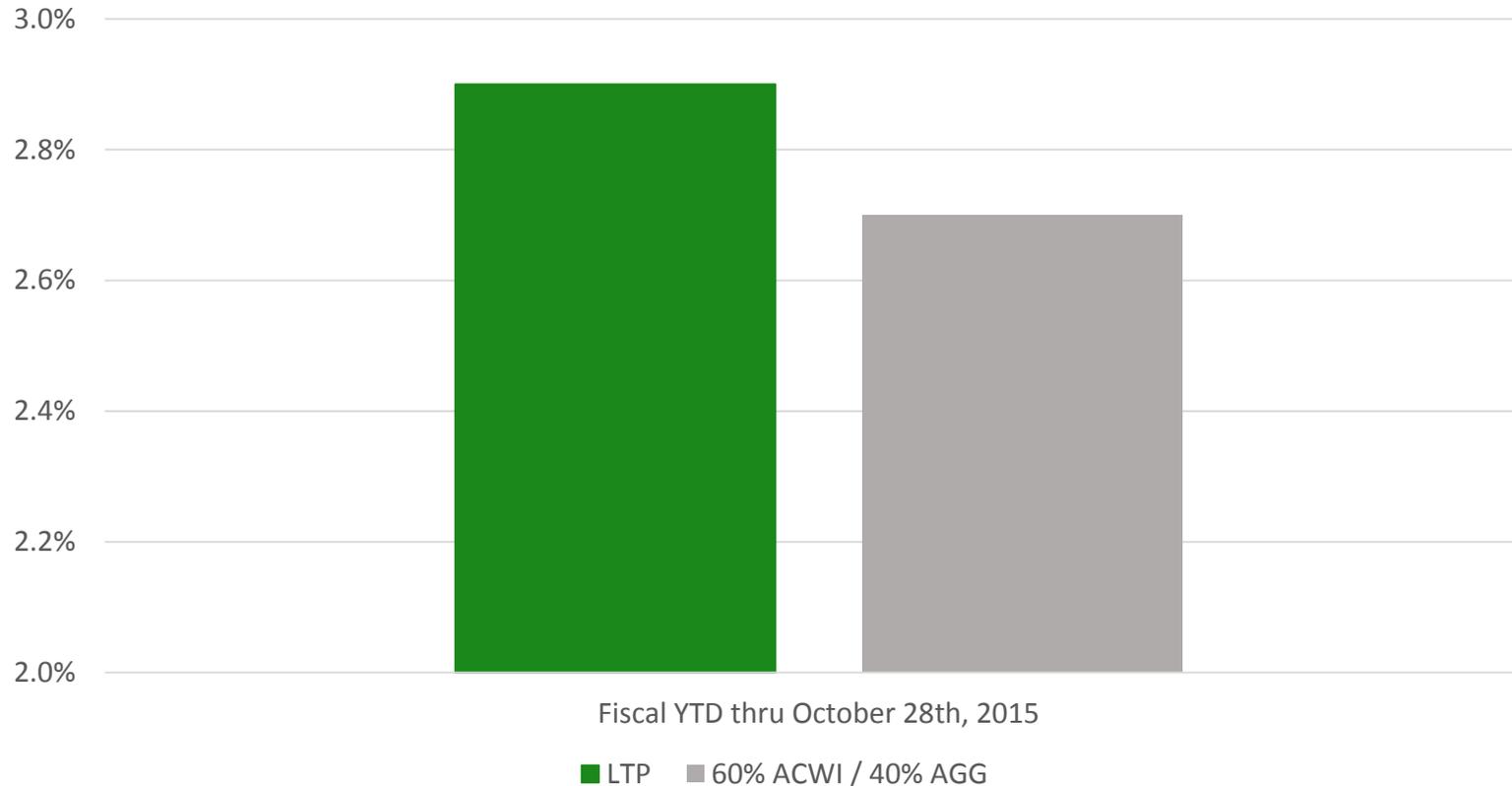


Market correction is considered as S&P 500 closing 6% below it's most recent closing high from prior bull rally
 Source: William O'Neil, Yahoo Finance, S&P, Baseline, Bloomberg

23 of the past 30 years experienced at least a minor correction. 1/3 experienced more than one per year. Corrections are normal to investment cycles, but hard to predict accurately

Recent Results

Performance Post FY 2015



Investors have responded to favorable earnings reports and renewed faith the policy makers will be prudent in supporting global growth. LTP performing in-line with broad market.

Summary

- Investments cycle in and out of favor
- Corrections are a normal part of market cycles, but hard to predict
- Diversification is a beneficial long-term approach
- Questions

The seal of the University of North Texas System is visible in the background on the left side of the slide. It features a central five-pointed star with a lamp of knowledge on a pedestal in front of it. The words "UNIVERSITY OF NORTH TEXAS" are written in a circular path around the star, and "SYSTEM" is written at the bottom.

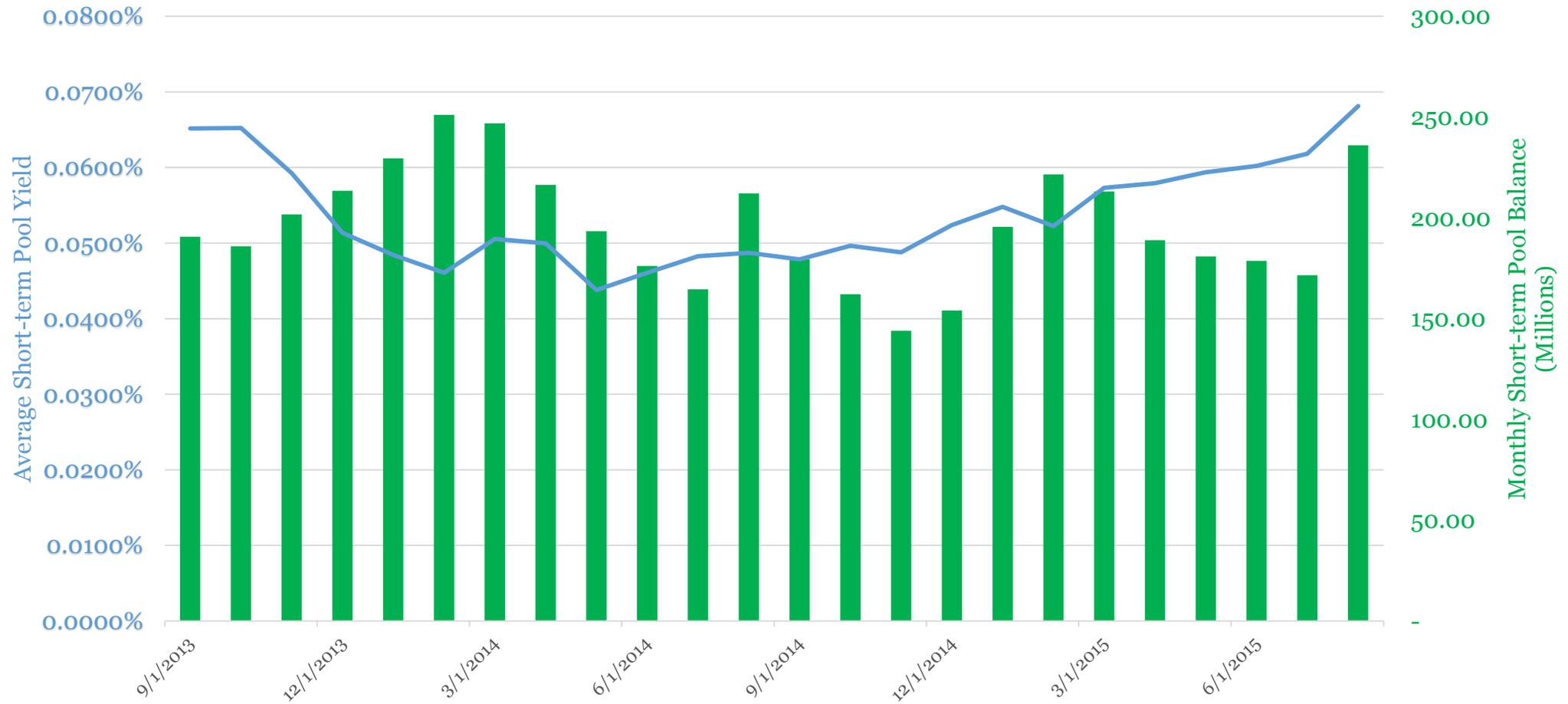
Fiscal Year 2015 Short-Term Pool Update & Investment Policy

Presented by:

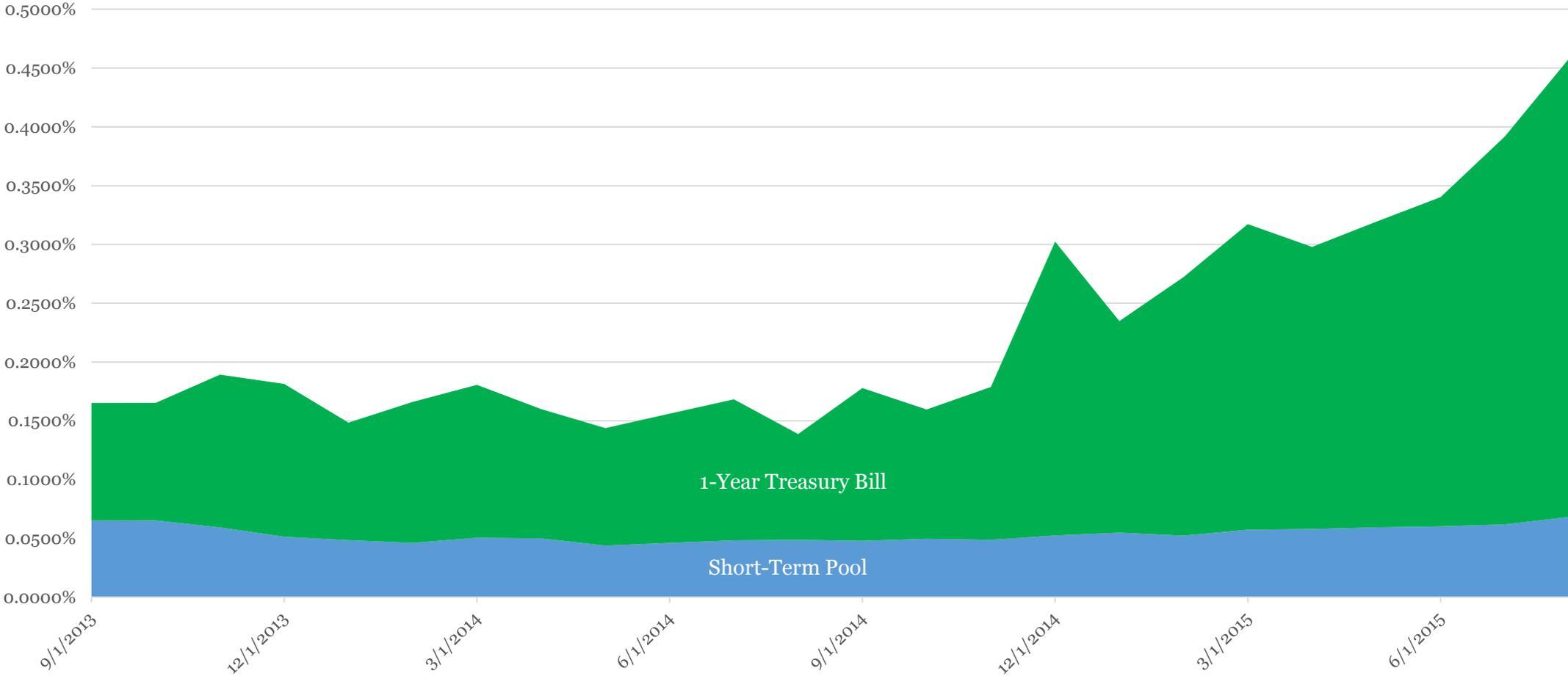
James Mauldin, Associate Vice Chancellor for Treasury

November 20, 2015

Short-Term Pool returns edging up...



Yet safe yield opportunities exist



Short-Term Pool needs flexibility

Money
Market

Pools

CD

Fixed
Income

Repurchase
Agreement

Commercial
Paper

Increased yield generally carries increased risk

Liquidity Risk

Minimum
20% Cash

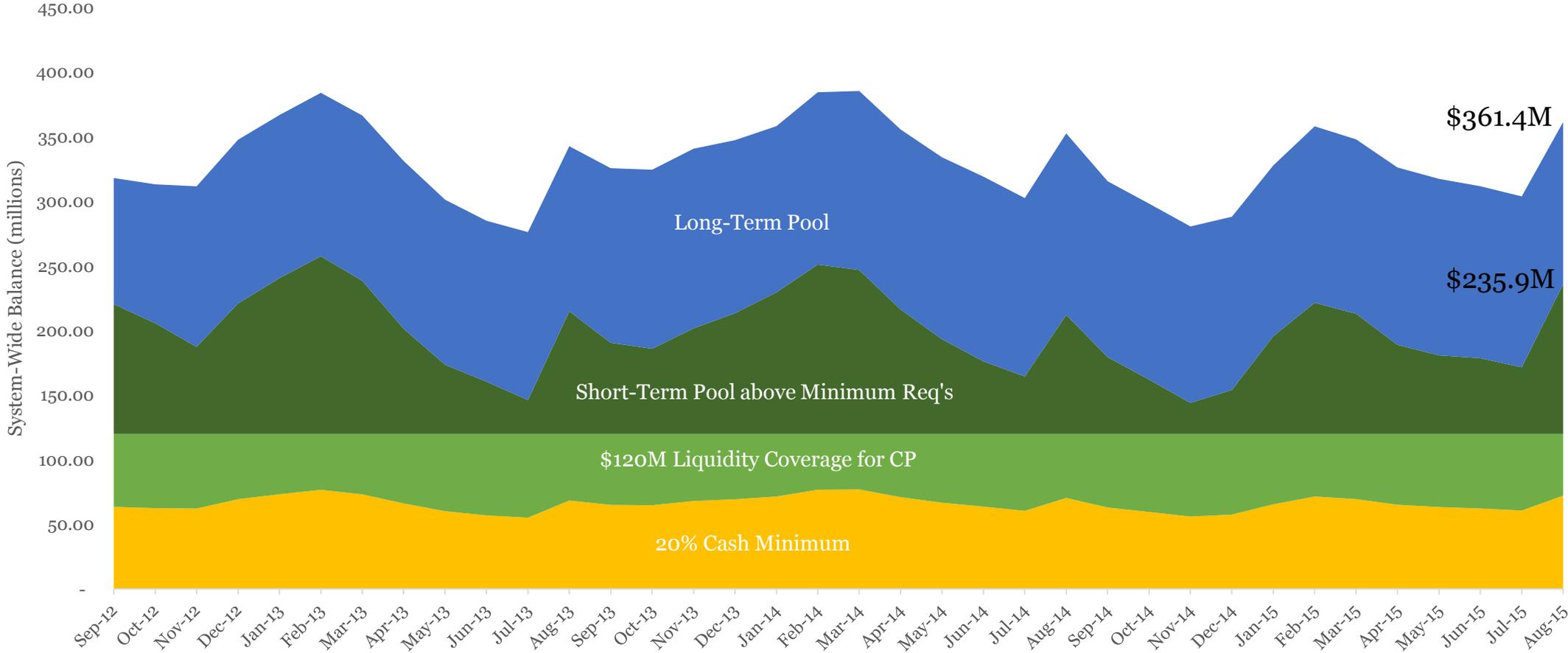
Credit Risk

Issuer
Diversification
Minimum
Credit Rating

Interest Rate Risk

Maximum
Maturities

Managing the balance between liquidity needs and the desire for higher yield



Additional changes made:

- Delivery versus payment (DVP) settlement required
- Slight flexibility to STP/LTP ranges added
- AVC for Treasury added to Investment Committee

Board of Regents – Finance Committee

Unaudited Fiscal Year 2015 Consolidated Annual Financial Report Status

Presented by: Jane-Anne Kanke, Senior Director System Reporting

Date: November 19-20, 2015



Fiscal Year 2015 State Certifications:

- General Revenue Reconciliation
- Schedule of Expenditures of Federal Awards
- Schedule of State Pass-Through Revenue
- USAS AFR and Interagency Activity
- Agency Cash Flow Report
- Disclosure Certifications:
 - ✓ Capital Asset Note
 - ✓ Deposit & Investment Note
 - ✓ Long-Term Liability Note
 - ✓ Bond Reporting
 - ✓ Lease Note
 - ✓ Restatements

Unaudited Year-End Financial Position:

- Statement of Net Position
- Statement of Revenues, Expenses, & Changes in Net Position
- Footnote Disclosures

Fiscal Year 2015 External Audit Timeline:

- 11/30/15 – Interim Fieldwork begins
- 12/18/15 – Interim Fieldwork ends
- 4/18/16 – Final Fieldwork begins
- 5/13/16 – Final Fieldwork ends
- 5/16/16 – Concluding & wrap up/Subsequent Events procedures
- 5/23/16 – Final review of Financial Statements
- 5/31/16 – Issuance of final, signed Financial Statements

UNT | SYSTEM™

Campus Master Plan Update

UNT System Board of Regents

November 19, 2015

Presented by

**James Maguire, Vice Chancellor for Facilities Planning and Construction
& Chief Architect**



UNT[®]

UNIVERSITY
OF NORTH TEXAS™

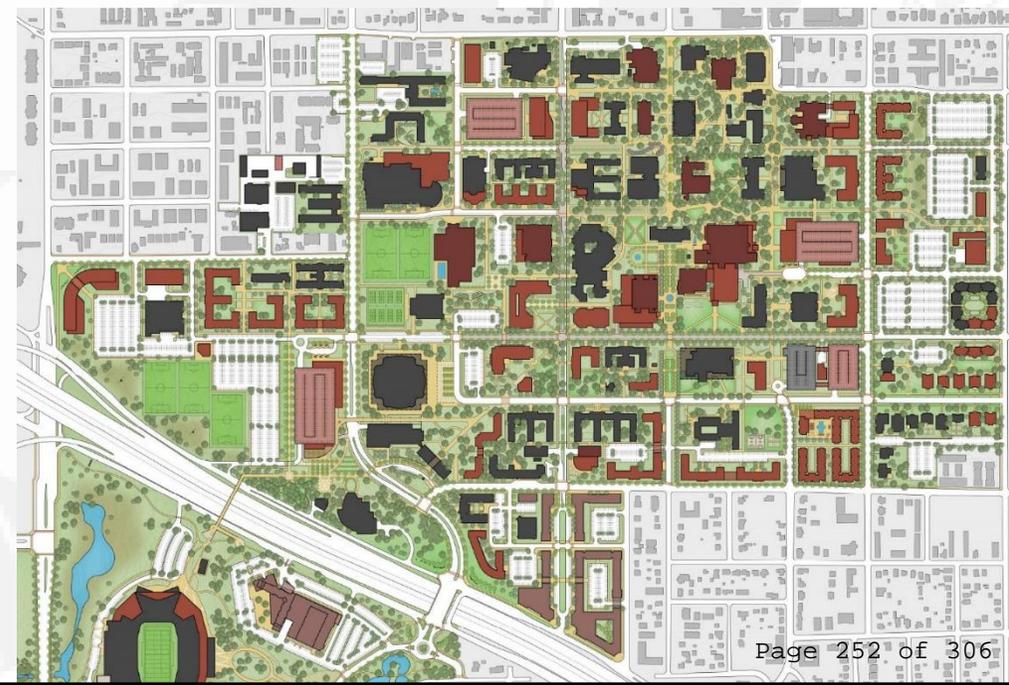
Update on Progress of Campus Master Plan

CAMPUS MASTER PLAN
2013 UPDATE



VISION

The task of creating a PLACE appropriate to the UNT mission and the experiences for students on their academic and personal journeys, demands a VISION of a transcendent environment equal to the TRANSFORMATION that is the educational process.

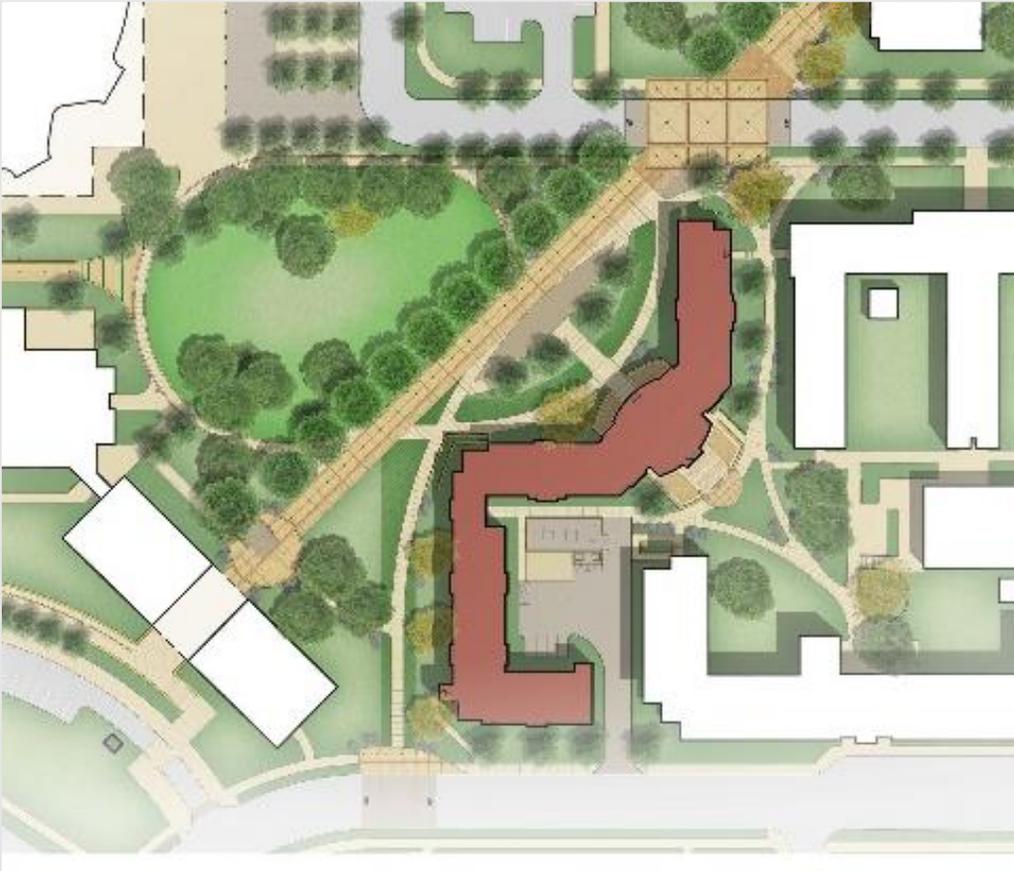




Master Plan 2013 Update Goals

- Strategic Plan informs Master Plan
- Accommodate enrollment growth
 - Current space needs
 - Projected space needs
 - Housing, parking, recreation
- Enhance circulation and connectivity
 - Pedestrian, Bicycle
 - Transit
 - Vehicular
- Improve campus identity at gateways, edges
- Reinforce campus character, quality and sense of PLACE with integrated standards for architecture, landscape, hardscape, site furnishings, lighting and sustainability

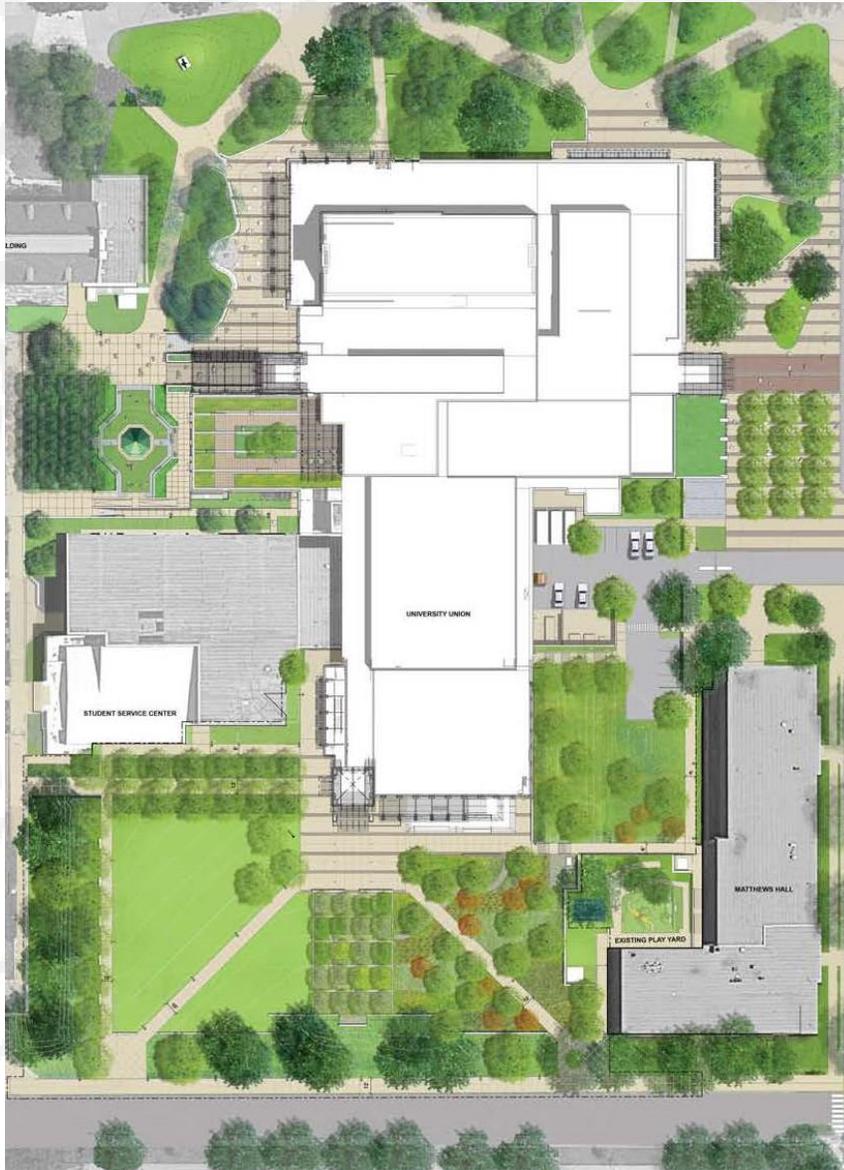
Major capital developments completed



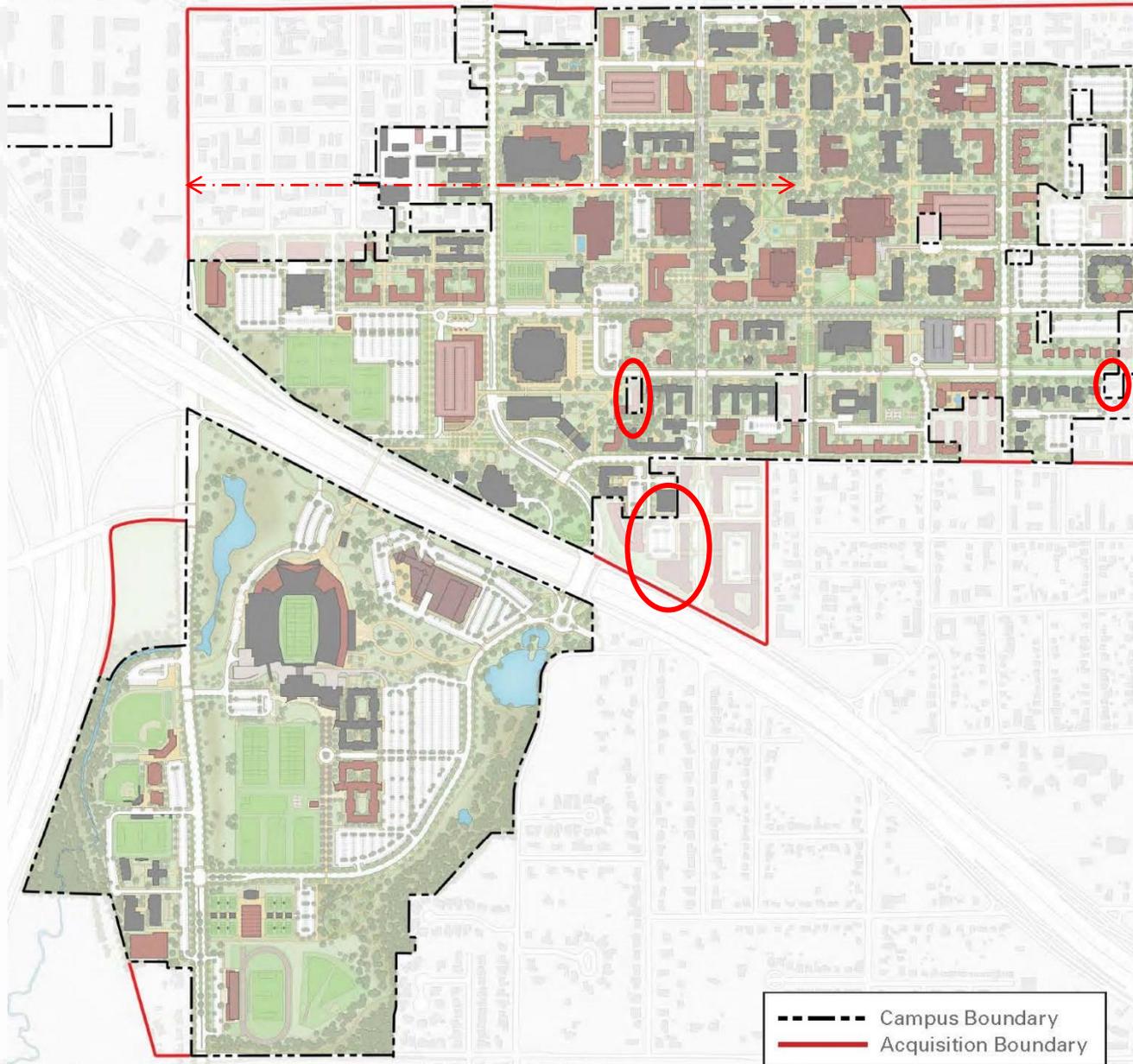
Rawlins Hall



Major capital developments completed



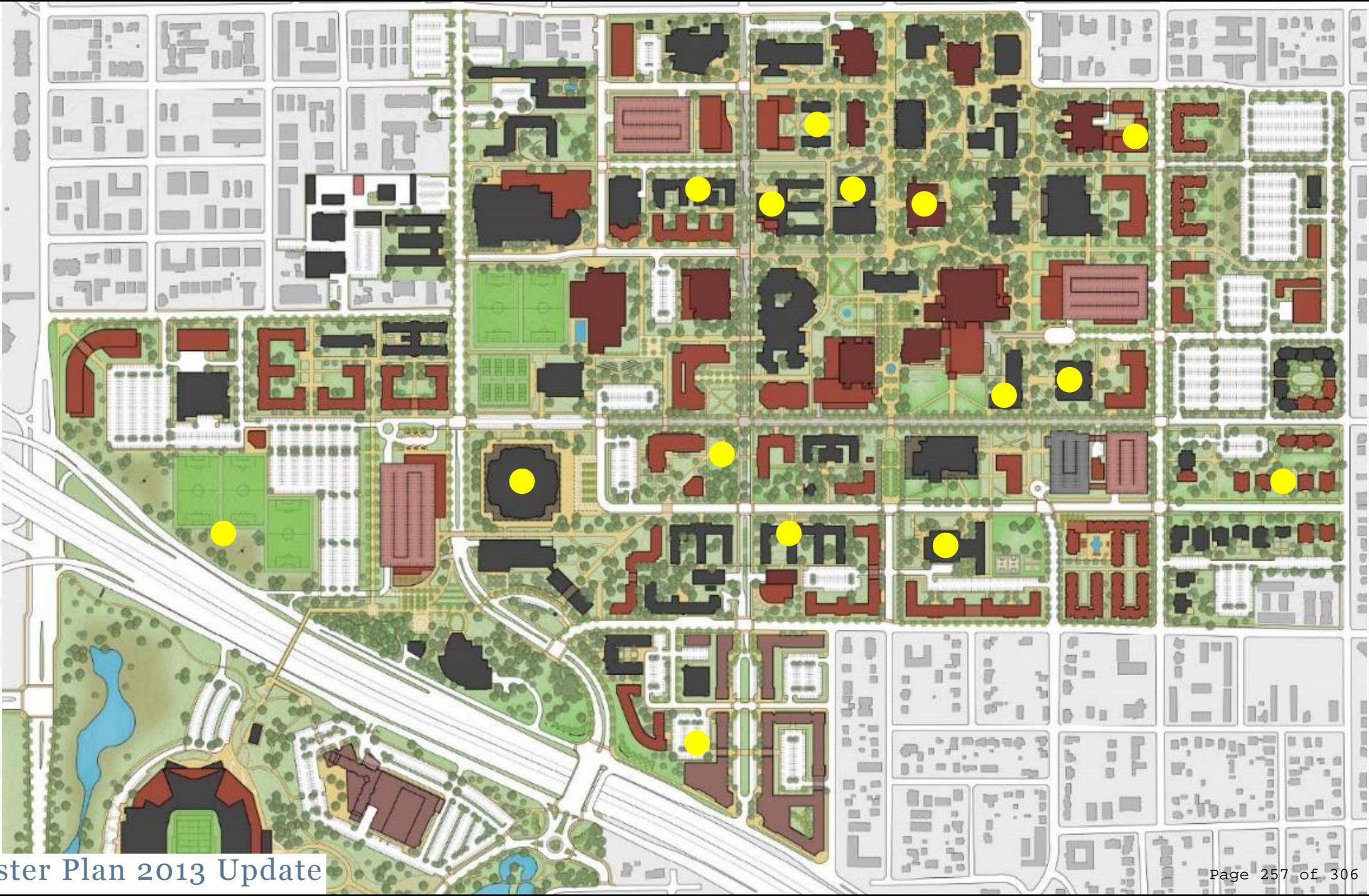
Recent Acquisitions



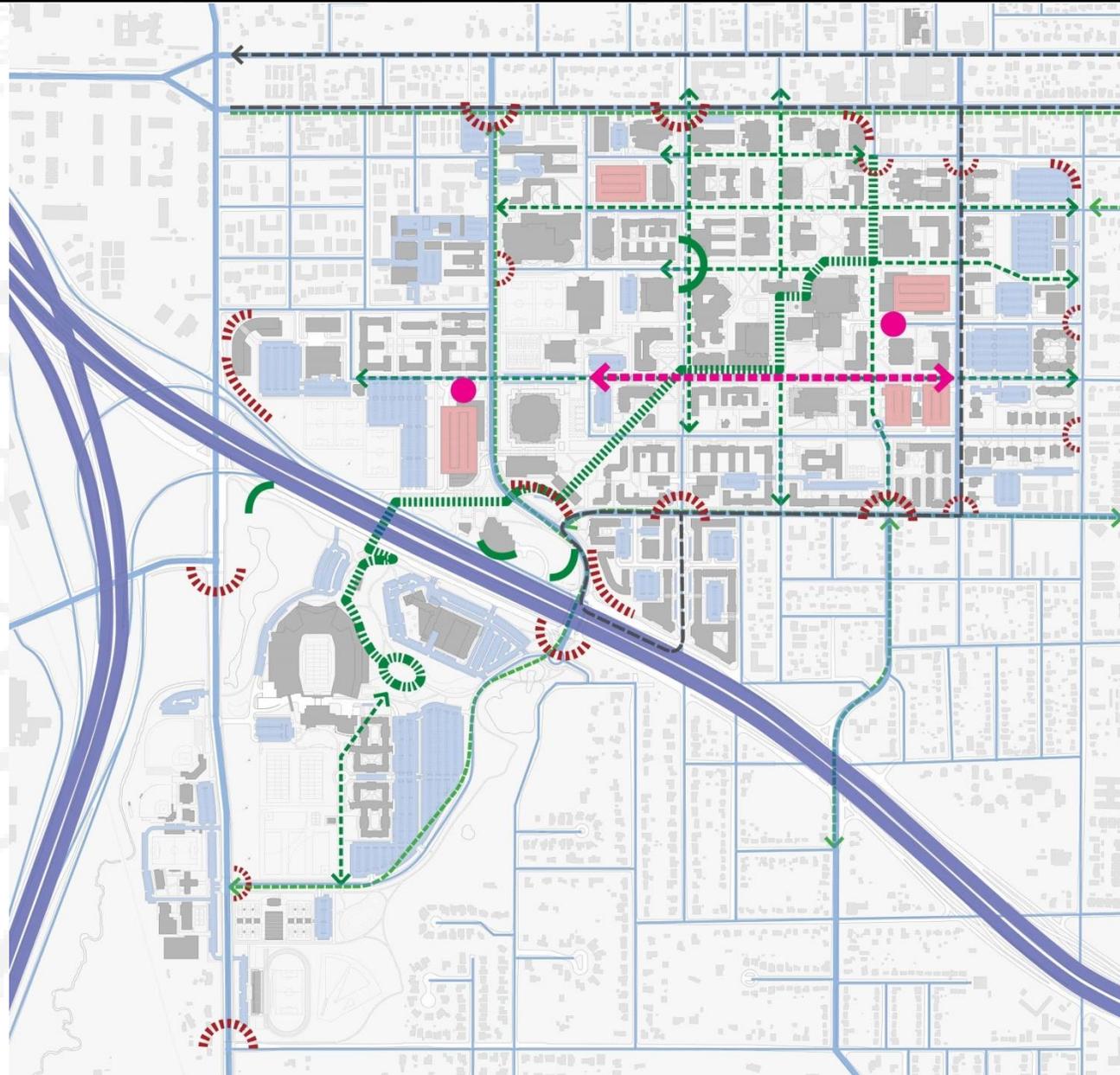
--- Campus Boundary
— Acquisition Boundary

Acquisition Boundary

● New Projects for FY16

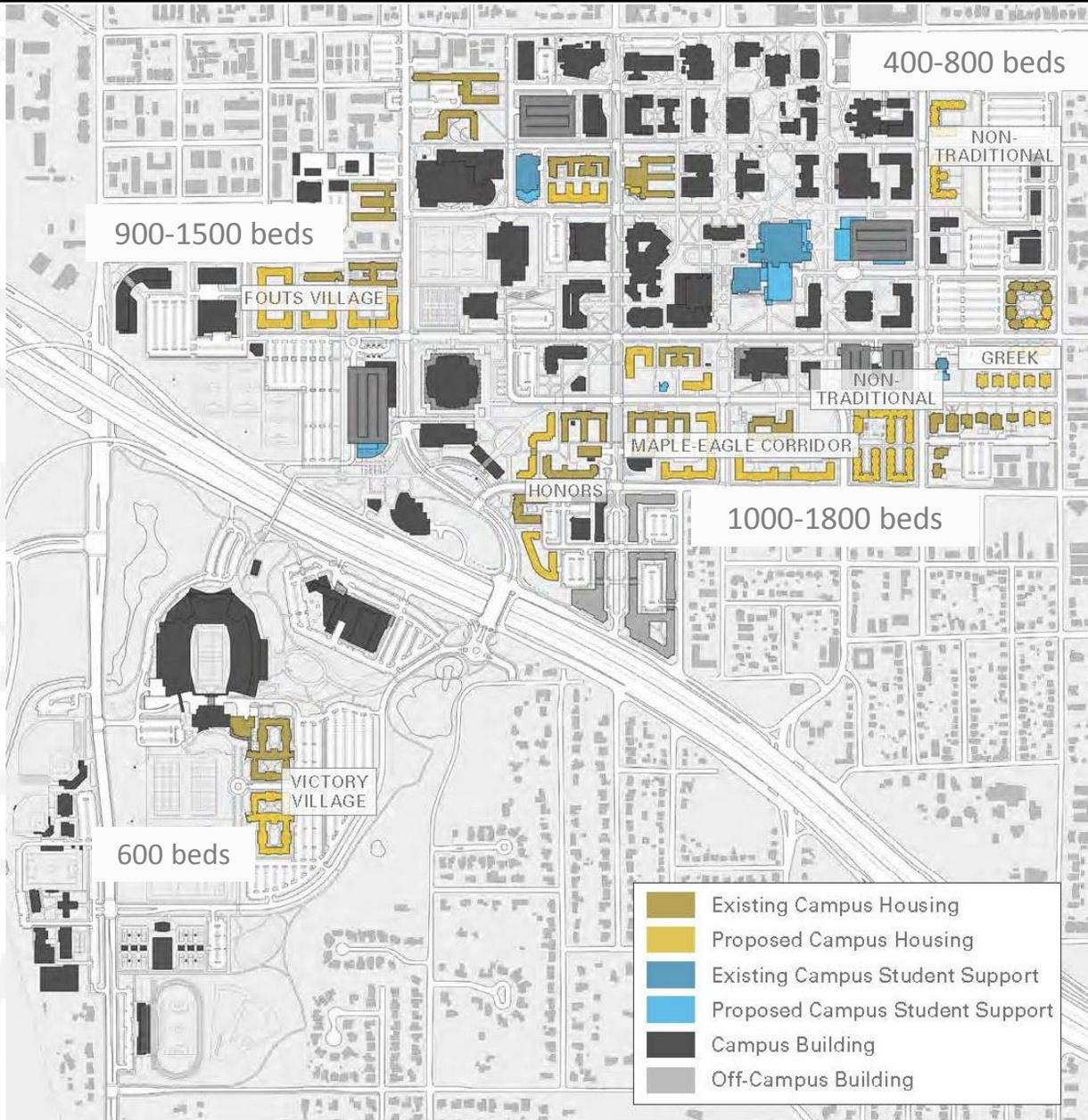


Detailed Transportation and Parking Master Plan element is underway



-  Campus Identity Improvements
-  Campus Pedestrian + Bike Routes
-  Planned City Bike Routes
-  Transit Mall
-  Public Bus Routes + A Train connections
-  Streets
-  Interstate

Transportation: support/reinforce with identity + edge improvements



Housing and student support buildings - Land uses

Planning for Future on campus Housing is getting underway

2013 Update continues 2005 strategies for on-campus housing:

2005 existing = 4,974 beds

2012 existing = 5,771 beds

Plan Target = +3,880 beds
9,650 beds

UNT College of Visual Arts and Design Facilities

Approx. 145,000 GSF

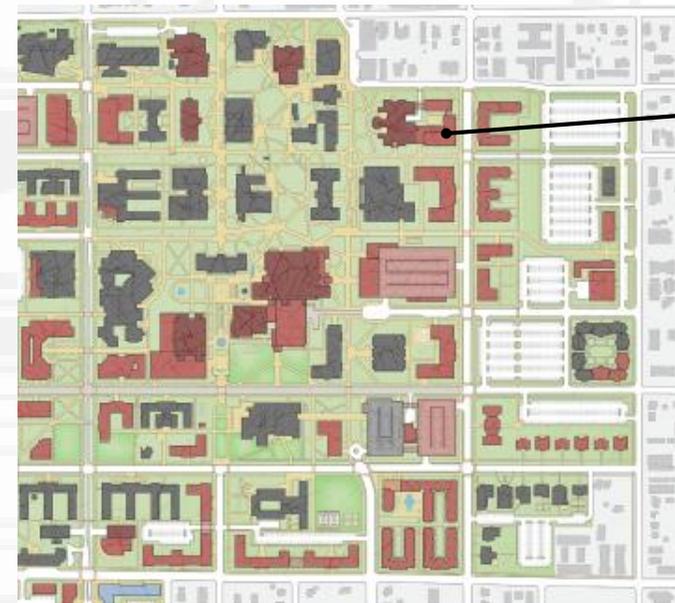
Project Budget:

- \$70,000,000 Tuition Revenue Bonds

Program:

- Studios, classrooms and seminar rooms
- Specialized instructional space including 3D graphics and visualization labs
- Specialized teaching labs
- Art galleries & student exhibition spaces
- Informal collaborative study areas
- Administrative and Faculty Offices and support areas

To be sited just east of current Art Building in the Northeast corner of main campus:



Proposed Site



First Phase Implementation Plan

Immediate Priorities identified in Plan are evaluated by Campus leadership in the development of the Annual Capital Improvement Plan.

The Space Planning and Management Committee monitors space inventory and brings together campus leadership to prioritize space use decisions to best support strategic goals.

Phase 1- Immediate High Priority



Design Guidelines

Campus Design Review Board insures the application of design standards to major projects and open space development

Architectural Design Standards to define a UNT vocabulary:

- Materials
 - Brick; Stone; Glass; Metal
- Rustication
- Quoins
- Colonnades + porticos
- Entrances
- Window Fenestration
- Cornices, Roof Edges
- Sloped Roof





Board Briefing

Committee: Finance & Facilities

Date Filed: October 9, 2015

Title: Approval of Amended UNT System Regulation 08.2000, Investment of System Funds

Background:

UNT System Regulation 08.2000, Investment of System Funds, sets forth the Board of Regents annually approved investment policy for UNT System and its component institutions.

The Investment Policy currently establishes strategies and authorizes investments for the following: Short-Term Working Capital Funds (Short Term Pool); Long Term Cash Reserves (Long Term Pool); Bond Proceeds; Endowed Funds; and Medical Professional Liability Self-Insurance Funds. The investment of funds included in the Long Term Pool is managed by the UNT Foundation. The current regulation restricts funds in the Short Term Pool to three authorized investment options: 1) fully collateralized money market funds deposited with an approved depository institution; 2) approved Local Government Investment Pool; or 3) certificates of deposit guaranteed by the FDIC or collateralized by letter(s) of credit. With the policy requiring at least 55% of cash balances to remain in the Short Term Pool, it is recommended that the list of authorized investments be expanded so that yields may be improved while ensuring that liquidity and safety of principal remain primary drivers.

To this end, it is recommended that section 08.2005(2a) be amended to include: obligations of the federal government, its agencies, and municipalities that bear a credit rating of at least AA or its equivalent; collateralized repurchase agreements; and commercial paper of an organization that bears a short-term credit rating of at least A1/P1.

In addition, to help ensure that liquidity is not sacrificed for the sake of yield, it is recommended that 20% of investable funds (defined as the sum total of the balances in the Long Term Pool and Short Term Pool) be established as the minimum allocation to fully liquid cash investments at all times and a maximum maturity of three years be implemented.

Financial Analysis/History:

UNT System Regulation 08.2000, Investment of System Funds, is reviewed and approved annually by the UNT System Board of Regents.

This amendment changes the authorized investments for the Short Term Pool with the objective of increasing yields, and establishes minimum cash balances that must be held as fully liquid cash investments.

Janet Waldron

Vice Chancellor for Finance

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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu, c=US
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Legal Review:

This item has been reviewed by General Counsel.

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System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2015.11.09 17:22:58 -06'00'

Vice Chancellor/General Counsel

Schedule:

Effective upon Board approval.

Recommendation:

It is recommended that the Board of Regents approve the amended University of North Texas System Regulation 08.2000, Investment of System Funds.

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury

Lee Jackson Digitally signed by Lee Jackson
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ou=Office of the Chancellor,
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Date: 2015.11.12 10:55:47 -06'00'

Chancellor

Attachments Filed Electronically:

- UNT System Investment Regulation (with amendments proposed for approval)



Board Order

Title: Approval of Amended UNT System Regulation 08.2000, Investment of System Funds

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 19-20, 2015, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, it is recommended that amendments be made to the UNT System Regulation 08.2000, Investment of System Funds, to revise the list of authorized investments, and

Whereas, it is recommended that a minimum of 20% of investable funds be kept in fully liquid cash investments at all times.

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

- 1. UNT System Regulation 08.2000, Investment of System Funds, as amended.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Regulations of the University of North Texas System	Chapter 08 Fiscal Management
08.2000 Investment of System Funds	

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08.2001 **Regulation Statement.** This Regulation sets forth the rules for the investment of all System funds and funds held by the System in trust for others. All investments by the System will be made in accordance with Rule 10.100 of the Rules of the Board of Regents of the University of North Texas System and this System Regulation.

08.2002 **Application of Regulation.** This Regulation applies to the UNT System Administration and to all UNT Institutions.

08.2003 **Definitions.**

1. Authorized Broker/Dealers. "Authorized Broker/Dealers" means those entities that have been approved as provided herein.

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2. Funds. ~~"Funds" is defined by Government Code §§ 2256.002 and means public funds in the custody of a state agency or local government that:~~

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~~a. a—Are not required by law to be deposited in the state treasury; and~~

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~~1-b. the investing entity has authority to invest.~~

3. Funds Subject to Board of Regents Control. "Funds Subject to Board of Regents Control" is defined by Texas Education Code § 51.002 and means:

- a. student fees of all kinds;
- b. charges for use of rooms and dormitories;
- c. receipts from meals, cafes, and cafeterias;
- d. fees on deposit refundable to students under certain conditions;
- e. receipts from school athletic activities;
- f. income from student publications and other student activities;

- g. receipts from the sale of publication products and miscellaneous supplies and equipment;
 - h. students' voluntary deposits of money for safekeeping;
 - i. all other fees and local or institutional funds arising out of and by virtue of the educational activities, research, or demonstrations carried on by the institution; and
 - j. donations and gifts to the institution.
4. Investment Officer. "Investment Officer" means the person(s) appointed by the Board pursuant to the Regents Rules, and any authorized designee.
 5. Managing Entity. "Managing Entity" means the entity holding and managing the investment of funds, and may include UNT System Administration, a UNT Institution, the University of North Texas Foundation, Inc. ("UNT Foundation"), the University of North Texas Health Science Center at Fort Worth, Texas College of Osteopathic Medicine Foundation, Inc. ("UNTHSC Foundation"), the University of North Texas at Dallas Foundation ("UNT at Dallas Foundation"), or Authorized Broker/Dealers.
 6. Prudent Person Standard. "Prudent Person Standard" is defined by Texas Education Code § 51.0031(d) and described in Article VII, Section 11b of the Texas Constitution, and means that standard of judgment and care that prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment.
 7. System. "System" means, collectively, the University of North Texas System, University of North Texas System Administration, and UNT Institutions.
 8. UNT Institutions. "UNT Institutions" means University of North Texas, University of North Texas Health Science Center at Fort Worth, and University of North Texas at Dallas.

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08.2004 Authority and Governing Statutes. The System's authority to invest funds is established in the Public Funds Investment Act (Texas Government Code, Chapter 2256), Section 51.0031 of the Texas Education Code, and Rule 10.100 of the Rules of the Board of Regents of the University of North Texas System. This Regulation is promulgated in accordance with the Public Funds Investment Act, Section 51.0032 of the Texas Education Code, the Uniform Prudent Investor Act (Texas Property Code, Chapter 117), the Uniform Prudent Management of

Institutional Funds Act (Texas Property Code, Chapter 163), and the Public Funds Collateral Act (Texas Government Code, Chapter 2257). Texas Education Code, Section 51.0032 requires a governing board to adopt a written investment policy, and the Public Funds Investment Act requires a governing board to adopt a written investment policy and strategy, review the policy and strategy not less than annually, appoint an Investment Officer, and adopt internal controls to safeguard the System's funds. The Public Funds Collateral Act sets the standards for collateralization of public funds in Texas.

08.2005 Investment of System Funds.

1. Investment Strategy. The cash management objective for the System is to retain appropriate liquidity to meet daily operating demands while seeking higher yield on cash reserves through an appropriately diversified ~~long term~~ investment portfolio. All System Funds Subject to Board of Regents Control shall be invested pursuant to a Prudent Person Standard. All System endowment funds shall be invested pursuant to a Prudent Person Standard. All UNTHSC medical professional liability self-insurance plan funds shall be invested pursuant to a Prudent Person Standard. All other System ~~F~~ funds shall be ~~deposited in an approved depository bank, invested pursuant to the Public Funds Investment Act in Short Term Pool Authorized Investments (as defined below)~~ deposited in an approved depository bank, invested pursuant to the Public Funds Investment Act in Short Term Pool Authorized Investments (as defined below), invested according to this System Regulation, or deposited in the State Treasury as prescribed by Texas Education Code § 51.008.
2. Short Term Working Capital Funds. Short term working capital funds ("Short Term Pool") shall generally be at least 55% but not more than 75% of ~~available cash on hand and shall be adjusted monthly as necessary to remain within this range.~~³ funds, with a minimum of 20% of funds in fully liquid investments at all times, and a maximum weighted average maturity of one year. Exceptions to these ranges accompanied by a remediation plan, if applicable, must be formally approved by the Vice Chancellor for Finance.
 - a. Authorized Investments. Funds ~~needed to meet daily or short term operating requirements in the Short Term Pool~~ will be held in one or more of the following authorized investments with a stated maturity, if any, of no more than three years from the purchase date, as described in the Public Funds Investment Act:
 - i. i. ~~fully collateralized money market funds, repurchase agreements or demand accounts~~ deposited with an approved depository institution;²

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- ii. mutual fund, as defined in Government Code § 2256.014;
- iii. ~~ii.~~ approved Local Government Investment Pools;
- iv. ~~iii.~~ certificates of deposit guaranteed by the FDIC or properly collateralized by letter(s) of credit;
- v. ~~iv.~~ obligations of the United States, its agencies, states, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm not less than AA or its equivalent (~~—No issuer in this category, other than the US government, may constitute more than twenty percent of the Short Term Pool balance);~~—
- vi. ~~v.~~ commercial paper that is rated not less than A-1 or P-1 by a nationally recognized investment rating firm (~~—No issuer in this category may constitute more than five percent of the Short Term Pool balance).~~

- b. Self-Liquidity. In accordance with System self-liquidity coverage, UNT Institutions shall maintain a balance in the Short Term Pool (net of bond proceeds ~~held in the account~~), of at least 1.2x the amount of outstanding debt issued through the System commercial paper program.
- c. Investment Objectives.
 - i. Safety of Principal
 - ii. Liquidity
 - iii. Current Income
 - iv. Appreciation
 - v. Diversification
- 3. Long Term Cash Reserves. Long term cash reserves (“Long Term Pool”) shall generally constitute at least 25% but not more than 45% of ~~current cash balances/funds, and shall be adjusted monthly as necessary to remain within this range.~~³ Exceptions to this range accompanied by a remediation plan, if applicable, must be formally approved by the Vice Chancellor for Finance.
 - a. Authorized Investments. The investment vehicle for Long Term Pool cash reserves shall be the UNT System Long Term Pool (“UNTS-LTP”). The UNTS-LTP shall be held and invested pursuant to a Prudent Person Standard.
 - b. Portfolio Asset Allocation. The UNTS-LTP portfolio asset allocation shall be monitored on an ongoing basis, maintained within the tactical range shown below, and reviewed no less than quarterly in connection with the required quarterly report to the Board of Regents.

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	Strategic Target	
	Policy Allocation	Tactical Range
Growth Assets	60%	50 – 70%
Risk Reduction Assets	30%	20 – 40%
Inflation Protection Assets	10%	5 – 15%

The Managing Entity, by and through its investment manager, will be responsible for monitoring the UNTS-LTP’s strategic target policy allocation and tactical range. The Managing Entity and its investment manager may make allocation changes within the tactical ranges shown above as warranted under a Prudent Person Standard. Any allocation changes that would exceed the tactical ranges must be pre-approved by the System Investment Advisory Committee.

- c. Portfolio Asset Selection. Selection of the underlying assets within each portfolio shall remain the discretion of the Managing Entity, within the guidelines established in the portfolio asset allocation set forth above and the investment management contract.
 - d. UNT System Investment Advisory Committee. Members of the UNT System Investment Advisory Committee shall be the Vice Chancellor for Finance, [the Associate Vice Chancellor for Treasury](#), and the chief financial officers from each UNT Institution. The UNT System Investment Advisory Committee shall have oversight of UNTS-LTP investments and maintain an active role in advising Managing Entities. The Vice Chancellor for Finance shall represent the System Investment Advisory Committee for all approvals that may be necessary or advisable in connection with the UNTS-LTP to provide to a Managing Entity.
 - e. Investment Objectives.
 - i. Appreciation
 - ii. Current Income
 - iii. Diversification
 - iv. Liquidity
 - v. Safety of Principal
4. Bond Proceeds. Bond proceeds and reserves may be invested in a manner consistent with the requirements and restrictions stated in the applicable Bond Covenants.
- a. Investment Objectives.
 - i. Safety of Principal

- ii. Liquidity
 - iii. Current Income
 - iv. Appreciation
5. Endowed Funds. The endowment corpus shall be invested in a diversified portfolio using reasonable care to ensure earnings are sufficient to provide on-going payout while mitigating the impact of inflation.
- a. Authorized Investments. The System has identified four options for investing endowed funds:
 - i. The UNTS-LTP
 - ii. The UNT Foundation Endowment
 - iii. The UNTHSC Foundation Endowment
 - iv. The UNT at Dallas Foundation Endowment
 - b. Endowment Policies. Each UNT Institution and the UNT System Administration shall adopt an Endowment Policy consistent with this Regulation and subject to Board approval that governs the type of endowments, acceptance of gifts, purpose and use of endowments, and distribution requirements of endowed funds.
 - c. Asset Allocation. Each UNT Institution and the UNT System Administration shall select the investment portfolio option. The asset allocation and selection of the underlying assets within each portfolio shall be at the discretion of the Managing Entity; provided, however, that investment of any endowment funds must be pursuant to the Prudent Person Standard and within the guidelines established in this Regulation, the applicable UNT Institution Endowment Policy, and the Investment Management Agreement.
 - d. Investment Objectives.
 - i. Appreciation
 - ii. Current Income
 - iii. Safety of Principal
 - iv. Diversification
 - v. Liquidity
6. Medical Professional Liability Self-Insurance Funds. The total amount of reserve funds required for medical professional liability self-insurance shall be actuarially determined annually. These funds shall be invested in any combination of the UNT System Long Term Pool or the UNT System Short Term Pool at the discretion of the UNT Health Science Center. In the event all or a portion of the self-insurance fund is converted to a quasi-endowment

– subject to liquidation resulting from claims – the quasi-endowment may be invested in accordance with section V – Endowed Funds. A separate accounting of the fund balance and transactions must be maintained and provided to the UNT System Board of Regents at least annually.

a. Investment Objectives.

- i. Preservation of Capital
- ii. Appreciation
- iii. Liquidity

7. Investment Management.

a. Managing Entity. All System investments shall be held, invested, and managed by a Managing Entity pursuant to a Prudent Person Standard. Only those entities named or otherwise approved as a Managing Entity under this Regulation may provide investment management services for and on behalf of the System.

b. Investment Management Agreement. Investment management services provided by a Managing Entity (other than UNT System Administration or a UNT Institution) shall be administered only through a contractual agreement (“Investment Management Agreement”) with the System or an Institution. Authority to approve and sign Investment Management Agreements is delegated as follows: (i) on behalf of the Board, to the Chancellor; (ii) on behalf of the System, to the Chancellor or his designee; (iii) on behalf of a UNT Institution, to the UNT Institution’s President or his/her designee.

c. Investment Liaison. Each Investment Management Agreement shall designate an Investment Liaison to serve as the liaison between the Managing Entity and the Board of Regents, and may also designate the Investment Liaison to serve as either a voting or ex-officio member of the Managing Entity’s board of directors.

8. Insurance or Collateral. All bank deposits of System funds shall be secured by pledged collateral with a market value equal to no less than 102% of the deposits plus accrued interest less an amount insured by the FDIC. Evidence of the pledged collateral shall be maintained by the Vice Chancellor for Finance. Eligible collateral must meet the requirements of the Public Funds Collateral Act or securities authorized by the Public Funds Investment Act. Repurchase agreements shall be documented by the Master Repurchase Agreement approved by The Bond Market (TBMA), or any other entity approved by the Finance Committee of the Board of Regents, noting the

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collateral pledged in each agreement. The use of a letter of credit issued to the System by the Federal Home Loan Bank may be considered by the System to meet the required bank depository collateral requirements. Collateral shall be reviewed monthly to assure the market value of the securities pledged equals or exceeds the related bank balances.

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9. Safekeeping and Custody. Assets shall be settled on a delivery versus payment basis when appropriate, and secured through independent third-party custody and safekeeping procedures. Safekeeping procedures shall be reviewed annually by the Internal Auditor. Periodic surprise audits of safekeeping and custodial systems shall be conducted annually by the Internal Auditor.

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10. Authorized Broker/Dealers. The Board of Regents must annually review and adopt a list of financial institutions and broker/dealers qualified and authorized to engage in investment transactions with and for the System. All Authorized Broker/Dealers must supply a certification of having read and understood the investment rules, regulations, and policies applicable to the System and agree to comply with these rules, regulations, and policies acknowledge that the business has implemented reasonable procedures and controls in an effort to comply.

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11. Investment Responsibilities. The System Investment Advisory Committee shall be responsible for investing System funds and must comply with the following:

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a. Prudent Person Standard. The Investment Officers shall exercise a Prudent Person Standard at all times with regard to all funds.

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b. Personal Business Relationship. Should any Investment Officer have a personal business relationship with a business organization offering to engage in an investment transaction with the System, a statement shall be filed disclosing that personal business interest. This statement must be filed with the Texas Ethics Commission and the Board of Regents. A "personal business relationship" is defined in Chapter 2256.005(i) of the Public Funds Investment Act.

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c. Training. Each member of the Board of Regents and the System Investment Advisory Committee shall attend at least one training session within six months after taking office or assuming duties. The Texas Higher Education Coordinating Board will provide training for the Regents. All Investment Officers and members of the System Investment Advisory Committee must attend training not less than once

in each fiscal biennium, and may receive training from any independent source approved by the Board of Regents. The Texas Higher Education Coordinating Board is an approved source for training. The Investment Officers must report the status of their training to the Board of Regents no later than the 180th day after the last day of each regular session of the legislature.

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12. Reporting.

- a. Audit. The System's Internal Audit department shall perform an annual compliance audit of management controls and adherence to this policy. The results will be reported to the Board of Regents and the State Auditor's Office.
- b. Quarterly Reports. The Vice Chancellor for Finance shall prepare a quarterly investment report which includes endowments and submit it to the Board of Regents through the Chancellor. The report will be prepared in compliance with generally accepted accounting principles and will detail, by asset and fund type, changes in book and market values, dates of maturity, and accrued interest. The quarterly reports are to be formally reviewed at least annually by the System's Internal Audit department in conjunction with the annual compliance audit, and the result of the review shall be reported to the Board of Regents.
- c. Annual Report. At the end of each fiscal year, the System will prepare a report of investment performance for the year and submit it to the Board of Regents at its first regularly scheduled board meeting following the end of the fiscal year.

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References and Cross-references:

Public Funds Investment Act (Texas Government Code, Chapter 2256)

Texas Education Code, Chapter 51, Subchapter A (Section 51.001, et. seq.)

University of North Texas System Board of Regents Rule 10.100

Uniform Prudent Investor Act (Texas Property Code, Chapter 117)

Uniform Prudent Management of Institutional Funds Act (Texas Property Code, Chapter 163)

Public Funds Collateral Act (Texas Government Code, Chapter 2257)

Approved: August 16, 2012

Effective: August 16, 2012

Revised: May 16, 2013, August 15, 2013, December 5, 2013, August 21, 2014, October 16, 2014

~~¹System Institutions with less than \$10M cash on hand may retain 100% of cash balances in its Short Term Pool.~~

~~²System Institutions with less than \$10M cash on hand may retain 100% of cash balances in its Short Term Pool.~~



Board Briefing

Committee: Consent

Date Filed: October 6, 2015

Title: Approval for the Naming of the Jim McNatt Institute for Logistics Research

Background:

Regents Rule 09.200, *Naming of Property, Programs and Academic Positions*, specifically 09.203 Item 7 *Naming Opportunities and Necessary Approvals* as related to *Programs, Institutes, Centers and Other Organizations*, addresses the need for the Board of Regents to approve various gift-related and honorific naming opportunities. This item represents a gift-related naming under this Rule and is brought to the Board for review and approval.

Local businessman and UNT Alumnus Jim McNatt ('66), and his wife, Linda, recently committed more than \$2.6 million in cash and pledges to various initiatives at the University of North Texas, including a \$1 million cash gift to enhance multidisciplinary logistics research. The total impact could reach \$3.4 million if matching TRIP (Texas Research Incentive Program) funds are received.

McNatt, his wife, brother and sister-in-law have all attended UNT and have a loyal connection to their alma mater. "We can continue to be a top-notch university if alumni continue to be involved in the university," McNatt said. "It's not just about a monetary donation, it's about investing back into the university that provided so much to us all."

The Institute provides an opportunity to capitalize on the reputation developed by the logistics program and the transportation related research conducted throughout the University. The gift and naming of the Institute expands on this reputation and research foundation by establishing an overreaching institute that furthers multidisciplinary research opportunities to obtain external funding from private industry, local and state governments and federal funding agencies. This institute will promote and conduct logistics research with a multidisciplinary approach and will represent a conglomeration of current and future activities related to logistics.

In recognition of the McNatt's vision for, and significant investment in, logistics research, it is recommended that the institute be named The Jim McNatt Institute for Logistics Research.

Financial Analysis/History:

There are no anticipated costs to establishing the institute.

Mr. McNatt has recently given \$2.6 million with a potential impact of \$3.4 million with matching TRIP funding.

Mr. McNatt's generous \$1 million gift to support logistics research was received in cash; therefore meeting the minimum donation requirement, and minimum received, to name the institute in honor of Mr. McNatt.

Bob Brown
Institution Chief Financial Officer

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ou=VP for Finance and Administration,
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Janet Waldron
Vice Chancellor for Finance

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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
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Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Vice Chancellor/General Counsel

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Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2015.11.09 17:43:41 -06'00'

Schedule:

The formal naming and dedication of the institute will occur no later than May 2016.

Recommendation:

The President recommends that the Board of Regents authorize and approve the following board order.

Recommended By:

David F. Wolf

Vice President of Advancement

Neal Smatresk

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of North Texas, ou=President,
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President

Lee Jackson

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email=lee.jackson@untsystem.edu,
c=US
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Chancellor



Board Order

Title: Approval for the Naming of the Jim McNatt Institute for Logistics Research

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 19-20, 2015, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Board of Regents Rules 09.203 *Naming Opportunities and Necessary Approvals* requires Board of Regents approval for the naming of programs, institutes, centers and other organizations, and

Whereas, alumnus Jim McNatt has contributed more than \$2.6 million with a potential impact of \$3.4 million, and

Whereas, Mr. McNatt’s cash contribution meets the requirements of the Regent Rules and UNT Policy regarding the naming of institutes, and

Whereas, \$1 million of his contributions were designated for multidisciplinary logistics research,

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

- 1. Naming the Jim McNatt Institute for Logistics Research in recognition of Jim and Linda McNatt’s generosity.

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: October 28, 2015

Title: Delegation of Authority to Execute an Agreement for programming services to support the National Missing and Unidentified Persons System (NamUs) 2.0 software technology upgrade

Background:

In September 2011, UNT Health Science Center (UNTHSC) was awarded a grant from the National Institute of Justice (NIJ), through the U.S. Department of Justice, to manage and administer the National Missing and Unidentified Persons System (NamUs) through FY2012. This award has been extended each year through FY2016, with the most recent award including funding to upgrade the existing NamUs software technology (NamUs 2.0).

The current NamUs system was created and implemented over five years ago. Given the growth of the NamUs program and the speed with which technology advances, the existing NamUs system needs an upgrade to meet current and future needs.

A Request for Proposal (RFP) was issued in April 2015 for the development of NamUs 2.0 and is anticipated to be ready for award by October 2015. The entire software upgrade project is estimated to extend over at least 18 months and cost more than \$4,000,000; however, the annual NamUs grant cycle necessitates entering into a contract not to exceed September 30, 2016 and \$2.4 million at this time. Authority to extend the agreement with the selected vendor will be requested if/when subsequent NamUs awards are granted to UNTHSC.

Financial Analysis/History:

Revenue from the NamUs award was \$2,600,000 in FY2012 and grew to \$5,000,000 in FY2016, for a total of \$16,300,000.

Revenue under the FY2016 NamUs award includes \$1,800,000 designated for the NamUs 2.0 upgrade project, and an additional \$600,000 remaining from FY2015 to be utilized for the NamUs 2.0 upgrade project, for a total of \$2,400,000. This upgrade project is completely grant funded.

Successfully completing planned elements of the NamUs 2.0 upgrade project in FY2016 will significantly increase the likelihood of future NamUs awards to UNTHSC.

John A. Harman

Digitally signed by John A. Harman
DN: cn=John A. Harman, o=Senior Vice
President and CFO, ou=UNTHSC,
email=john.harman@unthsc.edu, c=US
Date: 2015.11.04 09:30:52 -0600

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: 2015.11.10 08:27:34 -06'00'

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: 2015.11.09 17:25:53 -06'00'

Vice Chancellor/General Counsel

Schedule:

Beginning upon the RFP award and extending for up to twelve (12) months.

Recommendation:

It is recommended that the UNT System Board of Regents delegate authority to the Chancellor to negotiate and enter into an agreement for the NamUs 2.0 software upgrade project in an amount not to exceed \$2,400,000.

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.edu,
c=US
Date: 2015.11.11 07:37:59 -06'00'

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: 2015.11.12 10:57:23 -06'00'

Chancellor



Board Order

Title: Delegation of Authority to Execute an Agreement for programming services to support the National Missing and Unidentified Persons System (NamUs) 2.0 software technology upgrade

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 19-20, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Health Science Center (UNTHSC) provides daily management and administration of the National Missing and Unidentified Persons System (NamUs), and

Whereas, the NamUs system is in need of a technology upgrade and UNTHSC has been awarded the funds to manage and complete the NamUs 2.0 upgrade project, and

Whereas, UNTHSC desires to enter into an agreement not to exceed twelve (12) months and \$2,400,000 to complete the planned NamUs 2.0 upgrades,

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

1. Delegation of authority to the Chancellor to execute an agreement for programming services to support the National Missing and Unidentified Persons System (NamUs) 2.0 software technology upgrade in an amount not to exceed \$2,400,000.

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: October, 9, 2015

Title: Delegation of Authority to the Chancellor to Negotiate and Execute Agreements for UNTHSC to secure Revenue Cycle Services and Accounts Receivable Management for the clinical practice.

Background:

For a number of years UNTHSC has staffed and managed the revenue cycle function related to the clinical practice. In recent years the clinical practice has operated in a deficit as a result of many operational and systematic deficiencies. The clinical practice is being restructured and will be significantly smaller than in previous years. As a result of the changing revenue structure, UNTHSC will lose the economies of scale necessary to support an effective revenue cycle and accounts receivable management function internally. Thus, UNTHSC is seeking to out-source these business functions to vendors who can provide services in a more flexible cost efficient model. These vendors will typically feature enhanced infrastructure and support systems that will maximize the revenue returned from 3rd party payers on professional medical services provided.

Financial Analysis/History:

UNTHSC is in the process of developing and releasing a Request for Proposal (RFP) for revenue cycle services and accounts receivable management. Because some vendors do not provide both services and because UNTHSC desires to select the vendor with the best combination of market competitiveness on price with proven results, it may be necessary to split the services among more than one vendor. UNTHSC expects annual professional medical service revenues collected by the vendor/s to total as much as \$28 million. Service fees typically range between 5-15% of revenue collected, depending on the vendor, extent of service integration, projected net clinical revenue, professional clinical services mix and balance of provider specialties. On \$28 million in professional medical service revenues UNTHSC expects to pay between \$1.4-4.2 million in fees to the vendor/s.

John A. Harman

Digitally signed by John A. Harman
DN: cn=John A. Harman, o=Senior Vice
President and CFO, ou=UNTHSC,
email=john.harman@unthsc.edu, c=US
Date: 2015.11.04 09:30:01 -06'00'

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: 2015.11.10 08:29:08 -06'00'

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: 2015.11.09 17:46:13 -06'00'

Vice Chancellor/General Counsel

Schedule:

Services to begin as early as January 1st, 2016 and to continue for up to forty-four months, ending on or before August 30th 2019.

Recommendation:

Delegation of Authority to the Chancellor to Negotiate and Execute Agreements with Vendors to provide Revenue Cycle Services and Accounts Receivable Management for the UNTHSC clinical practice.

Recommended By:

John A. Harman

Institution Chief Financial Officer

Michael R. Williams Digitally signed by Michael R. Williams
DN: cn=Michael R. Williams,
o=UNTHSC, ou=President,
email=michael.williams@unthsc.edu, c=US
Date: 2015.11.11 07:38:33 -06'00'

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: 2015.11.12 11:00:21 -06'00'

Chancellor



Board Order

Title: Delegation of Authority to the Chancellor to Negotiate and Execute Agreements for UNTHSC to secure Revenue Cycle Services and Accounts Receivable Management for the clinical practice.

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 19-20, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNTHSC desires to discontinue internal staffing and management of the revenue cycle and accounts receivable management functions for its clinical practice, and

Whereas, there are vendors that can provide a portion or all of these services in a more cost efficient and effective manner with greater flexibility, and

Whereas, UNTHSC desires to secure these services through a combination of one or more vendor Agreements for the reconfigured UNTHSC clinical practice,

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

1. Delegation of authority to the Chancellor to negotiate and execute one or more Agreements with vendors to provide revenue cycle services and accounts receivable management to UNTHSC.
2. Term of Agreements will begin as early as January 1st 2016 and may continue for up to forty-four months.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Order

Title: Approval of the Minutes of the May 21-22, 2015 Board Meeting and July 6 and July 9, 2015 Special Called Board Meetings

Board Order 2015-66

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on August 27-28, 2015, pursuant to a motion made by Regent Mitchell and seconded by Regent Whitley, the Board approved the motion presented below:

Whereas, the minutes of the May 21-22, 2015 meeting and the July 6 and July 9, 2015 special called meetings 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 May 21-22, 2015 meeting and the July 6 and July 9, 2015 special called meetings of the UNT System Board of Regents.

VOTE: 9 ayes 0 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 MEETING May 21-22, 2015

Thursday, May 21, 2015

The University of North Texas System Board of Regents convened on Thursday, May 21, 2015 in Room 712 of the University of North Texas System Building, 1901 Main St., Dallas, Texas with the following Regents in attendance: Brint Ryan, Michael Bradford, Steve Mitchell, Don Potts, Gwyn Shea, Al Silva and Chris Vera. 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 9:05 am. Regent Rusty Reid joined the meeting at 10:38 am.

Chairman Ryan recognized Chancellor Jackson who **introduced new UNTS Staff** and briefed the Board on **Moving from Financial Transformation to Service Quality Improvement**. The Chancellor also expressed **appreciation to State leaders and UNTS Governmental Relations**.

This being Regent Vera's last Board meeting, Chairman Ryan presented on behalf of the Board of Regents a **Certificate of Appreciation to Student Regent Christopher "Chris" Vera** for his service as Student Regent for the 2014-2015 academic year.

Chairman Ryan recessed the Board for the meetings of the Strategic and Operational Excellence, Academic Affairs and Student Success, Audit, and Finance Committees.

Following the Committee meetings, the Board reconvened at 4:16 pm. UNT Athletic Director Rick Villarreal introduced the individual selected as the new Women's Basketball Coach, Jalie Mitchell.

At 4:20 pm, Chairman Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda.

At 6:08 pm, following Executive Session, Chairman Ryan reconvened the full Board. There were no action items from Executive Session.

There being no further business, the Board meeting was recessed at 6:10 pm on Thursday, May 21, 2015 to be reconvened at 9:00 am on Friday, May 22, 2015 at the UNT System Building, 1901 Main St, Dallas.

Friday, May 22, 2015

The University of North Texas System Board of Regents convened on Friday, May 22, 2015 in Room 712 at the UNT System, 1901 Main St, Dallas, Texas with the following Regents in

attendance: Brint Ryan, Michael Bradford, Milton Lee, Steve Mitchell, Don Potts, Gwyn Shea, Al Silva, and Chris Vera. There being a quorum established, Chairman Brint Ryan reconvened the Board meeting at 9:06 am on Friday, May 22, 2015.

At 9:06 am, Chairman Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda.

At 9:40 am, following Executive Session, Chairman Ryan reconvened the full Board. There were no items to consider from Executive Session.

Chairman Ryan recessed the Board for meetings of the Academic Affairs and Student Success Committee and the Finance Committee.

Following the Committee meetings, the Board reconvened at 10:11 am. [Note: Regent Silva left the meeting at approximately 10:00 am.]

The Board considered the following items of the Consent Agenda:

1. **UNTS** **Approval of the Minutes of February 21-22, 2015 Board Meeting and April 8, 2015 Special-Called Board Meeting**
2. **UNTS** **Approval to Rename the Finance Committee Charter to Reflect the Name of the Finance and Facilities Committee**
3. **UNTS** **Approval and Ratification of the 2015-2016 Admission Standards for UNT System Institutions**
4. **UNT** **Approval of UNT Recommendations for New and Continued Regents Professor Designation**
5. **UNT** **Approval of Construction Contract for Wooten Hall - Mechanical, Electrical and Plumbing Renovation Project**
6. **UNTS** **Approval of TexPool Resolutions Amending Authorized UNT System Representatives**
7. **UNTD** **Authorization for the University of North Texas at Dallas to Apply to the Texas Higher Education Coordinating Board for a New Program Name and CIP Designator for its Existing M.S. Counseling Degree**
8. **UNTHSC** **Approval of Extension of Employment Agreement for the Executive Vice President for Academic Affairs/Provost**
9. **UNTHSC** **Authorization for UNTHSC President or his designee to execute Addendum 2 to Amendment 2 of vendor contract with Loopback Analytics, LLC as a part of the Centers for Medicare and Medicaid Services grant contract 1C1CMS331037-01-00**
10. **UNTHSC** **Agreement for Services with Tarrant County, Women's Health Program Services to be Provided by UNTHSC, PI Dr. Amy Raines-Milenkov**
11. **UNTHSC** **Authorization for UNTHSC to Execute a Sub-award with Tarrant County Public Health on Centers for Disease Control grant 200-2011-41271**

Pursuant to a motion by Regent Steve Mitchell seconded by Regent Don Potts the Board approved the above Consent Agenda. The motion was approved on a 6-0 vote.

The Board then considered the following action items coming out of committees:

Academic Affairs Committee Items

- 12. UNT Approval of UNT Tenure Recommendations**
- 13. UNTHSC Approval of Tenure Recommendation for New UNTHSC Faculty Appointee**
- 14. UNTD Approval of Tenure Recommendation for UNT Dallas Faculty**
- 15. UNTD Authorize a New UNT Dallas Master of Science Degree in Forensic Accounting**
- 16. UNTD Authorize a New UNT Dallas Bachelor of Arts Degree with a Major in Communication and Technology**

Pursuant to a motion by Regent Michael Bradford seconded by Regent Don Potts the Board approved the above Academic Affairs and Student Success Committee agenda items. The motion was approved on a 6-0 vote.

Finance Committee Items

- 17. UNT Delegation of Authority to the Chancellor or his designee to Negotiate and Execute an Agreement with Honors Golf Club to provide a Men and Women's Golf Practice Facility**
- 18. UNT UNT Head Women's Basketball Coaching Contract**
- 19. UNTHSC Authorization for UNTHSC to spend above its FY2015 approved operating budget to implement and operationalize the EPIC electronic health record and enterprise practice management system on behalf of Acclaim Physician Group Inc., its jointly owned non-profit healthcare organization**
- 20. UNTS Approval of Project Budget and Delegation of Authority to Select Contractor for Central Path Extension at Clark Park**
- 21. UNTS Delegation of Authority to Extend the Contract with Ciber Inc. to Upgrade PeopleSoft Software Systems**
- 22. UNTS Resolution Declaring Intention to Reimburse Certain Expenditures with Proceeds from Debt**

Pursuant to a motion by Regent Don Potts seconded by Regent Milton Lee the Board approved the above Finance agenda items. The motion was approved on a 6-0 vote.

The Board considered one additional item that was not first considered by a standing committee.

23. UNTS Approval of Revision to Regents Rule 03.200, Officers of the Board and Board Secretary

Pursuant to a motion by Regent Steve Mitchell seconded by Regent Milton Lee the Board approved the above agenda item. The motion was approved on a 6-0 vote.

The following Background Reports were shared with the Board through its committees:

- Internal Audit Report of Audit Activities May 2015
- UNTS Internal Audit Capabilities Assessment
- UNT System Consolidated Quarterly Compliance Report December 2014 through February 2015
- FY 15 Year-to-Date Budget to Actual Report
- Investment Briefing – Q2 FY 15
- UNT Capital Projects Plan Update
- UNT Health Science Center Capital Projects Plan Update
- UNT System Construction and Major Renovation Report

There being no further business, the Board meeting was adjourned at 10:19 am on Friday, May 22, 2015.

Submitted By:

Approved By:

Rosemary R. Haggett
Rosemary R. Haggett, Board Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Date: Aug 19, 2015

Date: _____



UNT | SYSTEM™

MINUTES BOARD OF REGENTS SPECIAL CALLED MEETING July 6, 2015

The University of North Texas System Board of Regents convened on Monday, July 6, 2015 in Room 109/111 of the Medical Education and Training Building at the University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following Regents in attendance: Brint Ryan, Michael Bradford, Milton Lee, Steve Mitchell, Don Potts, Rusty Reid, Gwyn Shea, and Glen Whitley. 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 10:32 am.

Chairman Ryan moved the meeting into Executive Session in accordance with Texas Government Code Sections 551.071 and 551.074.

The Board reconvened in Open Session at 12:34 pm.

The Board had one item on the consent agenda to consider:

- 2015-59 Delegation of Authority to the Chancellor for Approval of an Increase in Total UNTHSC Intergovernmental Transfers (IGT) of Funds for FY 2015 in the Texas HealthCare Transformation and Quality Improvement Program (1115 Transformation Waiver), and Update of Estimated IGT Amounts through 2015

Regent Whitley made the motion to approve the consent agenda, which was seconded by Regent Mitchell. The motion passed by a vote of 8-0.

There was one action item to consider.

- 2015-60 Approval of a Memorandum of Understanding and Delegation of Authority to the Chancellor of the UNT System and President of UNT Health Science Center to Pursue an Affiliation with Texas Christian University for the Purpose of Furthering Medical Education in Fort Worth

President Williams presented the item. Chairman Ryan invited questions for Dr. Williams, and hearing none, asked for a motion. Regent Bradford made the motion to approve, and Regent Whitley seconded the motion. The motion passed by a vote of 8-0.

There being no further business, Chairman Ryan indicated that he would entertain a motion for adjournment. Regent Reid so moved and Regent Potts seconded. The motion passed unanimously. The meeting was adjourned at 12:40 pm.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett, Board Secretary
Board of Regents

Date: Aug. 17, 2015

Approved By:

Brint Ryan, Chairman
Board of Regents

Date: _____



UNT | SYSTEM™

BOARD OF REGENTS Teleconference Meeting Minutes July 9, 2015

University of North Texas System
Room 711
1901 Main Street
Dallas, Texas

The University of North Texas System Board of Regents convened a special called meeting via teleconference on Thursday, July 9, 2015 in Room 711, UNT System Building, Dallas, Texas, with the following Regents in attendance: Brint Ryan, Milton Lee, Don Potts, Rusty Reid, Gwyn Shea, Al Silva, and Glen Whitley.

In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Ryan called the meeting to order at 3:02 pm.

The Board Secretary called roll and identified all participants in the meeting.

The Board had one item on the consent agenda to consider:

2015-61 Authorization for Continuing Design Work for Central Path Extension at Clark Park

Regent Potts made the motion to approve the consent agenda, which was seconded by Regent Whitley. Chairman Ryan called for a vote. The Board Secretary called the roll and recorded the vote. The motion passed by a vote of 7-0.

At 3:05 pm Chairman Ryan moved the meeting into Executive Session in accordance with Texas Government Code Section 551.074.

The Board reconvened in Open Session at 3:13 pm with one action item coming out of Executive Session.

2015-62 Announcement of Finalist for President, University of North Texas at Dallas

Regent Potts made the motion to approve Bob Mong as finalist for President of UNT Dallas, and Regent Reid seconded the motion. Chairman Ryan invited discussion, and hearing none, called for the vote. The Board Secretary called the roll and recorded the vote. The motion passed by a vote of 7-0.

There being no further business, the meeting was adjourned at 3:15 pm.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett,
Board Secretary

Date: Aug 19, 2015

Approved By:

Brint Ryan,
Chairman

Date: _____



Board Briefing

Committee: Consent

Date Filed: October 9, 2015

Title: FY17 Holiday schedule for UNT System, UNT, UNTHSC and UNT Dallas

Background:

Texas Government Code 662.011 allows the governing body of an institution of higher education to establish the holiday schedule on any days the Board chooses, but the number of holidays may not exceed the total number of days to which other State agencies are entitled.

According to State law, holidays that fall on weekends are not included in the state's allotment. In FY17, this includes Christmas Eve Day and Christmas Day, Dec. 24-25, 2016, and New Year's Day, 2017.

Schedules for the University of North Texas, the University of North Texas at Dallas (including the University of North Texas at Dallas College of Law), the University of North Texas Health Science Center and the University of North Texas System are included in the following Board Order. If implemented, these holidays will be scheduled.

Employees, regardless of office location, follow the holiday schedule for their employer.

The Chancellor is authorized to modify the holiday schedule when such a change is deemed to be in the public interest.

Financial Analysis/History:

State holidays are a paid employee benefit and are considered in budgets by chief financial officers at each locations.

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: 2015.11.03 16:58:25 -06'00'

John A. Harman
Digitally signed by John A. Harman
DN: cn=John A. Harman, o=Senior
Vice President and CFO, ou=UNTHSC,
email=john.harman@unthsc.edu,
c=US
Date: 2015.11.04 09:32:05 -06'00'

UNTHSC Chief Financial Officer

daniel.edelman@untdallas.edu
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daniel.edelman@untdallas.edu
DN: cn=daniel.edelman@untdallas.edu
Date: 2015.11.04 09:24:05 -06'00'

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: 2015.11.10 08:24:43 -06'00'

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: 2015.11.09 16:25:27 -06'00'

Vice Chancellor/General Counsel

Schedule:

The FY17 holiday schedule will be implemented in accordance with the dates listed in the attached Board Order once approved by the Board of Regents.

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order.

Recommended By:

Janet Waldron

Vice Chancellor for Finance

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: 2015.11.12 08:55:30 -06'00'

UNT President

Michael R. Williams Digitally signed by Michael R.
Williams
DN: cn=Michael R. Williams,
o=UNTHSC, ou=President,
email=michael.williams@unth
sc.edu, c=US
Date: 2015.11.11 07:36:46
-06'00'

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: 2015.11.11 17:17:31 -06'00'

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: 2015.11.12 10:51:06 -06'00'

Chancellor



Board Order

Title: FY17 Holiday schedule for UNT System, UNT, UNTHSC and UNT Dallas

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 19-20, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, State law allows the governing body of an institution of higher education to establish the holiday schedule for the institution, and

Whereas, the holidays may be set on any days that the Board of Regents chooses, but the number of holidays may not exceed the total number of days to which employees of other State agencies are entitled, and

Whereas, employees follow the holiday schedule for their employer, regardless of office location, and

Whereas, it has been determined that the other State agencies will observe thirteen (13) holidays during FY 2017,

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

1. Holiday schedules for UNT, UNT Dallas (including UNT Dallas College of Law), UNTHSC and UNT System:

UNT System and UNT Dallas - Dallas

Holiday Schedule – FY17 (Sept. 1, 2016 – Aug. 31, 2017) – 13 holidays

Labor Day – Monday, Sept. 5, 2016

Thanksgiving Day – Thursday, Nov. 24, 2016

Day after Thanksgiving – Friday, Nov. 25, 2016

Day after Christmas Day – Monday, Dec. 26, 2016

Winter Break – Tuesday, Dec. 27; Wednesday, Dec. 28, Thursday, Dec. 29; Friday, Dec. 30, 2016

Martin Luther King Jr. Day – Monday, Jan. 16, 2017

Spring Break Day – Monday, March 13, 2017

Memorial Day – Monday, May 29, 2017

Independence Day – Tuesday, July 4, 2017

Floating Day – Employee choice with supervisory approval; must be used by Aug. 31, 2017

UNT Health Science Center – Fort Worth

Holiday Schedule – FY17 (Sept. 1, 2016 – Aug. 31, 2017) – 13 holidays

- Labor Day – Monday, Sept. 5, 2016
- Thanksgiving Day – Thursday, Nov. 24, 2016
- Day after Thanksgiving – Friday, Nov. 25, 2016
- Day after Christmas Day – Monday, Dec. 26, 2016
- Winter Break – Tuesday, Dec. 27; Wednesday, Dec. 28, Thursday, Dec. 29; Friday, Dec. 30, 2016
- Martin Luther King Jr. Day – Monday, Jan. 16, 2017
- Memorial Day – Monday, May 29, 2017
- Independence Day – Tuesday, July 4, 2017
- Floating Day 1 - Employee choice with supervisory approval; must be used by Aug. 31, 2017
- Floating Day 2 - Employee choice with supervisory approval, must be used by Aug. 31, 2017

UNT – Denton

Holiday Schedule – FY17 (Sept. 1, 2016 – Aug. 31, 2017) – 13 holidays

- Labor Day – Monday, Sept. 5, 2016
- Thanksgiving Day – Thursday, Nov. 24, 2016
- Day after Thanksgiving – Friday, Nov. 25, 2016
- Day after Christmas Day – Monday, Dec. 26, 2016
- Winter Break – Tuesday, Dec. 27; Wednesday, Dec. 28, Thursday, Dec. 29; Friday, Dec. 30, 2016 and Jan. 2, 2017
- Martin Luther King Jr. Day – Monday, Jan. 16, 2017
- Spring Break Day – Monday, March 13, 2017
- Memorial Day – Monday, May 29, 2017
- Independence Day – Tuesday, July 4, 2017

2. The Chancellor is authorized to modify the holiday schedules when such a change is deemed to be in the public interest.

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: Consent

Date Filed: September 29, 2015

Title: Approval of UNT Emeritus Recommendations

Background:

In accordance with UNT Policy 15.1.18, *Conferring of Emeritus Status*,

The title "Emeritus" may be conferred by the Board of Regents to a faculty member or librarian at the time of retirement, upon the recommendation of the department/unit, and with administrative approval.

A university administrator, to be eligible for emeritus status, must hold a faculty or librarian appointment, have served in a position at the dean level or higher, and have a record of distinguished service. The emeritus title for an administrator will be commensurate with the position held at the time of retirement (e.g. Dean emeritus, President emeritus, etc.). For faculty or librarians recruited directly to administrative positions, the ten-year employment requirement is waived.

Emeritus status is recommended for the following individuals:

Michael Braswell, Endowed Professorship, Finance, Insurance, Real Estate & Law

Dr. Braswell, during his 25 years at UNT has distinguished himself as a teacher and a scholar. Dr. Braswell's leadership leaves a legacy of excellence in teaching as well as endowments that support the Student Investment Group and the Texas Apartment Association Professorship in Residential Property Management. A recognized scholar in his field, Dr. Braswell has contributed immeasurably to the education of students at UNT and to exposing them to real world investing through the Student Investment Group and careers in real estate through the Texas Apartment Association Professorship. Dr. Braswell's record at UNT shows that he is a distinguished scholar and excellent university citizen, worthy of being named Professor Emeritus.

Lloyd Fitzpatrick, Professor, Biological Sciences

Dr. Fitzpatrick joined the department of Biological Sciences in 1970 as an Assistant Professor. Dr. Fitzpatrick was promoted to Associate Professor in 1975 and to the rank of Professor in 1981. Dr. Fitzpatrick is a physiological and population ecologist, whose research is focused on the behavioral, energy flow, and metabolic responses of a variety of animal types ranging from insects to mammals to environmental factors such as temperature, light, oxygen, and salinity. Dr. Fitzpatrick later concentrated his efforts in the area of terrestrial ecotoxicology. During his career he received funding from a score of local, state and federal agencies totaling approximately \$

2.7M. This funding supported the publication of 73 peer reviewed research papers, 34 technical reports and the presentation of 75 papers at the scientific meetings. Twenty-five young men and women have passed through Dr. Fitzpatrick's graduate laboratory earning either masters or doctoral degrees. These graduates hold positions at four-year institutions, industry, and in government. During his years at UNT, Dr. Fitzpatrick taught a variety of courses including those aimed at beginning non-science and biology majors as well as graduate courses in physiological ecology.

Ann Jordan, Professor, Anthropology

Dr. Jordan came to UNT as an Adjunct Faculty in anthropology in 1983. She became an Assistant Professor in 1991 and was acting Chair of the department from 1994-1997. Dr. Jordan was tenured and promoted to Associate Professor in 1997 and to Full Professor in 2003. From 2006-2008, she served as Associate Dean of Public Affairs and Community Service with responsibilities that involved research, graduate student affairs, space, and employee management. Dr. Jordan was a member of the Faculty Senate and was chair of the Academic Affairs Committee of the Faculty Senate, co-chair of the Task Force for the Center for the Study of Contemporary Arabic and Cultures, and vice chair of the University Commission on the Status of Women. Dr. Jordan chaired and served on numerous college and department committees, including Interim Director of Graduate Programs. Dr. Jordan is an internationally known scholar who has been an active leader in her professional community. She served as program chair of the Society for Applied Anthropology, which brought the annual meeting of that organization to the metroplex and showcased UNT. Dr. Jordan's leadership during her 31 years at UNT helped mold the mission of the Department of Anthropology.

Jacek Kowalski-Associate Professor / Physics

Dr. Kowalski joined UNT in 1989 after an active career in both Poland and Russia. Dr. Kowalski is widely known within physics for his contributions in a breadth of subjects. He has published 56 articles in peer-reviewed journals, he has been involved in the thermodynamics, semiconductors, statistical mechanics, and mathematical modeling of complex systems. Dr. Kowalski has worked closely with Regents Professor Guenter Gross on animal neural networks and brain activity. Dr. Kowalski is known for the wide variety of courses that he has taught for the department. He is very active in professional societies in the U.S. and his native Europe. Dr. Kowalski has been a major contributor in the community of physics and applied research. He has been a member of a number of professional societies in America and Europe recognizing his standing in the community of Physics and applies research.

Thomas La Point, Professor, Biological Sciences

Dr. La Point joined the Department of Biological Sciences in 1999, as a Professor and Senior Scientist, and later served as Director of the Institute of Applied Sciences. Previous to his appointment at UNT, Dr. La Point earned Professorships at Texas Tech University and Clemson University. Dr. La Point's research centers on the development and evaluation of diagnostic indicators of ecological conditions, risk assessment in aquatic systems and specifically aquatic toxicology. During his career he has received funding totaling approximately \$8.2 M from a variety of local, regional, state and federal sources to investigate aspects of aquatic toxicology including pollution ecology, physiology of aquatic organisms, and water ecosystem sustainability. This funding supported the publication of 49 peer reviewed research papers, 15 book chapters, 5 proceedings, 15 technical reports, and the data needed to present 112 papers at local, regional, national, and international meetings. Dr. La Point's research is well respected as demonstrated by his selection numerous times as a member of national boards and committees. Dr. La Point mentored numerous graduate students through their masters and doctoral degrees.

Paul Leung, Professor, Disability & Addiction Rehabilitation

Dr. Leung has been on the UNT faculty since 1999. During his tenure at UNT, Dr. Leung received a number of prestigious awards for his contributions in his field of rehabilitation and disability. In 2000, Dr. Leung became a Fellow of the American Psychological Association in both Divisions 45 and 22. In 2006, Dr. Leung received the Outstanding Contributions to Education from the Greater Dallas Asian American Chamber of Commerce and received the Honorary Faculty Award from the UNT Asian Students Association. Dr. Leung is considered one of the top authors on multicultural issues in rehabilitation and has written numerous articles, book chapters, and books on the subject. In 1993, Dr. Leung was recognized by the National Council on Disability for his work in co-editing the Council's report to Congress emphasizing the need to understand diverse populations in providing rehabilitation services. Dr. Leung served as the Co-Chair of the Council on Rehabilitation Education committee accreditation standards revision (2008 – 2010) and is currently the Chair of the Standards and Exam Committee for the Commission on Rehabilitation Counselor Certification.

Richard Lowe, Regents Professor, History

Dr. Lowe has been a staple in the History department for over 40 years. Dr. Lowe has played a major part in the UNT's military history program as a nationally recognized authority on the American Civil War and Reconstruction. Dr. Lowe has written three books on the subject with his most recent work winning the Jefferson Davis Award from the Museum of the Confederacy. In addition to his books, Dr. Lowe has published 18 journal articles, 6 book chapters, and 9 articles in history encyclopedias. Dr. Lowe is a fellow of the Texas State Historical Association, and member of the UNT Athletic Hall of Fame for his work as a soccer coach. During his career at UNT, Dr. Lowe has been recognized as a fine scholar and teacher that has dedicated his career to UNT. Dr. Lowe's national reputation, his years of encouraging UNT History students, and his dedication to the History department suggest that he is a prime candidate for emeritus faculty status.

Jerry McCoy, Regents Professor, Division of Conducting & Ensembles

Dr. McCoy has served UNT for 15 years. While at UNT he brought the choral department to new heights of reputation. Dr. McCoy was named a Regents Professor at UNT five years ago. Under his direction, the top choir at UNT, the A Cappella Choir, made appearances (all selected by an independent jury) at the American Choral Directors Association national conference not once, but twice. They did the same for the National Collegiate Choral Organization's conference. These are the two most prestigious concerts that a university choir can give on the national stage. In addition, the choir under the direction of Dr. McCoy was invited to sing at similar national conferences in both Taiwan and Korea. Dr. McCoy was also a frequent guest conductor and guest teacher, including conducting 5 different professional choirs in Korea as well as in the US and Europe. Dr. McCoy served as President of the American Choral Conductors Association, the largest such organization in the world. Dr. McCoy's service at UNT was also superb, serving on most major committees in the College of Music. As a teacher, Dr. McCoy was acknowledged to lead one of the premier programs to prepare masters and doctoral level students in choral conducting. Forty-three of his students from UNT are teaching in tenure-track positions in the United States, Korea, and one in the UAE.

Floyd (Del) McDaniel, Associate Dean, Professor, Physics

Dr. McDaniel is retiring from UNT after a 40 year career as a member of the University of North Texas faculty. Dr. McDaniel has been a leader of the Ion Beam Modification and Analysis Laboratory and has published over 70 articles in refereed journals. His contributions were

recognized by his designation as Regents Professor in 2002. He is known as a leader in his field for his decades of organizing the International Conference on the Application of Accelerators in Research and Industry with Jerry Duggan. Dr. McDaniel has also been an active collaborator at Sandia National Labs, the Southwest Research Institute, Texas Instruments, and the Universidad Autonoma del Estado de Mexico. Dr. McDaniel has been an active mentor to UNT students, served as department chair in Physics, and more recently has been the Associate Dean of Research in the College of Arts and Sciences.

George Morrison, Professor, Teacher Education & Administration

Dr. Morrison has served the College of Education and UNT for 20 years. He has received several awards for his service over the years. Dr. Morrison is well known nationally and internationally. His expertise has led to many publications in top journals and grant awards. Dr. Morrison is a leader in the field of early childhood education and has developed and implemented the Success for Life curriculum which is a brain research-based program for children from birth to age six. This curriculum is in childcare centers, public schools, and private schools throughout the area. Dr. Morrison is more than deserving of the title Professor Emeritus due to his outstanding teaching and dedication to education, and his distinguished career and outstanding service to UNT and his professional organizations.

Herman Totten, Dean, College of Information, Regents Professor, Library and Information Sciences

Dr. Totten has served the University of North Texas for almost four decades. During his tenure at UNT, he served as Professor and Regents Professor. Dr. Totten also served the university in several administrative positions. Most recently, he completed a second five-year term as founding Dean of the College of Information and served as Vice President of University and Community Affairs. In 2001, the American Library Association bestowed the Melvin Dewey Medal for "Creative Professional Leadership in Library and Information Science" on Dr. Totten. Dr. Totten earned this award for planning and developing the curriculum for the Texas State Library's Small Library Management Program, which provides training for paraprofessionals in small public libraries that do not have degreed librarians. The Melvin Dewey Medal is the American Library Association's highest honor. Dr. Totten also served as distinguished chair of the American Library Association Committee on Accreditation in 1992. In 2004, President George W. Bush appointed Dr. Totten to the National Commission on Libraries and Information Science. In 2006, after serving a term as the society President, the Texas Library Association awarded Dr. Totten their Lifetime Achievement Award for his contributions and endeavors to teaching, research, and innovating within the field of Library and Information Science. Part of his innovation included offering the first wholly-web-based management class.

Myra Walker, Professor, Design

Dr. Walker has been with the University of North Texas for 28 years. In her tenure at UNT, Professor Walker has led the Texas Fashion Collection from a small, but important, collection of garments to one that currently contains over 18,000 garments of historic significance. While teaching the fashion history classes and an impressive class in accessory design she has also curated, researched, and organized over 30 exhibitions, utilizing the collection as a resource both regionally and nationally. These exhibitions have served to raise the recognition of the Texas Fashion Collection as an important resource for historians and museums across the globe. Dr. Walker has spoken at many venues as diverse as the de Young Museum in San Francisco, Metropolitan Museum in NY, and the Costume Society of America, where she has given many juried presentations at their annual meeting. In 1999 Dr. Walker was asked by the Metropolitan Museum of Art in New York to take over the development of their iconic exhibition "Rock Style" when their curator became ill and she stayed on in New York for another

year to support the work of their historic collections as they searched for a new curator. Locally, her work with the Meadows Museum led to the large-scale exhibition "Balenciaga and His Legacy" that remains one of their most popular and highly attended exhibitions to date.

Financial Analysis/History:

There are no financial implications.

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: 2015.11.03 16:59:14 -06'00'

Institution Chief Financial Officer

Janet Waldron
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Date: 2015.11.10 08:25:34 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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Date: 2015.11.09 16:26:13 -06'00'

Vice Chancellor/General Counsel

Schedule: Effective upon approval by the Board of Regents.

Recommendation:

The President recommends that the Board of Regents grant Emeritus status to these distinguished retired individuals.

Recommended By:

O. Finley Graves
Provost and VPAA

Neal Smatresk
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DN: cn=Neal Smatresk, o=University of North Texas, ou=President, email=neal.smatresk@unt.edu, c=US
Date: 2015.11.12 08:53:50 -06'00'

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: 2015.11.06 08:55:21 -06'00'

Vice Chancellor

Lee Jackson
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Date: 2015.11.12 10:52:58 -06'00'

Chancellor



Board Order

Title: Approval of UNT Emeritus Recommendations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 19-20, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Policy 15.1.18, *Conferring of Emeritus Status*, states that the title "Emeritus" may be conferred by the Board of Regents to a faculty member or librarian at the time of retirement, upon the recommendation of the department/unit, and with administrative approval, and

Whereas, a university administrator, to be eligible for emeritus status, must hold a faculty or librarian appointment, have served in a position at the dean level or higher, and have a record of distinguished service. The emeritus title for an administrator will be commensurate with the position held at the time of retirement (e.g. Dean emeritus, President emeritus, etc.). For faculty or librarians recruited directly to administrative positions, the ten-year employment requirement is waived,

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

- Michael Braswell, Endowed Professorship Emeritus
- Lloyd Fitzpatrick, Professor Emeritus
- Ann Jordan, Professor Emeritus
- Jacek Kowalski-Associate Professor Emeritus
- Thomas La Point, Professor Emeritus
- Paul Leung, Professor Emeritus
- Richard Lowe, Regents Professor Emeritus
- Jerry McCoy, Regents Professor Emeritus
- Floyd (Del) McDaniel, Professor Emeritus
- George Morrison, Professor Emeritus
- Herman Totten, Dean Emeritus
- Myra Walker, Professor Emeritus

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: Consent

Date Filed: October 9, 2015

Title: Authorization to Execute an Agreement between UNTHSC and Tarrant County for the Department of Obstetrics and Gynecology to provide limited gynecological services to patients referred by the Tarrant County Public Health Department

Background:

The Tarrant County Public Health Department contracts for gynecological diagnostic services on patients referred from its Preventive Care Clinic. Services are paid on a per patient basis, at rates consistent with other government medical payers. These services have been contracted to UNTHSC since 2007. Tarrant County regulations require that a new contract be approved annually.

Financial Analysis/History:

Clinical revenue under the Agreement for FY 2015 was \$10,000. Expected revenue for FY 2016 is between \$10,000 and \$11,000.

**John A.
Harman**

Digitally signed by John A. Harman
DN: cn=John A. Harman, o=Senior Vice
President and CFO, ou=UNTHSC,
email=john.harman@unthsc.edu, c=US
Date: 2015.11.04 09:31:27 -06'00'

Institution Chief Financial Officer

**Janet
Waldron**

Digitally signed by Janet Waldron
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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2015.11.10 09:26:15 -06'00'

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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System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2015.11.09 16:27:04 -06'00'

Vice Chancellor/General Counsel

Schedule:

January 1, 2016 – December 31, 2016

Recommendation:

It is recommended that the Board of Regents authorize UNTHSC to enter into the Agreement with the Tarrant County Public Health Department to provide limited gynecological services to patients referred by the Tarrant County Health Department.

Recommended By:

Don Peska, DO

Dean and Chief Medical Officer

Michael R. Williams Digitally signed by Michael R. Williams
DN: cn=Michael R. Williams, o=UNTHSC, ou=President, email=michael.williams@unthsc.edu, c=US
Date: 2015.11.11 07:37:24 -06'00'

President

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: 2015.11.12 10:53:49 -06'00'

Chancellor



Board Order

Title: Authorization to Execute an Agreement between UNTHSC and Tarrant County for the Department of Obstetrics and Gynecology to provide limited gynecological services to patients referred by the Tarrant County Public Health Department.

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 19-20, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNTHSC Department of Obstetrics and Gynecology provides certain diagnostic services to women, and

Whereas, the Tarrant County Public Health Department wishes to purchase those services for women under the care of its Preventive Health Clinic,

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

1. Execution of an Agreement between UNTHSC and Tarrant County for the Department of Obstetrics and Gynecology to provide limited gynecological services to patients referred by the Tarrant County Public Health Department.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents