



UNT | SYSTEM™

Board of Regents Agenda

February 25-26, 2016

The University of North Texas System Board of Regents will meet on February 25 from 8:00 am until approximately 5:30 pm and on February 26, 2016 from 9:00 am until approximately 2:35 pm.

Agenda items are scheduled to follow each other consecutively and may start earlier or later than the posted time depending on the length of the discussions and the reports of previous items. Please note that the estimated times given in the posting are only approximate and may be adjusted as required with no prior notice.

Any members of the Board may attend committee meetings. Because some Board members who are not committee members may attend committee meetings and thereby create a quorum of the full Board, committee meetings are also being posted as meetings of the full Board.

Meetings will take place at UNT Dallas campus on February 25 and at the UNT System Building on February 26. Please reference the building and room location located directly below each date on the agenda. Please contact the Office of the Board Secretary with any questions at 214.752.5545.

Thursday, February 25, 2016

University of North Texas at Dallas
Founders Hall, Room 138
7300 University Hills Blvd.
Dallas, Texas 75241

8:00 am CONVENE FULL BOARD

CHANCELLOR'S REMARKS

- Recognition of 2015 Accomplishments
- 2016 Forecast and Major Events
- Goals for This Board Meeting

HOST PRESIDENT'S REMARKS

- Community Partnerships
- Non-traditional Recruiting
- First Year Experience
- John Gasko, Dean of the School of Education

8:30 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Call to Order

- Vice Chancellor's Update
 - Spring Enrollment
 - Accreditation Site Visits
 - ABA to UNTD College of Law
 - SACSCOC to UNTD regarding College of Law
 - SACSCOC to UNT
 - ACPE to UNTHSC regarding UNTS College of Pharmacy
- Approval of minutes of November 19-20, 2015 meeting
- Review of committee charter and annual schedule

Briefings:

Report on Research Funding (Calendar Topic)

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

Enrollment Management Briefing (Calendar Topic)

- Rosemary Haggett, UNT System, Vice Chancellor for Academic Affairs & Student Success
- Shannon Goodman, UNT, Vice President for Enrollment
- Stephanie Holley, UNTD, Vice President for Enrollment Management
- Thomas Yorio, UNTHSC, Provost

Student Success Briefing

- Rosemary Haggett, UNT System, Vice Chancellor for Academic Affairs & Student Success
- Finley Graves, UNT, Provost
- Mike Simmons, UNT, Assistant Vice President – Academic Affairs
- Lois Becker, UNTD, Provost
- Thomas Yorio, UNTHSC, Provost

BACKGROUND MATERIAL

- UNT SACSCOC Reaffirmation Brief

Recess Academic Affairs & Student Success Committee.

10:00 am STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE

Call to Order

- Approval of minutes of November 19, 2015 meeting
- Review of committee charter and annual schedule

Briefings:

UNT System Administration and Institutional Strategic Plans Review

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

Business Process Improvement – Implementation of Prior Administrative Improvement Studies Recommendations

- Donna Asher, AVC Finance & Administration, UNT System
- Rama Dhuwaraha, Chief Information Officer, UNT System

BACKGROUND MATERIAL

- Quarterly Operations Report

Adjourn Strategic & Operational Excellence Committee.

12:00 pm LUNCH

1:00 pm AUDIT COMMITTEE

Call to Order

- Approval of minutes of November 19-20 and December 14, 2015 meetings
- Review of committee charter and annual schedule

Briefing:

Report of Audit Activities

- Tracy Grunig, UNT System, Chief Audit Executive

BACKGROUND MATERIAL

- UNT System Consolidated Quarterly Compliance Report, September 2015 through November 2015

Recess Audit Committee.

2:00 pm FINANCE AND FACILITIES COMMITTEE

Call to Order

- Vice Chancellors' Update
 - FY15 CAFR / FY16 Budget
 - External Audit
 - Remediation Update/Process Improvement
 - Financial "Go-Live"
 - Culture of Service
 - Capital Improvement Plan
 - Upcoming Milestones
 - Plan Amendment

- Approval of minutes of November 19-20, 2015 meeting
- Review of committee charter and annual schedule

Briefings:

UNT Dallas Campus Master Plan Update (Calendar Topic)

- Bob Mong, UNT Dallas, President
- James Maguire, UNT System, Vice Chancellor for Facilities Planning & Construction

Consolidated Annual Financial Report

- Jane-Anne Kanke, UNTS, Senior Director
- Janet Waldron, UNTS, Vice Chancellor for Finance

FY16 First Quarter Budget Review

- Paige Smith, UNTS, Associate Vice Chancellor for Budget
- Janet Waldron, UNTS, Vice Chancellor for Finance
- Bob Brown, UNT, Vice President for Finance and Administration
- John Harman, UNTHSC, Senior Vice President for Finance and CFO
- Dan Edelman, UNTD, CFO and Executive Vice President for Finance and Administration

Quarterly Operations Report Update:

- James Mauldin, UNTS, Associate Vice Chancellor for Treasury

BACKGROUND MATERIAL

- Quarterly Operations Report

Recess Finance Committee.

4:00 pm EXECUTIVE SESSION

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

- Consultation with counsel regarding confidential legal matters, including pending, threatened, and contemplated litigation or settlement offers
- Consultation with counsel regarding contemplated, ongoing and/or finalized investigations and any findings, conclusions or recommendations related to those investigations
- Consultation with counsel on the status of negotiations and/or compliance with contracts and agreements, including but not limited to research grants and contracts, including legal obligations and duties and any and all related facts
- Consultation with counsel regarding legal duties and responsibilities of members of the Board of Regents, and System and University officers and employees
- Consultation with counsel regarding ethics, conflicts of interest, and contracting policies, including legal aspects of Agenda Item 14
- Consultation with counsel regarding implementation of SB 11 regarding campus carry, including legal aspects of Agenda Item 9
- Consultation with counsel regarding implementation of HB 699 regarding campus sexual assault policies, including legal aspects of Agenda Item 10

- 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 .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 Consent Agenda Items 5, 6 and 8
- Consideration of individual personnel matters related to an employment agreement with a dean to lead the medical school in development by UNT Health Science Center and Texas Christian University, and possible action

5:30 pm CONVENE FULL BOARD AND RECESS

Friday, February 26, 2016

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

9:00 am CONVENE FULL BOARD

Recess for committee meetings.

9:00 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Action Items:

- 9. UNTS Review of University of North Texas, University of North Texas Health Science Center at Fort Worth, and University of North Texas at Dallas policies related to *Carrying of Concealed Handguns on Campus*
- 10. UNTS Approval of University of North Texas, University of North Texas Health Science Center, University of North Texas at Dallas, and UNT System Administration policies related to *Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*

Adjourn Academic Affairs & Student Success Committee.

9:30 am FINANCE AND FACILITIES COMMITTEE

Action Items:

- 11. UNTS Approval of Broker/Dealer List for FY16
- 12. UNTS Amendment to Regents Rule 10.200, *Accounting, Operating Budgets, and Appropriation Requests*
- 13. UNTS Authorization to Amend the UNTS FY16 Capital Improvement Plan to Add Multi-phase Residence Hall at UNT
- 14. UNTS Amendment to Regents Rules 03.300, *Board Ethics and Standards of Conduct*; 03.900, *Delegation of Authority for Contracts and Agreements*; 04.500, *Audit and Compliance*; and 05.700, *System Administration and Institution Ethics and Standards of Conduct*
- 15. UNTHSC Authorization for UNTHSC to Submit a Proposal to Provide Comprehensive Medical Services to the Federal Correctional Institution – Fort Worth, with Delegation of Authority to the Chancellor or his Designee to Execute the Agreement
- 16. UNTHSC Delegation of Authority to Negotiate and Execute Professional Services Agreements for UNTHSC to Provide Physician Services to the Tarrant County Hospital District or Acclaim Physician Group
- 17. UNTHSC Authorization to Enter into Agreement between City of Fort Worth and UNTHSC

- 18. UNTD UNT Dallas Naming of Outdoor Amphitheater
- 19. UNTD UNT Dallas College of Law FY17 Tuition Increase

Adjourn Finance and Facilities Committee.

10:15 am AUDIT COMMITTEE

Action Items:

- 20. UNTS Amendment to Regents Rule 04.500, *Audit and Compliance* and Adoption of Regents Rule 04.1200, *Compliance*

Adjourn Audit Committee.

10:30 am CONVENE THE FULL BOARD

CONSENT AGENDA

- 1. UNTS Approval of the Minutes of the November 19-20, 2015 Board Meeting and the December 5, 2015 Special Called Board Meeting
- 2. UNTS Approval of TexPool Resolutions Amending Authorized UNT System Representatives
- 3. UNTS Approval of Intercomponent Transfers of State Appropriations for the College of Law from UNT System Administration to UNT Dallas
- 4. UNTS Approval of Intercomponent Transfers of State Appropriations
- 5. UNT Approval of UNT Faculty Development Leaves for 2016-2017 Academic Year
- 6. UNT Approval of Tenure for New UNT Faculty Appointee
- 7. UNT Award of Honorary Degree
- 8. UNTD Approval of Tenure Recommendation for the UNT Dallas Faculty Appointee

ACTION ITEMS:

- 9. UNTS Review of University of North Texas, University of North Texas Health Science Center at Fort Worth, and University of North Texas at Dallas policies related to *Carrying of Concealed Handguns on Campus*
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19. UNTD UNT Dallas College of Law FY17 Tuition Increase
20. UNTS Amendment to Regents Rule 04.500, *Audit and Compliance* and Adoption of Regents Rule 04.1200, *Compliance*

11:00 am RECESS FOR EXECUTIVE SESSION (Room #711)

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 UNT President, and possible action

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 duties and responsibilities of members of the Board of Regents, and System and University officers and employees

2:30 pm Reconvene the Board in Open Session (Room #712) to consider action on Executive Session items, if any

2:35 pm ADJOURNMENT



UNT | SYSTEM™

MINUTES

BOARD OF REGENTS Academic Affairs and Student Success Committee November 20, 2015

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System convened on Friday, November 20, 2015 in Room 43/47 of the Gateway Center, University of North Texas, 801 North Texas Blvd, Denton with the following members in attendance: Regents Al Silva, A.K. Mago, Gwyn Shea, and Milton Lee.

There being a quorum present the meeting was called to order by Committee Chairman Silva at 8:33 am. The minutes of the August 27-28 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 asked Vice Chancellor for Academic Affairs and Student Success, Dr. Rosemary Haggett, to present the **Quarterly Activity Report**, in which she commented briefly on enrollment trend data, degree production, research dollars, and student success.

The next item on the agenda was the **Presentation of Certificate of Appreciation to James Scott, Dean of UNT College of Music**. Chair Silva recognized Dean Scott and thanked him for his outstanding work during his 14 years as Dean. Dean Scott made brief comments of appreciation for this recognition by the Board of Regents.

The Committee had three presentations scheduled for this meeting. The first, **Review of Comparative Status, Performance and Quality of Academic Programs**, was given by Vice Chancellor Haggett, UNT Provost Finley Graves, UNTHSC Provost Tom Yorio, and Dr. Thad Anglin, UNT Dallas Vice Provost for Academic Experience and Outcomes. Discussion followed.

Vice Chancellor Haggett presented to the second briefing on **Faculty Deployment and Policies**, which was followed by discussion.

Because of time constraints, the third briefing, **Report on Research Funding**, was postponed until the February Board of Regents meeting.

The Committee had one action item to consider.

5. UNTD

Approval of Tenure Recommendation for New UNT Dallas Faculty Appointee

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

There being no further business, the Committee meeting adjourned at 10:35 am.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: Dec 4, 2015

UNIVERSITY OF NORTH TEXAS SYSTEM BOARD OF REGENTS

ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE CHARTER

The Academic Affairs and Student Success Committee is responsible for reviewing and making recommendations to the full Board regarding UNTS' institutions' academic missions, as well as policies and resources needed to realize missions, execute academic strategic priorities, ensure the quality and integrity of each institution's programs and instruction, and to promote the welfare of students attending any UNTS institution. The Committee shall provide governance oversight on the quality of teaching and learning, institutional and System alignment and progress toward fulfillment of mission and vision, compliance with state and federal expectations, and the academic success and well-being of the student body at each institution.

In carrying out these responsibilities, the Academic Affairs and Student Success Committee will:

- Confirm that the System's strategic plan and institutional plans are built upon a comprehensive academic plan;
- Review institutional academic policies and propose new or revised policies, as appropriate, to the full Board;
- Monitor institutional strategies in enrollment management, including articulation opportunities, and consider the impact of these strategies on each institution as a whole;
- Review, on an annual basis, the admission standards for each institution and the language used in publicizing such standards;
- Monitor the integration of information technology into teaching and learning;
- Review significant findings and recommendations received from the Southern Association of Colleges and Schools – Council on Colleges (SACS-COC) and specialized accrediting agencies, and ensure that any recommendations and requirements are addressed appropriately within designated timeframes;
- Review proposals and any necessary policies related to the non-academic aspects of student life, including student services and student conduct;
- Represent students' interests in all policy decisions made by the Board;
- Oversee financial aid strategies to ensure alignment with enrollment strategies;
- Review System institutional data and peer institution data regarding comparative status, performance, quality, and value, and ensure that academic Key Performance Indicators are appropriately set and met;
- Take responsibility for serving as diligent and knowledgeable Board members regarding academic programs and policies and student success and completion initiatives;
- Regularly review UNTS' institutions' program assessments to ensure viable and modern programs that meet workforce needs;
- Pursue educational opportunities regarding key topics in higher education affecting UNTS institutions;
- Oversee initiatives seeking to increase student diversity;

- Review faculty personnel policies, including criteria and standards for tenure and promotion to see that they are clearly articulated, accessible to faculty members, and applied systematically and equitably across the institutions;
- Approve faculty candidates for appointment with tenure, or awarding of tenure status to faculty on the tenure track;
- Review institutional advising, tutoring, counseling services, and other educational planning and support services and monitor student retention and persistence to graduation
- Monitor research funding for consistency with the institutions' missions.

The Academic Affairs and Student Success Committee will also:

- Conduct an annual self-evaluation of the Committee's performance and the effectiveness and compliance with this charter;
- Report Committee actions to the Board with such recommendations the Committee may deem appropriate;
- Bring to the attention of the Board any matters concerning the System's institutions' academic programs or faculty on which it requires guidance or direction from the Board;
- Consider and advise on any matter referred to it by the Board, the Presidents, the Vice Chancellor for Academic Affairs and Student Success, or the Chancellor;
- Perform other governance oversight as assigned by the Board.

Adopted: 02.20.15

Effective: 02.20.15

Revised:

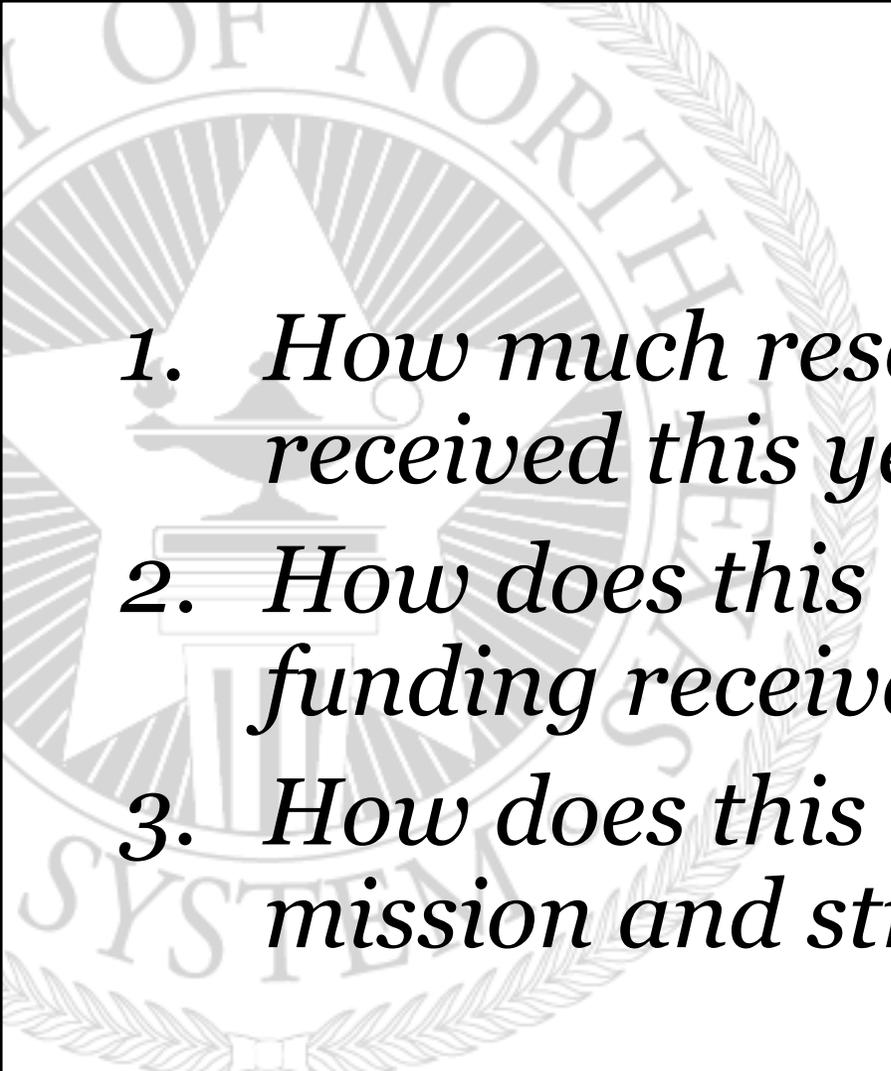
Board Item	Feb	March Retreat	May	Aug	Nov
<u>Annual Items</u>					
Committee Charter & Schedule	X				
Faculty on Leave without Pay					X
Faculty Emeritus Appointments	X				
Faculty on Modified Service				X	
Faculty Development Leave	X				
Tenure Appointments			X		
Program Assessment			X		
Regents Professorships				X	
Review of Admission Standards			X		
Review of Comparative Status, Performance, Quality & Value					X
Report on Research Funding					X
Tuition Strategies		X			
Enrollment Management Strategies	X				
Discussion about the Faculty Workforce					X
Technology in Teaching and Learning			X		
Report on Student Success Initiatives				X	
<u>Quarterly Items</u>					
New Program Requests	X		X	X	X
Discussion of New Policies/Programs Affecting Student Success	X		X	X	X
Findings/Recommendations from Accrediting Agencies (as they arise)	X		X	X	X

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 rendered in a light gray color.

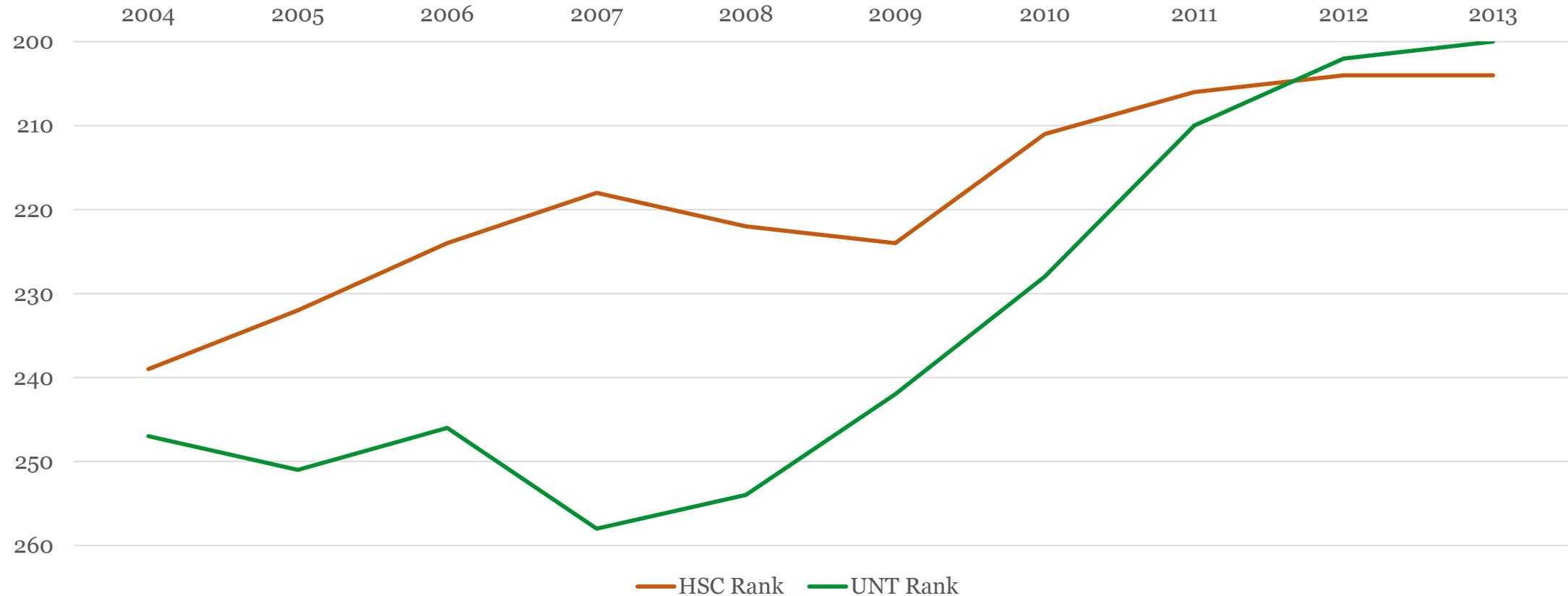
Report on Research Funding

- *Rosemary Haggett, UNTS, VC for Academic Affairs & Student Success*
- *Tom McCoy, UNT, Vice President for Research and Economic Development*
- *Thomas Yorio, UNTHSC, Provost*
- *David Cistola, UNTHSC, Vice President for Research*

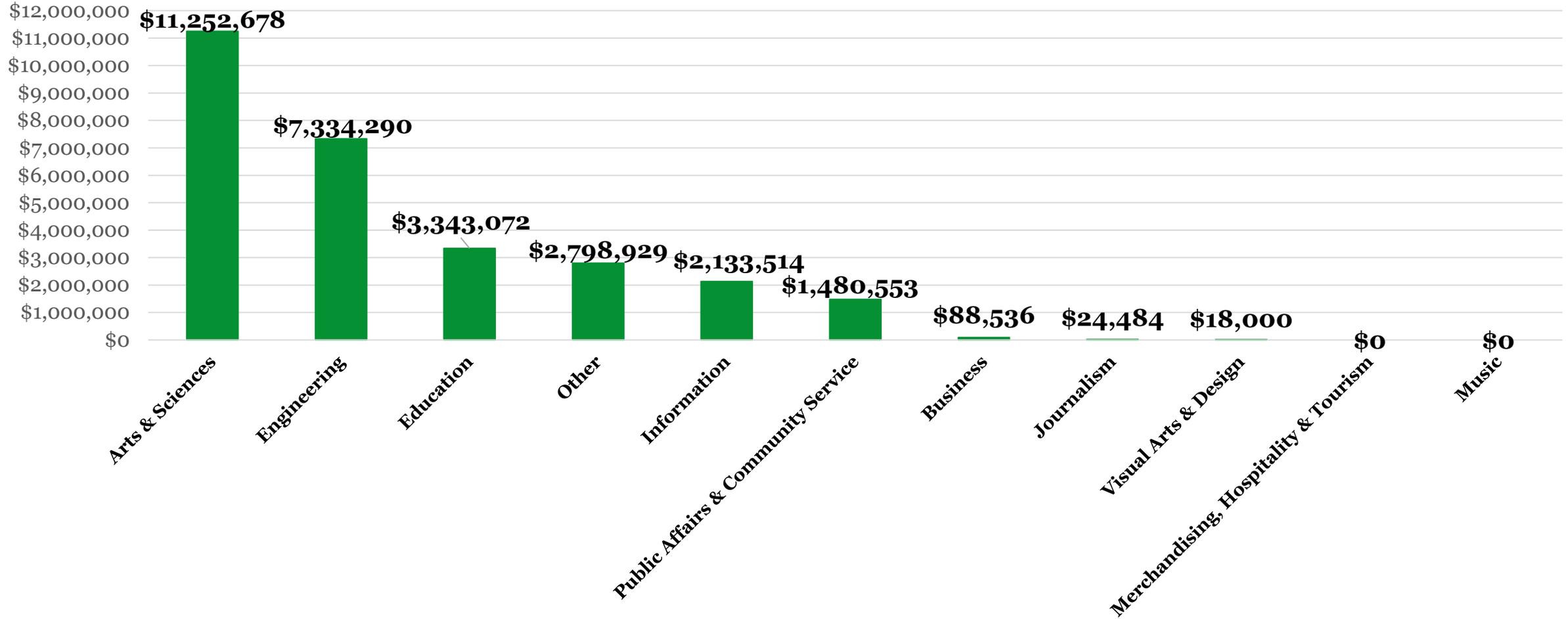
*Presented to the Board of Regents Academic Affairs & Student Success Committee
February 25, 2016*

- 
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

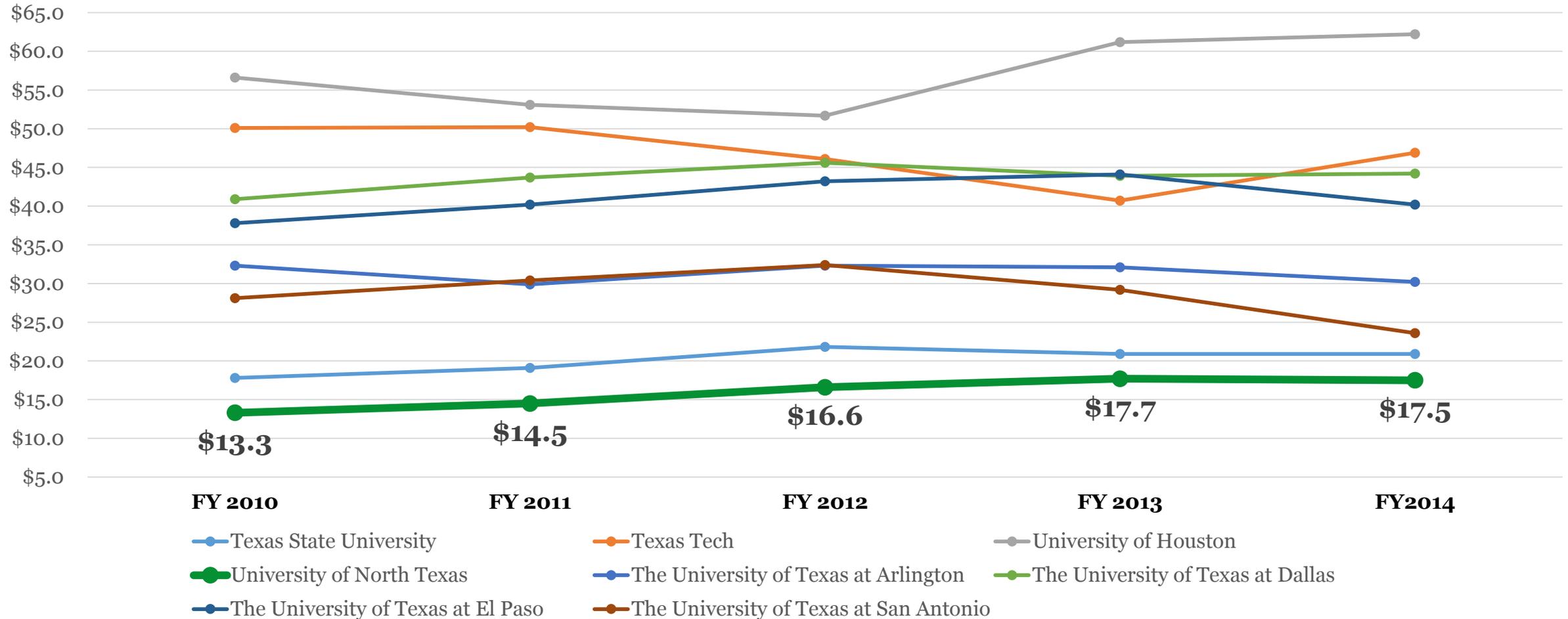


Annual Awards by College – FY 2015



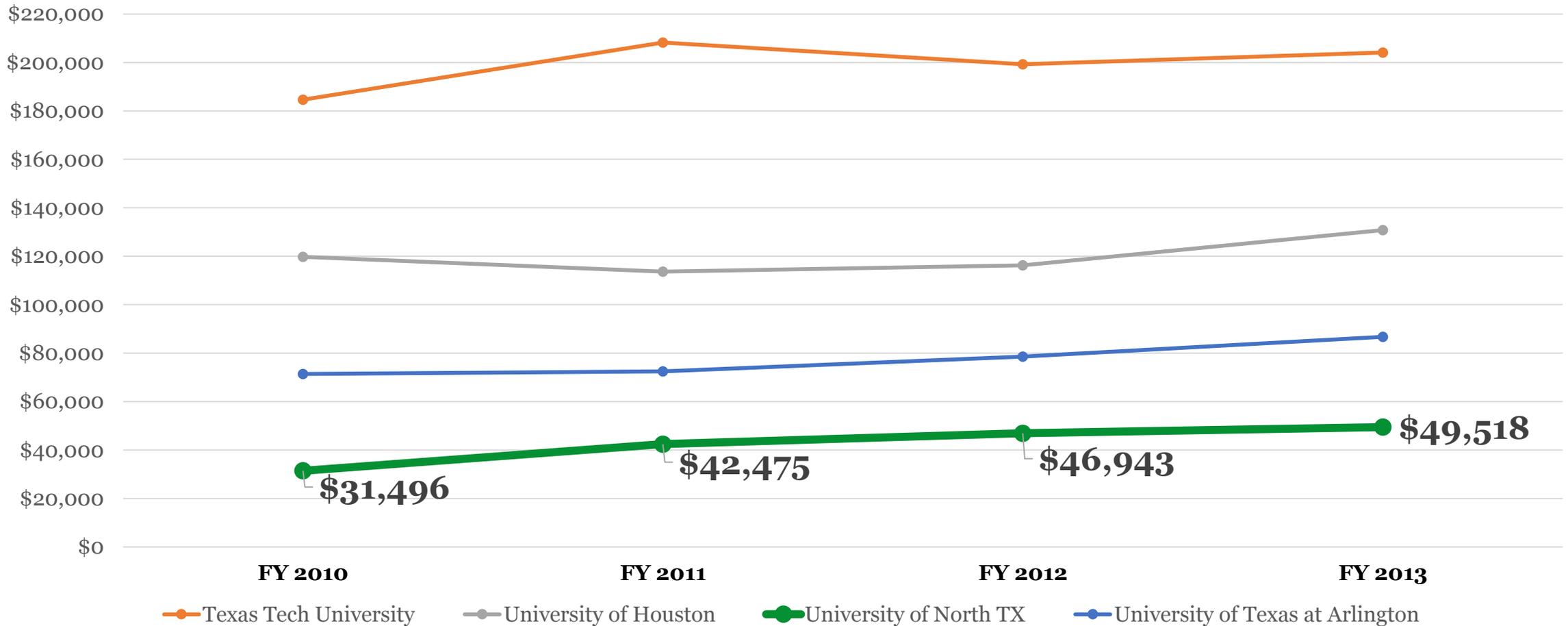
Total Restricted Research Expenditures Compared to Texas Peers

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



Total Research Expenditures Compared to Texas Selected Peers

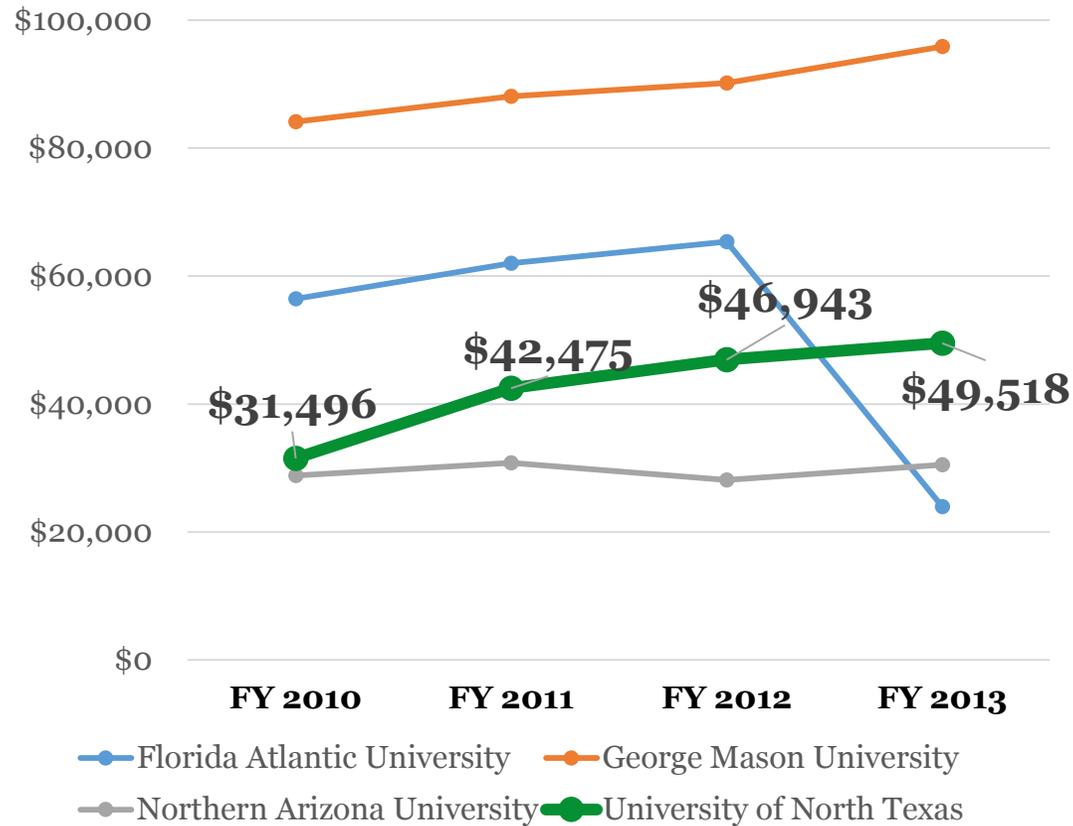
(numbers in thousands, data from NSF R&D Expenditure Survey)



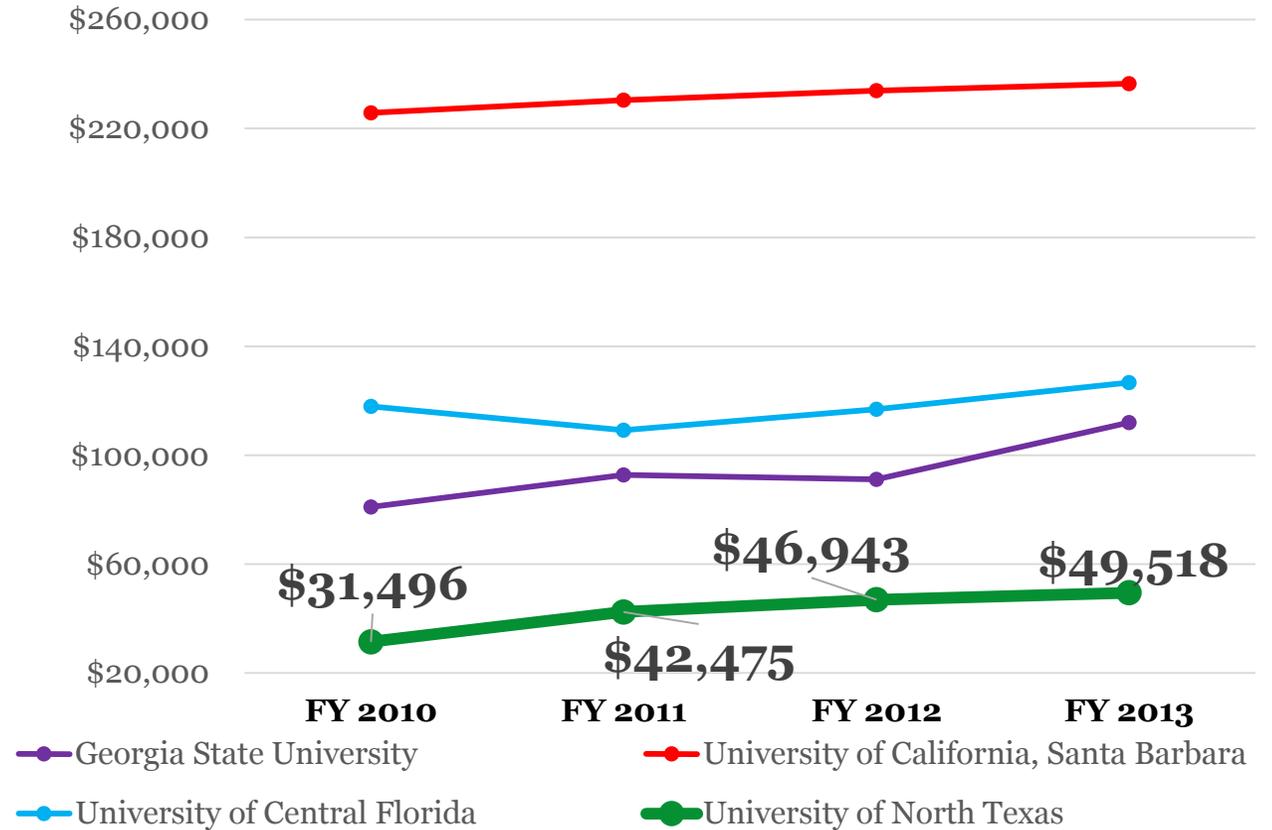
Total Research Expenditures Compared to National Peers

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

Similar to UNT



Tier One Selected Peers



Alignment with the UNT Mission

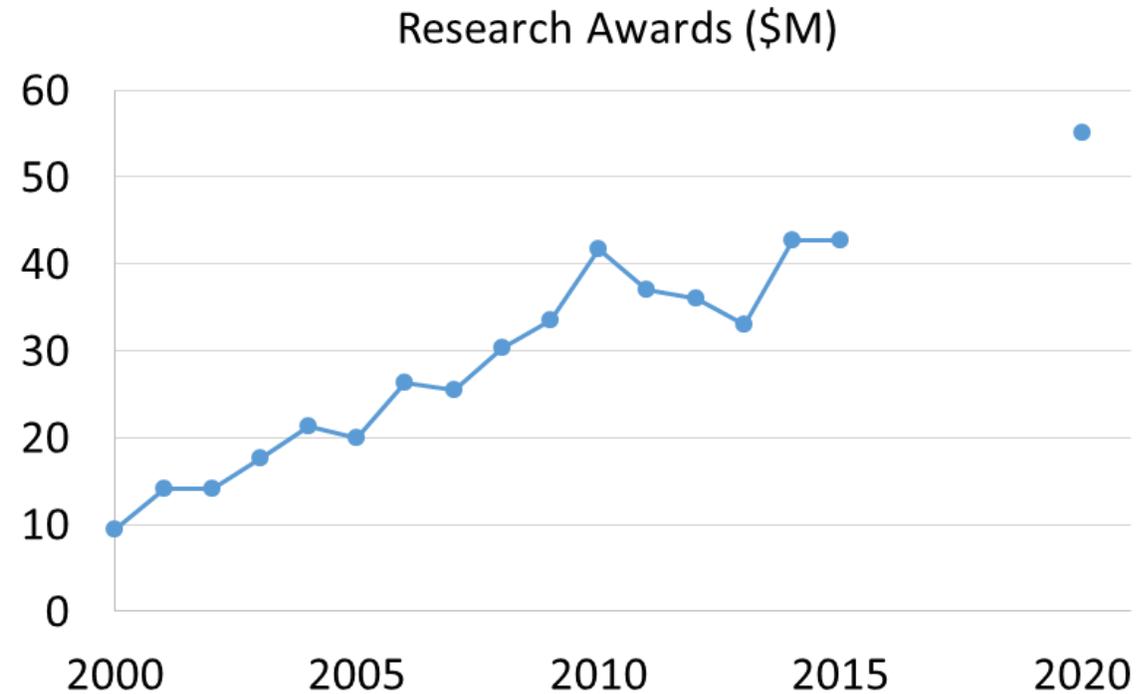
Focus to significantly improve the following areas:

- **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

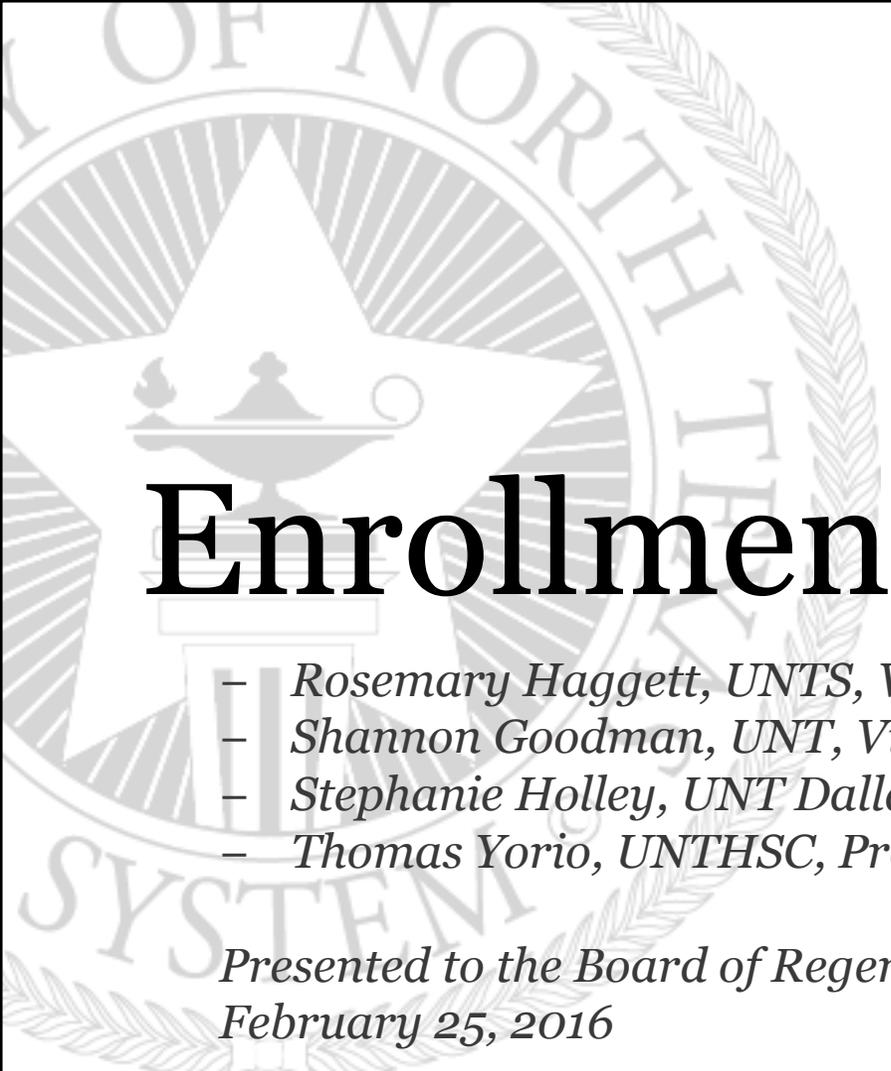
Out of State Peers*		Total Research Expenditures			
Institution		FY 2010	FY 2011	FY 2012	FY 2013
UNTHSC		\$39,854,879	\$41,549,340	\$41,954,584	\$44,936,415
University of Mississippi Medical Center		\$26,490,614	\$31,892,856	\$33,361,020	\$30,880,268
Upstate Medical University		\$24,745,268	\$25,888,504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

Questions & Discussion



Enrollment Management

- *Rosemary Haggett, UNTS, VC for Academic Affairs & Student Success*
- *Shannon Goodman, UNT, Vice President for Enrollment*
- *Stephanie Holley, UNT Dallas, Vice President for Enrollment Management*
- *Thomas Yorio, UNTHSC, Provost and Exec VP for Academic Affairs & Research*

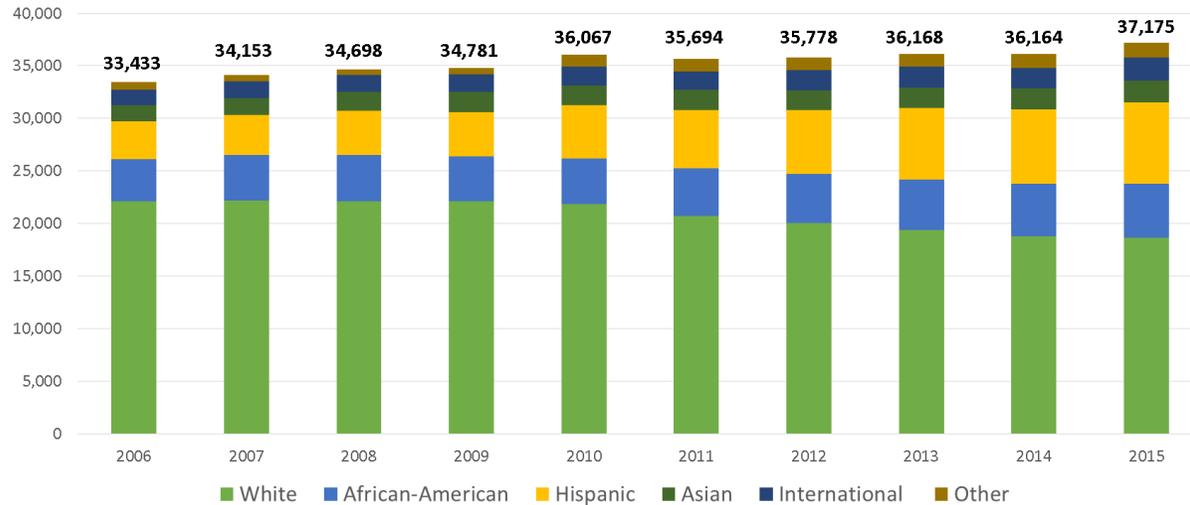
*Presented to the Board of Regents Academic Affairs & Student Success Committee
February 25, 2016*

Framing Questions

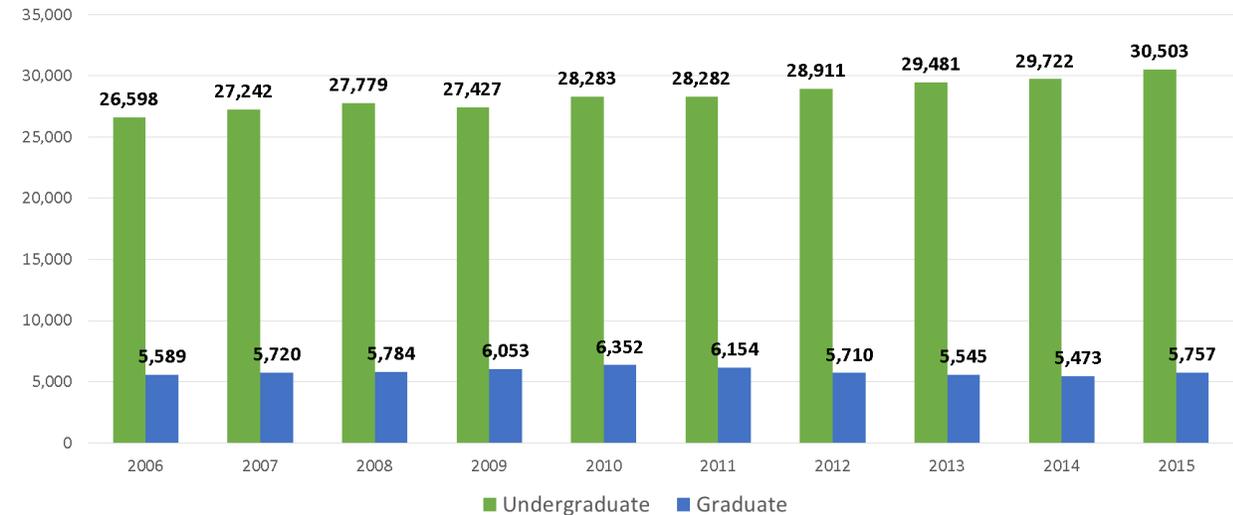
1. *Given the enrollment trends of the last 10 years, what are the changes in student composition that are expected to occur and what other deliberate changes are planned? What are the strategies to achieve these results?*
2. *For what percentage of non-graduating departing students are you able to complete exit interviews, and what do these data tell you about the reasons they leave?*

Overview of Past 10 Years

Total UNT Fall Headcount by Ethnicity



Undergraduate Degree-Seeking vs. Graduate Degree-Seeking



- Whites comprised 66.1% of total UNT population in 2006, now represent 50.2% in 2015 Headcount
- Hispanics saw gains from 9.8% of total enrollment in 2006 to 19.0% in 2015 Headcount
- African American enrollment remains constant with a small increase (11.9% in 2006 to 13.7% in 2015). UNT Dallas separation impacted this sub-population.

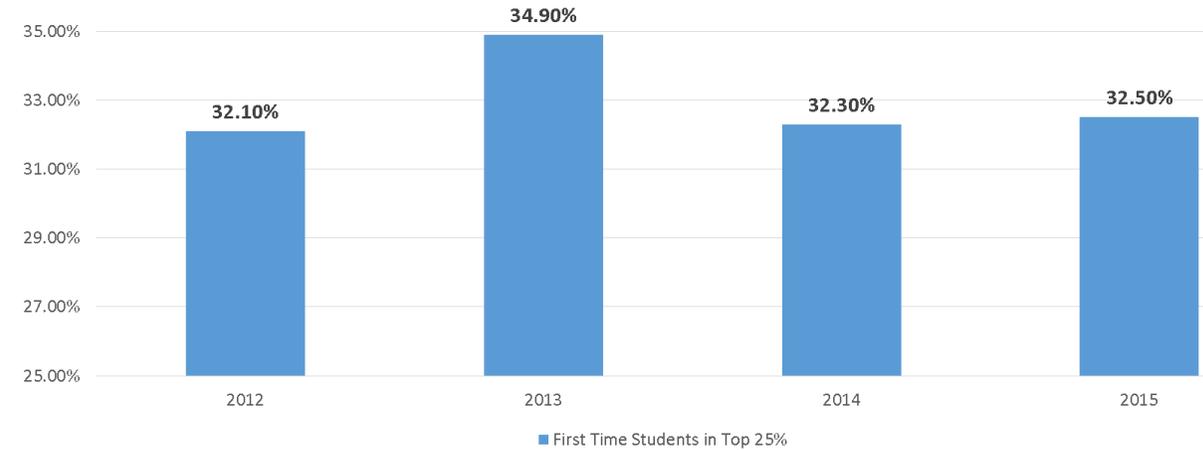
- UNT saw greatest percentages of graduate students in 2010 coinciding with economic downturn
- Steady growth has occurred with undergraduates. Served as institutional buffer given declines from 2011-present in Masters population.
- Despite this reality, Overall UNT FTSE headcount has grown 21.17% from 2006 – 2015.

UNT FTIC & Transfer Trends

First Time in College vs. Transfer



First Time Students in Top 25%

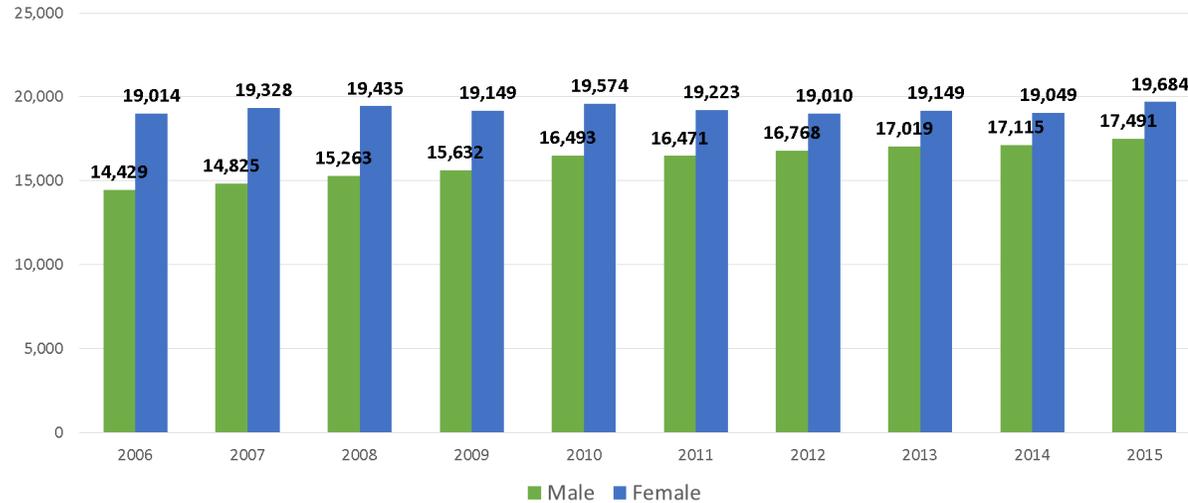


- FTIC growth dependent on physical infrastructure of campus. Rawlins Hall major factor in gains.
- Transfer present unique challenges as this group is highly diverse in comparison to the FTIC market. Differentiated strategies and partnerships required.

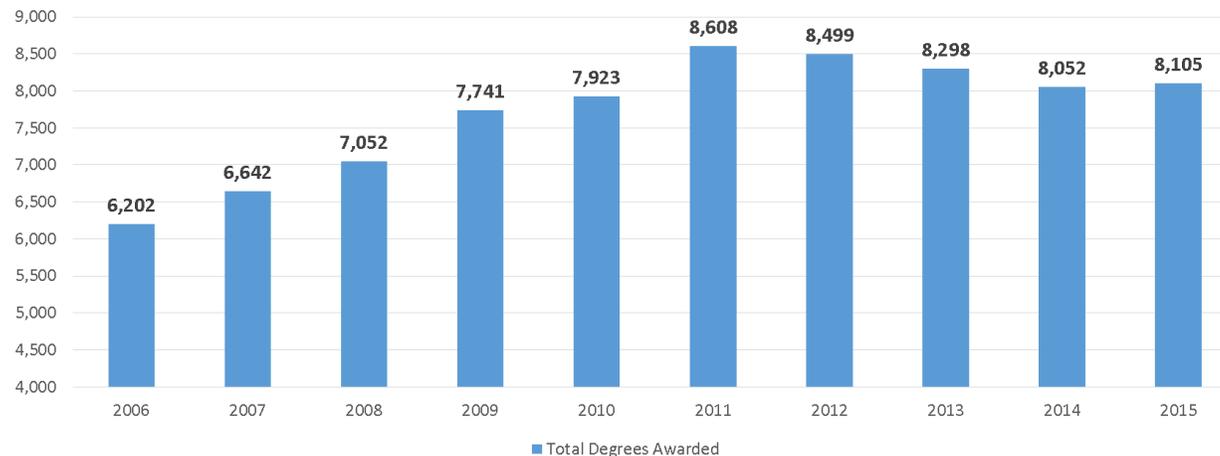
- Important sub-group of students given stronger retention record.
- Subgroup requires sophisticated merit packaging for UNT to remain competitive.
- National Merit Scholars is a nationally recognized standard for excellence in undergraduate education.

Gender & Graduation

Total Headcount Enrollment by Gender



Total Degrees Awarded



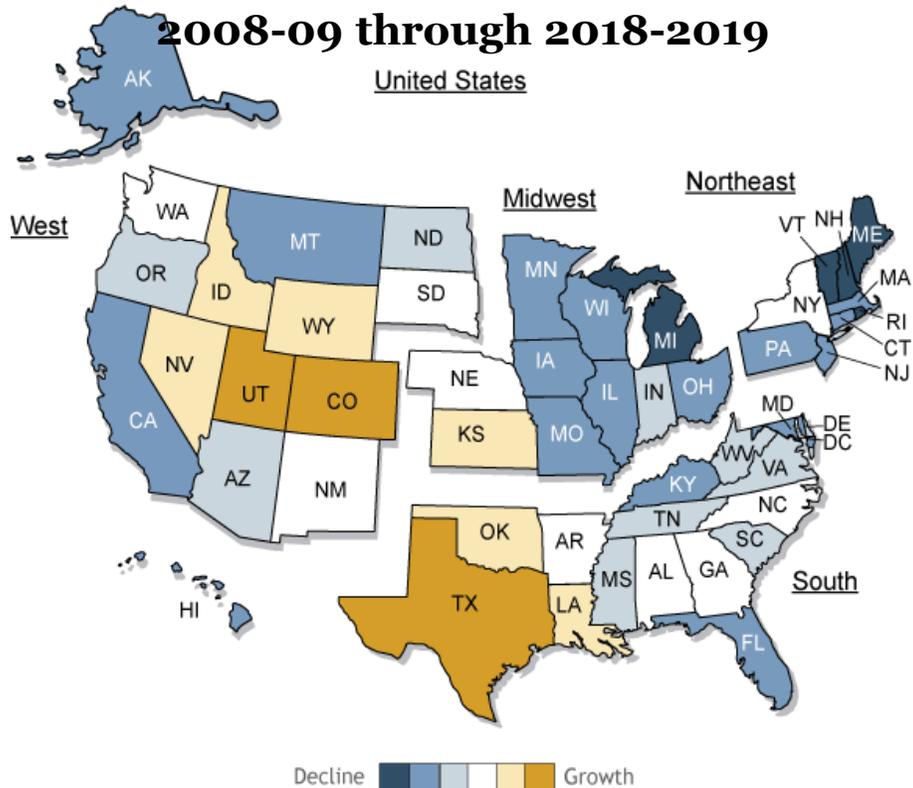
- Given 60x30xTX goals for Male student success and outcome based funding, UNT's efforts to close gender gap appears to be working.
- Differentiated retention rates between males and females are being addressed through male-themed residence hall floors, symposia on campus, and UNT participation in the Texas Education Consortium for Male Students of Color.
- UNT has a record of strength in degree production throughout the state.
- 6,261 Baccalaureate degrees awarded in 2015. Represents **15.4%** of all such degrees awarded in the State.
- 270 Doctoral degrees granted at UNT in 2015. Accounted for **13.8%** of the total THECB reported Doctoral degrees awarded in Texas.

Projection of Next 10 Years

% Change of High School Graduates By State:

2008-09 through 2018-2019

United States

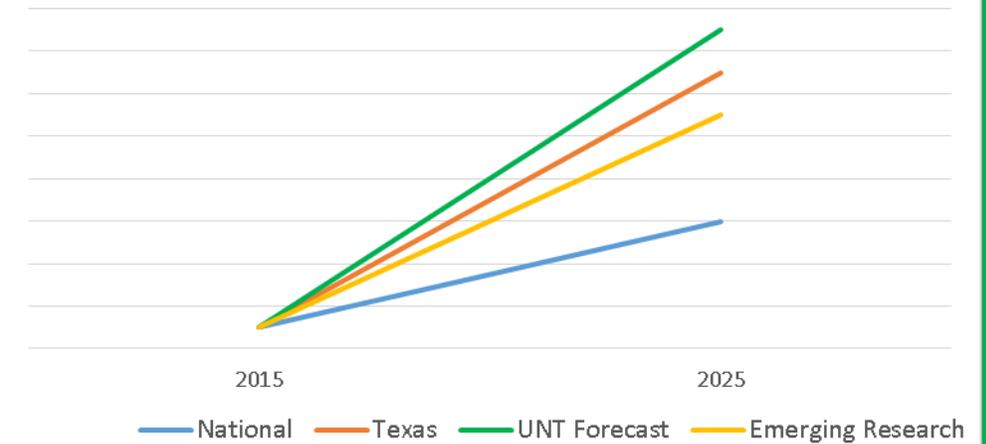


Source: WICHE Knocking at the College Door

**Multicultural
Serving
Institution
Status:
Projected
Fall, 2018**

**Hispanic
Serving
Institution
Status:
Projected
Fall, 2020**

Projected Growth Trajectories By Sector



Sources: WICHE (National), THECB (Texas & Emerging Research), DAIR (UNT)

Challenges

- Out-of-State recruiters focus on Texas thus altering enrollment landscape
- Hispanic growth is an opportunity yet preparedness may hamper participation expectations
- Accelerate distance learning and online approaches to drive SCH
- Interplay between cost, service, and infrastructure

Institutional Goals

- **Quality of Student Body**

- Top 25%
- National Merit

- **Quantity of Student Body**

- Denton (Main Campus)-
Headcount
- Regional Centers- Headcount
- Distance Learning- Credit Hours

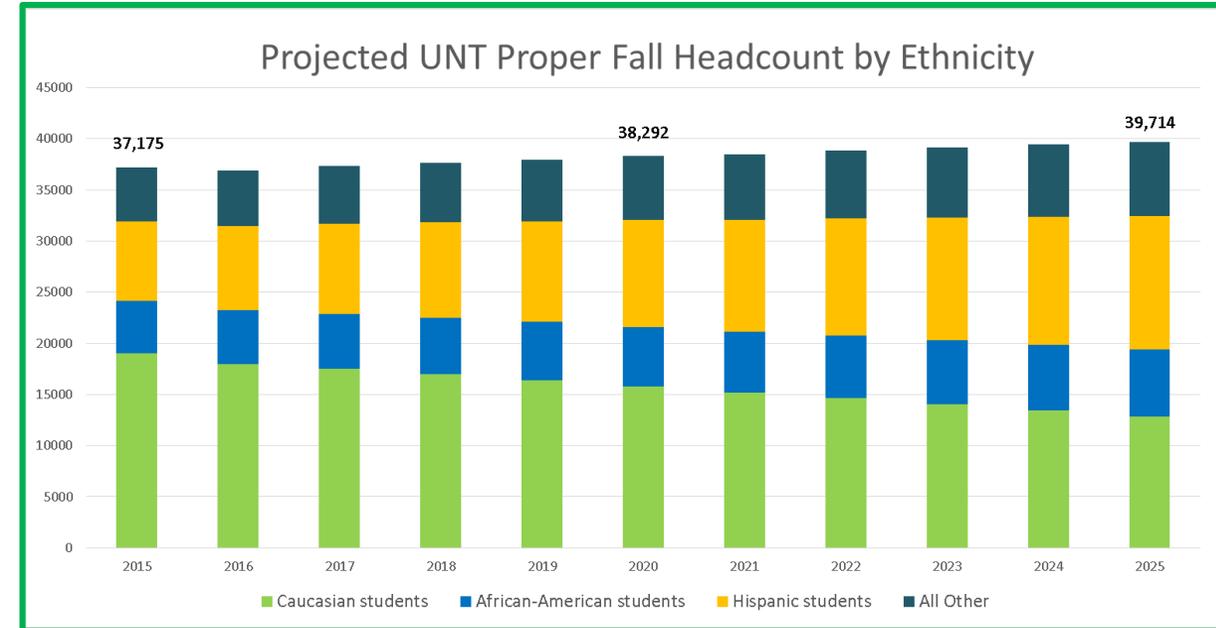
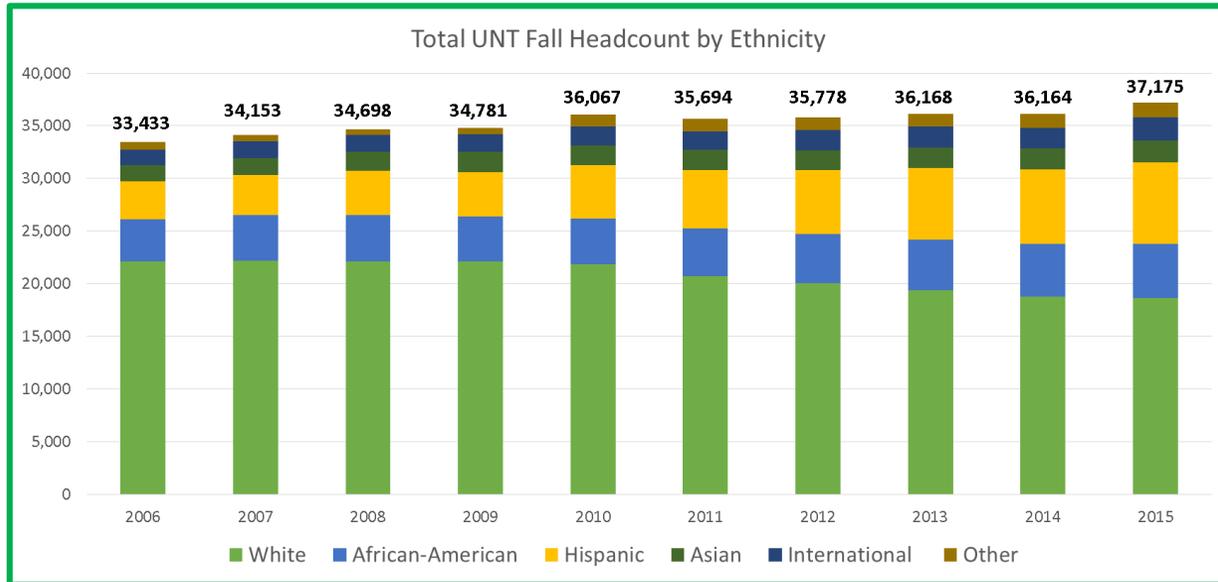
- **Diversity of Student Body**

- MSI
- HSI

- **Retention of Student Body**

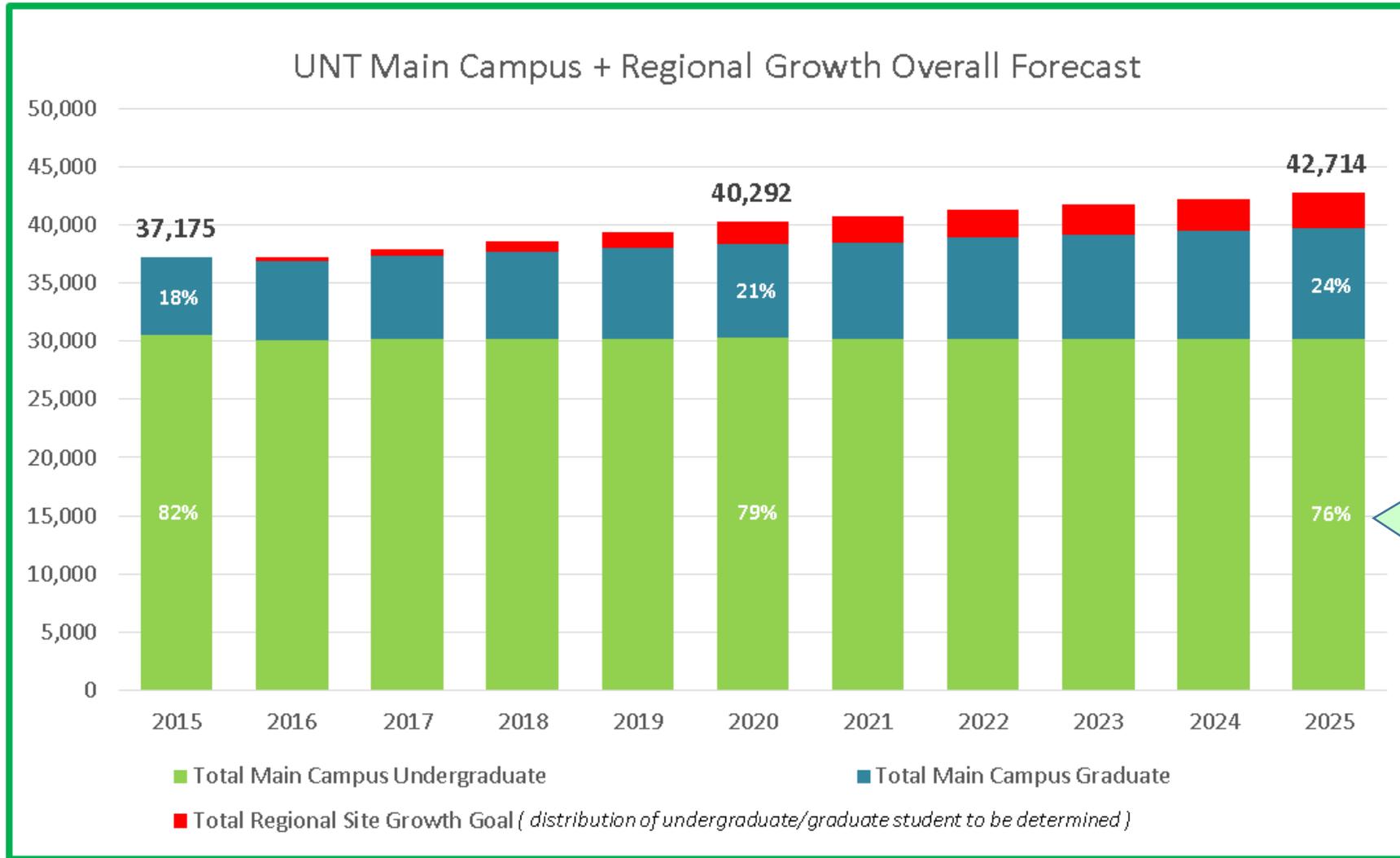
- FTIC Retention Rate
- Degrees Granted

Projection of Next 10 Years



- Whites comprised 50.2% of total UNT population in 2015, now expected to represent 32% in 2025 Headcount
- Hispanics comprised 19.0% of total enrollment in 2015 expected to grow to 33% in 2025 Headcount
- African Americans comprised 13.7% of total enrollment in 2015 growing to 16% in 2025.

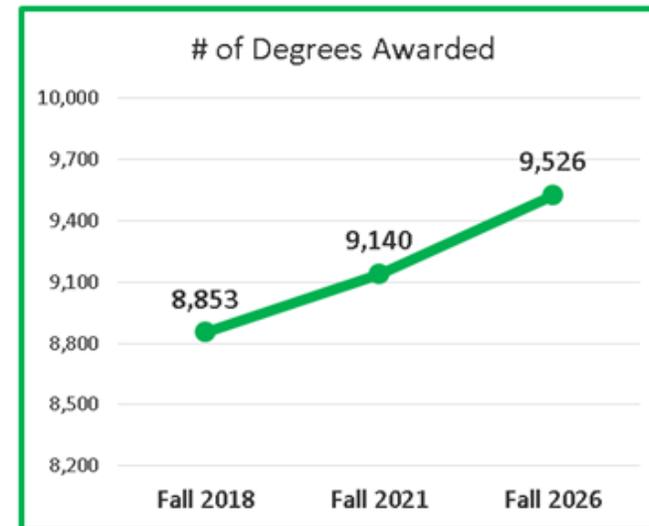
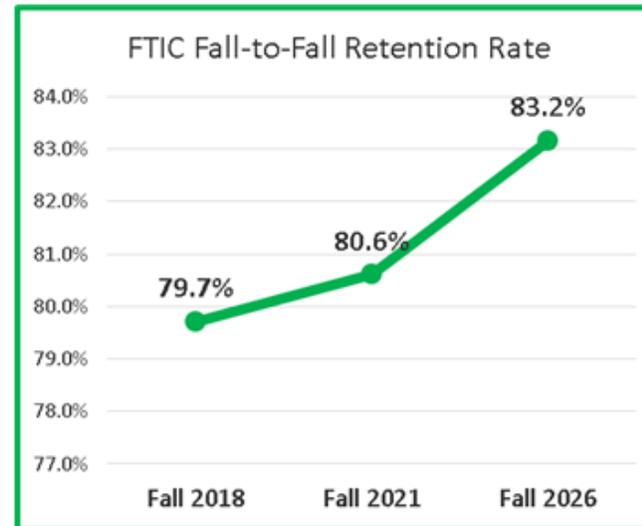
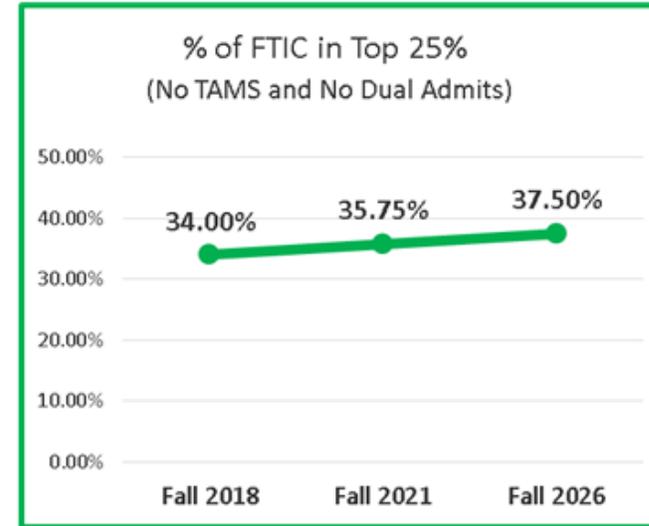
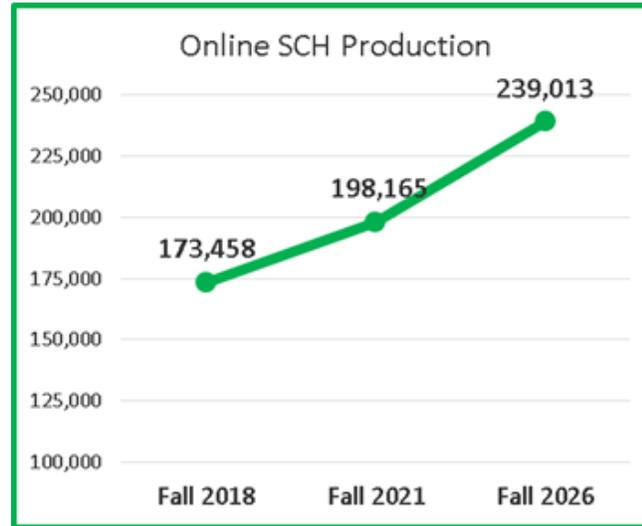
Projection of Next 10 Years



KEY STRATEGIES

- Boost Regional Growth
- Recalibrate Undergraduate to Graduate Ratios
- Resolve dynamic tension between funding allocation and outcomes

Projection of Next 10 Years



High Level Enrollment Strategies

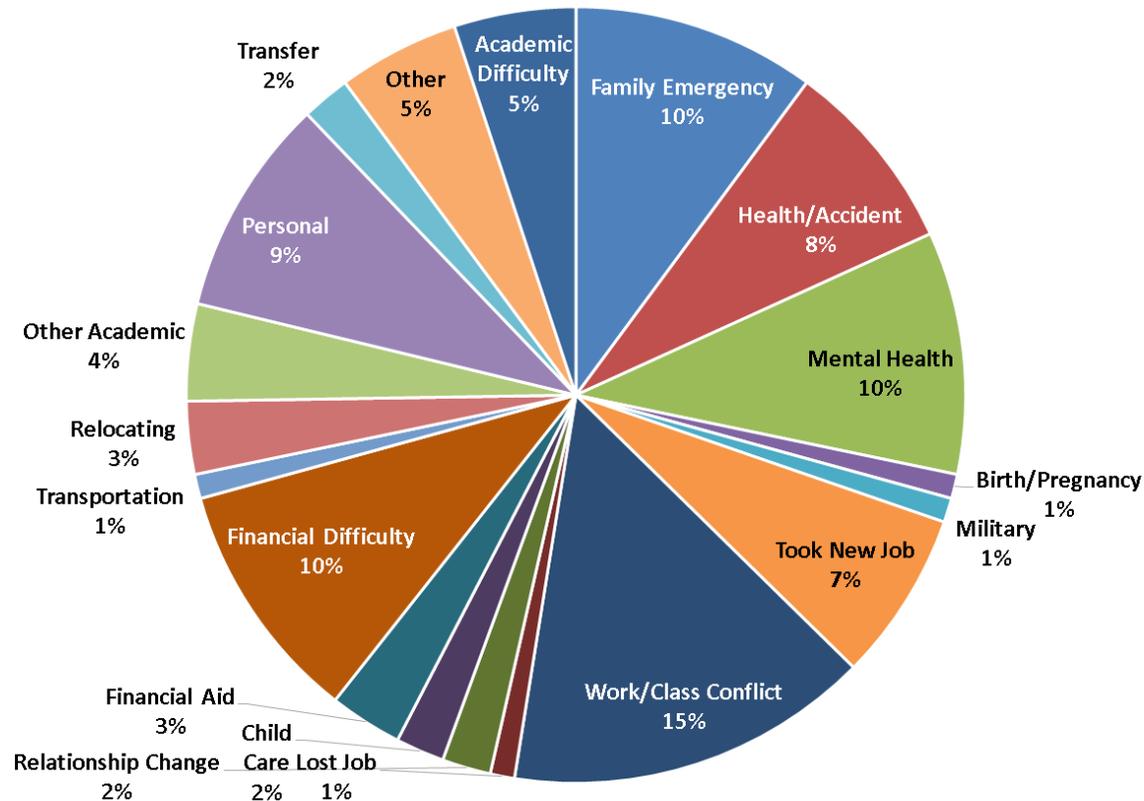
- **Leverage an Intentional Focus on Geomarkets**
 - Bolster core recruiting to ensure our competition doesn't make inroads to our key population centers for future students.
- **Innovate to Attract New Audiences**
 - Diversify course delivery options, locations, and modalities for students to have flexible choices in how to engage UNT academically.
- **Focus on Strategic Growth in High Earning Programs**
 - Leverage consumer demand for well paying jobs and attract students accordingly.
- **Maximize Efforts to See Benefits of Retention**
 - Maximize FTIC retention as a key growth driver. Ensure broad and deep access to academic and student support services.

Students Who Withdraw

Program Background

- Program established in 2013
- Program meets with students who are withdrawing from the university
- Individual appointments for on-campus students as well as phone call/skype for online and distance learners
- Dean of Students Office (DOS) withdrew 525 students for Spring 2015
- Goal was to retain/save 5% of students interviewed
- **DOS retained 41 students**
- **Save rate of 7.2%**

% of Reasons Indicated for Withdrawal - Spring 2015



n= 509 (56 Freshmen, 80 Sophomore, 97 Junior, 108 Senior, 57 Post-Bacc, 98 Masters, 12 Doctoral, 1 unknown)

*Students could select multiple reasons for withdrawal.

Total reasons indicated was 854.

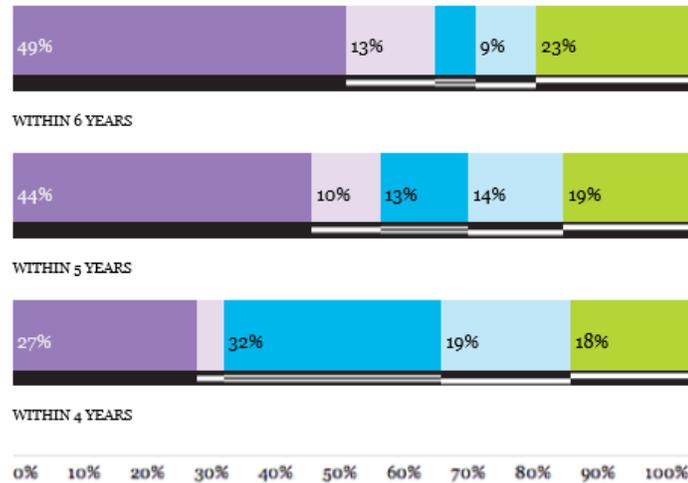
Students Who Left UNT

Bachelor's Seeking Model

First-Time Full-Time Students Starting Fall 2009

Number of students: 3,432

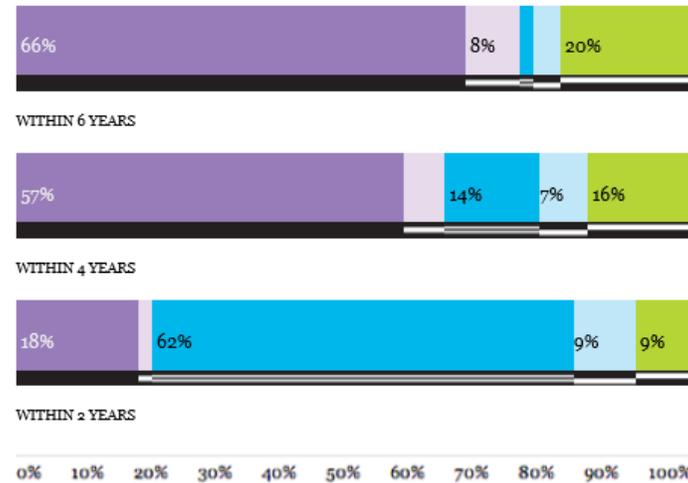
roll over each bar for detail data



Full-Time Transfer Students Starting Fall 2009

Number of students: 2,952

roll over each bar for detail data



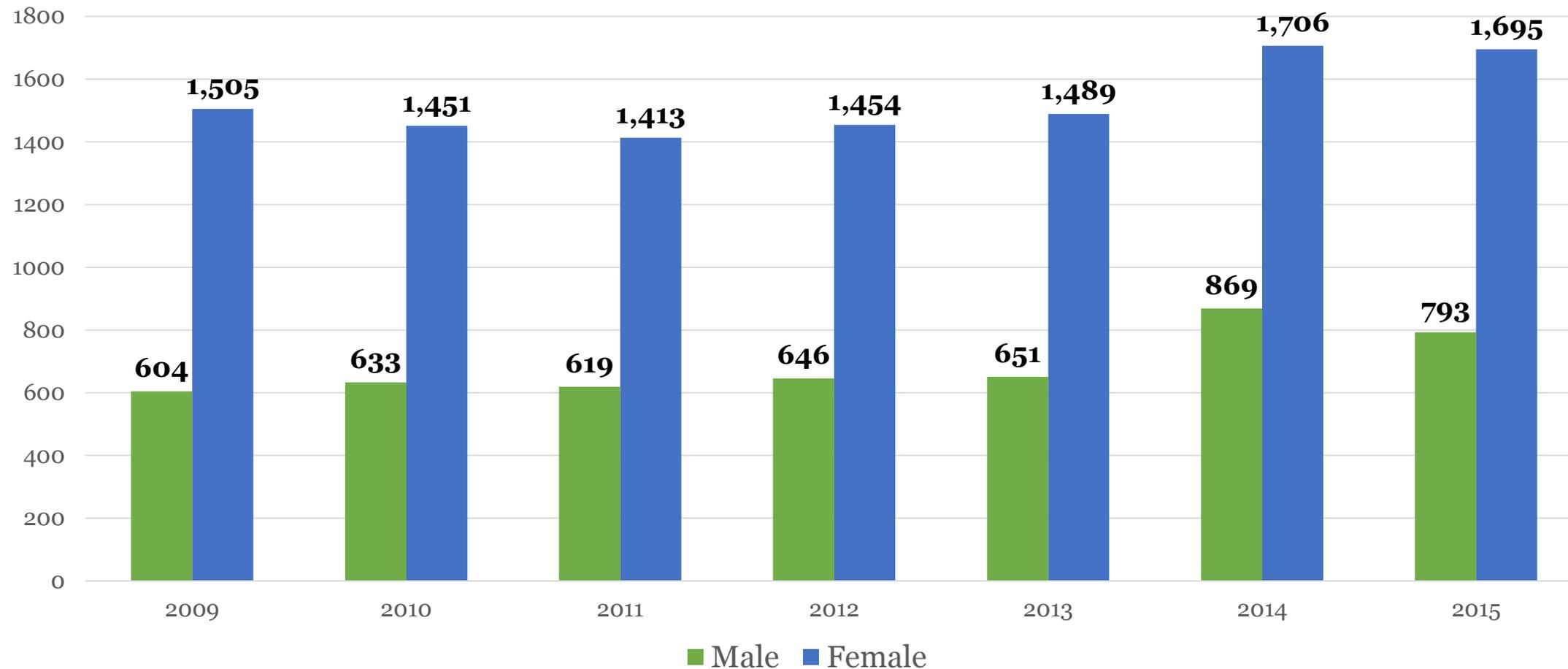
SAM Background

- UNT was an inaugural member
- The Student Achievement Measure provides a more comprehensive and accurate picture of student progress and completion as students move across institutions and state boundaries
- UNT is tracking second cohort in SAM.
- Leverages UNT's partnership with the National Student Clearinghouse (NSC) to furnish data on students who leave UNT. Not all institutions of higher education participate in the NSC



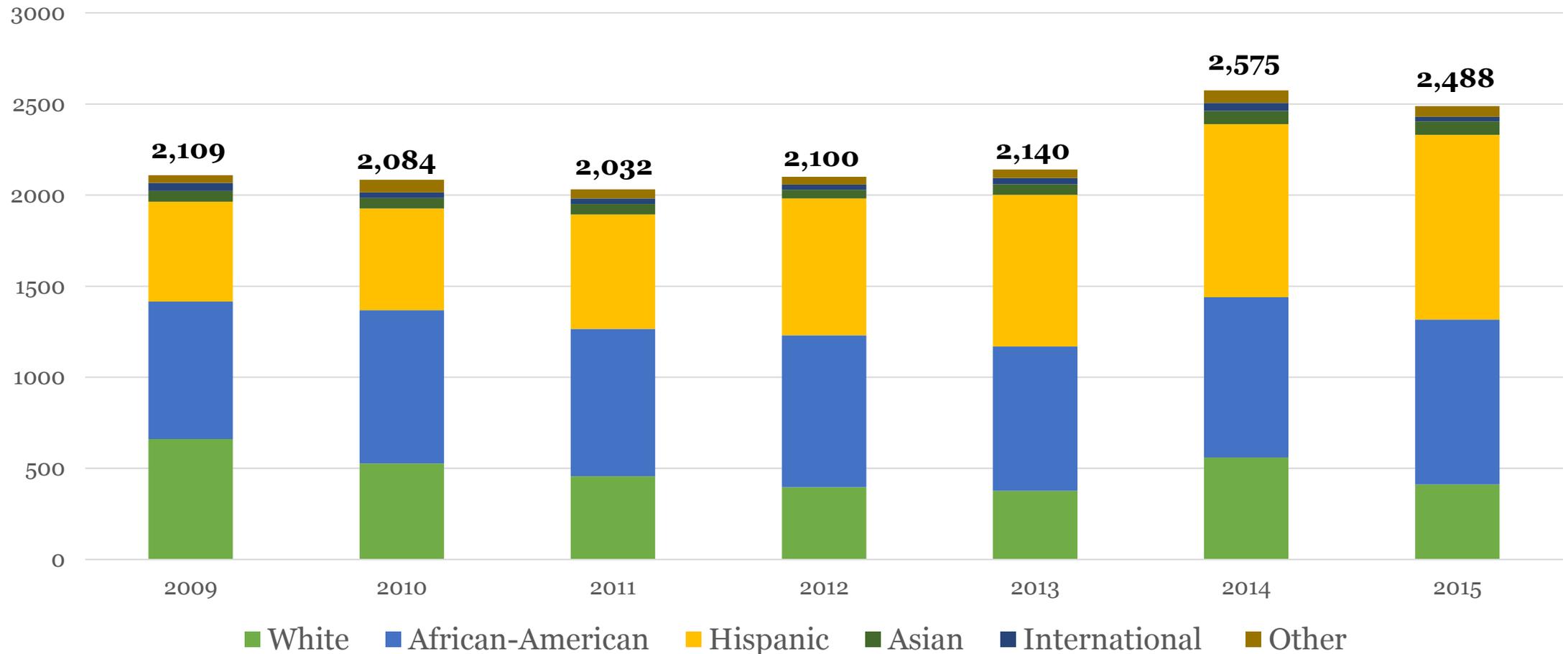
UNT Dallas Total Enrollment Data

Total Headcount Enrollment by Gender



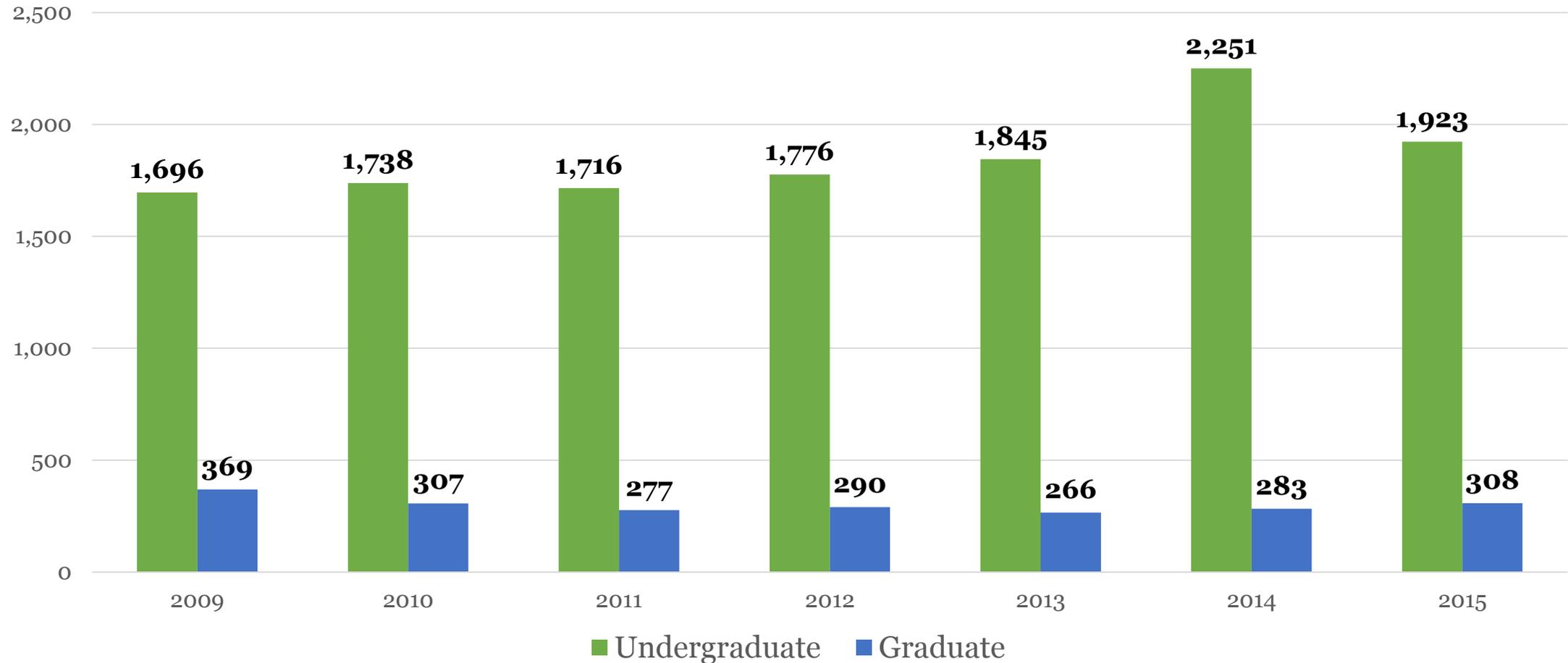
UNT Dallas Enrollment Data

Total UNT Dallas Fall Headcount by Ethnicity



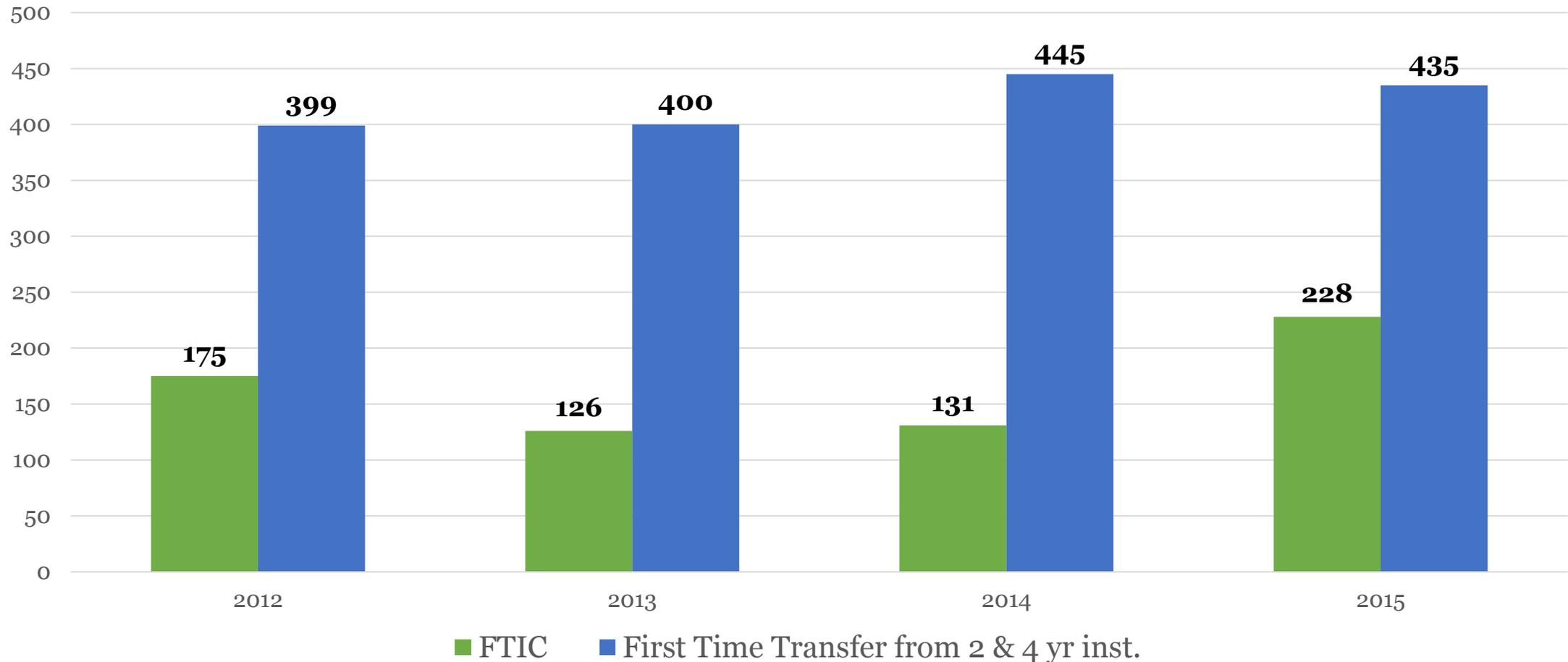
UNT Dallas Enrollment Data

Undergraduate Degree-Seeking vs. Graduate Degree-Seeking



UNT Dallas Undergraduate Enrollment Data

First Time in College vs. Transfer



Enrollment Composition and Strategies

- Freshman, Transfer and Graduate Student Growth
 - 5000 Students in 5 years
 - Strategic Enrollment Plan
- Student Access and Success “One Stop Shop”
- New Residential Facility/Living and Learning Communities

Enrollment Composition and Strategies

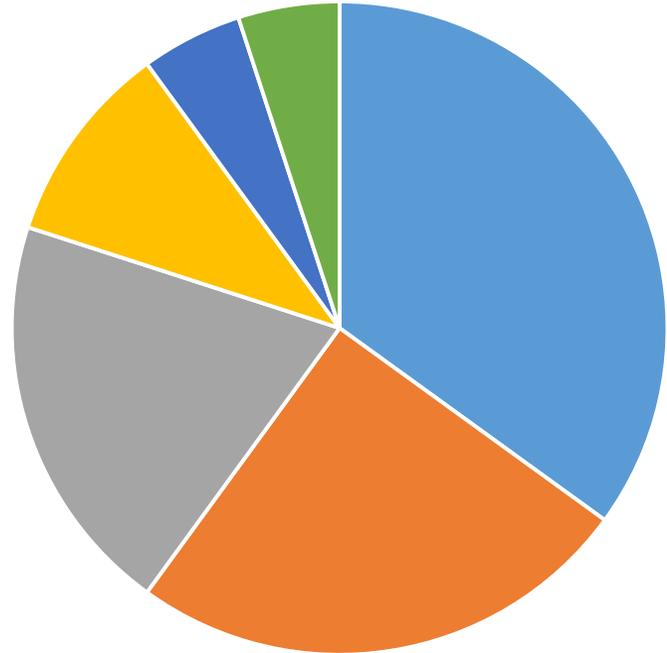
- Focus on neighborhood schools and communities
 - Churches and community organizations
 - Clubs and organizations
 - SAT prep
- Expand community college articulation agreements
- Dallas courses on community college campuses
- Timely community college transfer
- Programming/Training with community colleges

Enrollment Composition and Strategies

- Increase mix of need and merit scholarships
- Expand Bridge Programs
 - Jaguar Gateway Bridge Program
 - Catch the Next – Punte (Bridge) Project
- Enhanced student support services
- Improved customer service
- Expansion of campus visits

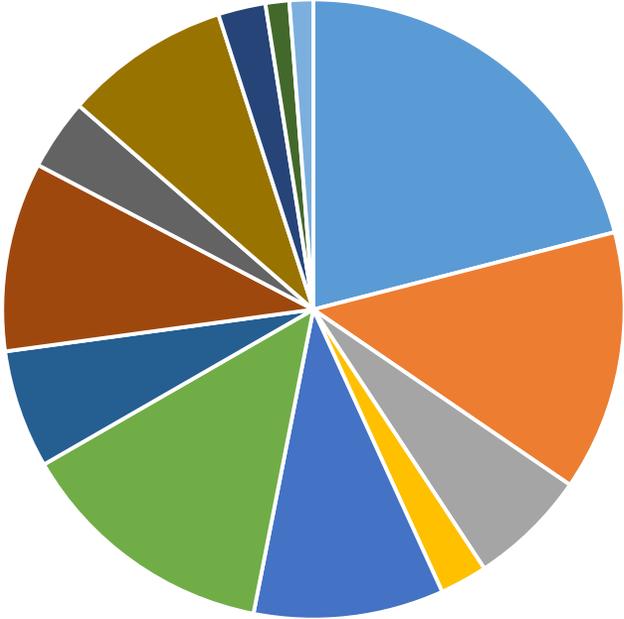
Why do they leave?

Spring 2016 to date



- other
- financial
- work schedule
- personal
- transfer
- employment

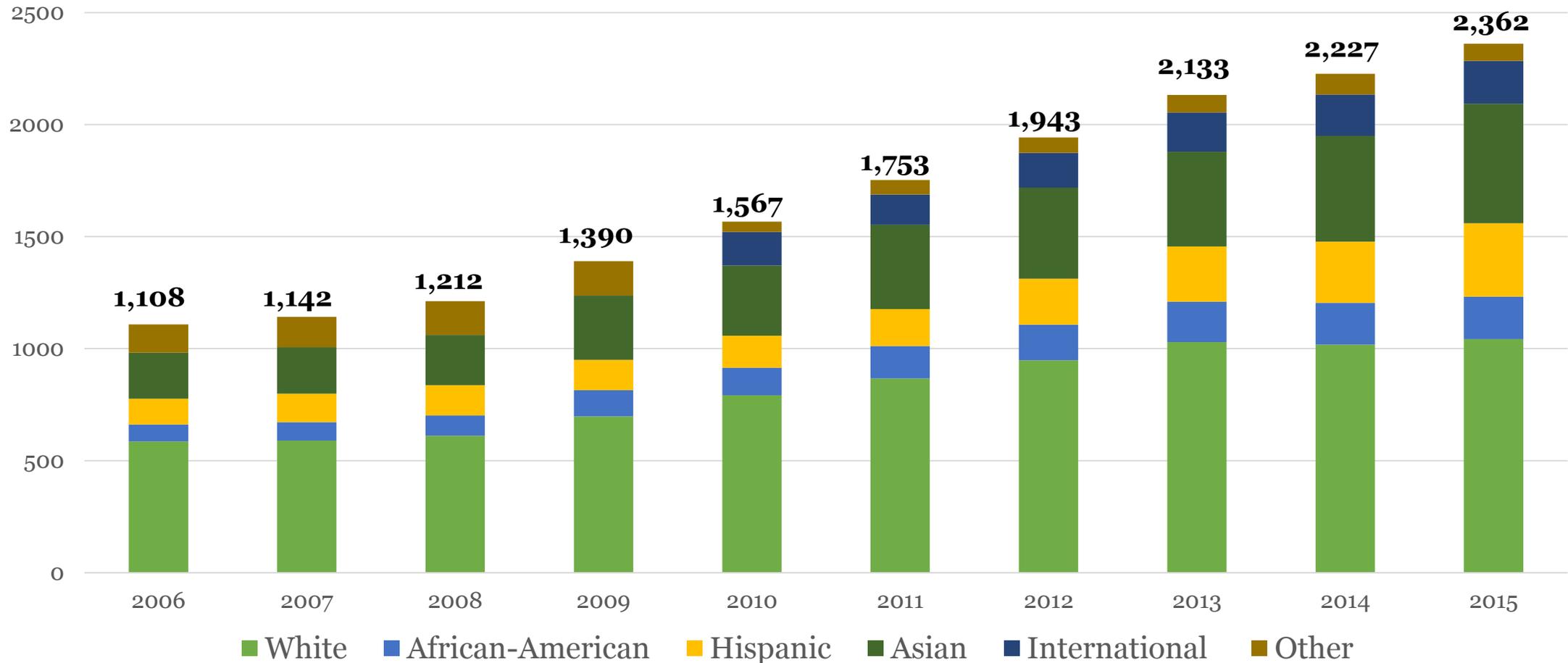
Fall 2015



- other
- financial
- work schedule
- personal
- transfer
- employment
- child care
- health
- program not available
- acad difficulty
- transportation
- housing
- financial aid

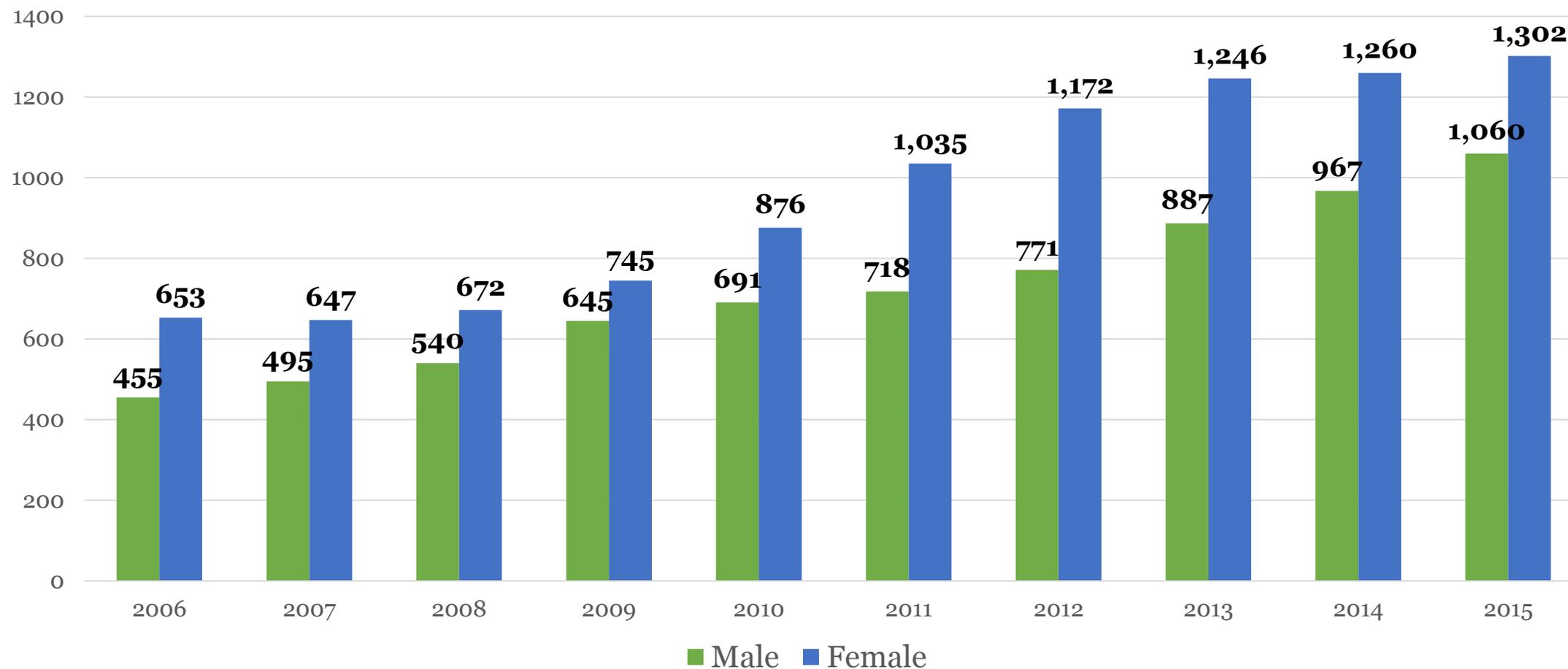
UNTHSC Enrollment Data

Total UNTHSC Fall Headcount by Ethnicity



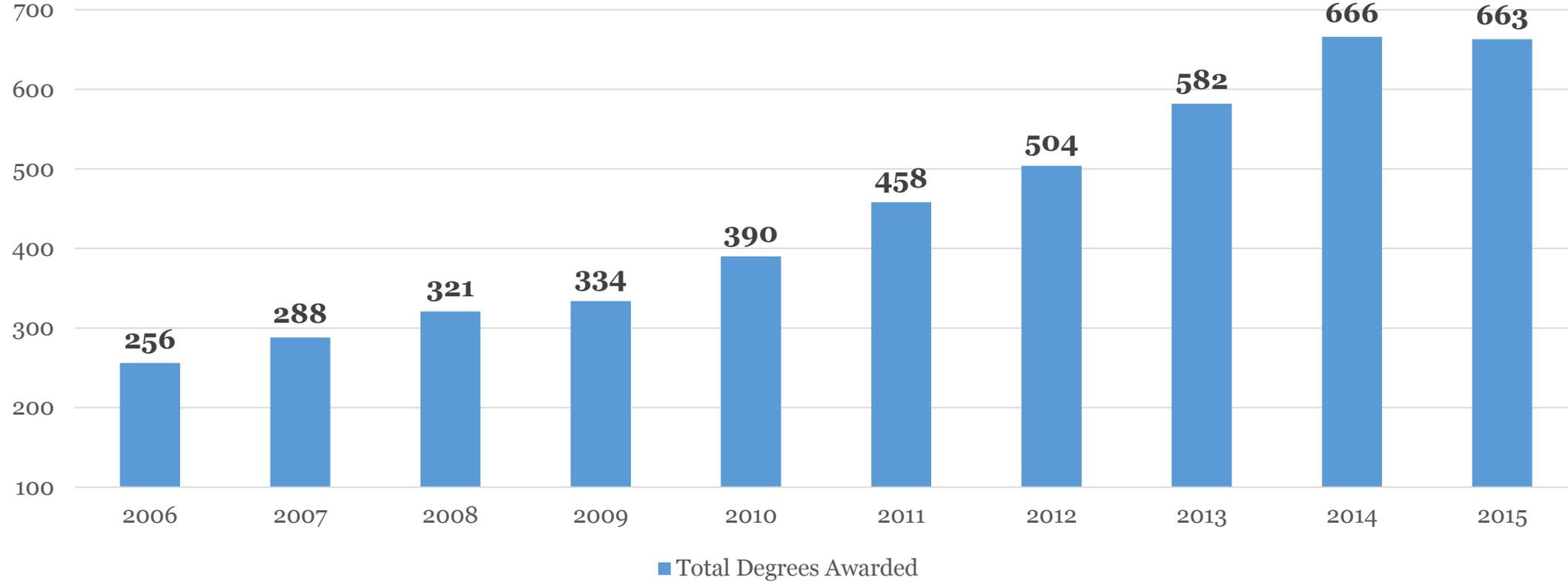
UNTHSC Total Enrollment Data

Total Headcount Enrollment by Gender



UNTHSC Enrollment Data

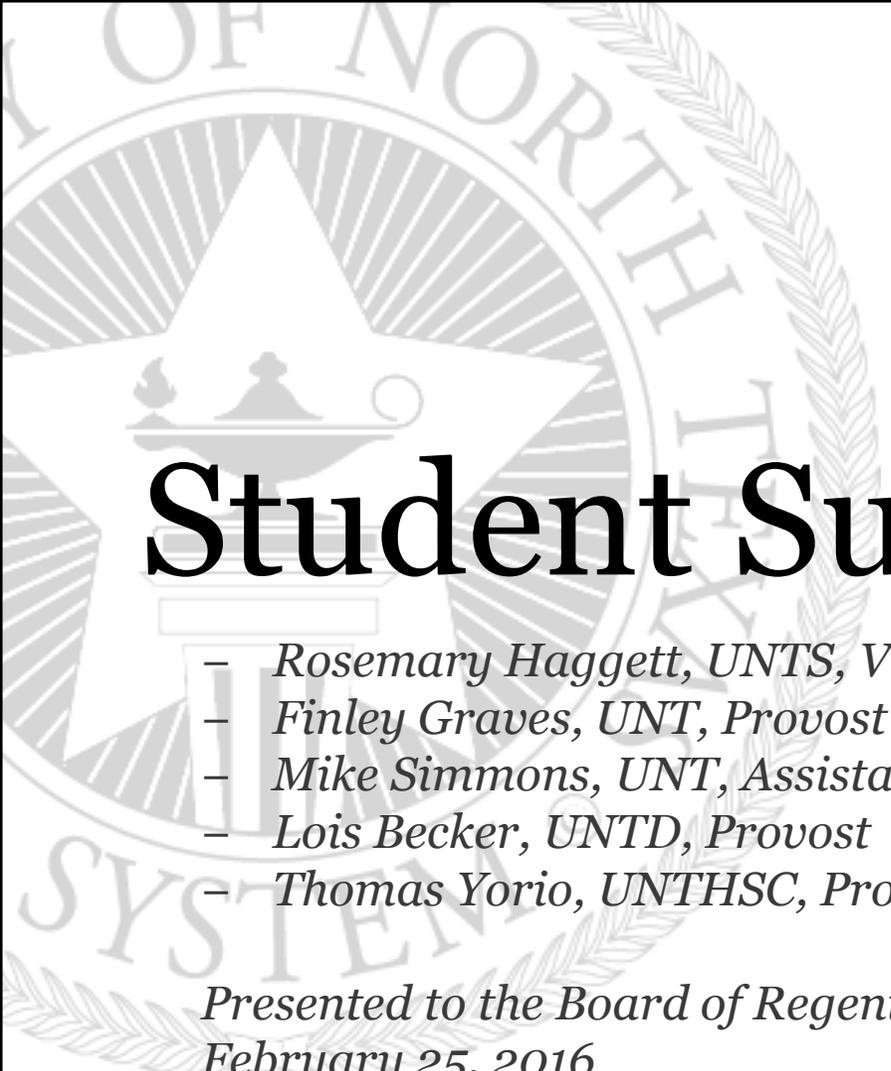
Total Degrees Awarded



- The UNT Health Science Center has realized significant growth due to the increase of the medical (TCOM) class size, the addition of PT and Pharmacy, and the expansion of the medical science program in GSBS.
- We expect that the coming year will show our enrollment growth from around 2400 students to 2500 students in the Fall of 2016.
- We continue to strive towards recruiting and retaining the highest caliber students that represent the diverse demographics of our surrounding community.
- Strategies include:
 - a robust outreach program that includes active partnerships with institutions that serve students from under-represented backgrounds.
 - ongoing NIH funded programs to introduce undergraduate students to the health sciences
 - partner with the Ft. Worth school district to help direct their Texas Academy of Biomedical Sciences a High School dedicated to increasing participation in STEM areas.

- We complete exit interviews with students who leave our program prematurely, without graduating
- Aside from those students who leave involuntarily (i.e., for academic performance reasons), our ability to conduct exit interviews with nearly 100% of those students who leave voluntarily suggest that their reasons are rooted in typically one of three challenges:
 - being too far away from their support system (e.g., family)
 - financial challenges
 - personal matters (e.g., health).

Questions & Discussion



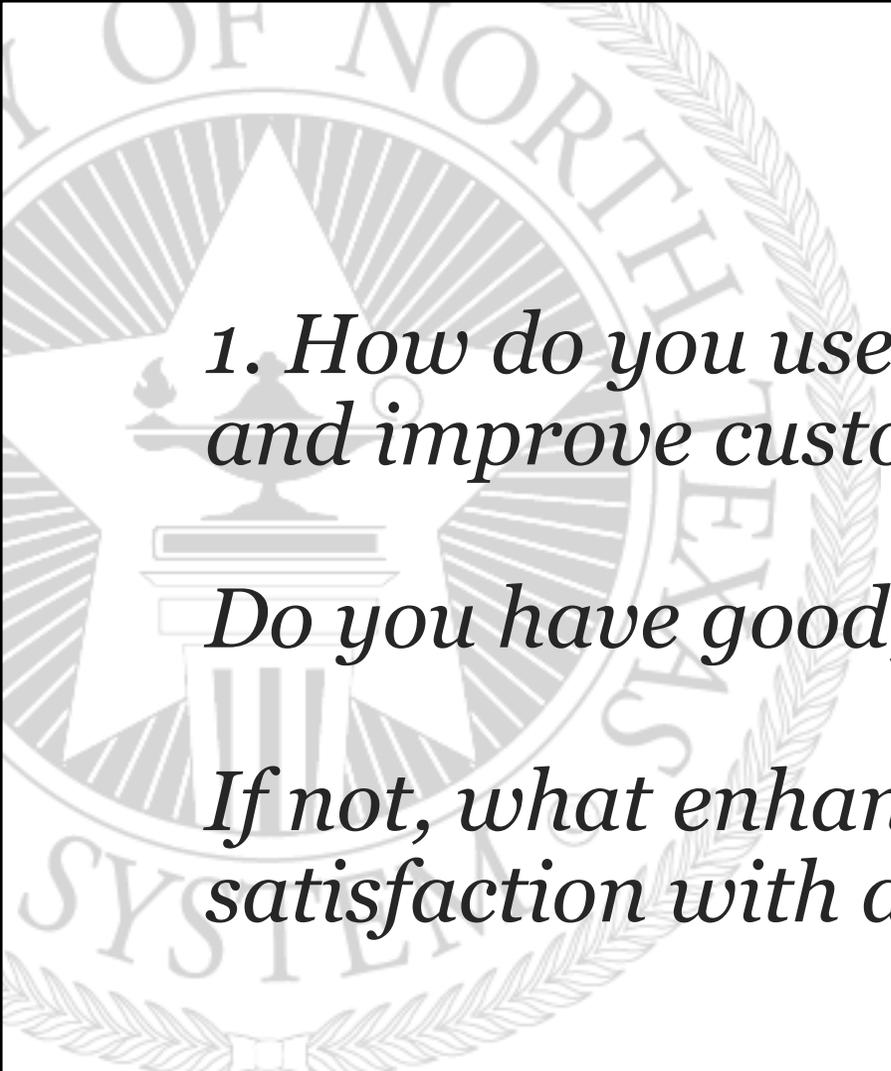
Student Success

- *Rosemary Haggett, UNTS, VC for Academic Affairs & Student Success*
- *Finley Graves, UNT, Provost*
- *Mike Simmons, UNT, Assistant Vice President – Academic Affairs*
- *Lois Becker, UNTD, Provost*
- *Thomas Yorio, UNTHSC, Provost*

*Presented to the Board of Regents Academic Affairs & Student Success Committee
February 25, 2016*

Framing Questions

1. *How do you use student assessments to refine services and improve customer satisfaction? Do you have good, and complete, data? If not, what enhancements are planned to assess student satisfaction with academic and non-academic services?*
2. *How many of your graduating students have had a career-related experience in their course of study, and how are you planning to expand those experiences, improve the quality of the experience, and build a better database?*
3. *Texas is now asking every academic program to identify the marketable skills that will be acquired by students. Can the University provide access for every student to valuable elective marketable skills in addition to those marketable skills that are specifically included within each academic department?*

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 figure holding a torch, surrounded by a circular border with the text "UNIVERSITY OF NORTH TEXAS SYSTEM".

1. How do you use student assessments to refine services and improve customer satisfaction?

Do you have good, and complete, data?

If not, what enhancements are planned to assess student satisfaction with academic and non-academic services?

Departmental Assessment

Student Satisfaction

- UNT offers a systematic cycle of planning, assessment, analysis and implementation of data-driven decision processes with the goal of improving the student experience.
- Results of assessment data are stored in the TracDat Institutional Effectiveness (IE) database, allowing outcomes to be tracked across time.

Examples of Departmental Assessment

Student Satisfaction

- **Academic Support:** Departmental Plans, Libraries, Center for Learning Enhancement, Assessment and ReDesign (CLEAR) and Learning Center
- **Student Health:** Student Health and Wellness Center, Recreational Sports, and Counseling and Testing
- **Campus Engagement:** Student Activities Center, University Union, and Student Affairs Administration
- **Life Skill:** Career Center, Student Money Management Center and Multicultural Center
- **Campus Community:** Housing and Residence Life, Center for Student Affairs at Discovery Park, and Orientation and Transition Programs.

Institutional Assessment

Student Satisfaction

- Beyond unit level plans, planning and assessment also occur at the institutional level.
- Office of Institutional Research and Effectiveness oversees much of the data used in reporting.
- Mission-critical data is accessible to stakeholders through UNT's Dataspot website.



Examples of Institutional Assessment Student Satisfaction

Report	When	Data Provided To	Use
Undergraduate and graduate student exit surveys	Ongoing	Offices, colleges, and departments	Program reviews, program mix, assessment of program awareness
National Survey of Student Engagement (NSSE)	Every 3 years	Offices, colleges and departments	QEP topic selection, retention management, service expansion
Noel Levitz Student Satisfaction Inventory (SRI)	Every 3 years	Offices, colleges and departments	Creation of advising committee
Student Perceptions of Teaching (SPOT)	Ongoing	Colleges, departments, and faculty	Improve classroom instruction

Applying Student Assessments to Refine Services and Improve Customer Satisfaction

How do you use student assessments to refine services and improve customer satisfaction?

- Utilizing both quantitative and qualitative methods of measurement, data is used to make immediate decisions on services provided to students.

Do you have good, and complete, data?

- Yes; Reports are generated every semester through various data storage locations.
- THECB, Survey Instruments, IPEDS, etc...

If not, what enhancements are planned to assess student satisfaction with academic and non – academic services?

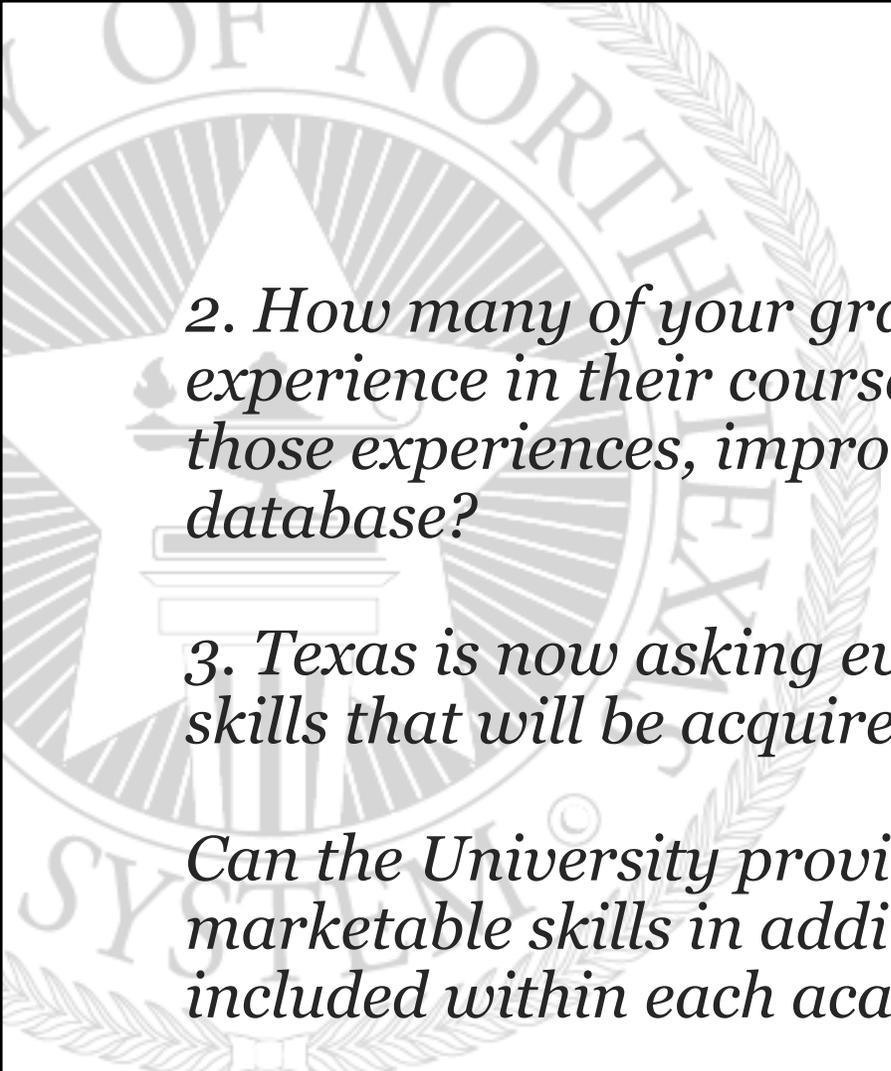
- UNT Dallas will start using the NSSE survey instrument to measure certain aspects of the students' experiences in the classroom and university. *(Thank you Rosemary Haggett for the assistance!)*

Assessment Practices

Department	Name of Assessment	Description
Academic Affairs	NSSE	NSSE provides participating institutions a variety of reports that compare their students' responses with those of students at self-selected groups of comparison institutions.
Academic Advising	Advising Survey	Advising uses a satisfaction survey sent to each student after an appointment with their advisor. The short 7 question survey uses a Likert scale response, and has an open section for other feedback on the last question.
Tutoring	Learning Commons Survey	The Learning Commons uses various forms of assessment to refine services and improve satisfaction.
Registrar	Graduating Exit Survey	The primary purpose of the survey is to obtain information about students' satisfaction with a range of academic and support services experienced during their matriculation and to inquire about their plans for the future.
Student Affairs	ACE Survey	The Adverse Childhood Experiences (ACE) Study is one of the largest investigations ever conducted to assess associations between childhood maltreatment and later-life health and well-being.
Academic Affairs	Career Services and Experiential Learning Survey	The Office of Career Services provides each students/alumni with a customer satisfaction survey .after each appointment.
Student Affairs	College Student Inventory	This useful report serves as a very efficient tool for connecting students with campus services, such as academic support, drawing upon their receptivity to assistance as a springboard for intervention.
Student Affairs	Counseling and Wellness Survey	The Counseling and Wellness Services Survey is used to assess the effectiveness of the clinician and the effectiveness of the department (Intern, Extern, and practicum students).
Student Affairs	Disability Services Survey	The Disability Services Survey is designed to see how students, providers, faculty and others perceive the Disability Service Office.

1. How do you use student assessments to refine services and improve customer satisfaction? Do you have good, and complete, data? If not, what enhancements are planned to assess student satisfaction with academic and non-academic services?

- UNTHSC conducts annual student satisfaction survey. The data influences academic and non-academic decisions. Covers academic and services offered. Deans need to respond to areas of concern and develop action plans. Have as part of our strategic plan.
- Deans also hold round tables and focus group meetings to gain input into ongoing programs. Course evaluations also provide assessment information on specific program areas. We also have a committee APART (Academic Program Assessment Review Team) that annually provides deans and provost with an assessment of each academic program. This is in addition to our five year assessments with external reviewers.



2. How many of your graduating students have had a career-related experience in their course of study, and how are you planning to expand those experiences, improve the quality of the experience, and build a better database?

3. Texas is now asking every academic program to identify the marketable skills that will be acquired by students.

Can the University provide access for every student to valuable elective marketable skills in addition to those marketable skills that are specifically included within each academic department?

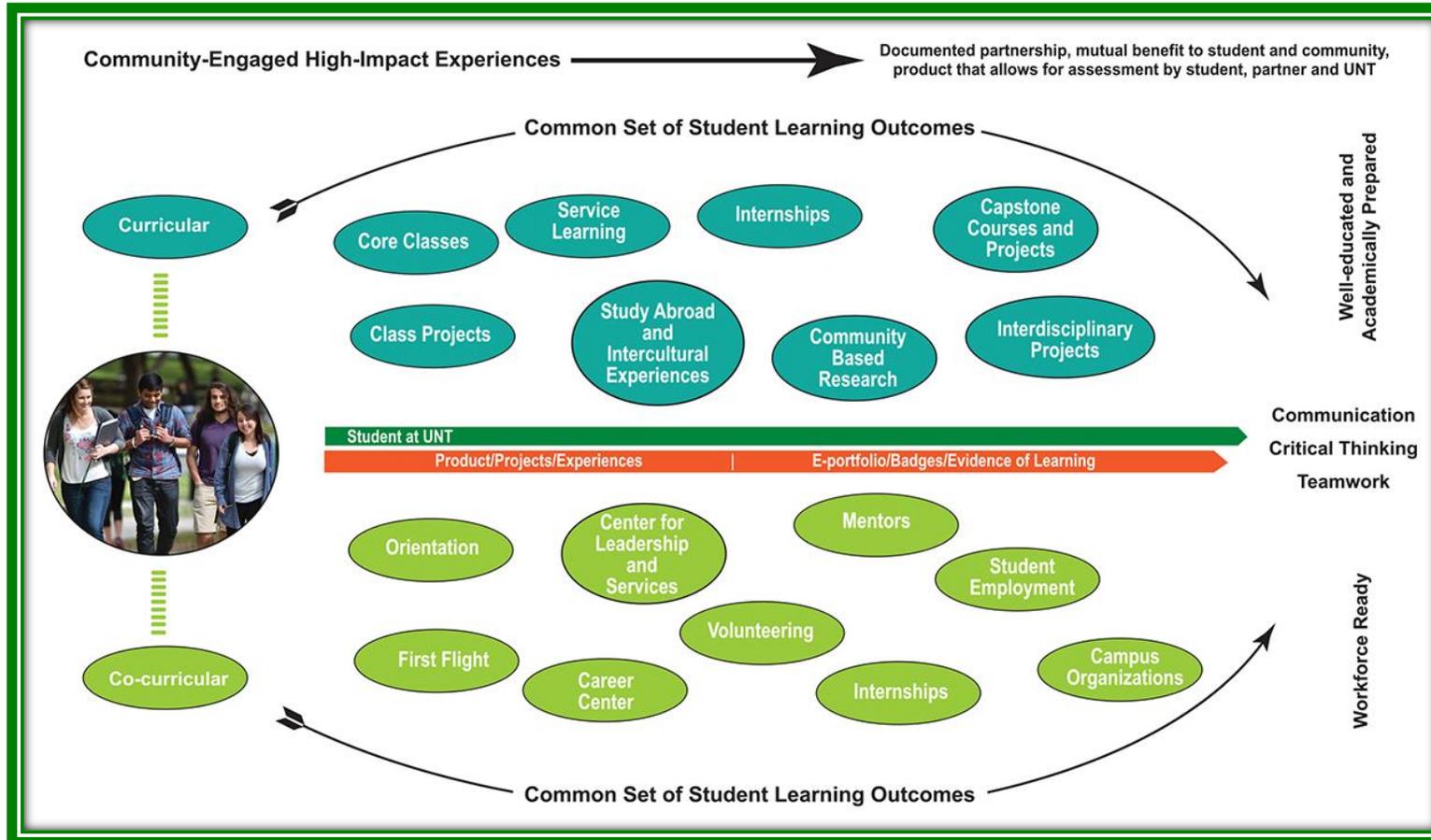
Mapping Career Experiences

Career Connect

- Preliminary estimates indicate that UNT offers thousands of career-related experiences for students in their courses of study.
- The proposed Quality Enhancement Plan (QEP) **Career Connect** will:
 - ✓ expand career-related experiences for students;
 - ✓ create a mechanism for capturing this data, and
 - ✓ help students articulate their acquired skills to potential employers.



Pathway for Marketable Skills Quality Enhancement Plan



Connecting your Experiences, Creating your Future.

Pathway for Marketable Skills

Core Curriculum

The **Core Curriculum** (42 hour requirement) allows flexibility in a student's degree program for them to gain key marketable skills in...

- **Critical Thinking**
- **Communication**
- **Teamwork**
- **Empirical and Quantitative**
- **Social Responsibility**
- **Personal Responsibility**

Enhancing Experience and Tracking Students

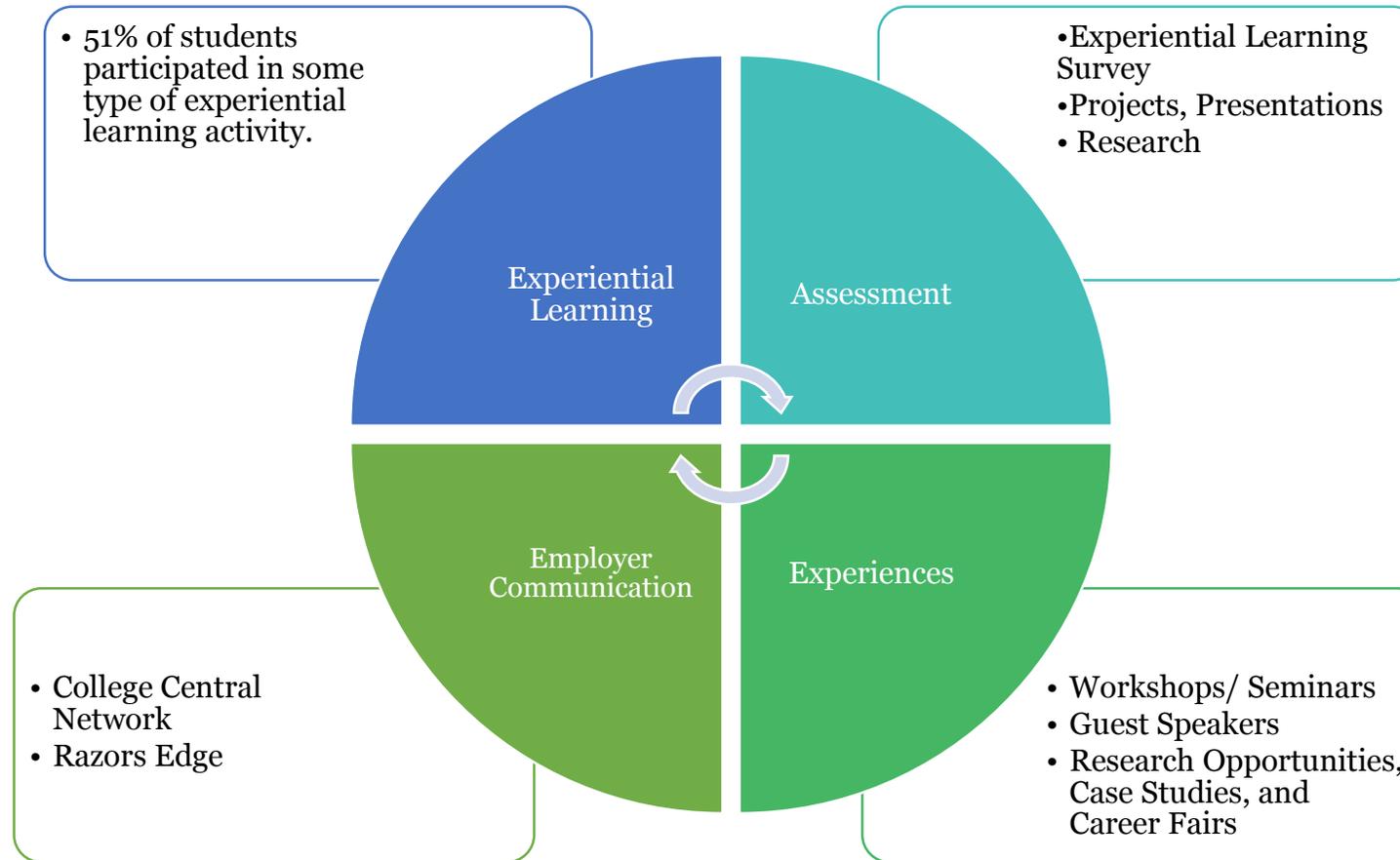
How many of your graduating students have had a career-related experience in their course of study?

- For Fall 2015, 97 students participated in some type of internship, practicum, or student/clinical teaching.
- Since 2013, the number of internships have increased 20%.

How are you planning to expand those experiences, improve the quality of the experience, and build a better database?

- To expand experiences inside and outside of the classroom we will offer major/college related workshops/seminars and invite guest speakers from key industry to share insight which will aid in our professional development efforts or our students.
- The data will be capture from students, faculty and employers utilizing Qualtrics after each appointment and career/internship fairs to improve quality of services. We will use College Central Network and Razor Edge to store employer contacts.

Graduates with Career Related Experiences: Enhancing Experience and Tracking Students



Integrating Marketable Skills Development throughout all Academic Departments (General Education and Majors)

General Education

- Through the core curriculum, students will gain a foundation of knowledge of human cultures and the physical and natural world; develop principles of personal and social responsibility for living in a diverse world; and advance intellectual and practical skills that are essential for all learning.

Majors

- Every academic program (major) at UNT Dallas conducts some type of assessment to measure a student's competencies in certain areas that relate to their discipline. For example, each program determines 3-5 Student Learning Outcomes (SLO's), types of tests and surveys (Measures), and Targets that will ultimately show the effectiveness of their program and if students are achieving certain competencies.

Integrating Marketable Skills Development throughout all Academic Departments (Accreditation and Certifications)

School of Business

Certified Management Accountant

- The Accounting program offer courses to prepare students for the Certified Management Accountant (CMA) certification.

Certified Public Accountant

- Additionally, the program is developing ways to provide credit hours to make students eligible for the Certified Public Account (CPA) certificate.

SHRM Assurance of Learning

- The Organizational Behavior and Human Resource program offers the opportunity and training for students to receive their certification in SHRM Assurance of Learning.

School of Human Services

Certified Non Profit

- The School of Human services also awards the Certified Non – Profit (CNP) certification, which ensures students are meeting equivalent learning outcomes as part of their education and learning experience.

Licensed Professional Counselor

- In addition to their education, LPCs must obtain supervised clinical experience and must pass a state licensing exam.

Certified Child Life Specialist

- The CCLS credentialing program is a rigorous, examination-based professional certification credential. The requirements for Getting Certified are based on academic and clinical experiences, and successful completion of the Child Life Professional Certification Examination.

2. How many of your graduating students have had a career-related experience in their course of study, and how are you planning to expand those experiences, improve the quality of the experience, and build a better database?

- Most UNTHSC students have a career related experience prior to graduation.
- Type of experience varies from school to school
- Every student completes a clinical experience, a practical experience, or an internship
- Each dean assesses experiences through student focus groups and evaluations, including site evaluations.
- Always engaged in process improvement as exemplified by APART assessments of each academic program each year.

3. Texas is now asking every academic program to identify the marketable skills that will be acquired by students. Can the University provide access for every student to valuable elective marketable skills in addition to those marketable skills that are specifically included within each academic department?

- Professional schools have a list of competencies that students must acquire prior to graduation.
- These skills and professional characteristics are included in our curricula.
- Also provided opportunity for leadership development to identify the next generation of health professions leaders.

Questions & Discussion

UNT SACSCOC Reaffirmation Brief:

The University of North Texas is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). Maintaining accreditation allows UNT to continue to receive federal financial aid and it adds value to the degrees UNT imparts. There are two main parts to reaccreditation, the Compliance Certification Report and the Quality Enhancement Plan (QEP).

UNT received its last 10-year SACSCOC Reaffirmation in December 2006. There were no follow-up reports required. In May 2012, UNT completed its fifth-year SACSCOC Interim Report with no follow-up reports required.

April 2013 UNT started the process of a 10-year Reaffirmation Self-Study regarding the 96 standards associated with the SACSCOC Compliance Certification Report. It resulted in a 660-page Compliance Certification Report that included several thousand pieces of evidence. The following are dates related to this 10-year reaffirmation process:

- **Sept. 4, 2015:** The UNT SACSCOC Reaffirmation Compliance Report was submitted to the SACSCOC Off-site Review Committee.
- **Nov. 20, 2015:** UNT's SACSCOC Leadership Team received a preliminary report from the SACSCOC Off-site Review Committee in which the Off-site Committee requested additional documentation associated with 14 compliance standards.
- **Jan. 18, 2016:** The UNT SACSCOC Leadership Team hosted the appointed SACSCOC On-site Committee Chair, Dixon Hanna from Virginia Tech, at UNT to review planned accommodations for the On-site Committee.
- **Feb. 11, 2016:** UNT sent additional documentation for the 14 compliance standards requested by the SACSCOC Off-site Review Committee, and UNT provided writings about the new QEP to the SACSCOC On-site Committee members. *(Note: Of the top 11 most frequently cited standards by the off-site review committee, UNT was only cited for six.)*
- **March 21 to March 23, 2016:** The UNT campus will host the SACSCOC On-site Committee. The SACSCOC On-site Committee will review additional compliance justifications and the new QEP.
- **March 22, 2016:** UNT President Neal Smatresk, the SACSCOC Vice President, the On-site Committee Chair and UNT's SACSCOC Liaison will meet with two UNT System Board of Regents to discuss the role and responsibilities of the UNT System Board of Regents as it relates to the SACSCOC Accreditation Standards.
- **March 24, 2016:** The SACSCOC On-site Committee Chair and SACSCOC Vice President will address UNT's leadership regarding the status of UNT's compliance with 96 SACSCOC Compliance Standards.

- **Six-weeks later:** If needed, UNT will provide additional documentation to the Commission's Committee on Compliance and Reports related to any non-compliance findings from the SACSCOC On-site Committee.
- **December 2016:** UNT's accreditation status will be announced at the business meeting held at the close of the December SACSCOC Conference.

At this time, UNT's SASCOC Steering Committee and UNT's SACSCOC Leadership Committee are expecting a successful SACSCOC On-site Committee visit.



Board Briefing

Committee: Academic Affairs & Student Success

Date Filed: January 15, 2016

Title: Review of University of North Texas, University of North Texas Health Science Center at Fort Worth, and University of North Texas at Dallas policies related to *Carrying of Concealed Handguns on Campus*

Background:

In 2015, the Texas Legislature enacted Senate Bill 11 to amend the laws regarding concealed carry of handguns and allow individuals who are properly licensed to carry a concealed handgun on a university campus beginning on August 1, 2016 subject to rules established by the president and reviewed by the Board of Regents.

Concealed handgun licenses are issued and regulated by the Texas Department of Public Safety (DPS). To obtain a license, individuals must be a resident of Texas, be at least 21 years old (unless active duty military or a veteran), and meet certain other statutory requirements. Based on DPS' demographics, approximately 3% of the Texas population had a concealed handgun license in 2014; 86% of the licenses were issued to individuals over 30 years old and 67% were issued to individuals over 40 years old. The laws regarding concealed carry of handgun have been in effect since 1997 and since that time have prohibited the carrying of a concealed handgun in certain locations, including schools, churches, collegiate sporting events or interscholastic events, correctional facilities, hospitals and nursing homes. Senate Bill 11 did not change these exclusions and as such they continue to be prohibited locations.

Senate Bill 11 provides that the president shall establish reasonable rules and regulations regarding the carrying of concealed handguns on campus after consultation with faculty, staff and students. The consultative process must take into account the nature of the student population; uniqueness of the campus environment; and specific safety concerns. Rules also may be established regarding the storage of handguns in residence halls. However, the president may not establish rules that generally prohibit or have the effect of generally prohibiting license holders from carrying concealed handguns on campus.

Senate Bill 11 specifically provides that the governing board shall review the institution's rules within 90 days of the date they are established by the president. The board may amend the rules by a two-thirds majority vote. If amended by the board, the amended version becomes the institution's rules. The institution must publish its rules on the institution's website so that they are accessible by students, faculty, and staff. Rules may be amended by the president after engaging in the type consultative process described above and submission to the governing board for review.

To assist in implementing the new law, the System formed a working group with representatives from each campus as well as System staff from Government Relations, General Counsel, Human Resources, and Academic Affairs and Student Success. Each of the presidents formed a campus committee consisting of students, faculty, staff, and administrators charged with consulting with

students, faculty, and staff and recommending a campus carry policy and guidelines for their respective campus. Each campus held several town hall meetings in Fall 2015 for students, faculty, and staff at various campus locations. Several of the town hall meetings were also streamed live and recorded so that individuals could watch if unable to attend the meeting in person. Members of the campus committees were present to inform attendees about the new campus carry law, answer questions, and solicit verbal and written comments regarding the campus carry policy. Additionally, students, faculty, and staff at the UNT Health Science Center received a survey soliciting comments. Each of the institutions also established a website with information about the law, FAQs, schedule of town hall meetings, and the work of the task force.

All three campuses have developed policies and guidelines that meet the requirements of Senate Bill 11. The policies take into account the comments and feedback received from students, faculty and staff and aim to balance interest in promoting safety with respect for the right to carry concealed handguns. The policies identify locations and activities where handguns are prohibited on the respective campuses. These prohibited areas generally fall into several broad categories and are included in the respective campus policies, as applicable: (1) areas prohibited by state or federal laws, or specific contracts, such as where the contract funding source for research grants prohibits guns, or collegiate sporting events, (2) areas where services to minors are provided; (3) areas where medical, health, or clinical services are provided including patient care areas and where special medical equipment (e.g. MRI) is present, (4) areas where special student support services are provided, (5) areas that pose special dangers to human life, and (6) areas hosting large scale events of 200 attendees or more. All of the proposed policies also contain detailed processes for designating locations temporarily prohibiting concealed handguns on campus premises and for review of such decisions.

The UNT policy contains procedures regarding storage of handguns in residential facilities owned or leased and operated by the university and located on the campus premises. UNT Dallas will consider an amendment to its policy to add procedures regarding storage of handguns when its first residence hall comes on line. The UNT Health Science Center does not have residential facilities, and therefore its policy does not address this issue.

Per Senate Bill 11, the Board must review each of the institution's policies, which establish rules related to *Carrying of Concealed Handguns on Campus*. Based on such review, the Board can accept the policies as written or amend, in whole or part, provisions in the policies by a majority two-thirds vote. Additionally, Senate Bill 11 requires each institution to submit a report to the Legislature each even-numbered year beginning September 1, 2016 that describes the institution's rules and the reasons for the rules.

Financial Analysis/History:

Each of the campuses anticipate some costs associated with implementation of SB 11. UNT estimates a total of \$6275 in costs for signage, gun safes, and educational training. UNTHSC estimates a total of \$2,500 in costs for signage. UNT Dallas estimates initial costs of \$2,375 for signage and additional costs of \$14,880 for gun safes in its residence hall.

Bob Brown Digitally signed by Bob Brown
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for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2016.02.15 15:57:19 -0500

UNT Chief Financial Officer

John
Harman

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UNTHSC Chief Financial Officer

daniel.edelman
@untdallas.edu

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UNTD Chief Financial Officer

Janet
Waldron

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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Vice Chancellor/General Counsel

Schedule:

Following Board review and action, the institutions' policies become effective August 1, 2016.

Recommendation:

It is recommended that the Board accepted the attached rules as proposed by the presidents of UNT, UNTHSC, and UNT Dallas.

Recommended By:

Lee
Jackson

Digitally signed by Lee Jackson
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c=US
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Chancellor

Neal
Smatresk

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President, University of North Texas

Michael R.
Williams

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Williams
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President, University of North Texas
Health Science Center

Bob Mong

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President, University of North Texas
at Dallas

Attachments Filed Electronically:

- a) **UNT Policy No. 04.001, *Carrying of Concealed Handguns on Campus***
- b) **UNTHSC Policy No. 4.xxx, *Carrying of Concealed Handguns on Campus***
- c) **UNT Dallas Policy No. 12.006, *Carrying of Concealed Handguns on Campus***



Board Order

Title: Review of University of North Texas, University of North Texas Health Science Center at Fort Worth, and University of North Texas at Dallas policies related to *Carrying of Concealed Handguns on Campus*

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the President of an institution of higher education must establish reasonable rules regarding the carrying of concealed handguns by properly licensed individuals on campus premises after consulting with students, staff, and faculty of the institutions regarding the nature of the student population, specific safety considerations, and the uniqueness of the campus environment, and

Whereas, the President of each institution in the UNT System engaged in a process to consult with students, faculty, and staff and recommend a campus carry policy and guidelines for each respective campus, and

Whereas, the attached policies do not establish provisions that generally prohibit or have the effect of generally prohibiting properly licensed individuals from carrying concealed handguns on the campus of the institutions, and

Whereas, review of each institution's policy is necessary to bring the Board of Regents into compliance with Senate Bill 11 and its mandates.

Now, Therefore, The Board of Regents accepts without amendment the following:

1. UNT Policy No. _____, *Carrying of Concealed Handguns on Campus*
 2. UNTHSC Policy No. _____, *Carrying of Concealed Handguns on Campus*
 3. UNT Dallas Policy No. 12.006, *Carrying of Concealed Handguns on Campus*
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Policies of the University of North Texas	Chapter 04
04.001 Carrying of Concealed Handguns on Campus	Administration

Policy Statement. The University of North Texas is committed to providing a safe environment for students, faculty, staff, and visitors, and to respecting the right of individuals who are licensed to carry a handgun where permitted by law. Individuals who are licensed to carry may do so on campus premises except in locations and at Activities prohibited by law or by this policy.

Application of Policy. All faculty, staff, students, guests, visitors, and individuals and organizations doing business on behalf of the University on the campus premises. This policy does not apply to commissioned peace officers as defined in article 2.12 of the Texas Code of Criminal Procedures.

Definitions.

1. Activities. “Activities” means all functions, events, and programs on the University of North Texas campus premises.
2. Biological Hazard. “Biological hazard,” for purposes of this policy, means a biological substance used in research or experimentation that poses a threat to the health of a living organism, primarily that of a human, and is classified as biosafety level (BSL) 3 or 4 by the Center for Disease Control. Biological hazards can include medical waste or samples of microorganisms.
3. Campus Premises. “Campus premises” means all land, buildings and portions of buildings owned or leased by the University.
4. Campus Housing. “Campus housing” means a residential facility owned or leased and operated by the University and located on the campus premises.
5. Collegiate Sports. “Collegiate sports” means intercollegiate, club, and intramural athletic activities occurring on the campus premises.
6. Concealed Handgun. “Concealed handgun” means a handgun, the presence of which is not openly noticeable to the ordinary observation of a reasonable person.
7. Days. “Days” means business days.
8. Employee. “Employee” means an individual at any component of the University of North Texas System, who is hired in a full-time, part-time, or temporary capacity in a faculty or staff position or in a position where the individual is required to be a student as a condition of employment.
9. Handgun. “Handgun” means any firearm that is designed, made, or adapted to be fired with one hand.

10. Interscholastic Event. “Interscholastic event” means a function or program involving elementary or secondary schools.
11. Large-scale Event. “Large-scale event” means a function or event, other than a classroom or academic program, where attendance is reasonably anticipated to exceed 200 individuals.
12. License Holder. “License holder” means a person issued a License to Carry a handgun (formerly called a “Concealed Handgun License”) by the Texas Department of Public Safety under Chapter 411 of the Texas Government Code.
13. Private Residential Room. “Private residential room” means a room that is capable of being locked by the occupant to whom it is assigned, and no other access to the bedroom space is available through a suite bathroom or other shared space.
14. Reviewing Official. “Reviewing official” means the University official designated by the President to review a decision to temporarily restrict the carrying of concealed handguns on the campus premises.
15. Store. “Store” means to take steps that a reasonable person would take to prevent the access to a firearm, including but not limited to placing a firearm in a locked container. For purposes of this policy, a firearm that is temporarily rendered inoperable by use of a trigger lock or other means is not stored.
16. Work Area. “Work area” means the place or places an individual performs assigned duties as an employee of a component of the University of North Texas System.

Procedures and Responsibilities.

- I. Open Carry Prohibited. All persons, including license holders, are prohibited from openly carrying a handgun on the campus premises, including on any public driveway, street, sidewalk or walkway, parking lot, parking garage or other parking area on the campus premises.
- II. Carrying of Concealed Handgun by a License Holder.
 - A. Right to Carry. A license holder may carry a concealed handgun while on the campus premises (including public driveways, streets, sidewalks or walkways, parking lots, parking garages and other parking areas) and in University passenger transportation vehicles, unless prohibited by state or federal law, or by this policy. License holders are responsible for knowing areas where carrying a concealed handgun is prohibited where notice is not required to be posted.
 - B. Intoxication. A license holder may not carry a concealed handgun while intoxicated.
 - C. Display of Concealed Handgun. A license holder may not carry a partially or wholly visible handgun, or intentionally or knowingly display a handgun in plain view of another person, even if holstered, on the campus premises, including public driveways, streets, sidewalks or walkways, parking lots, parking garages or other parking areas on the premises of the University.

- D. Requirement to Display License. A license holder must display his or her License to Carry when directed by a law enforcement officer in accordance with section 411.205 of the Texas Government Code. Otherwise, an individual is not required to disclose whether he or she is a license holder in order to participate in any program or service offered by the University, except as required by law.
- III. Carrying of Concealed Handgun by Employees. An employee who lawfully holds a License to Carry may carry a concealed handgun into his or her work area, unless prohibited under this policy, but is not authorized to use the weapon in the course and scope of performing his or her duties. An employee whose possession, storage, or use of a handgun results in personal injury or property damage is personally liable for the injury or damage, and is not entitled to immunity under section 411.208 of the Government Code or any other immunity the individual may otherwise be entitled to as a University employee.
- IV. Locations and Activities where Concealed Handguns are Prohibited. A license holder is prohibited from carrying a concealed handgun onto the campus premises where prohibited by law and where prohibited by this policy based on the nature of the student population, specific safety concerns, and uniqueness of the campus environment.
- A. Concealed handguns are prohibited:
1. at a location where a high school, collegiate, or professional sporting event or interscholastic event is taking place as prohibited under section 46.035(b)(2) of the Texas Penal Code, or where a sports club or intramural athletic competition is taking place;
 2. at a location used as a church, synagogue, or other established place of religious worship as prohibited under section 46.035(b)(6) of the Texas Penal Code;
 3. at a location designated as a polling place on the day of a federal, state, or local election, including while early voting is in progress as set out in section 46.03(a)(2) of the Texas Penal Code;
 4. at a location where the campus premises is used by a court unless the handgun is carried pursuant to written regulation or written authorization of the court in accordance with section 46.03(a)(3) of the Texas Penal Code;
 5. in a nonpublic, secure portion of the University of North Texas Police Department used to conduct official business as prohibited under section 411.207(b) of the Texas Government Code;
 6. in a location where substances designated as “immediately dangerous to life and health” are present, access is restricted to individuals who perform research or duties, and a sealed and filtered environment is essential, specifically the Clean Room located at Discovery Park;
 7. in a laboratory where biological hazards, as defined by this policy, are present;

8. in an area where equipment that is incompatible with metallic objects is present, (such as magnetic resonance imaging (MRI) and nuclear magnetic resonance (NMR) machines);
 9. where state or federal law or contract, at the sole discretion of the state or federal government or organization with whom the contract is entered, requires exclusion of a handgun in a specific location and the exclusion does not generally prohibit or have the effect of generally prohibiting license holders from carrying concealed handguns on the campus premises;
 10. at a location where medical, health, or clinical services are provided, specifically Chestnut Hall, Life of Purpose in Chilton Hall, the Psychology Clinic in Terrill Hall, Speech and Hearing Clinic in the Speech and Hearing Building, and the Welch Street Complex B;
 11. at a location where services to minors are provided, specifically the Child and Family Resource Center in Matthews Annex, Child Development Lab, Kristin Farmer Autism Center, and McConnell Hall;
 12. at a location where special student services are provided, specifically, Goolsby Chapel and the University Union Meditation Room;
 13. at a location where intercollegiate, club, and intramural athletic events occur on the campus premises, specifically the Physical Education Building, Ken Bahnsen Gymnasium building, and Pohl Recreation Center; and
 14. at a location where large-scale events occur on the campus premises, specifically the ballrooms and Lyceum in the University Union, ballroom in the Gateway Center, Coliseum, Main Auditorium in the Auditorium Building, Murchison Performing Arts Center, University Theater in the Radio, TV, Film, and Performing Arts Building, and the Voertman Concert Hall in the Music Building.
- B. Concealed handguns are prohibited at the following Activities:
1. where intercollegiate, club, and intramural athletic events occur on the campus premises specifically Apogee Stadium, Fouts Field, fields used for intramural activities, Lovelace Softball Stadium, Sand Volleyball Courts at Mean Green Village, Soccer Stadium at Mean Green Village, Volleyball Complex at Mean Green Village, and Warranch Tennis Complex; and
 2. university and high school graduations.

Responsible Party: Chief of Police

- V. Obligation to Provide Notice Where Concealed Handguns are Prohibited. The University shall provide notice at all locations and Activities where concealed handguns are prohibited under this policy and may post notice where handguns are expressly prohibited but where notice is not required to be posted by law. The language of the notice, which is set out in section 30.06 of the Texas Penal Code, shall not be altered in any way unless revised by state law. Any individual who without authorization, tampers

with, defaces, modifies or removes a notice provided pursuant to this policy is subject to disciplinary action, including trespass from campus, suspension, termination of employment or a business relationship, and is subject to criminal prosecution.

A. Notice required under this policy must read:

Pursuant to Section 30.06, Penal Code (trespass by license holder with a concealed handgun), a person licensed under Subchapter H, Chapter 411, Government Code (handgun licensing law), may not enter this property with a concealed handgun.

B. Notice must be provided in writing and on a card or other document in both English and Spanish. When notice is posted at a location, the sign must appear in contrasting colors with block letters at least one (1) inch in height, displayed in a conspicuous manner that is clearly visible to the public, and at a sufficient distance from the location or Activity to inform a license holder that entry on the property or presence at the Activity with a concealed handgun is prohibited.

C. The University shall publish this policy annually in the policy manual and student handbook, and on a webpage dedicated to the carrying of concealed handguns on campus premises.

D. Contracts for use of the campus premises shall include pertinent provisions of this policy.

Responsible Party: Chief of Police

VI. Campus Housing. A concealed handgun may be carried or stored in campus housing as set out in this policy.

A. Residents.

1. A license holder who resides in campus housing may carry a concealed handgun into campus housing and may store the weapon in his or her private residential room except during periods between the spring and fall semesters when the facility hosts summer camps attended by minors.
2. A resident who brings a concealed handgun into campus housing pursuant to this policy must carry the weapon on his or her person at all times or store it in his or her private residential room.
3. A handgun may be stored only in a private residential room as defined in this policy, and in a locked container installed or approved by the University.
4. A resident may not intentionally or knowingly display a handgun in plain view of another person in campus housing except as necessary to properly store the weapon in his or her private residential room.

B. Non-Residents.

1. A license holder who does not reside in campus housing may carry a concealed handgun into campus housing except during periods between the spring and fall semesters when the facility host summer camps attended by minors.
 2. The handgun must be carried on the non-resident's person at all time and may not be stored in a campus housing room.
- C. Responsible for Personal Injury or Damage. A resident or non-resident whose possession, use, or storage of a handgun results in personal injury or property damage is personally liable for the injury or damage.

Responsible Party: Vice President for Student Affairs

VII. Temporarily Prohibiting Concealed Handguns on Campus Premises.

- A. The President or President's designee may prohibit the carrying of concealed handguns for up to seven (7) days in order to promote safety on the campus premises:
1. when the Activity has a history for violence; or
 2. where a large-scale activity, due to the presence of alcohol, uniqueness of the campus environment, specific threat of violence, or other safety considerations present a reasonable threat to health or safety.
- B. The University Chief of Police may prohibit the carrying of concealed handguns on the campus premises:
1. when it reasonably appears there is threat of injury to human life, destruction to University property, or a threat of willful disruption of orderly operation of the University as defined in section 51.231 of the Education Code, or
 2. upon receipt of credible information of imminent injury to human life or destruction to University property.
- C. Review of Decision to Temporarily Restrict Carrying of Concealed Handgun
1. A license holder may request review of the decision to temporarily prohibit the carrying of a concealed handgun.
 2. The request must be submitted in writing to the Reviewing Official and describe why allowing concealed handguns at the location or Activity does not present a safety concern.
 3. The reviewing official may request additional information and must notify the license holder of the decision no later than two (2) days after receiving the request for review. The notice must provide the reason(s) for the decision.
 4. The decision of the reviewing official is final.

Responsible Party: Chief of Police

- VIII. Sanctions for Violating this Policy. Any individual who violates this policy is subject to disciplinary action to include trespass from campus, suspension, or termination of employment or a business relationship, and is subject to criminal prosecution.

Responsible Party: Cabinet Level Executives

- IX. Report to Legislature. The University of North Texas shall prepare a report for the Texas Legislature describing the campus rules adopted to regulate the carrying of concealed handguns on campus and the reasons for the rules not later than September 1, 2016 and every even-numbered year thereafter.

The report will be submitted to the Chancellor and Vice Chancellor for Governmental Relations prior to submission to the Legislature.

Responsible Party: President

- X. Amending Policy. The President may amend this policy as necessary for campus safety, to include permanently designating new or additional locations where the carrying of concealed handguns on campus premises is prohibited. Any prohibition must be based on specific safety considerations, the nature of the student population, and the uniqueness of the campus environment and may not generally prohibit or have the effect of generally prohibiting license holders from carrying concealed handguns on campus premises.
- A. A request to amend this policy to permanently prohibit the carrying of a concealed handgun must be submitted, in writing, to the University Policy Office.
- B. The request must describe the specific factual reasons for the permanent designation, including safety concern(s), the nature of the student population, and any unique features or circumstances related to the building, part of a building, or Activity that regularly takes place in the building. The request also should identify other locations of the campus or Activities with similar characteristics where concealed handguns are prohibited.
- C. The request and proposed amendment must be posted on the University's webpage dedicated to the carrying of concealed handguns. Interested individuals must be given a reasonable time and opportunity to comment on the request. Students, faculty, and staff must be given the opportunity to comment in person before the proposed amendment is submitted to the President for approval.
- D. Any amendment to this policy that has the effect of restricting the lawful carrying of a concealed handgun by a license holder must be submitted to the Board of Regents within 90 days of the President's approval, and will not take effect until reviewed by the Board.

Responsible Party: President

References and Cross-references.

Tex. Gov't Code, Chapter 411

Tex. Penal Code, Chapter 30
Tex. Penal Code, Chapter 46
Tex. Educ. Code, section 51.231
Tex. Code. Crim. Proc., article 2.12

Forms and Tools.

campuscarry.unt.edu

Approved:
Effective:
Revised:

Policies of the University of North Texas Health Science Center	Chapter 04 - Administration
4.xxx Carrying of Concealed Handguns on Campus	

Policy Statement.

The University of North Texas Health Science Center is committed to providing a safe environment for students, faculty, staff, and visitors, and to respecting the right of individuals who are licensed to carry a concealed handgun where permitted by law. Individuals who are licensed to carry may do so on campus premises except in locations and at Activities prohibited by law or by this policy.

Application of Policy.

All faculty, staff, students, guests, and visitors, and individuals and organizations doing business on or on behalf of the University of North Texas Health Science Center. This policy does not apply to commissioned peace officers as defined in article 2.12 of the Texas Code of Criminal Procedures.

Definitions.

1. Activities. "Activities" means all functions, events, and programs on the University of North Texas Health Science Center campus premises.
2. Biological hazard. "Biological hazard," for purposes of this policy, means a biological substance used in research or experimentation that poses a threat to the health of a living organism, primarily that of a human, and is classified as biosafety level (BSL) 3 or 4 by the Center for Disease Control. Biological hazards can include medical waste or samples of microorganisms.
3. Campus premises. "Campus premises" means all land, buildings and portions of buildings owned or leased by the University.
4. Collegiate sports. "Collegiate sports" means intercollegiate, club, and intramural athletic activities occurring on the campus premises.
5. Concealed handgun. "Concealed handgun" means a handgun, the presence of which is not openly noticeable to the ordinary observation of a reasonable person.
6. Days. "Days" means business days.

7. Employee. “Employee” means an individual at any component of the University of North Texas System, who is hired in a full-time, part-time, or temporary capacity in a faculty or staff position or in a position where the individual is required to be students as a condition of employment.
8. Handgun. “Handgun” means any firearm that is designed, made, or adapted to be fired with one hand.
9. Interscholastic event. “Interscholastic event” means a function or program involving elementary or secondary schools.
10. Large-scale event. “Large scale event” means a function or event, other than a classroom or academic program, where attendance is reasonably anticipated to exceed 200 individuals.
11. License Holder. “License Holder” means a person issued a license to carry a handgun (formerly called a “Concealed Handgun License”) by the Texas Department of Public Safety under Chapter 411 of the Texas Government Code.
12. Reviewing Official. “Reviewing Official” means the University official designated by the President to review a decision to temporarily restrict the carrying of concealed handguns on the campus premises.
13. Work Area. “Work area” means the place or places an individual performs assigned duties as an employee of a component of the University of North Texas System.

Procedures and Responsibilities.

A. Open Carry Prohibited.

All persons, including License Holders, are prohibited from openly carrying a handgun on the campus premises, including on any public driveway, street, sidewalk or walkway, parking lot, parking garage or other parking area on the campus premises.

Responsible Party: All faculty, staff, students, guests, and visitors; and individuals and organizations doing business on or on behalf of the University of North Texas Health Science Center.

B. Carrying of Concealed Handgun by a License Holder.

1. Right to Carry. A License Holder may carry a concealed handgun while on the campus premises (including public driveways, streets, sidewalks or walkways, parking lots, parking garages and other parking areas) and in University of North Texas Health Science Center passenger transportation vehicles, unless prohibited by state or

federal law, or by this policy. License Holders are responsible for knowing areas where carrying a concealed handgun is prohibited where notice is not required to be posted.

2. Intoxication. A License Holder may not carry a concealed handgun while intoxicated.
3. Display of Concealed Handgun. A License Holder may not carry a partially or wholly visible handgun, or intentionally or knowingly display a handgun in plain view of another person, even if holstered, on the campus premises, including public driveways, streets, sidewalks or walkways, parking lots, parking garages or other parking areas on the premises of the University of North Texas Health Science Center.
4. Requirement to Display License. A License Holder must display his or her license to carry when directed by a law enforcement officer in accordance with section 411.205 of the Texas Government Code. Otherwise, an individual is not required to disclose whether he or she is a License Holder in order to participate in any program or service offered by the University of North Texas Health Science Center, except as required by law.

Responsible Party: License Holder(s).

C. Carrying of Concealed Handguns by Employees.

An employee who lawfully holds a license to carry may carry a concealed handgun into his or her work area, except at locations and Activities prohibited by this policy, but is not authorized to use the weapon in the course and scope of performing his or her duties. An employee whose possession, storage, or use of a handgun results in personal injury or property damage is personally liable for the injury or damage, and is not entitled to immunity under section 411.208 of the Government Code or any other immunity to which the individual may be otherwise entitled as a University of North Texas Health Science Center employee.

Responsible Party: License Holder(s).

D. Locations and Activities where Concealed Handguns are Prohibited.

A License Holder is prohibited from carrying a concealed handgun onto the campus premises where prohibited by law and where prohibited by this policy based on the nature of the student population, specific safety concerns, and uniqueness of the campus environment.

Concealed handguns are prohibited:

1. at a location where an interscholastic event is taking place as prohibited under section 46.035(b)(2) of the Texas Penal Code;
2. at a location used as a church, synagogue, or other established place of religious worship as prohibited under section 46.035(b)(6) of the Texas Penal Code;

3. at a location designated as a polling place on the day of a federal, state, or local election, including while early voting is in progress as set out in section 46.03(a)(2) of the Texas Penal Code;
4. at a location where the campus premises are used by a court unless the handgun is carried pursuant to written regulation or written authorization of the court in accordance with section 46.03(a)(3) of the Texas Penal Code;
5. in a nonpublic, secure portion of the University of North Texas Health Science Center Police Department used to conduct official business as prohibited under section 411.207(b) of the Texas Government Code;
6. in a laboratory where biological hazards, as defined by this policy, are present;
7. in an area where equipment that is incompatible with metallic objects is present (such as magnetic resonance imaging machines);
8. where state or federal law or contract, at the sole discretion of the state or federal government or organization with whom the contract is entered, requires exclusion of a handgun in a specific location and the exclusion does not generally prohibit or have the effect of generally prohibiting License Holders from carrying concealed handguns on the campus premises;
9. where services to minors are provided, specifically the daycare center located at 3620 Modlin Avenue;
10. at a location where a student disciplinary proceeding is being conducted;
11. in all areas where pediatric services are performed, specifically UNT Health Science Center clinics and the Mobile Pediatric Clinic excluding all common areas such as waiting areas/lobbies and public restrooms; and
12. in all locations where medical or patient care services are provided, excluding all common areas such as waiting areas/lobbies and public restrooms.

Responsible Party: License Holder(s).

E. Obligation to Provide Notice Where Concealed Handguns are Prohibited.

The University of North Texas Health Science Center shall provide notice at all locations and Activities where concealed handguns are prohibited under this policy and may post notice where handguns are expressly prohibited but where notice is not required to be posted by law. The language of the notice, which is set out in section 30.06 of the Texas Penal Code, shall not be altered in any way unless revised by state law. Any individual who without authorization, tampers with, defaces, modifies or removes a notice provided pursuant to this policy is subject to disciplinary action, including trespass from campus, suspension, termination of employment or a business relationship, and is subject to criminal prosecution.

1. Notice required under this policy must read:

Pursuant to Section 30.06, Penal Code (trespass by license holder with a concealed handgun), a person licensed under Subchapter H, Chapter 411, Government Code (handgun licensing law), may not enter this property with a concealed handgun.

2. Notice must be provided in writing and on a card or other document in both English and Spanish. When notice is posted at a location, the sign must appear in contrasting colors with block letters at least one (1) inch in height, displayed in a conspicuous manner that is clearly visible to the public, and at a sufficient distance from the location or Activity to inform a License Holder that entry on the property or presence at the Activity with a concealed handgun is prohibited.
3. The University shall publish this policy annually in the policy manual and student handbook, and on a webpage dedicated to the carrying of concealed handguns on campus premises.
4. Contracts for use of the campus premises shall include pertinent provisions of this policy.

Responsible Party: University of North Texas Health Science Center.

F. Temporarily Prohibiting Concealed Handguns on Campus Premises.

1. The University of North Texas Health Science Center Chief of Police may prohibit the carrying of concealed handguns at Activities held in the Carl E. Everett Education & Administration Building Atrium (EAD 100) and the Medical Education and Training Building (MET) for a temporary period when a specific threat of violence or other safety considerations present a reasonable threat to health or safety. A temporary restriction at these locations shall last only as long as necessary to promote safety and in no instance shall the prohibition last more than seventy-two (72) hours.
2. The University of North Texas Health Science Center Chief of Police may prohibit the carrying of concealed handguns on the campus premises:

- a. When it reasonably appears there is a threat of injury to human life, destruction to Health Science Center property, or a threat or willful destruction of the Health Science Center operation as defined in section 51.231 of the Education Code,, or
- b. upon receipt of credible information of imminent injury to human life or destruction to Health Science Center property.

Responsible Party: University of North Texas Health Science Center Chief of Police.

H. Procedure for Requesting Temporary Prohibition of Concealed Handguns.

1. Review of Decision to Temporarily Restrict Carrying of Concealed Handgun.

1. A License Holder may request review of the decision to temporarily prohibit the carrying of a concealed handgun.
2. The request must be submitted in writing to the Reviewing Official and describe why allowing concealed handguns at the location or Activity does not present a safety concern.
3. The Reviewing Official may request additional information and must notify the License Holder of the decision no later than two (2) days after receiving the request for review. The notice must provide the reason(s) for the decision.
4. The decision of the Reviewing Official is final.

Responsible Party: All faculty, staff, students, guests, and visitors; and individuals and organizations doing business on or on behalf of the University of North Texas Health Science Center, Reviewing Official.

I. Sanctions for Violating this Policy.

Any individual who violates this policy is subject to disciplinary action to include trespass from campus, suspension, or termination of employment or a business relationship, and is subject to criminal prosecution.

Responsible Party: All faculty, staff, students, guests, and visitors; and individuals and organizations doing business on or on behalf of the University of North Texas Health Science Center.

J. Report to Legislature.

The University of North Texas Health Science Center shall prepare a report for the Texas Legislature describing the rules adopted to regulate the carrying of concealed handguns on campus and the reasons for the rules not later than September 1, 2016 and every even-numbered year thereafter.

The report will be submitted to the Chancellor and Vice Chancellor for Governmental Relations prior to submission to the Legislature.

Responsible Party: President.

K. Amending Policy.

The President may amend this policy as necessary for campus safety, to include permanently designating new or additional locations where the carrying of concealed handguns on campus premises is prohibited. Any prohibition must be based on specific safety considerations, the nature of the student population, and the uniqueness of the campus environment; and may not generally prohibit or have the effect of generally prohibiting License Holders from carrying concealed handguns on campus premises.

1. A request to amend this policy to permanently prohibit the carrying of a concealed handgun must be submitted, in writing, to the University policy office.
2. The request must describe the specific factual reasons for the permanent designation, including safety concern(s), the nature of the student population, and any unique features or circumstances related to the building, part of a building, or Activity that will regularly take place in the building. The request also should identify other locations of the campus or Activities with similar characteristics where concealed handguns are prohibited.
3. The request and proposed amendment must be posted on the University of North Texas Health Science Center's webpage dedicated to the carrying of concealed handguns. Interested individuals must be given a reasonable time and opportunity to comment on the request. Students, faculty, and staff must be given the opportunity to comment in person before the proposed amendment is submitted to the President for approval.
4. Any amendment to this policy that has the effect of restricting the lawful carrying of a concealed handgun by a License Holder must be submitted to the Board of Regents within 90 days of the President's approval, and will not take effect until reviewed by the Board.

Responsible Party: President.

References and Cross-references.

Tex. Gov't Code, Chapter 411
Tex. Penal Code, Chapter 30
Tex. Penal Code, Chapter 46
Tex. Educ. Code, section 51.231
Tex. Code. Crim. Proc., article 2.12

Approved:
Effective:
Revised:

Policies of the University of North Texas at Dallas	Chapter 12
12.006 Carrying of Concealed Handguns on Campus	Campus Safety and Security

Policy Statement. The University of North Texas at Dallas is committed to providing a safe environment for students, faculty, staff, and visitors, and to respecting the right of individuals who are licensed to carry a handgun where permitted by law. Individuals who are licensed to carry may do so on campus premises except in locations and at Activities prohibited by law or by this policy.

Application of Policy. All faculty, staff, students, guests, visitors and individuals and organizations doing business on or on behalf of the University of North Texas at Dallas. This policy does not apply to commissioned peace officers as defined in article 2.12 of the Texas Code of Criminal Procedures.

Definitions.

1. **Activities.** “Activities” means all functions, events, and programs on the University of North Texas at Dallas campus premises.
2. **Biological hazard.** “Biological hazard,” for purposes of this policy, means a biological substance used in research or experimentation that poses a threat to the health of a living organism, primarily that of a human, and is classified as biosafety level (BSL) 3 or 4 by the Center for Disease Control. Biological hazards can include medical waste or samples of microorganisms.
3. **Campus premises.** “Campus premises” means all land, buildings and portions of buildings owned or leased by the University.
4. **Collegiate sports.** “Collegiate sports” means intercollegiate, club, and intramural athletic activities occurring on the campus premises.
5. **Concealed handgun.** “Concealed handgun” means a handgun, the presence of which is not openly noticeable to the ordinary observation of a reasonable person.
6. **Days.** “Days” means business days.
7. **Employee.** “Employee” means an individual at any component of the University of North Texas System who is hired in a full-time, part-time, or temporary capacity in a faculty or staff position or in a position where the individual is required to be a student as a condition of employment.

8. Handgun. “Handgun” means any firearm that is designed, made, or adapted to be fired with one hand.
9. Interscholastic event. “Interscholastic event” means a function or program involving elementary or secondary schools.
10. Large-scale event. “Large scale event” means a function or event, other than a classroom or academic program, where attendance is reasonably anticipated to exceed 200 individuals.
11. License Holder. “License Holder” means a person issued a License to Carry a Handgun (formerly called a “Concealed Handgun License”) by the Texas Department of Public Safety under Chapter 411 of the Texas Government Code.
12. Reviewing Official. “Reviewing Official” means the University official designated by the President to review a decision to temporarily restrict the carrying of concealed handguns on the campus premises.
13. Work Area. “Work area” means the place or places an individual performs assigned duties as an employee of a component of the University of North Texas System.

Procedures and Responsibilities.

A. Open Carry Prohibited.

All persons, including License Holders, are prohibited from openly carrying a handgun on the campus premises, including on any public driveway, street, sidewalk or walkway, parking lot, parking garage or other parking area.

B. Carrying of Concealed Handgun by a License Holder.

1. Right to Carry. A License Holder may carry a concealed handgun while on the campus premises (including public driveways, streets, sidewalks or walkways, parking lots, parking garages and other parking areas) and in University of North Texas at Dallas passenger transportation vehicles unless prohibited by state or federal law, or by this policy. License Holders are responsible for knowing areas where carrying a concealed handgun is prohibited where notice is not required to be posted.
2. Intoxication. A License Holder may not carry a concealed handgun while intoxicated.
3. Display of Concealed Handgun. A License Holder may not carry a partially or wholly visible handgun, or intentionally or knowingly display a handgun in plain view of another person, even if holstered, on the campus premises, including public driveways, streets, sidewalks or walkways, parking lots, parking garages or other parking areas on the premises of the University of North Texas at Dallas.

4. Requirement to Display License. A License Holder must display his or her License to Carry when directed by a law enforcement officer in accordance with section 411.205 of the Texas Government Code. Otherwise, an individual is not required to disclose whether he or she is a License Holder in order to participate in any program or service offered by the University of North Texas at Dallas, except as required by law.

C. Carrying of Concealed Handgun by Employees.

An employee who lawfully holds a License to Carry may carry a concealed handgun into his or her work area, unless restricted by this policy, but is not authorized to use the weapon in the course and scope of performing his or her duties. An employee whose possession, storage, or use of a handgun results in personal injury or property damage is personally liable for the injury or damage, and is not entitled to immunity under section 411.208 of the Government Code or any other immunity to which the individual may be otherwise entitled as a University employee.

D. Locations and Activities where Concealed Handguns are Prohibited.

A License Holder is prohibited from carrying a concealed handgun onto the campus premises where prohibited by law and where prohibited by this policy based on the nature of the student population, specific safety concerns, and uniqueness of the campus environment.

1. Concealed handguns are prohibited:
 - a. at a location where a high school, collegiate, or professional sporting event or interscholastic event is taking place as prohibited under section 46.035(b)(2) of the Texas Penal Code; or where a sports club or intramural athletic competition is taking place, specifically the volleyball and basketball courts and soccer field;
 - b. at a location used as a church, synagogue, or other established place of religious worship as prohibited under section 46.035(b)(6) of the Texas Penal Code;
 - c. at a location designated as a polling place on the day of a federal, state, or local election, including while early voting is in progress as set out in section 46.03(a)(2) of the Texas Penal Code;
 - d. at a location where the campus premises is used by a court unless the handgun is carried pursuant to written regulation or written authorization of the court in accordance with section 46.03(a)(3) of the Texas Penal Code;
 - e. in a nonpublic, secure portion of the University of North Texas at Dallas Police Department used to conduct official business as prohibited under section 411.207(b) of the Texas Government Code;

- f. at a location where mental health services are provided, specifically the Community Counseling Clinic and the offices of UNT Dallas faculty and staff who provide mental health counseling as part of their official responsibilities;
 - g. in a laboratory that contains containerized combustibles, flammables, corrosives, or natural gas outlets, or where biological hazards, as defined by this policy, are present;
 - h. where state or federal law or contract, at the sole discretion of the state or federal government or organization with whom the contract is entered, requires exclusion of a handgun in a specific location and the exclusion does not generally prohibit or have the effect of generally prohibiting License Holders from carrying concealed handguns on the campus premises; and
 - i. at a location where a student disciplinary proceeding is being conducted.
2. Concealed handguns are prohibited at the following Activities:
- a. university and high school graduations; and
 - b. where alcoholic beverages are available or served.

Responsible Party: UNT Dallas Police Department

E. Obligation to Provide Notice Where Concealed Handguns are Prohibited.

The University shall provide notice at all locations and Activities where concealed handguns are prohibited under this policy and may post notice where handguns are expressly prohibited but where notice is not required to be posted by law. The language of the notice, which is set out in section 30.06 of the Texas Penal Code, shall not be altered in any way unless revised by state law. Any individual who without authorization, tampers with, defaces, modifies or removes a notice provided pursuant to this policy is subject to disciplinary action, including trespass from campus, suspension, termination of employment or a business relationship, and is subject to criminal prosecution.

1. Notice required under this policy must read:

Pursuant to Section 30.06, Penal Code (trespass by license holder with a concealed handgun), a person licensed under Subchapter H, Chapter 411, Government Code (handgun licensing law), may not enter this property with a concealed handgun.

2. Notice must be provided in writing and on a card or other document in both English and Spanish. When notice is posted at a location, the sign must appear in contrasting colors with block letters at least one (1) inch in height, displayed in a

conspicuous manner that is clearly visible to the public, and at a sufficient distance from the location or Activity to inform a License Holder that entry on the property or presence at the Activity with a concealed handgun is prohibited.

3. The University shall publish this policy annually in the policy manual and student handbook, and on a webpage dedicated to the carrying of concealed handguns on campus premises.
4. Contracts for use of the campus premises shall include pertinent provisions of this policy.

Responsible Party: UNT Dallas Police Department

F. Temporarily Prohibiting Concealed Handguns on Campus Premises.

1. The President or President's designee may prohibit the carrying of concealed handguns for up to seventy-two (72) hours in order to promote safety on the campus premises:
 - a. when the Activity has a history for violence; or
 - b. where a large-scale activity, due to the uniqueness of the campus environment, specific threat of violence, or other safety considerations present a reasonable threat to health or safety.
2. The University Chief of Police may prohibit the carrying of concealed handguns on the campus premises:
 - a. when it reasonably appears there is threat of injury to human life, destruction to university property, or a threat of willful disruption of orderly operation of the university as defined in section 51.231 of the Education Code, or
 - b. upon receipt of credible information of imminent injury to human life or destruction to university property.
3. Review of Decision to Temporarily Restrict Carrying of Concealed Handgun.
 - a. A License Holder may request review of the decision to temporarily prohibit the carrying of a concealed handgun.
 - b. The request must be submitted in writing to the Reviewing Official and describe why allowing concealed handguns at the location or Activity does not present a safety concern.

- c. The Reviewing Official may request additional information and must notify the License Holder of the decision no later than two (2) days after receiving the request for review. The notice must provide the reason(s) for the decision.
- d. The decision of the Reviewing Official is final.

Responsible Party: Reviewing Official

G. Sanctions for Violating this Policy.

Any individual who violates this policy is subject to disciplinary action to include trespass from campus, suspension, or termination of employment or a business relationship, and is subject to criminal prosecution.

Responsible Party: UNTD Police Department, Human Resources Office, and Dean of Students

H. Report to Legislature.

The University of North Texas at Dallas shall prepare a report for the Texas Legislature describing the campus rules adopted to regulate the carrying of concealed handguns on campus and the reasons for the rules, not later than September 1, 2016 and every even-numbered year thereafter.

The report will be submitted to the Chancellor and Vice Chancellor for Governmental Relations prior to submission to the Legislature.

Responsible Party: President

I. Amending Policy.

The President may amend this policy as necessary for campus safety, to include permanently designating new or additional locations where the carrying of concealed handguns on campus premises is prohibited. Any prohibition must be based on specific safety considerations, the nature of the student population, and the uniqueness of the campus environment; and may not generally prohibit or have the effect of generally prohibiting License Holders from carrying concealed handguns on campus premises.

1. A request to amend this policy to permanently prohibit the carrying of a concealed handgun must be submitted, in writing, to the University Policy Office.
2. The request must describe the specific factual reasons for the permanent designation, including any safety concern(s), the nature of the student population, and any unique features or circumstances related to the building, part of a building, or Activity that will take place regularly in the building. The

request also should identify other locations of the campus or Activities with similar characteristics where concealed handguns are prohibited.

3. The request and proposed amendment must be posted on the University's webpage dedicated to the carrying of concealed handguns. Interested individuals must be given a reasonable time and opportunity to comment on the request. Students, faculty, and staff must be given the opportunity to comment in person before the proposed amendment is submitted to the President for approval.
4. Any amendment to this policy that has the effect of restricting the lawful carrying of a concealed handgun by a License Holder must be submitted to the Board of Regents within 90 days of the President's approval, and will not take effect until reviewed by the Board.

Responsible Party: President

References and Cross-references.

TEX. GOV'T CODE, CHAPTER 411
TEX. PENAL CODE, CHAPTER 30
TEX. PENAL CODE, CHAPTER 46
Tex. Educ. Code, section 51.231
Tex. Code. Crim. Proc., article 2.12

Forms and Tools.

Approved:
Effective:
Revised:



Board Briefing

Committee: Academic Affairs &
Student Success

Date Filed: January 20, 2016

Title: Approval of University of North Texas, University of North Texas Health Science Center, University of North Texas at Dallas, and UNT System Administration policies related to *Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*

Background:

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

The campuses are taking a comprehensive approach to addressing sexual assault and other forms of sexual misconduct by proposing policies that meet the requirements of HB 699 as well as the requirements of federal laws that are intended to prevent and remediate sexual misconduct in the educational and work environments. These laws include Title IX of the Higher Education Amendments, Title VII of the Civil Rights Act of 1964, the Clery Act, and the Violence Against Women Act. The proposed policies also incorporate certain requirements of Regents Rule 04.1100 by protecting individuals who report or participate in investigations of suspected wrongdoing from retaliation and by requiring employees to fully cooperate in investigations of suspected wrongdoing. The campuses coordinated their policy development to include similar definitions and protocols, which will allow for consistent interpretation, application and enforcement of sexual assault policies across the System.

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

The proposed policies also contain detailed protocols to facilitate the timely and equitable resolution of reports of sexual misconduct, to include provisions that: protect the confidentiality of survivors of sexual assault to the extent allowed under state and federal laws; require prompt review of all reports of sexual assault and sexual harassment; protect individuals who report prohibited misconduct as well as those who are accused of engaging in misconduct; require investigation of all credible reports of sexual misconduct to be completed within 45 days; and outline procedures for imposing sanctions if a person is found to have engaged in prohibited conduct.

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

Also included for the Board's approval is the UNT System Administration employee policy that complies with the requirements of HB 699. The System Administration policy is similar in style and content to the campus employee policies.

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

Financial Analysis/History:

There are no fiscal implications related to the adoption of these policies.

Janet Waldron
Digitally signed by Janet Waldron
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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu, c=US
Date: 2016.02.17 13:59:00 -06'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
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Vice Chancellor/General Counsel

Schedule:

Effective immediately upon Board approval.

Recommendation:

It is recommended that the Board adopt the policies as set forth in the attachments to this briefing and order.

Recommended By:

Rosemary R. Haggett Digitally signed by Rosemary R. Haggett
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System, ou=Vice Chancellor for Academic Affairs and Student
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Vice Chancellor for Academic Affairs
& Student Success

Lee Jackson Digitally signed by Lee Jackson
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Chancellor,
email=lee.jackson@untssystem.edu,
c=US
Date: 2016.02.18 11:37:00 -06'00'

Chancellor

Attachments Filed Electronically:

- a) *UNT Student Policy Prohibiting Sexual Harassment, Sexual Violence, and Retaliation Policy*
- b) *UNT Employee Policy Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*
- c) *UNTHSC Student Policy Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*
- d) *UNTHSC Employee Policy Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*
- e) *UNTD Student Policy Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*
- f) *UNTD Employee Policy Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*
- g) *UNT System Administration Policy Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*



Board Order

Title: Approval of University of North Texas, University of North Texas Health Science Center, University of North Texas at Dallas, and UNT System Administration policies related to *Prohibiting Sexual Harassment, Sexual Violence, and Retaliation*

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

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

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

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

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

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

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

- 1. Approval of UNT, UNTHSC, UNT Dallas, and UNT System Administration policies related to *Prohibiting Sexual Harassment, Sexual Violence, and Retaliation* as set forth in the attachments to this item.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By: _____

Approved By: _____

Rosemary R. Haggett, Secretary

Brint Ryan, Chairman

Board of Regents

Board of Regents

Policies of the University of North Texas		Chapter 7
07.300	Prohibition of Sexual Harassment, Sexual Misconduct, Dating Violence, Domestic Violence, Stalking and Retaliation by Students	Student Affairs

Policy Statement. The University of North Texas is committed to maintaining a safe educational environment that is conducive to students achieving their full potential and that allows all individuals to fully participate in the benefits and privileges the University has to offer, free from prohibited misconduct and retaliation for assisting the University in maintaining this environment. Conduct that is inconsistent with this policy is unacceptable at any location, program or activity associated with the University.

Application of Policy. This policy applies to all students, applicants for admission, and student organizations at any location, program or activity associated with the University of North Texas. The University may take action when conduct that is prohibited under this policy occurs off-campus and adversely affects or has a reasonable likelihood of adversely affecting the academic environment, and as otherwise permitted under the Code of Student Conduct.

Definitions.

1. **Code of Student Conduct (“the Code”).** “Code of Student Conduct (“the Code”)” means standards of conduct established to convey expectations of behavior at University of North Texas and procedures established to provide a full and fair opportunity for review of alleged student misconduct.
2. **Complainant.** “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless whether the individual reports the conduct.
3. **Confidential Employee.** “Confidential Employee” means University of North Texas employee who is not obligated to disclose reports of prohibited misconduct as required under this policy based on the requirement of the employee’s professional licensure and the nature of her or his official responsibilities with the University. Confidential Employee, as defined in this policy, includes but is not limited to: licensed professional mental health counselors and health care professionals working in those capacities for the University and the employees they supervise, sexual assault advocates as defined in section 420.071 of the Texas Government Code, and attorneys and employees in the UNT System Office of General Counsel. Faculty, staff and other employees who are licensed mental health workers, licensed medical workers, or licensed attorneys but who are not employed in that capacity by the University, such as faculty members in psychology, social work, nursing, etc., are not Confidential Employees under this policy.
4. **Consent.** “Consent” means words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be gained by force, coercion, manipulation, threats, or by taking advantage of the incapacitation of another when the

student knows or reasonably should have known of such incapacity by use of alcohol or drugs. Consent is absent when the activity in question exceeds the scope of previously given consent. Consent may be revoked at any time.

5. Dating Violence. “Dating Violence” means a physical act perpetrated against a person’s will by a person who is or has been in a social relationship of a romantic or intimate nature with the complainant.
6. Days. “Days” means calendar days unless otherwise stated in this policy.
7. Domestic Violence. “Domestic Violence” means an act of violence committed against a family member, a household member, a current or former spouse, a child of a current or former spouse, a person with whom the Respondent has a child or children, a child of the Respondent, a family member of the Respondent by blood, marriage or adoption, or someone with whom the Respondent lives.
8. Employee. “Employee” means an individual who is employed part-time, full-time, or in a temporary capacity as faculty or staff, or who is required to be a student as a condition of employment.
9. Gender. “Gender” means an individual’s socially-constructed status based on the behavioral, cultural, or psychological traits typically associated with societal attribution of masculinity and femininity, typically related to one’s assigned sex at birth.
10. Gender Expression. “Gender Expression” means the manner in which an individual expresses gender through appearance, behavior, or mannerisms; whether the person’s expression is same as the individual’s gender identity or the sex the individual was assigned at birth.
11. Gender Identity. “Gender Identity” means the gender with which an individual identifies psychologically, regardless of the sex the individual was assigned at birth.
12. Greater Weight of the Evidence. “Greater Weight of the Evidence” means the amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Greater weight of the evidence also is referred to as the preponderance of the evidence
13. Good Faith. “Good Faith” means a reasonable belief that reported conduct or behavior is prohibited under this policy. Good faith is based on the reporting individual’s education, training, and experience.
14. No-Contact Order. “No-Contact Order” means an administrative directive issued by an authorized official of the University of North Texas that prohibits contact or communication between two or more individuals or between an individual and an organization.
15. Notice of Complaint. “Notice Complaint” means the initial document in the student disciplinary process that notifies a student of alleged misconduct and of the obligation to meet with the Dean of Students to discuss a possible violation of the Code of Student Conduct and potential sanctions.

16. Prohibited Misconduct. “Prohibited Misconduct” means sexual assault, sexual harassment, any other form of nonconsensual sexual conduct, dating violence, domestic violence, or stalking.
17. Reconsideration. “Reconsideration” means an opportunity for a student to present new information to the Dean of Students in order to modify a finding of misconduct and/or a sanction imposed through the student conduct process.
18. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless whether a formal complaint is made.
19. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an individual’s educational or other relationship with the University, or an employee’s term or condition of employment, including compensation, promotion, transfer, work assignment, or performance evaluation.
20. Sexual Assault. “Sexual Assault” means the intentional or knowing penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without consent of the complainant. The term sexual assault also is referred to as rape.
21. Sexual Contact. “Sexual Contact” means the non-consensual touching of the body parts of another person for the purpose of sexual gratification.
22. Sexual Harassment. “Sexual Harassment” means unwelcome conduct of a sexual nature, whether toward a person of the same or opposite sex, such as unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature, disparagement of members of one sex, or other conduct of a sexual nature, even if said in a joking manner, when:
 - a. submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual’s education;
 - b. submission to or rejection of such conduct is used as the basis for or as a factor in a decision affecting an individual’s education; or
 - c. the conduct, even if it is infrequent or not severe, is such that the individual who is subjected to the conduct and a reasonable student would find that the conduct has the purpose or effect of interfering with a student’s academic or professional performance or creates an intimidating, hostile or offensive educational or work environment.

Sexual harassment takes many forms; examples of which include but are not limited to:

- a. sexual exploitation of a relationship between individuals of unequal power and authority,

- b. sexual exploitation of a relationship between peers and students that could affect the workplace or educational environment,
 - c. repeated and unwanted requests for dates, sexual flirtations, or propositions of a sexual nature,
 - d. subtle pressure for a sexual relationship,
 - e. sexual remarks about a person's clothing, body or sexual activities,
 - f. unnecessary touching, patting, hugging, or brushing against a person's body,
 - g. direct or implied threats that submission to sexual advances will affect or be a condition of employment, work status, grades, or letter of recommendation,
 - h. physical or sexual assault, or sexual violence,
 - i. conduct of a sexual nature that causes humiliation or discomfort, such as use of inappropriate terms of address,
 - j. sexually explicit or sexist comments, questions or jokes, and
 - k. conduct of a sexual nature that creates a hostile work or educational environment.
23. Sexual Orientation. "Sexual Orientation" means the inclination of one's intimate, emotional or sexual interest toward a member of the same, opposite or both sexes.
24. Sexual Violence. "Sexual Violence" means a physical sexual act perpetrated against a person's will, or when a person is so incapacitated that they are incapable of giving consent due to the use of drugs or alcohol, or where a person is incapable of giving consent due to an intellectual or other disability (including sexual assault). Sexual violence is a form of sexual harassment.
25. Stalking. "Stalking" means a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or to suffer substantial emotional distress. A course of conduct means two or more acts in which a person directly, indirectly or through another person, by any action, method, device or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person or interferes with a person's property.
26. Student. "Student" means an individual who has applied for admission or readmission to the University of North Texas; who is registered/enrolled in one or more courses for credit at the University; or who currently is not enrolled at the University but has a continuing academic relationship with University.
27. Survivor Advocate. "Survivor Advocate" means an individual employed by the University of North Texas to provide advocacy services to a sexual assault survivor or a person claiming to be a survivor, including information about on and off campus resources, counseling services, health and safety programs, academic and on-campus housing options, protective orders, crime victim compensation and other resources.
28. Title IX Coordinator. "Title IX Coordinator" means University of North Texas employee designated by the President to implement, monitor, and enforce the University's Title IX

program. In this policy, reference to the Title IX Coordinator also means the Coordinator's designee.

29. Unwelcome Conduct. "Unwelcome Conduct" means behavior or conduct that is not implicitly or explicitly invited by a person and that the person regards as undesirable or offensive at the time the behavior or conduct occurred.

Procedures and Responsibilities.

- I. Reporting. The University of North Texas has established procedures that are sensitive to students who report prohibited misconduct and retaliation. The University strongly encourages all students to report behavior they believe to be in violation of this policy.

1. Reporting Prohibited Misconduct:

- a. A student who believes the threat of sexual violence is imminent should immediately call 911. A student may file a police report with campus police for sexual violence occurring on campus or with local police for sexual violence occurring off campus.
- b. A student may report a suspected violation of this policy to the Dean of Students and contact the office for assistance. If the Respondent is a student, the Dean of Students will consider whether the alleged conduct violated the Code.

Responsible Party: Dean of Students.

- c. A student may report a suspected violation of this policy to the Title IX Coordinator, located in the Office of Institutional Equity and Diversity. The Title IX Coordinator will monitor and regularly be updated on any investigation conducted by the Dean of Students or interim protective measures put in place. The Title IX Coordinator is responsible for informing the student of the right to file criminal charges, and for informing the student of the availability of counseling and mental health resources, survivor advocacy, legal assistance, visa and immigration assistance, and other resources on and off campus. The Title IX Coordinator also will inform the student of measures that can be taken to prevent contact with the suspected Respondent.

Responsible Party: Title IX Coordinator

- d. Anonymous Reporting. Students or any individuals who wish to remain anonymous may report a suspected violation of this policy to the University Institutional Compliance office or to the UNT System Compliance Hotline.

Responsible Party: Compliance Office

2. Protection against Retaliation. Retaliation against a student or any person who reports or encourages another to report prohibited misconduct or retaliation; who participates in an investigation conducted under this policy; or who seeks assistance or guidance from any University or external official to remediate a suspected violation of this policy is strictly prohibited.

II. False and Bad Faith Reporting. Any student who makes a false report under this policy or who makes a report in bad faith is subject to disciplinary action. A report is not false or made in bad faith simply because the evidence from an investigation is insufficient to find that a violation occurred.

III. Anonymity and Confidentiality.

1. Anonymity.

- a. The University shall make every effort to protect from disclosure the identity of a student who makes a report under this policy regardless whether the student ask for her or his identity to be protected. If the Complainant asks that her or his identity not be disclosed or that the complaint not be pursued, the University will take reasonable steps to comply with the request as long as doing so does not prevent the University from responding effectively under this policy. The Complainant will be informed that such a request may limit the University's ability to respond to the report and that anonymity in the student conduct process cannot be assured.
- b. The Title IX Coordinator will evaluate the Complainant's request for anonymity along with the University's responsibility to provide a safe and respectful environment for all students. In determining whether a request can be granted, the Title IX Coordinator will consider:
 - i. the severity and nature of the allegation;
 - ii. whether the alleged behavior or conduct presents a threat to individuals other than the student who makes the request;
 - iii. whether effective measures can be put in place to protect the student against continued physical or psychological harm or retaliation;
 - iv. whether delaying an investigation could reasonably result in the destruction or deterioration of potential evidence to prove or disprove the allegation; and
 - v. any other information that reasonably could influence the decision.

2. Confidentiality.

The University values the privacy of its students and will not disclose information more broadly than necessary to respond appropriately under this policy and as required by law and Regents Rules, which may impose obligations on employees to disclose reports of prohibited misconduct made to them. When obligated to disclose information, University faculty and staff will do so only as necessary to fulfill their official responsibilities.

IV. University Response and Interim Measures.

1. University Response to Complainant. Upon becoming aware that a student has been a victim of prohibited misconduct, and depending on when the University receives a report, the Title IX Coordinator or Dean of Students will:
 - a. provide the Complainant with information regarding access to medical care;

- b. provide the Complainant with information about on and off campus mental health resources;
 - c. assess any immediate safety needs the Complainant may have;
 - d. assist the Complainant contact campus or local police, if desired;
 - e. review whether the Complainant wants to remain anonymous and the steps the University can take to protect anonymity and confidentiality;
 - f. inform the student that they are not required to file a complaint but that the University may be required to investigate the allegation(s);
 - g. inform the Complainant of their right to file a complaint with the Title IX Coordinator and with the U.S. Department of Education Office of Civil Rights;
 - h. assess the need to implement interim or long-term protective measures;
 - i. provide the Complainant a copy of the Code and this policy, and inform the Complainant about timeframes for review or investigation, and resolution;
 - j. explain to the student that in addition to being interviewed by the designated University official, the student may provide a written statement; and
 - k. take steps to protect the Complainant and others against retaliation as necessary.
2. University Response to Respondent. Upon receipt of a report that a student may have violated this policy, the University will:
- a. notify the Respondent, in writing, of the existence and general nature of the allegation(s) and this policy;
 - b. provide the Respondent a copy of the Code and this policy and inform the Respondent about timeframes for review or investigation, and resolution;
 - c. provide the Respondent sufficient information, consistent with federal and state privacy laws, to respond to the allegation(s);
 - d. explain to the Respondent that in addition to being interviewed by the designated University official, the respondent may provide a written response to the allegation(s);
 - e. inform the Respondent that retaliation against the Complainant or any individual participating in an investigation will not be tolerated and can result in immediate disciplinary action.
3. Interim Measures. The Dean of Students or Survivor Advocate, in consultation with Title IX Coordinator, and other University officials or faculty as appropriate, may coordinate action to protect the Complainant, the Respondent, and any other student against conduct prohibited under this policy or further allegations of misconduct. Interim measures also may be taken to ensure the prompt and efficient completion of an investigation and resolution of the allegation(s). Interim measures are not disciplinary in nature and must be consistent with other University policies. These measures may

include but are not limited to changes in housing, changes in class schedules, issuance of a no-contact directive to one or more students or student organizations, and issuance of a no trespass directive as appropriate.

Responsible Party: Title IX Coordinator and Dean of Students

V. University and Off-Campus Resources.

Prompt intervention can help lessen the trauma that results from prohibited misconduct and facilitate healing. In addition to the resources and services listed in this policy, other information to assist students who experience prohibited misconduct can be found on the University webpage at

http://deanofstudents.unt.edu/sexual_violence_policies_sanctions_and_resources

1. On-Campus Resources. http://deanofstudents.unt.edu/resources_0
2. Off-Campus Resources. http://deanofstudents.unt.edu/resources_0

Responsible Party: Title IX Coordinator and Dean of Students

VI. Investigation and Resolution.

1. Timeline and Notifications.

- a. The University will take timely action to stop behavior prohibited under this policy and take appropriate action to prevent recurring misconduct.
- b. The Title IX Coordinator and Dean of Students will communicate with each other immediately upon receiving a report of a suspected violation of this policy and throughout any investigation conducted under this policy. The offices will coordinate with campus law enforcement as appropriate.
- c. The Dean of Students will resolve allegations made under this policy within a reasonable time, generally not to exceed sixty (60) days from receiving a report of prohibited misconduct or retaliation except in exceptional circumstances as determined by the Title IX Coordinator.
- d. The Dean of Students will notify the Respondent of the report within five (5) days of becoming aware of the allegation(s).
- e. The Dean of Students will update the Complainant and Respondent, on the status of the investigation regularly.
- f. A criminal complaint or investigation will not preclude the University from taking interim measures, initiating an investigation, or taking other appropriate actions necessary to resolve a complaint made under this policy.

2. Review of Allegations and Possible Sanctions.

- a. **Mandatory Review of Reports.** The Title IX Coordinator will review all allegations of prohibited misconduct and retaliation to determine whether an investigation should be conducted regardless whether a written complaint is made. If an investigation is

determined to be necessary, the Dean of Students will investigate instances where the Respondent is a student.

- b. Sanctions. A student determined to have violated this policy may be placed on disciplinary probation, suspended, expelled, issued a no-contact directive, or trespassed from campus. In addition, conduct prohibited under this policy may result in criminal charges and civil action.
3. Investigation.
 - a. Prompt, Fair and Equitable Investigation and Resolution. The Title IX Coordinator will assure a prompt, fair, and equitable investigation and resolution; and the Respondent and Complainant will be given the same opportunity to participate in an investigation conducted under this policy.
 - b. Standard of Proof. The greater weight of the evidence standard will be used in determining whether this policy has been violated.
 4. Termination of Investigation without Finding a Policy Violation.
 - a. Termination of an Investigation. At any point during the investigation the Dean of Students, in consultation with the Title IX Coordinator, may determine that there is no basis to proceed with an investigation under this policy. In this instance, the Dean of Students will notify the Complainant and the Respondent of the decision and explain the reason for ending the investigation. The notice must be in writing and consistent with applicable privacy laws.
 - b. Review of Decision to Terminate an Investigation. The Complainant may request the Title IX Coordinator review the decision to end an investigation. A request for review must be submitted in writing, generally within ten (10) days after receiving notice of the decision. If a request for review is made, the Respondent will be informed and given an opportunity to provide information before a decision is made whether to reopen the investigation. The decision of the Title IX Coordinator is final.
 - c. Notice of Decision on Request to Reopen an Investigation. The Complainant and Respondent will be notified, in writing, of the decision whether to reopen an investigation. If an investigation is not reopened the Title IX Coordinator will inform the Complainant that a complaint may be filed with the U.S. Department of Education Office of Civil Rights and provide the student contact information for the agency.
 5. Finding that the Policy was Violated.
 - a. Notifying the Title IX Coordinator. The Dean of Students will inform the Title IX Coordinator immediately when an investigation finds that a student has violated this policy.
 - b. Responsibility for Notifying the Respondent. The Dean of Students will notify the Respondent of the outcome of the investigation. The notice shall include:
 - i. a summary of the investigation;

- ii. the specific section of the Code or applicable University policy that was violated;
 - iii. possible sanctions for violating this policy;
 - iv. that the alleged misconduct will be resolved under the Code; and
 - v. the date by which the Respondent must meet with the Dean of Students to discuss the alleged misconduct.
- c. Responsibility for Notifying the Complainant. The Dean of Students will notify the Complainant of the outcome of the investigation. The notice shall include:
- i. a summary of the investigation;
 - ii. the date of any pending student conduct proceeding; and
 - iii. information about the opportunity to participate in the student conduct proceeding.

Responsible Party: Title IX Coordinator and Dean of Students

VII. Procedure for Resolving a Finding of Prohibited Misconduct.

1. Notifying the Respondent of Possible Misconduct. The Dean of Students or designee will send the Respondent a Notice of Complaint and meet with the Respondent no more than 60 days from the date an investigation determines the student has violated this policy. Dates may be extended at the discretion of the Dean of Students or designee in the interest of fairness.
2. Notice and Participation of the Complainant. The Dean of Student or designee will meet with the Complainant within the same timeframe as the Respondent and allow the student to present information related to the alleged misconduct, including the names of possible witnesses, documents, and any other information that may assist in determining whether the Respondent violated the Code.
3. Opportunity to Have Advisor. Both the Respondent and Complainant may be accompanied by an individual of her or his choosing during any proceeding related to the conduct process. Any individual who accompanies a Respondent or Complainant may be present during proceedings but may not speak for or on behalf of the student. If a Respondent is accompanied by an attorney, an attorney from the UNT System Office of General Counsel may attend. The Respondent must notify the Dean of Students or designee at least five (5) days prior to a proceeding if the Respondent will be accompanied by an attorney. Conduct proceedings conducted pursuant to this policy will not be delayed due to the inability of the Respondent's attorney or other advisor to attend a scheduled proceeding. The Dean of Students or designee will offer the Respondent a list of advisors who are trained in the student conduct process for advisory assistance. The Survivor Advocate may serve as an advisor to the Complainant during the conduct process.

4. Evidence of Prior Sexual Activity. Information about prior sexual activity of the Complainant or Respondent may not be introduced into any conduct proceeding except for past sexual activity between the students that directly relates to the incident in the Notice of Complaint.
5. Evidence of Voluntary Intoxication. Information concerning alcohol or drug use by the Respondent at the time of the incident may not be offered as a defense and will not be considered a mitigating factor.
6. Standard of Proof. The greater weight of the evidence standard will be applied in determining whether a student violated the Code.
7. Conducting the Hearing. The Dean of Students is responsible for determining whether there has been a violation of the Code, and if so, whether sanctions are appropriate. The student may present relevant information regarding the alleged misconduct including witness information, documents, or any other information that would assist the Committee in determining whether a violation occurred.
8. Notifying Respondent and Complainant of Finding and Sanction(s). The Dean of Students will notify the Respondent and the Complainant of the findings and any sanctions imposed, in writing and on the same day. The notice will include the section of the Code that was violated, the reason for decision, any sanctions imposed, and the procedures for appealing the findings and sanctions. All notices must comply with the requirements of the Family Education Rights and Privacy Act.
9. Hearing to Review Finding or Sanction by the Committee on Student Conduct. If the Dean of Students or designee determines a Respondent has violated this policy and assigns a sanction of disciplinary probation, suspension or expulsion, the student may request a hearing by the Student Conduct Committee (the "Committee") to review the determination and sanctions. The Complainant also may request a review of a determination or sanction when permitted under the Code. Any request for a hearing must be made to the Chairperson of the Committee within three (3) days after being informed of the determination.
10. Notice of Hearing. The Chairperson of the Committee will notify the Respondent and Complainant of the date, time and location of the hearing.
11. Objecting to Members of the Committee. The Respondent and Complainant may request that an individual not serve on the Committee based on a concern about the person's ability to be objective and unbiased. The request must be in writing and must provide the reason(s) the student believes the individual should not serve on the Committee. The request may be made at any time prior to the start of the hearing. The Chairperson of the Committee will decide whether to grant the request, and his or her decision is final. If a request is granted and the number of members present falls below four (4), the Chairperson will select another individual to serve on the Committee.
12. Disclosing Final Results of the Hearing. The Dean of Students will notify the Respondent and Complainant of the final results of the hearing in writing. The notice must include a

summary of the findings, regardless whether the Respondent is found to have violated this policy, and the reason(s) for the decision. The Dean of Students may disclose the final results of a conduct proceeding to other individuals if the University determines the Respondent violated the Code by committing a crime of violence or a non-forcible sex offense.

13. Review of Decision by Vice President for Student Affairs.

- a. Upon request by the Respondent, Complainant, or Dean of Students, the Vice President for Student Affairs may review the Committee's finding and any sanction, if the sanction is subject to review under the Code. The request for review must be made in writing, state the reason(s) for review, and be submitted no later than three (3) days after the Committee's decision. The Vice President for Student Affairs may request additional information from any person as needed to review the decision.
- b. The Vice President for Student Affairs may uphold, modify or reject the decision of the Committee. In matters of prohibited misconduct, the final decision will be prepared in accordance with the Family Education Rights and Privacy Act and delivered to both the Complainant and the Respondent. The decision of the Vice President for Student Affairs is final.

14. Notifying Title IX Coordinator. The Dean of Students or designee is responsible for notifying the Title IX Coordinator, in writing, of the final resolution of a complaint made under this policy

Responsible Party: Dean of Students and Title IX Coordinator

VIII. Education & Training

1. Campus-Wide Training. The University shall educate students about the nature, effect and prevention of prohibited misconduct. Education programs shall include information about how to respond to prohibited misconduct on and off campus, the importance of preserving evidence to assist in the successful prosecution of sex crimes, the role a bystander can play in preventing prohibited misconduct, this policy, and resources available to survivors of prohibited misconduct. All students are encouraged to participate in these programs. Student organizations are required to participate in a minimum of one program each semester and are encouraged to make information about crime prevention readily available to their members.
2. Required Education for Freshmen and Transfer Students. Each entering freshman and students who transfer to an undergraduate degree program must participate in the University prevention of prohibited misconduct education program before or during the first semester or term in which the student enrolls in the University. In addition to covering the topics described in the subsection above, the program must include information about each component of this policy.
3. Required Training for Individuals Responsible for Investigating Complaints. University employees responsible for investigating complaints of prohibited misconduct and retaliation under this policy are required to participate in investigation training before

conducting any investigations and to attend appropriate training a minimum of once every year thereafter. The Title IX Coordinator, in consultation with the UNT System Office of General Counsel, will review the training curriculum to ensure it satisfactorily covers Title IX, related laws, and this policy.

4. Training for Individuals Involved in the Student Conduct Process. University employees with responsibilities for resolving alleged violations of this policy are required to participate in training before performing any of their responsibilities and once every year thereafter. The Title IX Officer, in consultation with the UNT System Office of General Counsel, will review the training curriculum to ensure it satisfies the requirements of Title IX, covers this policy, and addresses the criteria for a fair and respectful process and for protecting confidentiality under state and federal laws.
5. Policy Awareness and Publication. This policy shall be included in the student, student-athlete, and residential housing handbooks and may be published in any other document as determined by the Vice President for Student Affairs or designee. Also, this policy shall be published on a University website dedicated solely to this policy.

Responsible Party: Title IX Coordinator and Vice President for Student Affairs

References and Cross-references.

Family Education Rights and Privacy Act, 20 U.S.C § 1232g

U.S. Department of Education, Office of Civil Rights, Dear Colleague Letter, April 4, 2011

UNT Policy 18.1.11, Code of Student Conduct

UNT Policy 18.1.15, Disclosure of Campus Security Policy, Crime Statistics and Fire Safety Policy and Fire Statistics

Texas Education Code, § 51.9363 (House Bill 699)

Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681 et seq.

Forms and Tools.

Student [statement](#) form

[Understanding](#) the Conduct Process for Allegations of Sexual Harassment.

Where to [report](#) sexual violence

Approved:

Effective:

Revised:

Policies of the University of North Texas	Chapter 16
16.300 Prohibition of Sexual Harassment, Sexual Misconduct, Domestic Violence, Stalking and Retaliation by Employees	Equity and Diversity

Policy Statement. The University of North Texas is committed to maintaining safe and respectful work and educational environments that are conducive to students, faculty and staff achieving their full potential and that allow all individuals to fully participate in the benefits and privileges University has to offer, free from prohibited misconduct or retaliation for assisting the University in maintaining these environments. Conduct that is inconsistent with this commitment, even if it is infrequent or not severe, is unacceptable at any location, program or other activity associated with University.

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

Definitions.

1. **Complainant.** “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless whether the individual reports the conduct.
2. **Consent.** “Consent” means words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be obtained by force, coercion, manipulation, threats, or when an individual administers any substance to another person, without the person’s knowledge, that intentionally impairs the ability of the person to voluntarily consent. Consent is absent when the sexual activity in question exceeds the scope of previously given consent. Consent may be revoked at any time
3. **Days.** “Days” mean calendar days unless otherwise stated in the policy.
4. **Domestic Violence.** “Domestic Violence” means an act of violence committed against a family member, a household member or someone the individual is currently dating or dated in the past including a current or former spouse, a child of a current or former spouse, a person with whom the individual has a child or children, a child of the individual, a family member of the individual by blood, marriage or adoption, someone with whom the individual lives or a person with whom the individual has or had an ongoing dating or romantic relationship.

5. Employee. “Employee” means an individual who is employed part-time, full-time, or in a temporary capacity as faculty or staff, or who is required to be a student as a condition of employment.
6. Faculty. “Faculty” means a person whose primary responsibilities at the University is teaching, research or creative activity, and service, including professional librarians. For purposes of this policy, this definition also includes, Teaching Fellows and Teaching Assistants except where otherwise stated in this policy.
7. Gender. “Gender” means an individual’s socially-constructed status based on the behavioral, cultural, or psychological traits typically associated with societal attribution of masculinity and femininity, typically related to one’s assigned sex at birth.
8. Gender Expression. “Gender Expression” means the manner in which an individual expresses gender through appearance, behavior, or mannerisms; whether the person’s expression is the same as the individual’s gender identity or the sex the individual was assigned at birth.
9. Gender Identity. “Gender Identity” means the gender with which an individual identifies psychologically, regardless of the sex the individual was assigned at birth.
10. Good Faith. “Good Faith” means a reasonable belief that the reported conduct was prohibited under this policy. Good faith is based on the reporting individual’s education, training, and experience.
11. Preponderance of the Evidence. “Preponderance of the Evidence” means the amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Preponderance of the evidence is also referred to as the greater weight of the evidence.
12. Prohibited Misconduct. “Prohibited Misconduct” means sexual assault, sexual harassment, any other form of nonconsensual sexual conduct, domestic violence, or stalking.
13. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless of whether a formal complaint has been made.
14. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an employee’s term or condition of employment including compensation, promotion, transfer, work assignment, or performance evaluation.
15. Sexual Assault. “Sexual Assault” means the intentional or knowing penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without consent of the complainant. The term sexual assault also is referred to as rape.

16. Sexual Harassment. “Sexual Harassment” means unwelcome conduct of a sexual nature, such as unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature, disparagement of members of one sex, or other conduct of a sexual nature, even if said in a joking manner, when:

- a. submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or educational environment;
- b. submission to or rejection of such conduct is used as the basis for or as a factor in a decision affecting an individual’s employment or educational environment; or
- c. the conduct, even if it is infrequent or not severe, is such that the individual who is subjected to the conduct and a reasonable employee would find the conduct sufficient to alter the terms, conditions, or privileges of the person’s employment.

Sexual harassment takes many forms; examples of conduct that might be considered sexual harassment under this policy include but are not limited to:

- a. sexual exploitation of a relationship between individuals of unequal power and authority;
- b. sexual exploitation of a relationship between peers and students that could affect the workplace or educational environment;
- c. repeated and unwanted requests for dates, sexual flirtations, or propositions of a sexual nature;
- d. subtle pressure for a sexual relationship;
- e. sexual remarks about a person's clothing, body or sexual activities;
- f. nonconsensual touching, such as grabbing, patting, hugging, or brushing against a person's body;
- g. direct or implied threats that submission to sexual advances will affect or be a condition of employment, work status, grades, or letter of recommendation;
- h. physical or sexual assault or sexual violence;
- i. conduct of a sexual nature that causes humiliation or discomfort, such as use of inappropriate terms of address;
- j. sexually explicit or sexist comments, questions or jokes; and
- k. conduct of a sexual nature that creates a hostile work or educational environment.

Conduct constituting sexual harassment, as defined herein, toward another person of the same or opposite sex is prohibited by this policy.

17. Sexual Orientation. “Sexual Orientation” means the inclination of one’s intimate, emotional or sexual interest toward a member of the same or opposite sex, or both sexes.

18. Stalking. “Stalking” means a course of conduct directed at a specific person that would cause a reasonable person to fear for the person’s safety or the safety of others, or to suffer substantial emotional distress. A course of conduct means two or more acts in which a person directly, indirectly or through third parties, by any action, method, device or means, follows, monitors, observes, surveys, threatens, or communicates to or about a person or interferes with a person’s property.

19. Student. “Student” means an individual who has applied for admission or readmission to the University; who is registered or enrolled in one or more courses for credit at the university; or who currently is not enrolled but has a continuing academic relationship with the university.
20. Title IX Coordinator. “Title IX Coordinator” means a University of North Texas employee designated by the President to implement, monitor, and enforce the university’s Title IX program. In this policy, reference to the Title IX Coordinator also means the Coordinator’s designee.
21. Unwelcome Conduct. “Unwelcome Conduct” means behavior or conduct that is not implicitly or explicitly invited by a person and the person regards the behavior or conduct to be undesirable or offensive at the time the behavior or conduct occurred.

Procedures and Responsibilities.

I. Reporting.

1. Reporting Prohibited Misconduct:

- a. An individual who believes they are in imminent danger of harm of a sexual nature should immediately call 911, the University’s police department or local law enforcement officials. A person may file a police report with campus police for conduct occurring on campus or with local police for conduct occurring off campus.

Responsible Party: Law Enforcement

- b. An individual who believes they have been subjected to prohibited misconduct should immediately report the conduct to her or his immediate supervisor, unless that person is the one alleged to have engaged in the harassment, or to the Office of Equal Opportunity (Title IX Coordinator Office).

Responsible Party: Title IX Coordinator

- c. A student who believes they have been subjected to prohibited misconduct, should immediately report the conduct to the Office of the Dean of Students or to the Office of Equal Opportunity. Reports will be confidential as set out in this policy.

Responsible Party: Dean of Students

- d. Individuals wishing to remain anonymous may report suspected violations of this policy to the UNT System Compliance Hotline. Reports involving students will be referred to the Title IX Coordinator.

Responsible Party: Compliance Office

2. Reporting Obligations:

- a. Employees and individuals authorized to act on behalf of the University who become aware of suspected prohibited misconduct or retaliation are required to

immediately report the suspected violation to his or her direct supervisor and to the Office of Equal Opportunity. If a direct supervisor is the person alleged to have engaged in the inappropriate conduct, the report must be made to that individual's supervisor and to the Office of Equal Opportunity. In no instance is an individual required to report the alleged violation to the person suspected of the inappropriate conduct.

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

- b. Other individuals, including students and guests of the University who become aware of suspected prohibited misconduct or retaliation are strongly encouraged to report the suspected violation to the Office of Equal Opportunity or to the Dean of Students.

Responsible Party: Other Individuals.

- c. Exception to Obligation to Report. Employees who receive a report of prohibited misconduct in the course of performing their official University responsibilities and who, as a requirement of a professional license, are prohibited from disclosing confidential communications are not obligated to report as set out in this policy. These individuals are expected to report as required by the rules of their professional license and nothing in this policy shall be interpreted as conflicting with those rules.

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

- III. Confidentiality.

1. Confidentiality. University shall make every effort to protect information that reasonably could lead to the identification of an individual who reports or who participates in an investigation of alleged prohibited misconduct or retaliation, and information that reasonably could identify the individual. This information is confidential and shall not be disclosed except as required by law, including when disclosure is necessary to ensure individuals accused of violating this policy are afforded lawful notice and the opportunity to fully respond to the accusation.
2. Protection of Non-Confidential Information. As permitted by section 51.971 of the Texas Education Code, information may be protected from disclosure even if it is not confidential if the information is collected or produced as part of an investigation conducted under this policy and disclosing the information would interfere with an ongoing investigation.
3. Authorized Disclosure of Information. Confidential information and information that is protected from disclosure under this policy may be released:

- a. with the written and signed consent of the individual whose identity would be disclosed;
- b. to law enforcement agencies or prosecutors;
- c. to federal and state agencies responsible for investigating prohibited misconduct or retaliation;
- d. to notify a Complainant and Respondent of the outcome of an investigation, including sanctions imposed for violating this policy;
- e. to allow the University to take effective protective measures; or
- f. as required by lawfully issued subpoena or otherwise authorized by law.

IV. False Reports. Any individual who makes a false report under this policy is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation determines the allegation was not substantiated.

V. Investigation of Allegations and Interim Measures.

1. Reviewing Reports. Allegations of prohibited misconduct and retaliation, reviewed by the Office of Equal Opportunity shall include a determination of whether an investigation should be conducted regardless whether a written complaint is filed. Reports of prohibited misconduct and retaliation made directly to law enforcement officials do not have to be reported to the Office of Equal Opportunity for review. In addressing reports of prohibited misconduct and retaliation, law enforcement will determine whether to notify the Office of Equal Opportunity. The Office of Equal Opportunity shall consult the complainant of the alleged offense, if the individual's identity is known, before recommending interim remedial measures or before initiating an investigation. This consultation must include informing the Complainant that:
 - a. the Complainant may file a criminal complaint with law enforcement officials at any time;
 - b. the University has an obligation to remediate prohibited misconduct and that an investigation may be conducted whether a criminal complaint is filed;
 - c. the University can take measures to protect against continued misconduct and retaliation;
 - d. voluntary withdrawal of an allegation will not necessarily result in termination of an investigation; and
 - e. the Complainant should contact the Office of Equal Opportunity if retaliation is suspected.
2. Interim Measures to Protect Complainants, Respondents, and Other Individuals. The University may take administrative action to protect the Complainant, the Respondent, and any other individual against prohibited conduct or allegations, or to

ensure the prompt and efficient completion of an investigation. Interim measures are not disciplinary in nature and must be consistent with other University policies. Interim measures may be initiated only after consultation with Human Resources, the Office of General Counsel, and the Dean of Students, as appropriate, and may include but are not limited to placing the faculty or staff employee who is accused of violating this policy on administrative leave with pay, temporarily modifying work schedules and assignments, and suspending business relationships.

3. Investigating Reports. All allegations of prohibited misconduct and retaliation that the Office of Equal Opportunity determines to be credible, shall be investigated promptly. If the complainant of the alleged offense asks the University not to investigate or to delay investigating the allegation, that no disciplinary action be taken, or that the person who allegedly violated the policy not be notified of the allegation, the Office of Equal Opportunity shall inform the individual, in writing, of the University's obligation to meaningfully investigate and respond appropriately to the allegation and that honoring the request could compromise its ability to do so. In determining whether the request can be granted, the Office of Equal Opportunity shall consider the following factors:

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

Individuals will be informed in writing if the request to not take or to delay action is not granted. The notice should include the factors considered in making the decision.

4. Obligation to Participate in Investigations under this Policy. Individuals are expected to be cooperative in investigations conducted under this policy, and any person who knowingly interferes with an investigation is subject to disciplinary sanctions.

Interference with an investigation includes, but is not limited to:

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

VI. Procedures for Grievance and Review of Reports.

1. Timeline and Notifications. Investigations will be completed within a reasonable time, generally not to exceed forty five (45) business days except in exceptional circumstances as determined by the Office of Equal Opportunity.
2. Procedures for Resolving a Complaint of Prohibited Misconduct or Retaliation when the Alleged Offender is a Student. The Dean of Students is responsible for investigating reports of prohibited misconduct and retaliation when the alleged offender is a student. The Dean of Students must consult with the Office of Equal Opportunity in advance of issuing a report of investigation. The Title IX Coordinator shall review all final investigation reports.
3. Procedures For Pursuing and Resolving a Complaint of Prohibited Misconduct or Retaliation when the Alleged Offender is an Employee (including a student employee), Visitor, or Individual Acting on Behalf of or Doing Business with the University:
 - a. The Complainant and Respondent shall receive notice of the allegation and periodically be informed of the status of the review or investigation. The Family Educational Rights and Privacy Act (FERPA) does not protect student employees who, pursuant to this procedure, are named as Respondents.
 - b. The Respondent shall be given an opportunity to respond both orally and in writing to the allegations and to any evidence against her or him prior to a determination that this policy has been violated. Any response must be provided within seven (7) calendar days of notification by the Office of Equal Opportunity that it is prepared to finalize its report of investigation.
 - c. The Complainant shall be given an opportunity to respond both orally and in writing to information provided by the Respondent before the investigation is completed. Any response must be provided within seven (7) calendar days of notification by the Office of Equal Opportunity that it is prepared to finalize its report of investigation.
 - d. The Office of Equal Opportunity must consult with the Office of General Counsel before completing a report of investigation.
 - e. The Office of Equal Opportunity shall prepare a written report setting out the findings of the investigation and whether the Respondent violated this policy.
 - f. The Complainant, Respondent, and the Respondent's supervisor(s) (when the Respondent is an employee) shall be notified, in writing, of the Office of Equal Opportunity's findings and determination, and be provided a summary of the investigation within five (5) business days after the report of investigation is completed. The Vice President for Institutional Equity and Diversity will determine whether another University official will be notified when the Respondent is a visitor or person acting on behalf of the University.
 - g. Respondents found to have violated this policy may request a review of the findings and determination from the Vice President for Institutional Equity and Diversity.

- h. A request for review must be submitted to the reviewing official within five (5) business days from the date of the notice. The request must include the reason(s) for the review and provide any new information the individual wishes the reviewing official to consider. The decision of the reviewing official regarding the finding and determination is final.
- i. Non-faculty employees found to have violated this policy may file a grievance under UNT Grievance policy (1.7.2) concerning any disciplinary action taken as a result of the investigation.
- j. Faculty members, other than Teaching Fellows and Teaching Assistants, found to have violated this policy may file a grievance concerning any disciplinary action taken as a result of the investigation in accordance with department and college grievance procedures and the University's Faculty Misconduct and Discipline policy (15.1.33). Teaching Fellows and Teaching Assistants may use the staff grievance process.

VII. Record Retention. Unless otherwise required by state law or the university's Records Retention Policy, records of complaints and investigations will be confidentially maintained by the University Archivist and discarded after ten (10) years unless other incidents occur within the 10 years. In all cases, access to complaint and investigation records is strictly limited to those university officials directly investigating or adjudicating a complaint or implementing a complaint resolution, unless otherwise compelled by law.

VIII. Education and Resources.

1. **New Employee Education and Training**. New employees shall receive training on the University's Title IX program and this policy no later than the 30th day after employment. At a minimum, training must include: obligations under Title IX, Title VII, the Violence Against Women's Act and this policy; the name and contact information for the Title IX Coordinator, the procedures for reporting sexual harassment and other violations of this policy; the University's prevention and awareness program and ongoing prevention and awareness campaigns; the rights of individuals who report being a complainant of sexual violence regardless whether the offense occurred in the workplace; and the availability of interim measures to protect against continued violations of this policy and all remedies, including civil action, for violations Title VII and Title IX.
2. **Supplemental Education and Training**. Every employee is individually responsible for completing the training described in item 1 of this section every two years.
3. **Record and Notification of Education and Training**. Supervisors are responsible for ensuring employees under their supervision are in compliance with the education and training requirement and certifying to the Title IX Coordinator when each employee completes requirement. In addition, supervisors shall clearly note on the employee's annual performance evaluation whether training has been completed.

4. Enforcement of Training Responsibilities. An employee who fails to complete education and training as required under this section may be subject to discipline according to applicable University policies.
5. Resources and Services. The experience of sexual violence has different meanings for each person. Prompt intervention can help to lessen the trauma and enhance healing. Resources and services can be found on the University's Title IX Coordinator webpage <https://edo.unt.edu/title-ix-coordinator>.

IX. Sanctions and Legal Implications.

Any violation of this policy may result in sanctions imposed by the University or federal or state authorities, or legal action.

1. University Imposed Sanctions. Any individual who violates this policy is subject to disciplinary action, including but not limited to: involuntary termination of employment under the Staff Employee Discipline and Involuntary Termination Policy (1.7.1); revocation of tenure for moral turpitude or gross neglect of academic responsibilities under the University's Faculty Misconduct and Discipline Policy (15.1.33); expulsion from the University; and termination of a business relationship, the privilege to come onto University property or to participate in its programs and activities. Sanctions imposed for violating this policy must be reported to the Office of Equal Opportunity.
2. Federal or State Sanctions. Federal or State agencies may impose fines and other sanctions against the University for violations of federal or state anti-harassment laws.
3. Civil Action. Individuals may take court action against individuals and the University that could result in financial liability.
4. Criminal Sanctions. Sex harassment by a public servant is a criminal offense under Texas law and could result in imprisonment.

References and Cross-references.

UNT Policy 1.3.7, Nondiscrimination/Equal Opportunity, Affirmative Action, and Non-Retaliation
UNT Policy 1.7.2, Grievance Policy
UNT Policy 1.7.1 Staff Employee Discipline and Involuntary Termination Policy
UNT Policy 15.1.33, Faculty Misconduct and Discipline

Forms and Tools.

[Nondiscrimination Policy Violation Complaint Form](#)

Approved:
Effective:
Revised:

Policies of the University of North Texas Health Science Center	Chapter 07 – Student Affairs, Education and Funding
7.xxx Student Policy Prohibiting Sexual Misconduct and Retaliation	

Policy Statement.

The University of North Texas Health Science Center (“UNTHSC”) is committed to maintaining a safe, educational environment that is conducive to students achieving their full potential and that allows all individuals to fully participate in the benefits and privileges UNTHSC has to offer – free from sexual harassment, sexual misconduct, and domestic and dating violence, and free from retaliation for assisting in maintaining this environment. Conduct that is inconsistent with this commitment and the UNTHSC’s values is unacceptable at any location, program or activity associated with UNTHSC.

Application of Policy.

This policy applies to all students, applicants for admission, and student organizations at any location, program or activity associated with the UNTHSC. UNTHSC may take action when conduct that is prohibited under this policy occurs off-campus and adversely affects or has a reasonable likelihood of adversely affecting the academic environment, and as otherwise permitted under the Student Code of Conduct and Discipline.

Definitions.

1. Student Code of Conduct and Discipline (“the Code”). “The Code” means standards of conduct established to convey expectations of behavior at UNTHSC and procedures established to provide a full and fair opportunity for review of alleged student misconduct.
2. Complainant. “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless whether she or he reports the conduct
3. Confidential Employee. “Confidential Employee” means a UNTHSC employee who is not obligated to disclose reports of sexual misconduct as required under this policy based on the requirement of the employee’s professional licensure and the nature of her or his official responsibilities with the Health Science Center. Confidential Employee, as defined in this policy, includes but is not limited to licensed professional mental health counselors and health care professionals working in those capacities for the Health Science Center and the employees they supervise, sexual assault advocates as defined in section 420.071 of the Texas Government Code, and attorneys

and employees in the UNT System Office of General Counsel. Faculty, staff and other employees who are licensed mental health workers, licensed medical workers, or licensed attorneys but who are not employed in that capacity by the Health Science Center, such as faculty members in psychology, social work, nursing, etc., are not Confidential Employees under this policy.

4. Consent. “Consent” means words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be gained by force, coercion, manipulation, threats, or by taking advantage of the incapacitation of another when the student knows or reasonably should have known of such incapacity by use of alcohol or drugs. Consent is absent when the activity in question exceeds the scope of previously given consent. Consent may be revoked at any time.
5. Dating Violence. “Dating Violence” means a physical act perpetrated against a person’s will by a person who is or has been in a social relationship of a romantic or intimate nature with the Complainant.
6. Days. “Days” shall mean calendar days unless otherwise stated in this policy.
7. Domestic Violence. “Domestic Violence” means an act of violence committed against a family member, a household member, a current or former spouse, a child of a current or former spouse, a person with whom the perpetrator has a child or children, a child of the perpetrator, a family member of the perpetrator by blood, marriage or adoption, or someone with whom the perpetrator lives.
8. Employee. “Employee” means an individual who is employed part-time, full-time, or in a temporary capacity as faculty or staff, or who is required to be a student as a condition of employment.
9. Gender. “Gender” means an individual’s socially-constructed status based on the behavioral, cultural, or psychological traits typically associated with societal attribution of masculinity and femininity, typically related to one’s assigned sex at birth.
10. Gender Expression. “Gender Expression” means the manner in which an individual expresses gender through appearance, behavior, or mannerisms; whether the person’s expression is same as the individual’s gender identity or the sex the individual was assigned at birth.

11. Gender Identity. “Gender Identity” means the gender with which an individual identifies psychologically, regardless of the sex the individual was assigned at birth.
12. Greater Weight of the Evidence. “Greater Weight of the Evidence” means the amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Greater weight of the evidence also is referred to as the preponderance of the evidence.
13. Good Faith. “Good Faith” means a reasonable belief that reported conduct or behavior is a violation this policy. Good faith is based on the reporting individual’s education, training, and experience.
14. No-Contact Order. “No Contact Order” means an administrative directive issued by an authorized official of the UNTHSC that prohibits contact or communication between two or more individuals or between an individual and an organization.
15. Notice of Complaint. “Notice of Complaint” means the initial document in the student disciplinary process that notifies a student of alleged misconduct and of the obligation to meet with an Office of Student Affairs official to discuss a possible violation of the Code of Student Conduct and potential sanctions.
16. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless whether a formal complaint is made.
17. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an individual’s educational or other relationship with the UNTHSC, or an employee’s term or condition of employment, including compensation, promotion, transfer, work assignment, or performance evaluation.
18. Sexual Assault. “Sexual Assault” means the intentional or knowing penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without consent of the Complainant. The term sexual assault also is referred to as rape.
19. Sexual Contact. “Sexual Contact” means the touching of the body parts of another person for the purpose of sexual gratification without consent.

20. Sexual Harassment. Unwelcome conduct of a sexual nature, whether toward a person of the same or opposite sex, such as unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature, disparagement of members of one sex, or other conduct of a sexual nature, even if said in a joking manner, when:
- a. submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual's education;
 - b. submission to or rejection of such conduct is used as the basis for or as a factor in a decision affecting an individual's education; or
 - c. the conduct, even if it is infrequent or not severe, is such that the individual who is subjected to the conduct and a reasonable student would find that the conduct has the purpose or effect of interfering with a student's academic or professional performance or creates an intimidating, hostile or offensive educational or work environment.

Sexual harassment takes many forms; examples of which include but are not limited to:

- a. sexual exploitation of a relationship between individuals of unequal power and authority,
- b. sexual exploitation of a relationship between peers and students that could affect the workplace or educational environment,
- c. repeated and unwanted requests for dates, sexual flirtations, or propositions of a sexual nature,
- d. subtle pressure for a sexual relationship,
- e. sexist remarks about a person's clothing, body or sexual activities,
- f. nonconsensual touching, such as grabbing, patting, hugging, or brushing against a person's body,
- g. direct or implied threats that submission to sexual advances will affect or be a condition of employment, work status, grades, or letter of recommendation,
- h. physical or sexual assault or sexual violence,
- i. conduct of a sexual nature that causes humiliation or discomfort, such as use of inappropriate terms of address,

- j. sexually explicit or sexist comments, questions or jokes, and
 - k. conduct of a sexual nature that creates a hostile work or educational environment.
21. Sexual Misconduct. For purposes of this policy, “Sexual Misconduct” means sexual assault, sexual contact, or any form of nonconsensual sexual conduct other than sexual harassment.
22. Sexual Orientation. “Sexual Orientation” means the inclination of one’s intimate emotional, or sexual interest toward a member of the same or opposite sex, or both sexes.
23. Sexual Violence. “Sexual Violence” means a physical sexual act perpetrated against a person’s will, or when a person is so incapacitated that he or she is incapable of giving consent due to the use of drugs or alcohol, or where a person is incapable of giving consent due to an intellectual or other disability (including sexual assault). Sexual violence is a form of sexual harassment.
24. Stalking. “Stalking” means a course of conduct directed at a specific person that would cause a reasonable person to fear for the person’s safety or the safety of others, or to suffer substantial emotional distress. A course of conduct means two or more acts in which a person directly, indirectly or through another person, by any action, method, device or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person or interferes with a person’s property.
25. Student. “Student” means an individual who has applied for admission or readmission to UNTHSC, who is registered or enrolled in one or more courses for credit at UNTHSC, or who currently is not enrolled but who has a continuing academic relationship with UNTHSC.
26. Survivor Advocate. “Survivor Advocate” means an individual employed by the UNTHSC to provide advocacy services to a sexual assault survivor or a person claiming to be a survivor, including information about on and off campus resources, counseling services, health and safety programs, academic options, protective orders, crime victim compensation and other resources.

27. Title IX Coordinator. “Title IX Coordinator” means a UNTHSC employee designated by the President to implement, monitor, and enforce UNTHSC’s Title IX program. In this policy, reference to the Title IX Coordinator also means the Coordinator’s designee.
28. Unwelcome Conduct. “Unwelcome Conduct” means behavior or conduct that is not implicitly or explicitly invited by a person and that the person regards as undesirable or offensive at the time the behavior or conduct occurred.

Procedures and Responsibilities.

1. Reporting Sexual Misconduct.
 - a. Police. A student who believes the threat of sexual violence is imminent should immediately call 911. A student may file a police report with campus police for sexual violence occurring on campus or with local police for sexual violence occurring off campus.
 - b. Office of Student Affairs. A student may report a suspected violation of this policy to the Office of Student Affairs and contact the office for assistance. If the Respondent is a student, the Office of Student Affairs will consider whether the alleged conduct violated the Code.
 - c. Title IX Coordinator. A student may report a suspected violation of this policy to the Office of Student Affairs and contact the office for assistance. If the Respondent is a student, the Office of Student Affairs will consider whether the alleged conduct violated the Code.
 - d. Hotline Reporting. Students or any individuals may report suspected violations of this policy to the UNT System Compliance Hotline.

Responsible Party: Students, Office of Student Affairs, Title IX Coordinator.

2. False and Bad Faith Reporting. Any student who knowingly makes a false report or a report in bad faith, or who provides false information during an investigation is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation determines the allegation was not substantiated.

Responsible Party: Reporting party.

3. Anonymity and Confidentiality.
 - a. Anonymity.

- 1.) UNTHSC shall make every effort to protect from disclosure the identity of a student who makes a report under this policy regardless whether the student asks for her or his identity to be protected. If the Complainant asks that her or his identity not be disclosed or that the complaint not be pursued, UNTHSC will take reasonable steps to comply with the request as long as doing so does not prevent it from responding effectively under this policy. The Complainant will be informed that such a request may limit UNTHSC's ability to respond to the report and that anonymity in the conduct process cannot be assured.
- 2.) The Title IX Coordinator will evaluate the Complainant's request for anonymity along with UNTHSC's responsibility to provide a safe and respectful environment for all students. In determining whether a request can be granted, the Title IX Coordinator will consider:
 - a.) the seriousness and nature of the allegation;
 - b.) whether the alleged behavior or conduct presents a threat to individuals other than the student who makes the request;
 - c.) whether effective measures can be put in place to protect the student against continued physical or psychological harm or retaliation;
 - d.) whether delaying an investigation could reasonably result in the destruction or deterioration of potential evidence to prove or disprove the allegation; and
 - e.) any other information that reasonably could influence the decision.
- b. Confidentiality. UNTHSC values the privacy of its students and will not disclose information more broadly than necessary to respond appropriately under this policy and as required by law and Regents Rules which may impose obligations on employees to disclose reports of sexual harassment or sexual misconduct made to them.

Responsible Party: UNTHSC, Complainant, Title IX Coordinator.

4. UNTHSC Response and Interim Measures.

- a. UNTHSC Response to Complainant. Upon becoming aware that a student has been sexually harassed or a victim of sexual misconduct, domestic or dating violence, or stalking, the Title IX Coordinator or Office of Student Affairs will:
 - 1.) assess any immediate safety needs of the Complainant;
 - 2.) inform the Complainant of measures that can be taken to prevent contact with the alleged Respondent;

- 3.) provide the Complainant with information regarding access to medical care;
 - 4.) provide the Complainant with referrals to on and off campus mental health resources, survivor advocacy, visa and immigration assistance;
 - 5.) assist the Complainant contact campus or local police, if desired;
 - 6.) inform the Complainant of the right to file criminal charges;
 - 7.) review with the Complainant whether she or he wants to remain anonymous and the steps UNTHSC can take to protect anonymity and confidentiality;
 - 8.) inform the student that she or he is not required to file a complaint but that UNTHSC may be required to investigate the allegation(s);
 - 9.) assess the need to implement interim or long-term protective measures;
 - 10.) provide the Complainant a copy of the Code and this policy, and inform the Complainant about timeframes for review or investigation, and resolution;
 - 11.) explain to the student that in addition to being interviewed by the designated Health Science Center official, she or he may provide a written statement; and
 - 12.) take steps to protect the Complainant and others against retaliation as necessary.
- b. UNTHSC Response to Respondent. Upon receipt of a report that a student may have violated this policy, UNTHSC will:
- 1.) notify the Respondent, in writing, of the existence and general nature of the allegation(s) and of this policy;
 - 2.) provide the Respondent a copy of the Code and this policy and inform the Respondent about timeframes for review or investigation, and resolution;
 - 3.) provide the Respondent sufficient information, consistent with federal and state privacy laws, to respond to the allegation(s);
 - 4.) explain to the Respondent that in addition to being interviewed by the designated UNTHSC official, she or he may provide a written response to the allegation(s);
 - 5.) inform the Respondent that retaliation against the Complainant or any individual participating in an investigation will not be tolerated and can result in immediate disciplinary action.
- c. Interim Protective Measures. The Title IX Coordinator, in consultation with the Office of Student Affairs and other UNTHSC officials or faculty as appropriate, may coordinate action to protect the Complainant, the Respondent, and any other student against conduct prohibited under this policy or further allegations of

misconduct. Interim measures also may be taken to ensure the prompt and efficient completion of an investigation and resolution of the allegation(s). Interim measures are not disciplinary in nature and must be consistent with other UNTHSC policies. These measures may include but are not limited to changes in class schedules, issuance of a no-contact directive to one or more students and student organizations, and issuance of a no trespass directive as appropriate.

Protective measures may remain in place as long as the Title IX Coordinator determines the measures are necessary, including after final resolution.

Responsible Party: Title IX Coordinator.

5. UNTHSC and Off-Campus Resources. Prompt intervention can help lessen the trauma that results from sexual violence and facilitate healing. In addition to the resources and services listed in this policy, other information to assist students who experience sexual violence can be found on the UNTHSC's webpage at <https://www.unthsc.edu/students/unthsc-sexual-assault-support/>.

a. On-Campus Resources.

UNTHSC Police Department	(817) 735-2600
Office of Student Affairs	(817) 735-2505
Title IX Coordinator	(817) 735-2505
CARE Team	(817) 735-2740

b. Off-Campus Resources.

Baylor All Saints Hospital (Fort Worth)	(817) 926-2544
Harris Methodist Hospital (Fort Worth)	(817) 250-2000
John Peter Smith Hospital (Fort Worth)	(817) 702-2839
Fort Worth Police Department (non-emergency)	(817) 335-4222
Dallas Police Department (non-emergency)	(214) 744-4444
Methodist Hospital (Dallas)	(214) 947-8181
Parkland Hospital (Dallas)	(214) 590-8000
National Dating Abuse Hotline	(866)331-9474; www.ndah.org

6. Investigation and Resolution.

a. Timeline and Notifications.

- 1.) UNTHSC will take timely action to stop behavior prohibited under this policy and take appropriate action to prevent recurring misconduct.

- 2.) The Title IX Coordinator will notify the Office of Student Affairs upon receipt of a report that a student is suspected of violating this policy. When the Respondent is an employee, the Title IX Coordinator will notify Human Resources and the System Administration Office of Equity, Diversity and Inclusion. Likewise, the Office of Student Affairs will notify the Title IX Coordinator of any violation of this policy. Both the Office of Student Affairs and Title IX Coordinator will coordinate with campus law enforcement as appropriate.
- 3.) Allegations made under this policy will be resolved within a reasonable time, generally not to exceed forty-five (45) days from receiving a report of sexual misconduct, domestic or dating violence, stalking, or retaliation except in exceptional circumstances as determined by the Title IX Coordinator.
- 4.) The Title IX Coordinator will notify the Respondent within five (5) days of becoming aware of the allegation(s).
- 5.) The Title IX Coordinator will update the Complainant and Respondent on the status of the investigation regularly. When the Respondent is an employee, the Title IX Coordinator will update Human Resources and the System Administration Office of Equity, Diversity and Inclusion regularly.
- 6.) A criminal complaint or investigation will not preclude UNTHSC from taking interim protective measures, initiating an investigation, or taking other appropriate action necessary to resolve a complaint under this policy.

b. Review of Allegations and Possible Sanctions.

- 1.) Mandatory Review of Reports. The Title IX Coordinator will review all allegations of sexual harassment, sexual misconduct, domestic and dating violence, stalking, and retaliation to determine whether an investigation should be conducted regardless whether a written complaint is made. If an investigation is determined to be necessary, the Title IX Coordinator will coordinate and monitor the investigation.
- 2.) Sanctions. A student determined to have violated this policy may be placed on disciplinary probation, suspended, expelled, issued a no-contact directive, or trespassed from campus. In addition, conduct prohibited under this policy may result in criminal charges and civil action.

c. Investigation.

- 1.) Prompt, Fair and Equitable Investigation and Resolution. The Office of Student Affairs will assure a prompt, fair, and equitable investigation and

resolution; and the Respondent and Complainant will be given the same opportunity to participate in an investigation conducted under this policy.

- 2.) Standard of Proof. The greater weight of the evidence standard will be used in determining whether this policy has been violated.

d. Termination of Investigation without Finding a Policy Violation.

- 1.) Termination of an Investigation. At any point during the investigation the Title IX Coordinator may determine that there is no basis to proceed under this policy. In this instance, the Dean of Students will notify the Complainant and the Respondent of the decision and explain the reason for ending the investigation. The notice must be in writing and consistent with applicable privacy laws. When the Respondent is an employee the Title IX Coordinator also will notify Human Resources and the System Administration Office of Equity, Diversity and Inclusion.
- 2.) Review of Decision to Terminate an Investigation. The Complainant may request review of the decision to end an investigation. A request for review must be submitted in writing, generally within ten (10) days after receiving notice of the decision. If a request for review is made, the Respondent will be informed and given an opportunity to provide information before a decision is made whether to reopen the investigation. If the Respondent is a student, the request will be reviewed by the Vice President for Student Affairs. If the Respondent is an employee, the request will be reviewed by the Associate Vice Chancellor for Human Resources or delegee. The decision of the reviewing official is final.
- 3.) Notice of Decision on Request to Reopen an Investigation. The Complainant and Respondent will be notified, in writing, of the decision whether to reopen an investigation. If an investigation is not reopened, the Dean of Students will inform the Complainant that a complaint may be filed with the U.S. Department of Education Office of Civil Rights and provide the student contact information for the agency.

e. Finding the Policy was Violated.

- 1.) Informing Departments on Campus. The Title IX Coordinator will inform the Office of Student Affairs when an a student is determined to have violated this policy, and Human Resources and the System Administration Office of Equity, Diversity and Inclusion when an employee is found to have engaged in prohibited conduct.
- 2.) Responsibility for Notifying the Respondent. The Office of Student Affairs or Human Resources will notify the Respondent of the outcome of the investigation and as applicable, provide:
 - a.) a summary of the investigation;

- b.) the specific section of the Code or applicable Health Science Center policy that may have been violated and of possible sanctions;
 - c.) notice that the alleged misconduct will be resolved under the Code or applicable faculty or staff policy; and
 - d.) the date by which a Student-Respondent must meet with the Office of Student Affairs to discuss the alleged misconduct.
- 3.) Responsibility for Notifying the Complainant. The Office of Student Affairs will notify the Complainant of the outcome of the investigation and, when applicable, provide:
- a.) a summary of the investigation;
 - b.) notice of the pending student conduct proceeding; and
 - c.) information about the opportunity to participate in the student conduct proceeding.

Responsible Party: Title IX Coordinator, Office of Student Affairs.

7. Procedures for Resolving a Finding of Sexual Violence or other Sexual Misconduct. The following procedures will be followed when a student is determined to have engaged in sexual violence or other sexual misconduct:
- a. Notifying the Respondent of Possible Misconduct. The Office of Student Affairs will send the Respondent a Notice of Complaint and meet with the Respondent no more than twenty (20) days from the date an investigation determines that the student has violated this policy. Dates may be extended at the discretion of the Office of Student Affairs in the interest of fairness.
 - b. Notice and Participation of the Complainant. The Conduct Officer will meet with the Complainant within the same timeframe as the Respondent and allow the student to present information related to the alleged misconduct, including the names of possible witnesses, documents, and any other information that may assist in determining whether the Respondent violated the Code.
 - c. Opportunity to Have Advisor. Both the Respondent and Complainant may be accompanied by an individual of her or his choosing during any proceeding related to the conduct process. Any individual who accompanies a Respondent or Complainant may be present during proceedings but may not speak for or on behalf of the student. If a Respondent is accompanied by an attorney, an attorney

from the UNT System Office of General Counsel may attend. The Respondent must notify the Office of Student Affairs at least five (5) days prior to the conference if he or she will be accompanied by an attorney. Conduct proceedings conducted pursuant to this policy will not be delayed due to the inability of the Respondent's attorney or other advisor to attend a scheduled conduct proceeding.

- d. Evidence of Prior Sexual Activity. Information about prior sexual activity of the Complainant or Respondent may not be introduced into any conduct proceeding except for past sexual activity between the students that directly relates to the incident in the Notice of Complaint.
- e. Evidence of Voluntary Intoxication. Information concerning alcohol or drug use by the Respondent at the time of the incident may not be offered as a defense and will not be considered a mitigating factor.
- f. Standard of Proof. The greater weight of the evidence standard will be applied in determining whether a student violated the Code.
- g. Notifying Respondent and Complainant of Finding and Sanction(s). The Office of Student Affairs will notify the Respondent and the Complainant of the findings and any sanctions imposed, in writing and on the same day. The notice will include the section of the Code that was violated, any sanctions imposed, and the procedures for appealing the findings and sanctions. All notices must comply with the requirements of the Family Education Rights and Privacy Act.
- h. Review of Finding or Sanction by the Committee on Student Conduct. If the Conduct Officer determines that a Respondent has violated this policy and assigns a sanction of disciplinary probation, suspension or expulsion, the student may request a review of the determination and sanctions by the Committee on Student Conduct. The Respondent must submit a request for review to the Chairperson of the Committee within three (3) days after being informed of the determination.
- i. Notice of Hearing, Composition of Committee, and Quorum. The Chairperson of the Committee, will notify the students of the place, date, and time of the conduct hearing. The hearing normally should be scheduled no fewer than ten (10) and no more than twenty (20) days after the Respondent request a hearing. The Senior Student Affairs Officer or a designee will serve as the Chairperson of the Committee which will be comprised of three (3) faculty, three (3) students and one (1) staff member. Five (5) members must be present to conduct a hearing.

- j. Objecting to Members of the Committee. The Respondent and Complainant may request that an individual not serve on the Committee based on a concern about the person's ability to be objective and unbiased. The request, must be in writing and provide the reason(s) the student believes the individual should not serve on the Committee. The request may be made at any time prior to the start of the hearing. The Chairperson of the Committee will decide whether to grant the request, and his or her decision is final. If a request is granted and the number of members present falls below five (5), the Chairperson will select another individual to serve on the Committee. If the student requests that the Vice President of Student Affairs not serve as Chairperson, the decision whether to grant the request will be made by majority vote of the Committee members and a new chairperson will be selected by the Committee from among the remaining members.
- k. Conducting the Hearing. Reviews are not open to the public. The Complainant may make a presentation in person or by alternate means. Alternate means may include appearance by telephone or close circuit technology or presentation behind a screen to avoid contact with the Respondent as determined by the Chairperson. Only the voting members of the Committee may participate in deliberations. The Chairperson is responsible for preparing the Committee's findings and conclusions.
- l. Disclosing Final Results of Disciplinary Proceeding. The Office of Student Affairs will notify the Respondent and Complainant of the final results of the hearing in writing. The notice must include a summary of the findings, regardless whether the Respondent is found to have violated this policy, and the reason(s) for the decision. The Office of Student Affairs may disclose the final results of a conduct proceeding to other individuals if the Committee determines the Respondent violated the Code by committing a crime of violence or a non-forcible sex offense, including sexual misconduct, domestic or dating violence, or stalking.

Responsible Party: Office of Student Affairs, Title IX Coordinator.

8. Education and Training.

- a. Campus-Wide Training. UNTHSC has developed programs to educate students about the nature, effect and prevention of sexual violence. These programs inform students about how to respond to sexual violence on and off campus, the importance of preserving evidence to assist in the successful prosecution of sex crimes, the role a bystander can play in preventing sexual misconduct, and

resources available to survivors of sexual misconduct, domestic and dating violence, and stalking. All students are required to complete the online training programs “Title IX for Graduate Students” and “Preventing Sexual Misconduct” once per year, and are encouraged to participate in other programs. Student organizations are encouraged to make information about crime prevention readily available to their members.

- b. Required Training for Individuals Responsible for Investigating Complaints. UNTHSC employees responsible for investigating sexual harassment, sexual misconduct and retaliation under the coordination of the Title IX Coordinator are required to participate in training concerning conducting competent investigations before conducting any investigations under this policy, and attend training a minimum of once every year thereafter. The Title IX Coordinator, in consultation with the UNT System Office of General Counsel, will review the curriculum to ensure it satisfactorily covers Title IX, related laws this policy.
- c. Training for Individuals Involved in the Student Conduct Process. UNTHSC employees with responsibilities for resolving alleged violations of this policy are required to participate in training before performing any of their responsibilities, and once every year thereafter. The Title IX Coordinator, in consultation with the UNT System Office of General Counsel, will review the curriculum to ensure it satisfies the requirements of Title IX, covers this policy, and addresses the standards for providing a fair and respectful process for protecting confidentiality under state and federal laws.
- d. Policy Awareness and Publication. This policy shall be included in the student handbooks and catalog, and may be published in any other document as determined by the Vice President for Student Affairs or designee. Also, the Vice President for Student Affairs or designee shall ensure the policy is maintained on a UNTHSC website dedicated solely to this policy.

Responsible Party: Office of Student Affairs, Title IX Coordinator.

References and Cross-references.

Texas Government Code, §420.071

Texas Education Code, § 51.9363 (House Bill 699)

Family Education Rights and Privacy Act, 20 U.S.C § 1232g

Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681 et seq.

U.S. Department of Education, Office of Civil Rights, Dear Colleague Letter, April 4, 2011
UNTHSC Policy 7.126 - Student Code of Conduct and Discipline

Forms and Tools.

<https://www.unthsc.edu/students/unthsc-sexual-assault-support/>.

Approved:

Effective:

Revised:

Policies of the University of North Texas Health Science Center	Chapter 05 – Human Resources
5.xxx Employee Prohibiting Sexual Misconduct and Retaliation Policy	

Policy Statement.

The University of North Texas Health Science Center (“UNTHSC”) is committed to creating a high performing values based organization with safe and respectful work and educational environments conducive to students, faculty and staff achieving their full potential. We pledge to create a culture that allows all individuals to fully participate in the benefits and privileges the UNTHSC has to offer – free from Sexual Misconduct or misconduct of any kind, or retaliation for reporting such behavior. Conduct that is inconsistent with this commitment, even if it is one-time, infrequent or not severe, is unacceptable at any location, program or other activity associated with the UNTHSC.

Application of Policy.

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

Definitions.

1. Complainant. “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless whether she or he reports the conduct.

2. Consent. “Consent” means words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be obtained by force, coercion, manipulation, threats, or when an individual administers any substance to another person, without the person’s knowledge, that intentionally impairs the ability of the person to voluntarily consent. Consent is absent when the sexual activity in question exceeds the scope of previously given consent. Consent may be revoked at any time.

3. Days. “Days” means calendar days unless otherwise stated in this policy.

4. Employee. “Employee” means an individual who is employed part-time, full-time, or in a temporary capacity as faculty or staff; or individuals who are required to be students as a condition of their employment.
5. Faculty. “Faculty” means a person whose primary responsibilities at UNTHSC are teaching, research or creative activity, and service, including professional librarians. For purposes of this policy, this definition also includes, Teaching and Research Fellows and Teaching and Research Assistants except where otherwise stated in this policy.
6. Gender. “Gender” means an individual’s socially-constructed status based on the behavioral, cultural, or psychological traits, typically associated with social attribution of masculinity and femininity, typically related to one’s assigned sex at birth.
7. Gender Expression. “Gender Expression” means the manner in which an individual expresses gender through appearance, behavior, or mannerisms; whether the person’s expression is same as the individual’s gender identity or the sex the individual was assigned at birth.
8. Gender Identity. “Gender Identity” means the gender with which an individual identifies psychologically, regardless of the sex the individual was assigned at birth.
9. Good Faith. “Good Faith” means a reasonable belief that reported conduct was prohibited under this policy. Good faith is based on the reporting individual’s education, training, and experience.
10. Preponderance of the Evidence. “Preponderance of the Evidence” means the amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Preponderance of the evidence is also referred to as the greater weight of the evidence.
11. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless whether a formal complaint is made.
12. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects

an employee's term or condition of employment, including compensation, promotion, transfer, work assignment, or performance evaluation.

13. Sexual Assault. "Sexual Assault" means the intentional or knowing penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without consent of the complainant. The term sexual assault also is referred to as rape.

14. Sexual Harassment. "Sexual Harassment" means unwelcome conduct of a sexual nature, whether toward a person of the same or opposite sex, such as unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature, disparagement of members of one sex, or other conduct of a sexual nature, even if said in a joking manner, when:
 - a. submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual's employment or educational environment;
 - b. submission to or rejection of such conduct is used as the basis for or as a factor in a decision affecting an individual's employment or educational environment; or
 - c. the conduct, even if it is infrequent or not severe, is such that the individual who is subjected to the conduct and a reasonable employee would find that the conduct has the purpose or effect of interfering with an individual's academic or professional performance or creating an intimidating, hostile or offensive employment or educational environment.

Sexual harassment takes many forms; examples of which include but are not limited to:

- a. sexual exploitation of a relationship between individuals of unequal power and authority,
- b. sexual exploitation of a relationship between peers and students that could affect the workplace or educational environment,
- c. repeated and unwanted requests for dates, sexual flirtations, or propositions of a sexual nature,
- d. subtle pressure for a sexual relationship,
- e. sexual remarks about a person's clothing, body or sexual activities,
- f. nonconsensual touching, such as grabbing, patting, hugging, or brushing against a person's body,

- g. direct or implied threats that submission to sexual advances will affect or be a condition of employment, work status, grades, or letter of recommendation,
 - h. physical or sexual assault or sexual violence,
 - i. conduct of a sexual nature that causes humiliation or discomfort, such as use of inappropriate terms of address,
 - j. sexually explicit or sexist comments, questions or jokes, and
 - k. conduct of a sexual nature that creates a hostile work or educational environment.
15. Sexual Misconduct. “Sexual Misconduct” means sexual assault, sexual harassment, domestic violence, stalking, or any form of nonconsensual sexual conduct.
16. Sexual Orientation. “Sexual Orientation” means the inclination of one’s intimate, emotional, or sexual interest toward a member of the same, opposite or both sexes.
17. Student. “Student” means an individual who has applied for admission or readmission to UNTHSC; who is registered/enrolled in one or more courses for credit at UNTHSC; or who currently is not enrolled but who has a continuing academic relationship with UNTHSC.
18. Title IX Coordinator. A student who believes she or he has been subjected to Sexual Misconduct, should immediately report the conduct to the Division of Student Affairs (Title IX Coordinator). Reports will be confidential as set out in this policy.
19. Unwelcome Conduct. “Unwelcome Conduct” means behavior or conduct that is not implicitly or explicitly invited by a person and that the person regards as undesirable or offensive at the time the behavior or conduct occurred.

Procedures and Responsibilities.

- 1. Reporting.
 - a. Reporting Sexual Misconduct.
 - 1.) An individual who believes she or he is in imminent danger of harm of a sexual nature should immediately call 911, the UNTHSC police department or local law enforcement officials. A person may file a police report with

campus police for sexual violence occurring on campus or with local police for sexual violence occurring off campus.

Responsible Party: Law Enforcement.

- 2.) An individual who believes she or he has been subjected to Sexual Misconduct should immediately report the conduct to her or his immediate supervisor, unless that person is the one alleged to have engaged in the harassment or the Office of Equity, Diversity and Inclusion (Title IX Coordinator Office).

Responsible Party: Title IX Coordinator.

- 3.) A Student who believes she or he has been subjected to Sexual Misconduct, should immediately report the conduct to the Division of Student Affairs or to the Office of Equity, Diversity and Inclusion. Reports will be confidential as set out in this policy.

Responsible Party: Division of Student Affairs.

- 4.) Hotline. Individuals wishing to report suspected violations of this policy to the UNT System Compliance Hotline (940-565-2355). Reports involving Students will be referred to the Title IX Coordinator.

b. Reporting Obligations.

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

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

- 2.) Other individuals, including students and guests of UNTHSC who become aware of suspected Sexual Misconduct or retaliation are strongly encouraged to report the suspected violation to the System Office of Equity, Diversity and Inclusion or to the Title IX Coordinator.

Responsible Party: Other Individuals.

- 3.) Exception to Obligation to Report. Employees who receive a report of Sexual Misconduct in the course of performing their official UNTHSC responsibilities and who, as a requirement of a professional license, are prohibited from disclosing confidential communications are not obligated to report as set out in this policy. These individuals are expected to report as required by the rules of their professional license and nothing in this policy shall be interpreted as conflicting with those rules.

- c. Protecting Against Retaliation. Retaliation against any person who reports or encourages another to report Sexual Misconduct or retaliation; who participates in an investigation conducted under this policy; or who seeks assistance or guidance from any UNTHSC department or external official or organization authorized to remediate conduct prohibited under this policy is strictly prohibited.

Responsible Party: Employees, System Office of Equity, Diversity and Inclusion, Title IX Coordinator.

2. Confidentiality.

- a. Confidentiality. UNTHSC shall make every effort to protect information that reasonably could lead to the identification of an individual who reports or who participates in an investigation of alleged Sexual Misconduct or retaliation, and information that reasonably could identify the individual. This information is confidential and shall not be disclosed except as required by law, including when disclosure is necessary to ensure individuals accused of violating this policy are afforded lawful notice and the opportunity to fully respond to the accusation.
- b. Protection of Non-Confidential Information. As permitted by section 51.971 of the Texas Education Code, information may be protected from disclosure even if it is not confidential if the information is collected or produced as part of an investigation conducted under this policy and disclosing the information would interfere with an ongoing investigation.
- c. Authorized Disclosure of Information. Confidential information and information that is protected from disclosure under this policy may be released:
 - 1.) with the written and signed consent of the individual whose identity would be disclosed;
 - 2.) to law enforcement agencies or prosecutors;

- 3.) to federal and state agencies responsible for investigating Sexual Misconduct or retaliation;
- 4.) to notify a Complainant and Respondent of the outcome of an investigation, including sanctions imposed for violating this policy;
- 5.) to allow the UNTHSC to take effective protective measures; or
- 6.) as required by lawfully issued subpoena or otherwise authorized by law.

Responsible Party: UNTHSC.

3. False Reports. Any individual who makes a false report under this policy is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation determines the allegation was not substantiated.

Responsible Party: Reporting Party.

4. Investigation of Allegations and Interim Measures.

- a. Reviewing Reports. Allegations of Sexual Misconduct and retaliation, reviewed by the System Office of Equity, Diversity and Inclusion shall include a determination of whether an investigation should be conducted regardless whether a written complaint is filed. Reports of Sexual Misconduct and retaliation made directly to law enforcement officials do not have to be reported to the System Office of Equity, Diversity and Inclusion for review. In addressing reports of Sexual Misconduct and retaliation, law enforcement will determine whether to notify the System Office of Equity, Diversity and Inclusion. The System Office of Equity, Diversity and Inclusion shall consult the complainant of the alleged offense, if the individual's identity is known, before recommending interim remedial measures or before initiating an investigation. This consultation must include informing the individual that:

- 1.) she or he may file a criminal complaint with law enforcement officials at any time;
- 2.) the UNTHSC has an obligation to remediate Sexual Misconduct and that an investigation may be conducted whether a criminal complaint is filed;
- 3.) the UNTHSC can take measures to protect against continued misconduct and retaliation;
- 4.) voluntary withdrawal of an allegation will not necessarily result in termination of an investigation; and
- 5.) she or he should contact the System Office of Equity, Diversity and Inclusion if retaliation is suspected.

- b. Interim Measures to Protect Complainants, Respondents, and Other Individuals. UNTHSC may take administrative action to protect the Complainant, the Respondent, and any other individual against prohibited conduct or allegations,

or to ensure the prompt and efficient completion of an investigation. Interim measures are not disciplinary in nature and must be consistent with other UNTHSC policies. Interim measures may be initiated only after consultation with Human Resources, the Office of General Counsel, and the Title IX Coordinator, as appropriate, and may include but are not limited to placing the faculty or staff employee who is accused of violating this policy on administrative leave with pay, temporarily modifying work schedules and assignments, and suspending business relationships.

- c. Investigating Reports. All allegations of Sexual Misconduct and retaliation that the System Office of Equity, Diversity and Inclusion determines to be credible, shall be investigated promptly. If the Complainant of the alleged offense asks the UNTHSC not to investigate or to delay investigating the allegation or that the person who allegedly violated the policy not be notified of the allegation, the System Office of Equity, Diversity and Inclusion shall inform the individual, in writing, of the UNTHSC's obligation to meaningfully investigate and respond appropriately to the allegation and that honoring the request could compromise its ability to do so. In determining whether the request can be granted, the System Office of Equity, Diversity and Inclusion shall consider the following factors:
- 1.) the seriousness/nature of the allegation;
 - 2.) whether the alleged behavior or conduct presents a threat to individuals other than the person who is making the request;
 - 3.) whether effective measures can be put in place to protect the individual against continued physical or psychological harm or retaliation;
 - 4.) whether delaying an investigation could reasonably result in the destruction or deterioration of potential evidence to corroborate or refute the allegation; and
 - 5.) any other information that has a reasonable bearing on the decision.

Individuals will be informed in writing if the request to not take or to delay action is not granted. The notice should include the factors considered in making the decision.

- d. Obligation to Participate in Investigations Under this Policy. Individuals are expected to be cooperative in investigations conducted under this policy, and any person who knowingly interferes with an investigation is subject to disciplinary sanctions. Interference with an investigation includes, but is not limited to:
- 1.) Attempting to coerce, compel, or prevent an individual from providing information related to the investigating;
 - 2.) Removing, destroying, or altering information that relates to the investigation; or
 - 3.) Providing false or misleading information in the course of an investigation or encouraging others to do so.

Responsible Party: System Office of Equity, Diversity and Inclusion, Title IX Coordinator, Employee(s)

5. Procedures for Grievance and Review of Reports.
 - a. Timeline and Notifications. Investigations will be completed within a reasonable time, generally not to exceed 45 days except in exceptional circumstances as determined by the System Office of Equity, Diversity and Inclusion.
 - b. Procedures for Resolving Complaints of Sexual Misconduct or Retaliation Involving a Student. The Title IX Coordinator is responsible for investigating reports of Sexual Misconduct and retaliation involving students. The Family Educational Rights and Privacy Act (FERPA) do not protect student employees who, pursuant to this procedure, are named Respondents. When the alleged offender is an employee, visitor, or individual acting on behalf of or doing business with UNTHSC, the Title IX Coordinator must consult with the System Office of Equity, Diversity and Inclusion prior in advance of issuing a report.
 - c. Procedures For Pursuing and Resolving a Complaint of Sexual Misconduct or Retaliation Not Involving a Student (includes Employee, Visitor, or Individual Acting on Behalf of or Doing Business with UNTHSC):
 - 1.) The Complainant and Respondent shall receive notice of the allegation and periodically be informed of the status of the review or investigation.
 - 2.) The System Office of Equity, Diversity and Inclusion shall prepare a written report setting out the findings of the investigation and whether the Respondent violated this policy.
 - 3.) The Complainant, Respondent, and the Respondent's supervisor(s) (when the Respondent is an employee) shall be notified, in writing, of the System Office of Equity, Diversity and Inclusion's findings and determination, and be provided a summary of the investigation within five (5) business days after the report of investigation is completed. The Associate Vice Chancellor of Human Resources will determine whether another UNTHSC official will be notified when the Respondent is a visitor or person acting on behalf of UNTHSC.
 - 4.) Respondents found to have violated this policy may request a review of the findings and determination from the Associate Vice Chancellor of Human Resources.

- 5.) A request for review must be submitted to the reviewing official within five (5) business days from the date of the notice. The request must include the reason(s) for the review and provide any new information the individual wishes the reviewing official to consider. The decision of the reviewing official regarding the finding and determination is final.
- 6.) Staff employees found to have violated this policy may file a grievance under policy 5.903, Employee Grievance Policy concerning any disciplinary action taken as a result of the investigation.
- 7.) Faculty members, other than Teaching and Graduate Fellows and Teaching and Graduate Assistants, found to have violated this policy may file a grievance concerning any disciplinary action taken as a result of the investigation in accordance UNTHSC Faculty bylaws and policies. Teaching and Research Fellows and Teaching and Research Assistants may use the staff grievance process.

Responsible Party: Complainant, Respondent, System Office of Equity, Diversity and Inclusion, Associate Vice Chancellor of Human Resources.

6. Record Retention. Unless otherwise required by state law or UNTHSC's Records Retention Policy(ies), records of complaints and investigations will be confidentially maintained by the UNTHSC records management group and discarded after 10 years unless other incidents occur within the 10 years. In all cases, access to complaint and investigation records is strictly limited to those UNTHSC officials directly investigating or adjudicating a complaint or implementing a complaint resolution, unless otherwise compelled by law.

Responsible Party: Records Retention Office.

7. Education and Resources.

- a. New Employee Education and Training. New employees shall receive training on the UNTHSC's Title IX program and this policy no later than the 30th day after employment. At a minimum, training must include: obligations under Title IX, Title VII, the Violence Against Women's Act and this policy; the name and contact information for the Title IX Coordinator, the procedures for reporting Sexual Misconduct and other violations of this policy; UNTHSC's prevention and awareness program and ongoing prevention and awareness campaigns; the rights of individuals who report being a complainant of sexual violence regardless whether the offense occurred in the workplace; and the availability of interim measures to protect against continued violations of this policy and all remedies, including civil action, for violations Title VII and Title IX.

- b. Supplemental Education and Training. Every employee is individually responsible for completing the training described in subparagraph A of this section every two years.
- c. Record and Notification of Education and Training. Supervisors are responsible for ensuring employees under their supervision are in compliance with the education and training requirement and certifying to the Title IX Coordinator when each employee completes requirement.
- d. Enforcement of Training Responsibilities. An employee who fails to complete education and training as required under this section may be subject to discipline according to applicable UNTHSC policy(ies) .
- e. Resources and Services. The experience of sexual violence has different meanings for each person. Prompt intervention can help to lessen the trauma and enhance healing. Resources and services can be found on the UNTHSC’s Sexual Assault Support web page.

Responsible Party: Employee(s).

- 8. Sanctions and Legal Implications. Any violation of this policy may result in sanctions imposed by UNTHSC or federal or state authorities, or legal action.
 - a. UNTHSC Imposed Sanctions. Any individual who violates this policy is subject to disciplinary action, including but not limited to: involuntary termination of employment; revocation of tenure for moral turpitude or gross neglect of academic responsibilities; expulsion from the UNTHSC; and termination of a business relationship, the privilege to come onto UNTHSC property or to participate in its programs and activities. Sanctions imposed for violating this policy must be reported to the System Office of Equity, Diversity and Inclusion.
 - b. Federal or State Sanctions. Federal or State agencies may impose fines and other sanctions against the UNTHSC for violations of federal or state anti-harassment laws.
 - c. Civil Action. Individuals may take court action against individuals and UNTHSC that could result in financial liability.
 - d. Criminal Sanctions. Sex harassment by a public servant is a criminal offense under Texas law and could result in imprisonment.

Responsible Party: Human Resources.

References and Cross-references.

Family Educational Rights and Privacy Act

Texas Education Code §51.971

UNTHSC 5.903 Employee Grievance Policy

Approved:

Effective:

Revised:

The University of North Texas at Dallas Policy Manual	Chapter 7
7.021 Prohibiting Sexual Harassment, Sexual Misconduct and Retaliation	Student Affairs

I. Policy Statement

The University of North Texas at Dallas is committed to maintaining a safe, educational environment that is conducive to students achieving their full potential and that allows all students to fully participate in the benefits and privileges UNTD has to offer, free from sexual harassment, sexual misconduct, and domestic and dating violence, and free from retaliation for assisting in maintaining this environment. Conduct that is inconsistent with this commitment is unacceptable at any location, program, or activity associated with the University.

II. Application and Scope

This policy applies to all students, applicants for admission, and student organizations at any location, program or activity associated with the University of North Texas at Dallas. The University may take action when conduct that is prohibited under this policy occurs off-campus and adversely affects or has a reasonable likelihood of adversely affecting the academic environment and as otherwise permitted under the Code of Student Conduct.

III. Definitions

1. Code of Student Conduct (“the Code”). Standards of conduct established to convey expectations of behavior at the University of North Texas at Dallas and procedures established to provide a full and fair opportunity for review of alleged student misconduct.
2. Complainant. An individual who may have been the subject of conduct prohibited under this policy regardless whether she or he reports the conduct.
3. Confidential Employee. A University of North Texas at Dallas employee who is not obligated to disclose reports of sexual misconduct as required under this policy based on the requirement of the employee’s professional licensure and the nature of her or his official responsibilities with the University. Confidential Employee, as defined in this policy, includes but is not limited to licensed

professional mental health counselors and health care professionals working in those capacities for the University and the employees they supervise, sexual assault advocates as defined in section 420.071 of the Texas Government Code, and attorneys and employees in the UNT System Office of General Counsel. Faculty, staff and other employees who are licensed mental health workers, licensed medical workers, or licensed attorneys but who are not employed in that capacity by the University, such as faculty members in psychology, social work, nursing, etc., are not Confidential Employees under this policy.

4. Consent. Words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be gained by force, coercion, manipulation, threats, or by taking advantage of the incapacitation of another when the student knows or reasonably should have known of such incapacity by use of alcohol or drugs. Consent is absent when the activity in question exceeds the scope of previously given consent. Consent may be revoked at any time.
5. Dating Violence. A physical act perpetrated against a person's will by a person who is or has been in a social relationship of a romantic or intimate nature with the Complainant.
6. Days. "Days" means calendar days unless otherwise stated in this policy.
7. Domestic Violence. An act of violence committed against a family member, a household member, a current or former spouse, a child of a current or former spouse, a person with whom the Respondent has a child or children, a child of the Respondent, a family member of the Respondent by blood, marriage or adoption, or someone with whom the Respondent lives.
8. Employee. An individual who is employed part-time, full-time, or in a temporary capacity as faculty or staff, or an individual who is required to be a student as a condition of employment.
9. Gender. An individual's socially-constructed status based on the behavioral, cultural, or psychological traits typically associated with societal attribution of masculinity and femininity, typically related to one's assigned sex at birth.
10. Gender Expression. The manner in which an individual expresses gender through appearance, behavior, or mannerisms; whether the person's expression is same as the individual's gender identity or the sex the individual was assigned at birth.
11. Gender Identity. The gender with which an individual identifies psychologically, regardless of the sex the individual was assigned at birth.
12. Greater Weight of the Evidence. The amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Greater weight of the evidence also is referred to as the preponderance of the evidence
13. Good Faith. A reasonable belief that reported conduct or behavior is a violation this policy. Good faith is based on the reporting individual's education, training, and experience.

14. No-Contact Order. An administrative directive issued by an authorized official of the University of North Texas at Dallas that prohibits contact or communication between two or more individuals or between an individual and an organization.
15. Notice of Complaint. The initial document in the student disciplinary process that notifies a student of alleged misconduct and of the obligation to meet with the Dean of Students to discuss a possible violation of the Code of Student Conduct and potential sanctions.
16. Reconsideration. An opportunity for a student to present new information to a Conduct Officer in order to modify a finding of misconduct and/or a disciplinary sanction imposed through the conduct process.
17. Respondent. An individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless whether a formal complaint is made.
18. Retaliation. Any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an individual's educational or other relationship with the University, or an employee's term or condition of employment, including compensation, promotion, transfer, work assignment, or performance evaluation.
19. Sexual Assault. The intentional or knowing penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without consent of the Complainant. The term sexual assault also is referred to as rape.
20. Sexual Contact. The touching of the body parts of another person for the purpose of sexual gratification without consent.
21. Sexual Harassment. Unwelcome conduct of a sexual nature, whether toward a person of the same or opposite sex, such as unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature, disparagement of members of one sex, or other conduct of a sexual nature, even if said in a joking manner, when:
 - a. submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual's education;
 - b. submission to or rejection of such conduct is used as the basis for or as a factor in a decision affecting an individual's education; or
 - c. the conduct, even if it is infrequent or not severe, is such that the individual who is subjected to the conduct and a reasonable student would find that the conduct has the purpose or effect of interfering with a student's academic or professional performance or creates an intimidating, hostile or offensive educational or work environment.

Sexual harassment takes many forms; examples of which include but are not limited to:

- a. sexual exploitation of a relationship between individuals of unequal power and authority,
- b. sexual exploitation of a relationship between peers and students that could affect the workplace or educational environment,
- c. repeated and unwanted requests for dates, sexual flirtations, or propositions of a sexual nature,
- d. subtle pressure for a sexual relationship,
- e. sexual remarks about a person's clothing, body or sexual activities,
- f. nonconsensual touching, patting, hugging, or brushing against a person's body,
- g. direct or implied threats that submission to sexual advances will affect or be a condition of employment, work status, grades, or letter of recommendation,
- h. physical or sexual assault or sexual violence,
- i. conduct of a sexual nature that causes humiliation or discomfort, such as use of inappropriate terms of address,
- j. sexually explicit or sexist comments, questions or jokes, and
- k. conduct of a sexual nature that creates a hostile work or educational environment.

22. Sexual Misconduct. For purposes of this policy “sexual misconduct” means sexual assault, sexual contact, or any form of nonconsensual sexual conduct other than sexual harassment.

23. Sexual Orientation. The inclination of one’s intimate, emotional or sexual interests toward a member of the same, opposite or both sexes.

24. Stalking. A course of conduct directed at a specific person that would cause a reasonable person to fear for the person’s safety or the safety of others, or to suffer substantial emotional distress. A course of conduct means two or more acts in which a person directly, indirectly or through another person, by any action, method, device or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person or interferes with a person’s property.

25. Student. An individual who has applied for admission or readmission to the University of North Texas at Dallas, who is registered or enrolled in one or more courses for credit at the University; or who currently is not enrolled but has a continuing academic relationship with the University.

26. Title IX Coordinator. University of North Texas at Dallas employee designated by the President to implement, monitor, and enforce the University’s Title IX program. In this policy, reference to the Title IX Coordinator also means the Coordinator’s designee.

27. Unwelcome Conduct. Behavior or conduct that is not implicitly or explicitly invited by a person and that the person regards as undesirable or offensive at the time the behavior or conduct occurred.

IV. Reporting

The University of North Texas at Dallas has established procedures that are sensitive to students who report sexual harassment, sexual misconduct, domestic and dating violence, stalking, or retaliation. The University strongly encourages all students to report behavior they believe violates this policy.

1. Reporting Sexual Misconduct

- a. Sexual Violence. A student who believes the threat of sexual violence is imminent should immediately call 911. A student may file a police report with campus police for sexual violence occurring on campus or with local police for sexual violence occurring off campus.
- b. Dean of Students. A student may report a suspected violation of this policy to the Dean of Student and contact the office for assistance. If the Respondent is a student, the Dean of Students will consider whether the alleged conduct violated the Code.
- c. Title IX Coordinator. A student may report a suspected violation of this policy to the Title IX Coordinator, located in Dean of Student's office. The Title IX Coordinator will monitor and be regularly updated on any investigation conducted by the Dean of Students or interim protective measures put in place. The Title IX Coordinator is responsible for informing the student of the right to file criminal charges; and for informing the student of the availability of counseling and mental health resources, survivor advocacy, legal assistance, visa and immigration assistance, and other resources on and off campus. The Title IX Coordinator also will inform the student of measures that can be taken to prevent contact with the suspected Respondent.
- d. Anonymous Reporting. Students or any individuals who wish to remain anonymous may report a suspected violation of this policy to the UNT System Compliance Hotline.

2. Protection against Retaliation. Retaliation against a student or any person who reports or encourages another to report sexual harassment, sexual misconduct, domestic or dating violence, or retaliation; who participates in an investigation conducted under this policy; or who seeks assistance or guidance from any University or external official to resolve a suspected violation of this policy is strictly prohibited.

V. False and Bad Faith Reporting

Any student who makes a false report under this policy or who makes a report in bad faith is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation determines the allegation was not substantiated.

VI. Anonymity and Confidentiality

1. Anonymity.

- a. The University shall make every effort to protect from disclosure the identity of a student who makes a report under this policy regardless whether the student ask for her or his

identity to be protected. If the Complainant asks that her or his identity not be disclosed or that the complaint not be pursued, the University will take reasonable steps to comply with the request as long as doing so does not prevent the University from responding effectively under this policy. The Complainant will be informed that such a request may limit the University's ability to respond to the report and that anonymity in the student conduct process cannot be assured.

- b. The Title IX Coordinator will evaluate the Complainant's request for anonymity along with the University's responsibility to provide a safe and respectful environment for all students. In determining whether a request can be granted, the Title IX Coordinator will consider:
 - i. the seriousness and nature of the allegation;
 - ii. whether the alleged behavior or conduct presents a threat to individuals other than the student who makes the request;
 - iii. whether effective measures can be put in place to protect the student against continued physical or psychological harm or retaliation;
 - iv. whether delaying an investigation could reasonably result in the destruction or deterioration of potential evidence to prove or disprove the allegation; and
 - v. any other information that reasonably could influence the decision.

2. Confidentiality.

The University values the privacy of its students and will not disclose information more broadly than necessary to respond appropriately under this policy and as required by law and Regents Rules, which may impose obligations on employees to disclose reports of sexual harassment or sexual misconduct made to them. When obligated to disclose information, University faculty and staff will do so only on as necessary to fulfill their official responsibilities.

VII. University Response and Interim Measures

1. University Response to Complainant.

Upon becoming aware that a student has been sexually harassed or a victim of sexual misconduct, domestic or dating violence, or stalking, and depending on when the University receives a report, the Title IX Coordinator will:

- a. provide the Complainant with information regarding access to medical care;
- b. provide the Complainant with referrals to on and off campus mental health resources;
- c. assess any immediate safety needs the Complainant may have;

- d. assist the Complainant contact campus or local police, if desired;
- e. review with the Complainant whether she or he wants to remain anonymous and the steps the University can take to protect anonymity and confidentiality;
- f. inform the student that she or he is not required to file a complaint but that the University may be required to investigate the allegation(s);
- g. inform the Complainant of the right to file a complaint with the Title IX Coordinator and with the U.S. Department of Education Office of Civil Rights;
- h. assess the need to implement interim or long-term protective measures;
- i. provide the Complainant a copy of the Code and this policy, and inform the Complainant about timeframes for review or investigation, and resolution;
- j. explain to the student that in addition to being interviewed by the designated University official, she or he may provide a written statement; and
- k. take steps to protect the Complainant and others against retaliation as necessary.

2. University Response to Respondent.

Upon receipt of a report that a student may have violated this policy, the University will:

- a. notify the Respondent, in writing, of the existence and general nature of the allegation(s) and this policy;
- b. provide the Respondent a copy of the Code and this policy and inform the Respondent about timeframes for review or investigation, and resolution;
- c. provide the Respondent sufficient information, consistent with federal and state privacy laws, to respond to the allegation(s);
- d. explain to the Respondent that in addition to being interviewed by the designated University official, she or he may provide a written response to the allegation(s); and
- e. inform the Respondent that retaliation against the Complainant or any individual participating in an investigation will not be tolerated and can result in immediate disciplinary action.

3. Interim Measures.

The Title IX Coordinator, in consultation with the Dean of Students and other University officials or faculty, as appropriate, may coordinate action to protect the Complainant, the Respondent, and any other student against conduct prohibited under this policy or further allegations of misconduct. Interim measures also may be taken to ensure the prompt and efficient completion of an investigation and resolution of the allegation(s). Interim measures are not disciplinary in nature and must be consistent with other University policies. These measures may include but are not limited to changes in class schedules, issuance of a no-contact directive to one or more students or student organizations, and issuance of a no trespass directive as appropriate.

Responsible Party: Title IX Coordinator

VIII. University and Off-Campus Resources.

Prompt intervention can help lessen the trauma that results from sexual violence and facilitate healing. In addition to the resources and services listed in this policy, other information to assist students who experience sexual violence can be found on the University webpage at

<http://www.untdallas.edu/osa/titleix>

1. On-Campus Resources.

Counseling and Wellness Services
972-338-1779

UNT Dallas Student Affairs
Founder's Hall, Suite 200
972-338-1775

UNT Dallas Police Department
7400 University Hills Blvd.
972-780-3000

Title IX Coordinator
Founder's Hall Suite 200
972-338-1775

2. Off-Campus Resources.

Parkland Hospital
5201 Harry Hines
Dallas, TX 75235
214-590-8000

Baylor Hospital (Dallas)
3500 Gaston Ave.
Dallas, TX 75246

214-820-0111

Charlton Methodist Hospital
3500 W. Wheatland
Dallas, TX 75237
214-947-7777

Genesis Women's Center
4411 Lemmon Ave. #201
Dallas, TX 75219
24-Hour Hotline: 214-946-HELP

Dallas Area Rape Crisis Center
972-641-7273

Responsible Party: Title IX Coordinator

IX. Investigation and Resolution

1. Timeline and Notifications.
 - a. The University will take timely action to stop behavior prohibited under this policy and take appropriate action to prevent recurring misconduct.
 - b. The Title IX Coordinator will notify the Dean of Students upon receipt of a report that a student is suspected of violating this policy. When the Respondent is an employee, the Title IX Coordinator will notify Human Resources. Likewise, the Dean of Students will notify the Title IX Coordinator of any report of a violation of this employee. Both the Dean of Students and Title IX coordinator will coordinate with campus law enforcement as appropriate.
 - c. The Title IX Coordinator will resolve allegations made under this policy within a reasonable time, generally not to exceed forty-five (45) days from receiving a report of sexual misconduct, domestic or dating violence, stalking or retaliation except in exceptional circumstances as determined by the Title IX Coordinator.
 - d. The Title IX Coordinator will notify the Respondent of the report within five (5) days of becoming aware of the allegation(s).
 - e. The Title IX Coordinator will update the Complainant and Respondent on the status of the investigation regularly.
 - f. A criminal complaint or investigation will not preclude the University from taking interim measures, initiating an investigation, or taking other appropriate action necessary to resolve a complaint made under this policy.

2. Review of Allegations and Possible Sanctions.
 - a. Mandatory Review of Reports. The Title IX Coordinator will review all allegations of sexual harassment, sexual misconduct, domestic and dating violence, stalking, and retaliation to determine whether an investigation should be conducted regardless whether a written complaint is made. If an investigation is determined to be necessary, the Title IX Coordinator will investigate reports where the Complainant is a student.
 - b. Sanctions. A student determined to have violated this policy may be placed on disciplinary probation, suspended, expelled, issued a no-contact directive, or trespassed from campus. In addition, conduct prohibited under this policy may result in criminal charges and civil action.
3. Investigation.
 - a. Prompt, Fair and Equitable Investigation and Resolution. The Title IX Coordinator will assure a prompt, fair, and equitable investigation and resolution, and the Respondent and Complainant will be given the same opportunity to participate in an investigation conducted under this policy.
 - b. Standard of Proof. The greater weight of the evidence standard will be used in determining whether this policy has been violated.
4. Termination of Investigation without Finding Policy Violation.
 - a. Termination of an Investigation. At any point during the investigation the Title IX Coordinator may determine that there is no basis to proceed with an investigation under this policy. In this instance, the Title IX Coordinator will notify the Complainant and the Respondent of the decision and explain the reason for ending the investigation. The notice must be in writing and consistent with applicable privacy laws. When the Respondent is an employee the Title IX Coordinator also will notify Human Resources.
 - b. Review of Decision to Terminate an Investigation. The Complainant may request review of the decision to end an investigation. A request for review must be submitted in writing, generally within ten (10) days after receiving notice of the decision. If a request for review is made, the Respondent will be informed and given an opportunity to provide information before a decision is made whether to reopen the investigation. If the Respondent is a student, the request will be reviewed by the Dean of Students. If the Respondent is an employee, the request will be reviewed by the Associate Vice Chancellor for Human Resources or designee. The decision of the reviewing official is final.
 - c. Notice of Decision on Request to Reopen an Investigation. The Complainant and Respondent will be notified, in writing, of the decision whether to reopen an investigation. If an investigation is not reopened, the Title IX Coordinator will inform the Complainant

that a complaint may be filed with the U.S. Department of Education Office of Civil Rights and provide the student contact information for the agency.

5. Finding that the Policy was Violated.

- a. Informing Departments on Campus. The Title IX Coordinator will inform the Dean of Students when a student is determined to have violated this policy, and Human Resources when an employee is found to have engaged in prohibited conduct.
- b. Responsibility for Notifying the Respondent. The Title IX Coordinator will notify the Respondent of the outcome of the investigation. The notice shall include:
 - i. a summary of the investigation;
 - ii. the specific section of the Code or applicable University policy that was violated;
 - iii. possible sanctions for violating this policy;
 - iv. that the alleged misconduct will be resolved under the Code or applicable University faculty or staff policy; and
 - v. the date by which a student must meet with the Dean of Students to discuss the alleged misconduct, when applicable.
- c. Responsibility for Notifying the Complainant. The Title IX Coordinator will notify the Complainant of the outcome of the investigation. When applicable, the notice shall include:
 - vi. a summary of the investigation;
 - vii. notice of the pending student conduct proceeding; and
 - viii. information about the opportunity to participate in the student conduct proceeding.

Responsible Party: Title IX Coordinator

X. Procedure for Resolving a Finding of Sexual Violence or other Sexual Misconduct

1. Notifying the Respondent of Possible Misconduct. The Dean of Students will send the Respondent a Notice of Complaint and hold an informal conference with the Respondent no more than two (2) days from the date an investigation determines the student has violated this policy. Dates may be extended at the discretion of the Dean of Students in the interest of fairness.
2. Notice and Participation of the Complainant. The Dean of Students will meet with the Complainant within the same timeframe as the Respondent and allow the student to respond to information provided by the Respondent, including the names of possible witnesses, documents, and any other information that may assist in determining whether the Respondent violated the Code.

3. Opportunity to Have Advisor. Both the Respondent and Complainant may be accompanied by an individual of her or his choosing during any proceeding related to the conduct process. Any individual who accompanies a Respondent or Complainant may be present during proceedings but may not speak for or on behalf of the student. If a Respondent is accompanied by an attorney, an attorney from the UNT System Office of General Counsel may attend. The Respondent must notify the Dean of Students at least two (2) days prior to the conference if he or she will be accompanied by an attorney. Conduct proceedings conducted pursuant to this policy will not be delayed due to the inability of the Respondent's attorney or other advisor to attend a scheduled conduct proceeding
4. Evidence of Prior Sexual Activity. Information about prior sexual activity of the Complainant or Respondent may not be introduced into any conduct proceeding except for past sexual activity between the students that directly relates to the incident in the Notice of Complaint.
5. Evidence of Voluntary Intoxication. Information concerning alcohol or drug use by the Respondent at the time of the incident may not be offered as a defense and will not be considered a mitigating factor.
6. Standard of Proof. The greater weight of the evidence standard will be applied in determining whether a student violated the Code.
7. Conducting the Hearing. Reviews are not open to the public. The Complainant may make a presentation in person or by alternate means and may not be cross-examined by the Respondent directly. Alternate means may include appearance by telephone or close circuit technology or presentation behind a screen to avoid contact with the Respondent as determined by the Chairperson. Only the voting members of the Committee may participate in deliberations. The Chairperson is responsible for preparing the Committee's findings and conclusions.
8. Notifying Respondent and Complainant of Finding and Sanction(s). The Dean of Students will notify the Respondent and the Complainant of the findings and any sanctions imposed, in writing and on the same day. The notice will include the section of the Code that was violated, any sanctions imposed, and the procedures for appealing the findings and sanctions. All notices must comply with the requirements of the Family Education Rights and Privacy Act.
9. Review of Finding or Sanction by the Committee on Student Conduct. If the Dean of Students determines that a Respondent has violated this policy and assigns a sanction of disciplinary probation, suspension or expulsion, the student may request a review of the determination and sanctions by the Student Conduct Committee. The Respondent must submit a request for review to the Vice Provost for Academic Excellence within three (3) days after being informed of the findings and any sanctions.
10. Notice of Hearing. The Dean of Students will notify the Respondent and Complainant of the date, time and location of the conduct hearing.
11. Objecting to Members of the Committee. The Respondent and Complainant may request that an individual not serve on the Committee based on a concern about the person's ability to be

objective and unbiased. The request must be in writing and must provide the reason(s) the student believes the individual should not serve on the Committee. The request may be made at any time prior to the start of the hearing. The Chairperson of the Committee will decide whether to grant the request, and his or her decision is final. If a request is granted and the number of members present falls below five (5), the Chairperson will select another individual to serve on the Committee.

12. Disclosing Final Results of Disciplinary Proceeding. The Dean of Students will notify the Respondent and Complainant of the final results of the hearing in writing. The notice must include a summary of the findings, regardless whether the Respondent is found to have violated this policy, and the reason(s) for the decision. The Dean of Students may disclose the final results of a conduct proceeding to other individuals if the University determines the Respondent violated the Code by committing a crime of violence or a non-forcible sex offense, including sexual misconduct, domestic or dating violence, or stalking.

Responsible Party: Dean of Students/Vice President for Student Affairs

XI. Education and Training

1. Campus-Wide Training. The University has developed programs to educate students about the nature, effect and prevention of sexual violence. In addition, these programs inform students about how to respond to sexual violence on and off campus, the importance of preserving evidence to assist in the successful prosecution of sex crimes, the role a bystander can play in preventing sexual misconduct, and resources available to survivors of sexual misconduct, domestic and dating violence, and stalking. All students are encouraged to participate in these programs. Student organizations are required to participate in a minimum of one program each semester and are encouraged to make information about crime prevention readily available to their members.
2. Required Education for Freshmen and Transfer Students. Each entering freshman and student who transfers to an undergraduate degree program must attend a prevention of sexual misconduct education program during the first semester or term she or he enrolls in the University. In addition to covering the topics described in the subsection above, the program must include information about each component of this policy.
3. Required Training for Individuals Responsible for Investigating Complaints. University employees responsible for investigating complaints related to sexual harassment, sexual misconduct, and retaliation are required to participate in training concerning conducting competent investigations before conducting any investigations under this policy and attend training a minimum of once every year thereafter. The Title IX Coordinator, in consultation with the UNT System Office of General Counsel, will review the curriculum to ensure it satisfactorily covers Title IX, related laws, and this policy.
4. Training for Individuals Involved in the Student Conduct Process. University employees with responsibilities for resolving alleged violations of this policy are required to participate in training before performing any of their responsibilities and once every year thereafter. The

Title IX Officer, in consultation with the UNT System Office of General Counsel, will review the curriculum to ensure it satisfies the requirements of Title IX, covers this policy, and addresses the standard for providing a fair and respectful process and for protecting confidentiality under state and federal laws.

5. Policy Awareness and Publication. This policy shall be included in the student handbook and may be published in any other document as determined by the Vice Provost for Academic Excellence or designee. Also, this policy shall be published on a University webpage dedicated solely to this policy.

References:

- a. Family Education Rights and Privacy Act, 20 U.S.C § 1232g
- b. UNTD Policy 7.001 Code of Student Conduct
- c. UNTD Policy 12.001 Timely Warning
- d. U.S. Department of Education, Office of Civil Rights, Dear Colleague Letter, April 4, 2011
- e. Texas Education Code, §51.9363 (House Bill 699)
- f. Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681 et seq.

The University of North Texas at Dallas Policy Manual	Chapter 5
5.036 Prohibition of Sexual Misconduct and Retaliation	Human Resources

I. Policy Statement

The University of North Texas at Dallas is committed to maintaining safe and respectful work and educational environments that are conducive to students, faculty and staff achieving their full potential and that allow all individuals to fully participate in the benefits and privileges UNT Dallas has to offer – free from sexual misconduct or retaliation for assisting UNT Dallas in maintaining these environments. Conduct that is inconsistent with this commitment, even if it is infrequent or not severe, is unacceptable at any location, program or other activity associated with UNT Dallas.

II. Application and Scope

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

III. Definitions

1. Complainant. An individual who may have been the subject of conduct prohibited under this policy regardless whether she or he reports the conduct.
2. Consent. Consent. Words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be obtained by force, coercion, manipulation, threats, or when an individual administers any substance to another person, without the person’s knowledge, that intentionally impairs the ability of the person to voluntarily consent. Consent is absent when the sexual activity in question exceeds the scope of previously given consent. Consent may be revoked at any time.
3. Days. Days shall mean calendar days unless otherwise stated in the policy.
4. Employee. An individual who is employed part-time, full-time, or in a temporary capacity as faculty, staff, or individuals who are required to be students as a condition of their employment.
5. Faculty. A person whose primary responsibilities at UNT Dallas are teaching, research or creativity activity, and service, including professional librarians. For purposes of this policy, this definition also includes Teaching Fellows and Teaching Assistants except where otherwise stated in this policy.

6. Gender. An individual's socially-constructed status based on the behavioral, cultural, or psychological traits typically associated with societal attribution of masculinity and femininity, and typically related to one's assigned sex at birth.
7. Gender Expression. The manner in which an individual expresses gender through appearance, behavior, or mannerisms, whether the person's expression is the same as the individual's gender identity or the sex the individual was assigned at birth.
8. Gender Identity. The gender with which an individual identifies psychologically, regardless of the sex the individual was assigned at birth.
9. Good Faith. A reasonable belief that the reported conduct was prohibited under this policy. Good faith is based on the reporting individual's education, training, and experience.
10. Preponderance of the Evidence. The amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Preponderance of the evidence is also referred to as the greater weight of the evidence.
11. Respondent. An individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless of whether a formal complaint has been made.
12. Retaliation. Any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an employee's term or condition of employment, including compensation, promotion, transfer, work assignment, or performance evaluation.
13. Sexual Assault. The intentional or knowing penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without consent of the complainant. The term sexual assault also is referred to as rape.
14. Sexual Harassment. Unwelcome conduct of a sexual nature, such as unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature, disparagement of members of one sex, or other conduct of a sexual nature, even if said in a joking manner, when:
 - a. submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual's employment or educational environment;
 - b. submission to or rejection of such conduct is used as the basis for or as a factor in a decision affecting an individual's employment or educational environment;or
 - c. the conduct, even if it is infrequent or not severe, is such that the individual who is subjected to the conduct and a reasonable employee would find that the conduct has the purpose or effect of interfering with an individual's academic or professional performance or creating an intimidating, hostile or offensive employment or educational environment.

Sexual harassment takes many forms; examples of conduct that might be considered sexual

harassment under this policy include but are not limited to:

- a. sexual exploitation of a relationship between individuals of unequal power and authority;
- b. sexual exploitation of a relationship between peers and students that could affect the workplace or educational environment;
- c. repeated and unwanted requests for dates, sexual flirtations, or propositions of a sexual nature;
- d. subtle pressure for a sexual relationship;
- e. sexual remarks about a person's clothing, body or sexual activities;
- f. nonconsensual touching, such as grabbing, patting, hugging, or brushing against a person's body;
- g. direct or implied threats that submission to sexual advances will affect or be a condition of employment, work status, grades, or letter of recommendation;
- h. physical or sexual assault or sexual violence;
- i. conduct of a sexual nature that causes humiliation or discomfort, such as use of inappropriate terms of address;
- j. sexually explicit or sexist comments, questions or jokes; and
- k. conduct of a sexual nature that creates a hostile work or educational environment.

Conduct constituting sexual harassment, as defined herein, toward another person of the same or opposite sex is prohibited by this policy.

15. Sexual Misconduct means sexual assault, sexual harassment, domestic violence, stalking, or any form of nonconsensual sexual conduct.
16. Sexual Orientation. The inclination of one's intimate, emotional, or sexual interest toward a member of the same, opposite or both sexes.
17. Student. An individual who has applied for admission or readmission to UNT Dallas; who is registered/enrolled in one or more courses for credit at UNT Dallas; or who currently is not enrolled at UNT Dallas but has a continuing academic relationship with UNT Dallas.
18. Title IX Coordinator. UNT Dallas employee designated by the President to implement, monitor, and enforce the UNT Dallas' Title IX program. In this policy, reference to the Title IX Coordinator also means her or his designee.
19. Unwelcome Conduct. Behavior or conduct that is not implicitly or explicitly invited by a person and the person regards the behavior or conduct to be undesirable or offensive at the time the behavior or conduct occurred.

IV. Reporting

A. Reporting Sexual Misconduct

- i. Law Enforcement An individual who believes she or he is in imminent danger of harm of a sexual nature should immediately call 911, the University's police department or local law enforcement officials. A person may file a police report with campus police for conduct occurring on campus or with local police for conduct occurring off campus.

- ii. System Office of Equity, Diversity, and Inclusion. An individual who believes she or he has been subjected to sexual misconduct should immediately report the conduct to her or his immediate supervisor, unless that person is the one alleged to have engaged in the harassment, and to the System Office of Equity, Diversity, and Inclusion or the Title IX Coordinator.
- iii. Title IX Coordinator. A student who believes she or he has been subjected to sexual misconduct should immediately report the conduct to the Office of the Dean of Students (Title IX Coordinator). Reports will be confidential as set out in this policy.
- iv. Hotline. Individuals wishing to remain anonymous may report suspected violations of this policy to the UNT System Compliance Hotline. Reports involving students will be referred to the Title IX Coordinator.

B. Reporting Obligations

- i. Employees and Individuals Acting on Behalf of the Organization. Employees and individuals authorized to act on behalf of UNT Dallas who become aware of suspected sexual misconduct are required to immediately report the suspected violation to his or her direct supervisor and to the System Office of Equity, Diversity, and Inclusion. If a direct supervisor is the person alleged to have engaged in the inappropriate conduct, the report must be made to that individual's supervisor and to the System Office of Equity, Diversity, and Inclusion. In no instance is an individual required to report the alleged violation to the person suspected of the inappropriate conduct.
- ii. Other Individuals. Other individuals, including students and guests of UNT Dallas who become aware of suspected sexual misconduct or retaliation, are strongly encouraged to report the suspected violation to the System Office of Equity, Diversity, and Inclusion or to the Title IX Coordinator.
- iii. Exception to Obligation to Report. Employees who receive a report of sexual misconduct in the course of performing their official UNT Dallas responsibilities and who, as a requirement of a professional license, are prohibited from disclosing confidential communications, are not obligated to report as set out in this policy. These individuals are expected to report as required by the rules of their professional license and nothing in this policy shall be interpreted as conflicting with those rules.

C. Protection Against Retaliation

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

V. Confidentiality

- A. Confidentiality. UNT Dallas shall make every effort to protect information that reasonably could lead to the identification of an individual who reports or who participates in an investigation of alleged sexual misconduct or retaliation, and information that reasonably could identify the individual. This information is confidential and shall not be disclosed except as required by law, including when disclosure is necessary to ensure individuals accused of violating this policy are afforded lawful notice and the opportunity to fully respond to the accusation.
- B. Protection of Non-Confidential Information. As permitted by section 51.971 of the Texas Education Code, information may be protected from disclosure even if it is not confidential if the information is collected or produced as part of an investigation conducted under this policy and disclosing the information would interfere with an ongoing investigation.
- C. Authorized Disclosure of Information. Confidential information and information that is protected from disclosure under this policy may be released:
 - i. with the written and signed consent of the individual whose identity would be disclosed;
 - ii. to law enforcement agencies or prosecutors;
 - iii. to federal and state agencies responsible for investigating sexual misconduct or retaliation;
 - iv. to notify a complainant and respondent of the outcome of an investigation, including sanctions imposed for violating this policy;
 - v. to allow the University to take effective protective measures; or
 - vi. as required by lawfully issued subpoena or otherwise authorized by law.

VI. False Reports

Any individual who makes a false report under this policy is subject to disciplinary action. A report is not false or made in bad faith simply because an investigation determines the allegation was not substantiated.

VII. Investigation of Allegations and Interim Measures

- A. Reviewing Reports. Allegations of sexual misconduct and retaliation reviewed by the System Office of Equity, Diversity, and Inclusion shall include a determination of whether an investigation should be conducted regardless of whether a written complaint is filed. Reports of sexual misconduct and retaliation made directly to law enforcement officials do not have to be reported to the System Office of Equity, Diversity, and Inclusion for review. In addressing reports of sexual misconduct and retaliation, law enforcement will determine whether to notify the System Office of Equity, Diversity, and Inclusion. The System Office of Equity, Diversity, and Inclusion shall consult the complainant of the alleged offense, if the individual's identity is known, before recommending interim remedial measures or before initiating an investigation. This consultation must include informing the individual that:
 - i. she or he may file a criminal complaint with law enforcement officials at any time;
 - ii. the University has an obligation to remediate sexual harassment and other sexual offenses and that an investigation may be conducted whether or not a criminal complaint is filed;

- iii. the University can take measures to protect against continued misconduct and retaliation;
- iv. voluntary withdrawal of an allegation will not necessarily result in termination of an investigation; and
- v. she or he should contact the System Office of Equity, Diversity, and Inclusion if retaliation is suspected.

B. Interim Measures to Protect Complainants, Respondents, and Other Individuals. The University may take administrative action to protect the complainant, the respondent, and any other individual against prohibited conduct or allegations, or to ensure the prompt and efficient completion of an investigation. Interim measures are not disciplinary in nature and must be consistent with other University policies. Interim measures may be initiated only after consultation with Human Resources, the Office of General Counsel, and the Title IX Coordinator, as appropriate, and may include but are not limited to placing the faculty or staff employee who is accused of violating this policy on administrative leave with pay, temporarily modifying work schedules and assignments, and suspending business relationships.

C. Investigating Reports. All allegations of sexual misconduct and retaliation that the System Office of Equity, Diversity, and Inclusion determines to be credible, shall be investigated promptly. If the complainant of the alleged offense asks the University not to investigate or to delay investigating the allegation or that the person who allegedly violated the policy not be notified of the allegation, the System Office of Equity, Diversity, and Inclusion shall inform the individual, in writing, of the University's obligation to meaningfully investigate and respond appropriately to the allegation and that honoring the request could compromise its ability to do so. In determining whether the request can be granted, the System Office of Equity, Diversity, and Inclusion shall consider the following factors:

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

Individuals will be informed in writing if the request to not take or to delay action is not granted. The notice should include the factors considered in making the decision.

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

- i. Attempting to coerce, compel, or prevent an individual from providing information related to the investigating;
- ii. Removing , destroying, or altering information that relates to the investigation; or

- iii. Providing false or misleading information in the course of an investigation or encouraging others to do so.

VIII. Procedures for Grievance and Review of Reports

- A. Timeline and Notifications. Investigations will be completed within a reasonable time, generally not to exceed 45 days except in exceptional circumstances as determined by the System Office of Equity, Diversity, and Inclusion.
- B. Procedures for Resolving Complaints of Sexual Misconduct or Retaliation Involving a Student. The Title IX Coordinator is responsible for investigating reports of sexual misconduct and retaliation involving students. The Family Educational Rights and Privacy Act (FERPA) do not protect student employees who, pursuant to this procedure, are named respondents. When the alleged offender is an employee, visitor, or individual acting on behalf of or doing business with UNT Dallas, the Title IX Coordinator must consult with the System Office of Equity, Diversity, and Inclusion in advance of issuing a report of investigation.
- C. Procedures For Pursuing and Resolving a Complaint of Sexual Misconduct or Retaliation Not Involving a Student (includes Employee, Visitor, or Individual Acting on Behalf of or Doing Business with UNT Dallas):
 - i. The complainant and respondent shall receive notice of the allegation and periodically be informed of the status of the review or investigation.
 - ii. The System Office of Equity, Diversity, and Inclusion shall prepare a written report setting out the findings of the investigation and whether the respondent violated this policy.
 - iii. The complainant, respondent, and the respondent's supervisor(s) (when the respondent is an employee) shall be notified, in writing, of the System Office of Equity, Diversity, and Inclusion's findings and determination, and be provided a summary of the investigation within five (5) business days after the report of investigation is completed. The Vice Chancellor of Human Resources will determine whether another University official will be notified when the respondent is a visitor or person acting on behalf of UNT Dallas.
 - iv. Respondents found to have violated this policy may request a review of the findings and determination from the Vice Chancellor of Human Resources.
 - v. A request for review must be submitted to the reviewing official within five (5) business days from the date of the notice. The request must include the reason(s) for the review and provide any new information the individual wishes the reviewing official to consider. The decision of the reviewing official regarding the finding and determination is final.
 - vi. Staff employees found to have violated this policy may file a grievance under Policy 5.005 concerning any disciplinary action taken as a result of the investigation.

- vii. Faculty members, other than Teaching Fellows and Teaching Assistants, found to have violated this policy may file a grievance concerning any disciplinary action taken as a result of the investigation in accordance with department and college grievance procedures and the University's Policy 6.011. Teaching Fellows and Teaching Assistants may use the staff grievance process.

IX. Record Retention

Unless otherwise required by state law or the University's Records Retention Policy, records of complaints and investigations will be confidentially maintained by the University Archivist and discarded after 10 years unless other incidents occur within the 10 years. In all cases, access to complaint and investigation records is strictly limited to those university officials directly investigating or adjudicating a complaint or implementing a complaint resolution, unless otherwise compelled by law.

X. Education and Resources

- A. New Employee Education and Training. New employees shall receive training on the University's Title IX program and this policy no later than the 30th day after employment. At a minimum, training must include: obligations under Title IX, Title VII, the Violence Against Women's Act and this policy; the name and contact information for the Title IX Coordinator, the procedures for reporting sexual harassment and other violations of this policy; the University's prevention and awareness program and ongoing prevention and awareness campaigns; the rights of individuals who report being a complainant of sexual violence regardless of whether the offense occurred in the workplace; and the availability of interim measures to protect against continued violations of this policy and all remedies, including civil action, for violations of Title VII and Title IX.
- B. Supplemental Education and Training. Every employee is individually responsible for completing the training described in subparagraph A of this section every two years.
- C. Record and Notification of Education and Training. Supervisors are responsible for ensuring employees under their supervision are in compliance with the education and training requirement and certifying to the Title IX Coordinator when each employee completes requirement. In addition, supervisors shall clearly note on the employee's annual performance evaluation whether training has been completed.
- D. Enforcement of Training Responsibilities. An employee who fails to complete education and training as required under this section may be subject to discipline according to applicable UNT Dallas policies.
- E. Resources and Services. The experience of sexual violence has different meanings for each person. Prompt intervention can help to lessen the trauma and enhance healing. Resources and services can be found on the University's Human Resources web site.

XI. Sanctions and Legal Implications

Any violation of this policy may result in sanctions imposed by the University or federal or state authorities, or legal action.

- A. University Imposed Sanctions. Any individual who violates this policy is subject to disciplinary action, including but not limited to: involuntary termination of employment under

the Staff Employment and Discipline Policy; revocation of tenure for moral turpitude or gross neglect of academic responsibilities under the University's Policy 6.011; expulsion from the University; and termination of a business relationship, the privilege to come onto University property or to participate in its programs and activities. Sanctions imposed for violating this policy must be reported to the System Office of Equity, Diversity, and Inclusion

- B. Federal or State Sanctions. Federal or State agencies may impose fines and other sanctions against the University for violations of federal or state anti-harassment laws.
- C. Civil Action. Individuals may take court action against individuals and the University that could result in financial liability.
- D. Criminal Sanctions. Sexual harassment by a public servant is a criminal offense under Texas law and could result in imprisonment.

Approved:
Effective:
Revised:

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

Policy Statement. The University of North Texas System Administration is committed to maintaining a safe and respectful work and educational environments that are conducive to students, faculty and staff achieving their full potential and that allow all individuals to fully participate in the benefits and privileges the System Administration has to offer, free from sexual misconduct or retaliation for assisting in maintaining these environments. Conduct that is inconsistent with this commitment is unacceptable at any location or activity associated with the System Administration.

Application of Policy. This policy applies to all students, employees, applicants for employment, individuals and organizations conducting business on behalf of or for the System Administration, visitors, and participants at any location or activity associated with the System Administration. The System Administration may act under this policy when prohibited conduct that occurs off-site effects or has a reasonable likelihood to adversely affect the work or educational environment.

Definitions.

1. **Complainant.** “Complainant” means an individual who may have been the subject of conduct prohibited under this policy regardless whether she or he reports the conduct.
2. **Consent.** “Consent” means words or actions that show an active, knowing and voluntary agreement to engage in sexual activity. Consent cannot be obtained by force, coercion, manipulation, threats, or when an individual administers any substance to another person, without the person’s knowledge, that intentionally impairs the ability of the person to voluntarily consent. Consent is absent when the sexual activity in question exceeds the scope of previously given consent. Consent may be revoked at any time.
3. **Days.** “Days” means calendar days unless otherwise stated in the policy.
4. **Employee.** “Employee” means an individual who is employed part-time, full-time or in a temporary capacity as faculty or staff, or who is required to be a student as a condition of employment.
5. **Gender.** “Gender” means an individual’s socially-constructed status based on the behavioral, cultural, or psychological traits, typically associated with social attribution of masculinity and femininity, typically related to one’s assigned sex at birth.

6. Gender Expression. “Gender expression” means the manner in which an individual expresses gender through appearance, behavior, or mannerisms; whether the person’s expression is the same as the individual’s gender identity or the sex the individual was assigned at birth.
7. Gender Identity. “Gender identity” means the gender with which an individual identifies psychologically, regardless of the sex the individual was assigned at birth.
8. Good Faith. “Good faith” means a reasonable belief that the reported conduct was prohibited under this policy. Good faith is based on the reporting individual’s education, training, and experience.
9. Preponderance of the Evidence. “Preponderance of the evidence” means amount of information necessary to establish whether an allegation is more likely than not to have occurred (i.e., more likely true than not true). Preponderance of the evidence is also referred to as the greater weight of the evidence.
10. Respondent. “Respondent” means an individual or organization identified as possibly having engaged in conduct prohibited under this policy regardless whether a formal complaint has been made.
11. Retaliation. “Retaliation” means any action, treatment or condition likely to dissuade a reasonable person from reporting or causing to report or participating in an investigation of a suspected violation of this policy, from filing a criminal complaint, or from accessing services provided under this policy, including an action that affects an employee’s term or condition of employment, including compensation, promotion, transfer, work assignment, or performance evaluation.
12. Sexual Assault. “Sexual assault” means the intentional or knowing penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without consent of the complainant. The term sexual assault is also referred to as rape.
13. Sexual Harassment. “Sexual harassment” means unwelcome conduct of a sexual nature, such as unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature, disparagement of members of one sex, or other conduct of a sexual nature, even if said in a joking manner, when:
 - a. submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or educational environment;
 - b. submission to or rejection of such conduct is used as the basis for or as a factor in a decision affecting an individual’s employment or educational environment; or

- c. the conduct, even if it is infrequent or not severe, is such that the individual who is subjected to the conduct and a reasonable employee would find the conduct has the purpose or effect of interfering with an individual's academic or professional performance or creating an intimidating, hostile or offensive employment or educational environment.

Sexual harassment takes many forms; examples of conduct that might be considered sexual harassment under this policy include but are not limited to:

- a. sexual exploitation of a relationship between individuals of unequal power and authority;
 - b. sexual exploitation of a relationship between peers and students that could affect the workplace or educational environment;
 - c. repeated and unwanted requests for dates, sexual flirtations, or propositions of a sexual nature;
 - d. subtle pressure for a sexual relationship;
 - e. sexual remarks about a person's clothing, body or sexual activities;
 - f. nonconsensual touching, such as grabbing, patting, hugging, or brushing against a person's body;
 - g. direct or implied threats that submission to sexual advances will affect or be a condition of employment, work status, grades, or letter of recommendation;
 - h. physical or sexual assault or sexual violence;
 - i. conduct of a sexual nature that causes humiliation or discomfort, such as use of inappropriate terms of address;
 - j. sexually explicit or sexist comments, questions or jokes; and
 - k. conduct of a sexual nature that creates a hostile work or educational environment.
14. Sexual Misconduct. "Sexual misconduct" means sexual assault, sexual harassment or any other form of nonconsensual sexual conduct.
15. Sexual Orientation. "Sexual orientation" means the inclination of one's intimate, emotional, or sexual interest towards a member of the same, opposite, or both sexes.
16. Student. "Student" means an individual who has applied for admission or readmission to any of the three component institutions of the UNT System; who is

registered/enrolled in one or more courses for credit at any of the component institutions; or who currently is not enrolled at the any of the three component institutions but has a continuing academic relationship with one of the institutions.

17. Unwelcome Conduct. “Unwelcome conduct” means behavior or conduct that is not implicitly or explicitly invited by a person and the person regards the behavior or conduct to be undesirable or offensive at the time the behavior or conduct occurred.

Procedures and Responsibilities.

1. Reporting

a. Reporting Sexual Misconduct

- i. Law Enforcement. A person who believes she or he is in imminent danger of harm of a sexual nature should immediately call 911. A person may file a police report with local police.
- ii. Office of Equity, Diversity and Inclusion. An individual who believes she or he has been subjected to sexual misconduct should immediately inform her or his direct supervisor, unless that person is the one alleged to have engaged in the misconduct or to the System Administration Office of Equity, Diversity and Inclusion. A student who believes she or he has been subjected to misconduct should immediately inform the Title IX Coordinator where the student is enrolled or to the System Administration Office of Equity, Diversity and Inclusion. Reports will be confidential as set out in this policy.
- iii. Compliance Hotline. Individuals may report suspected violations of this policy to the UNT System Compliance Hotline.

b. Reporting Obligations

- i. Employees and Individuals Acting on Behalf of the Organization. Employees and individuals authorized to act on behalf of the System Administration who become aware of suspected sexual misconduct or retaliation are required to immediately inform his or her direct supervisor and the System Administration Office of Equity, Diversity and Inclusion. If a direct supervisor is the person alleged to have engaged in the inappropriate conduct, the report must be made to that individual’s supervisor and to the Office of Equity, Diversity and Inclusion. In no instance is an individual required to report the alleged violation to the person suspected of the inappropriate conduct.
- ii. Other Individuals. Other individuals, including guests of the System Administration, who become aware of suspected sexual misconduct or

retaliation are strongly encouraged to report the suspected violation to the System Administration Office of Equity, Diversity and Inclusion.

- iii. Exception to Obligation to Report. System Administration employees who receive a report of sexual misconduct or retaliation in the course of performing their official responsibilities and who as a requirement of a professional license are prohibited from disclosing confidential communications are not obligated to report as set out in this policy unless otherwise obligated by law. These individuals are expected to report as required by the rules of their professional license and nothing in this policy shall be interpreted as conflicting with those rules.

c. Protection Against Retaliation

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

Responsible Party: Assistant Vice Chancellor of Equity, Diversity and Inclusion

2. Confidentiality

- a. Confidentiality. The System Administration shall make every effort to protect information that reasonably could lead to the identification of an individual who reports or who participates in an investigation of alleged sexual misconduct or retaliation. This information is confidential and shall not be disclosed except as required by law.
- b. Protection of Non-Confidential Information. As permitted by section 51.971 of the Texas Education Code, information may be protected from disclosure even if it is not confidential if the information is collected or produced as part of an investigation conducted under this policy and disclosing the information would interfere with an ongoing investigation.
- c. Authorized Disclosure of Information. Confidential information and information that is protected from disclosure under this policy may be released:
 - i. with the written and signed consent of the individual whose identity would be disclosed;
 - ii. to law enforcement agencies or prosecutors;

- iii. to federal and state agencies responsible for investigating sexual misconduct or retaliation;
- iv. to notify a Complainant and Respondent of the outcome of an investigation, including disciplinary action taken for violating this policy;
- v. to allow System Administration officials to take protective measures; or
- vi. as required by lawfully issued subpoena or otherwise authorized by law.

Responsible Party: Assistant Vice Chancellor of Equity, Diversity and Inclusion

3. False Reports

Any individual who makes a false report under this policy is subject to disciplinary action. A report is not considered to be false or made in bad faith simply because an investigation determines the allegation was not substantiated.

4. Investigation of Allegations and Interim Measures

- a. Reviewing Reports. All allegations of sexual misconduct and retaliation shall be reviewed by the Office of Equity, Diversity and Inclusion to determine whether an investigation should be conducted regardless whether a written complaint is filed. The Office shall consult the Complainant, if the individual's identity is known, and may recommend interim remedial action be taken before initiating an investigation. This consultation must include informing the individual that the:
 - i. System Administration has an obligation to take prompt action to remedy sexual misconduct and retaliation, including determining whether to investigate allegations;
 - ii. System Administration will take measures to protect against continued misconduct and retaliation during and after an investigation; and
 - iii. individual should contact the Office of Equity, Diversity and Inclusion if retaliation is suspected.
- b. Interim Measures to Protect Complainants, Respondents, and Other Individuals. Administrative action may be taken to protect the Complainant, the Respondent, and any other individual against continued sexual misconduct, retaliation, or allegations, or to ensure the prompt completion of

an investigation. Interim measures may include but are not limited to placing the individual who is accused of violating this policy on administrative leave with pay, temporarily modifying work schedules and assignments, and when applicable, suspending business relationships.

- c. Investigating Reports. All allegations of sexual misconduct and retaliation that the Office of Equity, Diversity and Inclusion determines to be credible will be investigated promptly. If the complainant asks that an investigation be delayed or that the person who allegedly violated the policy not be notified of the allegation, the Office will make every effort to honor the request provided doing so does not compromise the System Administration's obligation to take prompt remedial action. System Administration officials should consult Human Resources or the Office of General Counsel before taking interim measures as appropriate.
- d. Obligation to Participate in Investigations. Individuals are expected to cooperate with investigations conducted under this policy and any person who knowingly interferes with an investigation is subject to disciplinary or administrative action. Interference with an investigation includes but is not limited to:
 - i. attempting to coerce, compel, or prevent an individual from providing information related to the investigating;
 - ii. removing, destroying, or altering information that relates to the investigation; or
 - iii. providing false or misleading information in the course of an investigation or encouraging others to do so.

Responsible Party: Assistant Vice Chancellor of Equity, Diversity and Inclusion

5. Procedures for Grievance and Review of Reports

- a. Timeline and Notifications. Investigations will be completed within a reasonable time, generally not to exceed 45 days except in exceptional circumstances as determined by the Office of Equity, Diversity and Inclusion.
- b. Procedures For Resolving a Complaint Not Involving a Student.
 - i. The Complainant and Respondent will be notified of the allegation and periodically informed of the status of the review or investigation.
 - ii. A written report setting out the findings of the investigation and whether the Respondent violated this policy shall be prepared upon

completion of an investigation. The Office of Equity, Diversity and Inclusion will inform the Associate Vice Chancellor for Human Resources in writing if an investigation is not conducted, including the reason(s) for its decision.

- iii. The Complainant, Respondent, and the Respondent's supervisor (when the Respondent is an employee) shall be notified, in writing, of the findings and determination of the investigation.
 - iv. A Respondent found to have violated this policy may request a review of the findings and determination from the Associate Vice Chancellor of Human Resources.
 - v. A request for review must be submitted to the Associate Vice Chancellor of Human Resources within five (5) business days from the date of the notice. The request must include the reason(s) for the review and provide any new information the individual wishes the Associate Vice Chancellor of Human Resources to consider. The decision of the Associate Vice Chancellor of Human Resources regarding the finding and determination is final.
 - vi. Employees found to have violated this policy may file a grievance under the Employee Grievances policy (03.1001) concerning any disciplinary action taken as a result of the investigation.
- c. Procedures for Resolving Complaints of Sexual Misconduct or Retaliation Against a Student. When a Student is alleged to have engaged in sexual misconduct or retaliation, the Title IX Coordinator for the campus at which the student is enrolled is responsible for investigating reports of sexual misconduct and retaliation.

Responsible Party: Assistant Vice Chancellor of Equity, Diversity and Inclusion

6. Record Retention

Complaints and records of investigations conducted pursuant to this policy will be retained in accordance with the System Administration record retention policy.

7. Education and Policy Awareness

- a. Employee Education and Training. Employees shall receive training on this policy no later than the 30th day after employment and every two years thereafter. At a minimum training must include: prohibited conduct under this policy; employee rights, responsibilities and remedies under this policy; Title VII; Title IX the Violence Against Women Act; the name and contact

information for Office of Equity, Diversity and Inclusion officials and for the Title IX Coordinators on each campus in the UNT System; the procedures for reporting sexual harassment and other violations of this policy; and any sexual misconduct prevention and awareness programs and campaigns.

- b. Record and Notification of Education and Training. Supervisors are responsible for ensuring employees under their supervision are in compliance with the education and training requirement.
- c. Notice of Policy and Survivor Resources. This policy shall be included in the System Administration policy manual. The Office of Equity, Diversity and Inclusion may maintain a website dedicated to prevention of conduct prohibited under this policy and to informing employees of resources and services available to survivors of sexual misconduct.

Responsible Party: Assistant Vice Chancellor of Equity, Diversity and Inclusion

8. Sanctions and Legal Implications

Any violation of this policy may result in disciplinary actions and could result in criminal and civil sanctions.

- a. System Administration Imposed Sanctions. Any individual who violates this policy is subject to disciplinary action, including but not limited to involuntary termination of employment or business relationship. Sanctions imposed for violating this policy must be reported to the System Administration Office of Equity, Diversity and Inclusion.
- b. Federal or State Sanctions. Federal or State agencies may impose fines and other sanctions against the System Administration for violations of federal or state anti-harassment laws.
- c. Civil Action. Individuals may take legal action against individuals and the System Administration.
- d. Criminal Sanctions. Sex harassment by a public servant is a criminal offense under Texas law and could result in imprisonment.

References and Cross-references.

Title VII of the Civil Right Act of 1964, as amended
Violence Against Women Reauthorization Act of 2013
Texas Education Code §51.971
UNT System Administration Policy 03.1001 (Employee Grievances)

Approved:
Effective:
Revised:



UNT | SYSTEM™

MINUTES

BOARD OF REGENTS Strategic and Operational Excellence Committee November 19, 2015

The Strategic and Operational Excellence Committee of the Board of Regents of the University of North Texas System convened on Thursday, November 19, 2015 in Room 43/47 of the Gateway Center, University of North Texas, 801 North Texas Blvd, Denton, Texas, with the following members in attendance: Regents Milton Lee, A.K. Mago, Gwyn Shea, and Al Silva.

There being a quorum present the meeting was called to order by Committee Chair, Regent Milton Lee, at 1:16 pm. The minutes of the August 27, 2015 Committee meeting were approved on a 4-0 vote following a motion by Regent Shea and seconded by Regent Silva.

The Committee was briefed on the **Quarterly Strategic Plan Review for System and Campus: Progress on UNT System and Institutional Strategic Plans.** Chancellor Lee Jackson presented the UNT System strategic plan. UNT President Neal Smatresk presented the UNT strategic plan, and UNT Health Science Center President Michael Williams presented the UNT Health Science Center strategic plan. UNT Dallas President Bob Mong updated the Board on the strategic planning progress made by UNT Dallas.

The next briefing, **Quarterly Business Process Improvement Status Update: FY16 Priorities and E-Verify as an Example**, 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 Chintan Parikh, UNT System, Associate Vice Chancellor of Equity, Diversity & Inclusion.

There being no further business, the Committee meeting adjourned at 3:42 pm.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: Dec 4, 2015

Strategic and Operational Excellence Committee

UNIVERSITY OF NORTH TEXAS SYSTEM BOARD OF REGENTS

STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE CHARTER

The Strategic and Operational Excellence Committee is responsible for reviewing and making recommendations to the full Board regarding UNT System and campus strategic planning, execution and progress, and financial support of the strategic plans. The Committee is also responsible for the evaluation of efficiency, cost effectiveness, quality, and customer satisfaction of administrative services including system-wide shared services.

In carrying out these responsibilities, the Strategic and Operational Excellence Committee shall:

- Evaluate the System's and its institutions' strategic plans on a regular basis to ensure the following:
 - All plans connect with the mission and vision of the System;
 - Effective action plans and meaningful performance metrics are in place to ensure successful implementation of the strategic plan(s);
 - Funds are allocated in a way that adequately supports the strategic plan of each institution and the System; and
 - Goals and initiatives are updated as needed to address the ever-changing needs of higher education.
- Routinely evaluate all shared services and other key operational activities on a regular basis to ensure the following:
 - Customer satisfaction with shared services is monitored on a regular basis;
 - The quality of services, market innovations, cost efficiencies, etc. are evaluated in a continuous improvement environment.
 - Appropriate benchmarks are in place to measure UNTS services against best practices in higher education and other high-performing large organizations.
- Perform other governance oversight as assigned by the Board.

Adopted: 02.20.15

Effective: 02.20.15

Revised:

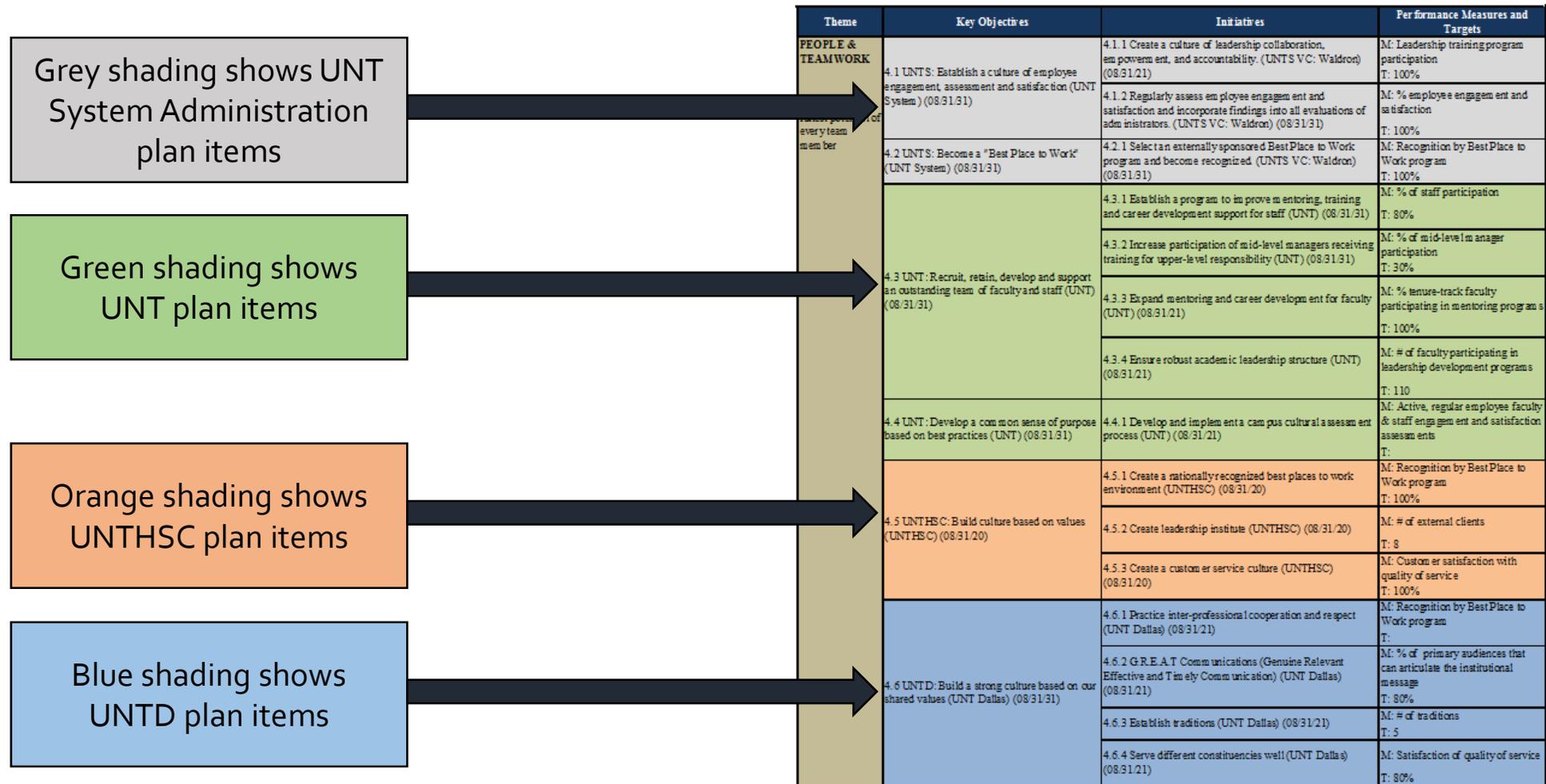
	Board Item	Feb	March Retreat	May	Aug	Nov
<u>Annual Items</u>						
	Committee Charter & Schedule	X				
<u>Quarterly Items</u>						
	Strategic Plan Review	X		X	X	X
	Business Process Improvements and Customer Service Review	X		X	X	X



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

Board of Regents Meeting
Strategic & Operational Excellence Committee
February 25, 2016

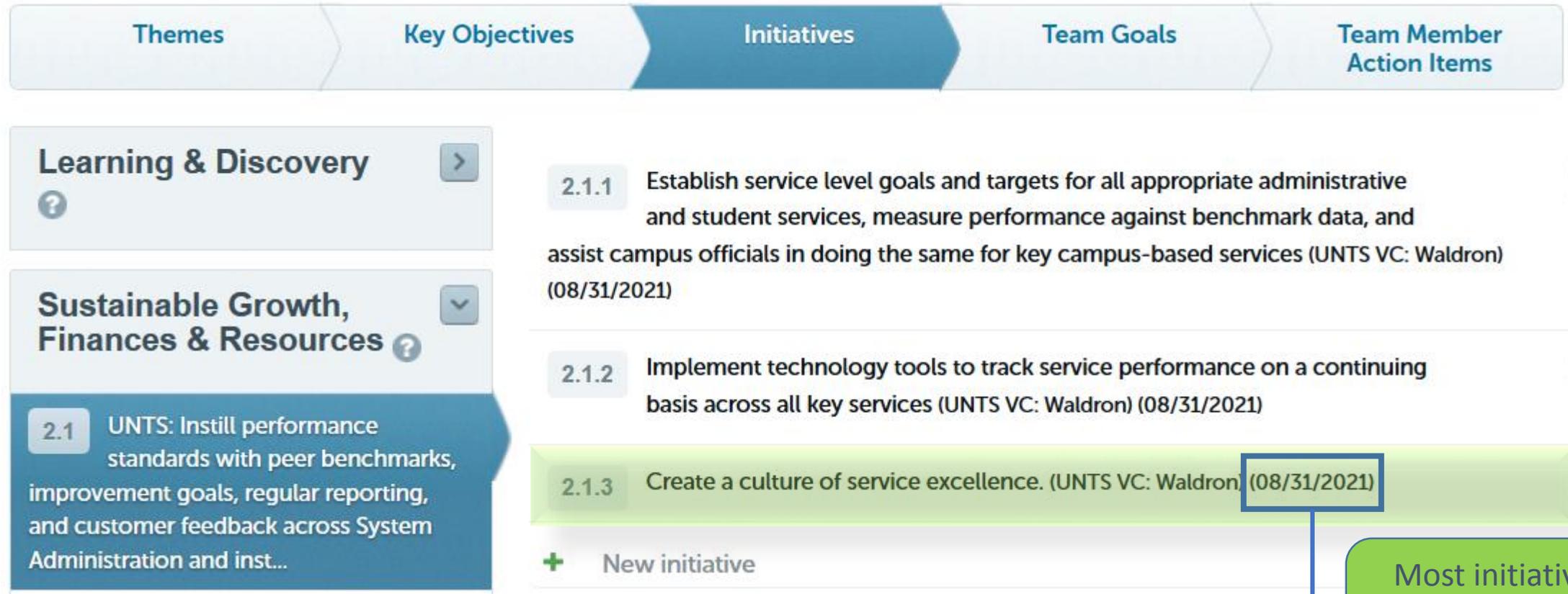
Consolidated System Plan Cascade



Key Points

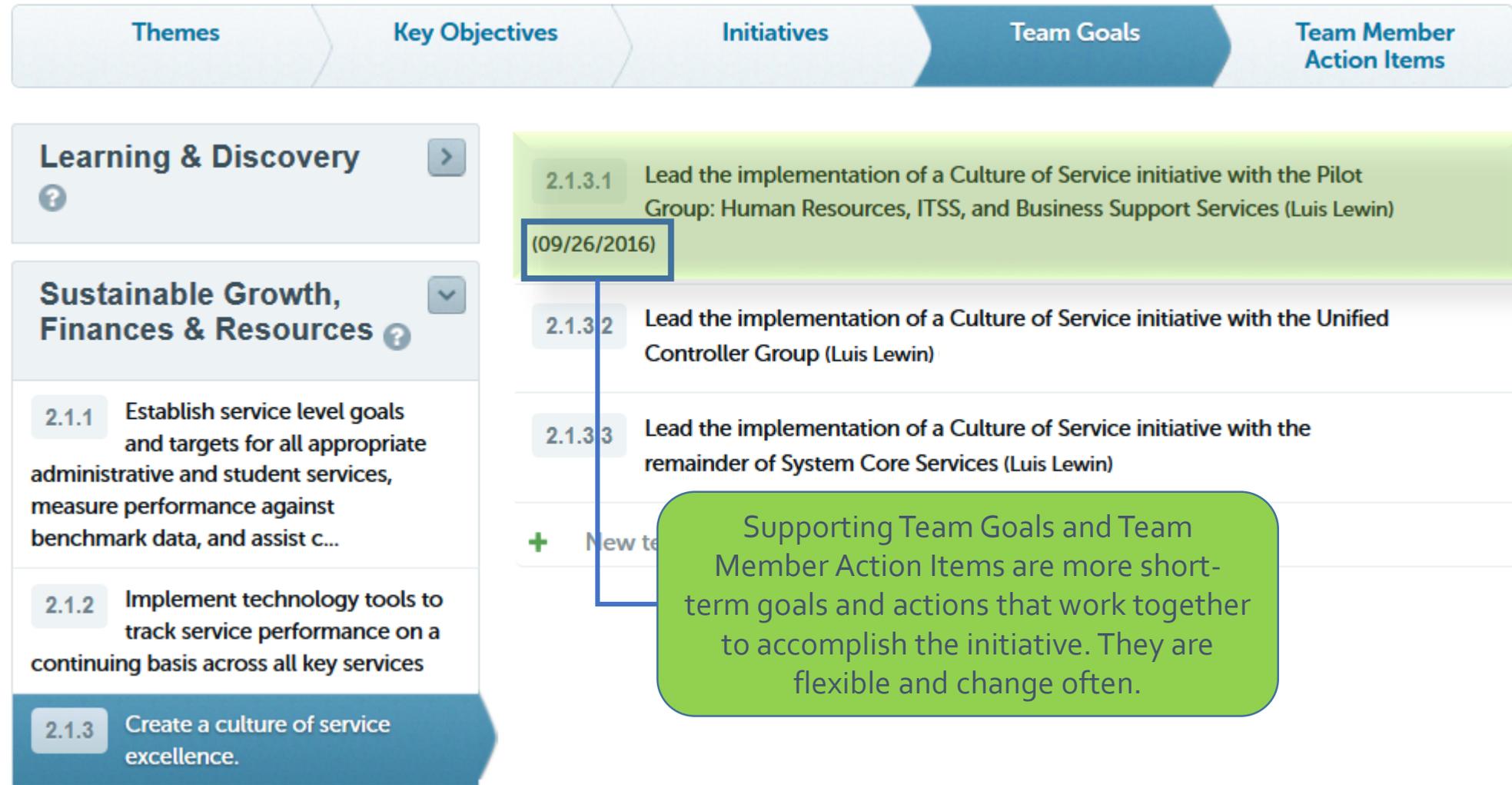
- This is a 5 year plan, but some goals extend beyond 5 years (e.g. research, enrollment & fundraising).
- The three left columns – Theme, Key Objectives, and Initiatives – are intended to be a permanent framework that shapes our work for years to come.
- Campus Initiatives language varies, but some have been standardized (e.g. Reserves, Fundraising, Endowment Growth, Employee Satisfaction)
- Quarterly meetings on campus will review progress and revise/update the action plan, as necessary.
- The team goals will change as projects are completed and new goals and actions are identified.
- The Performance Measures & Targets will be updated frequently as data is available and will sometimes be refined or clarified.
- All language and data changes at the top levels of this plan will be highlighted and disclosed to the Board each quarter.

Beginning Stages of Progress

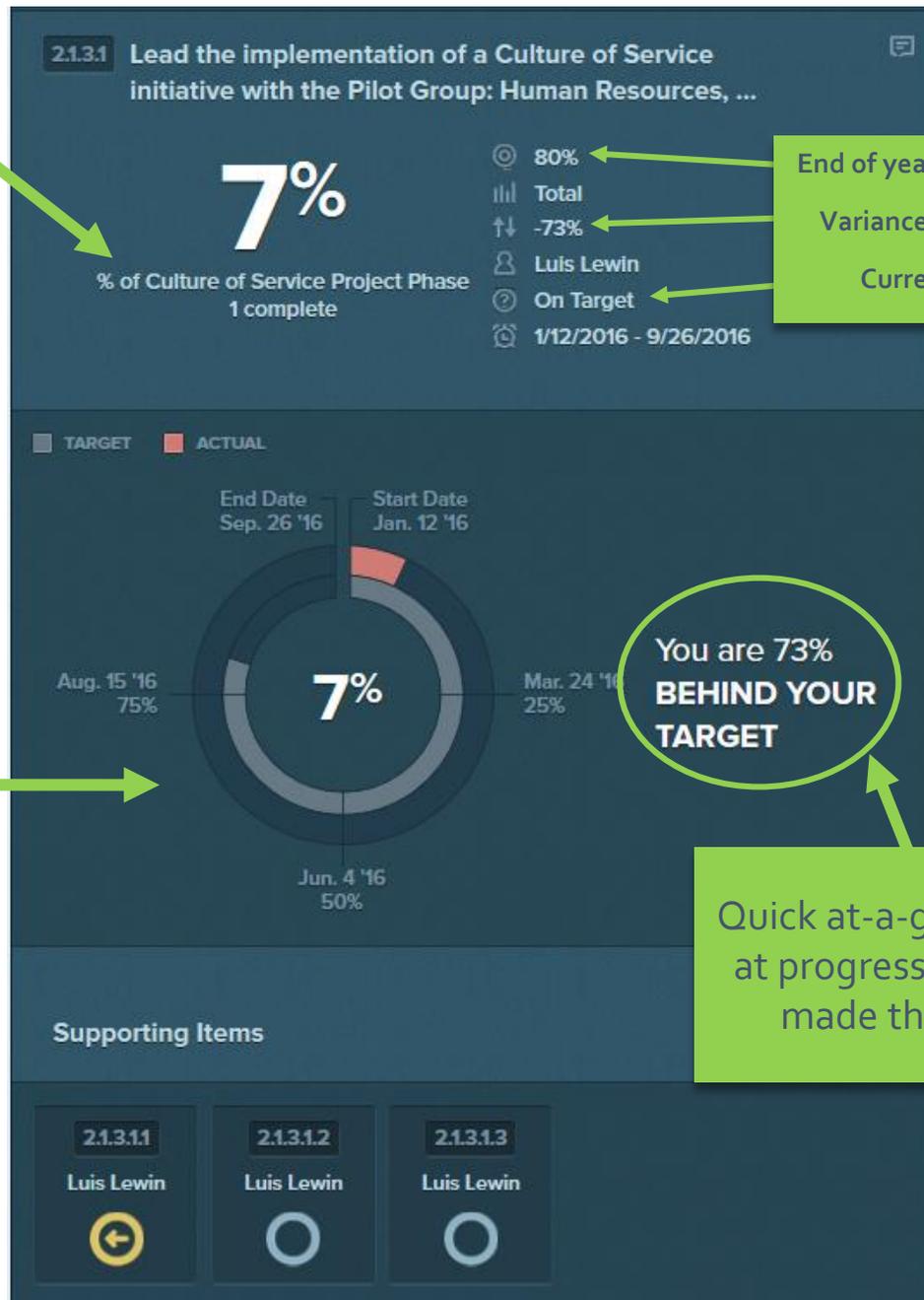


Most initiatives have a 5+ year completion date.

Beginning Stages of Progress, Con't.



Measure shown here



Progress shown is for this year only

Quick at-a-glance look at progress left to be made this year.

Significant progress made in high-level planning.

Now ready to allow teams to enter their goals and action items.

Many initiatives have a start date of 9/1/16 to allow for baselines to be determined and documented.

Robust dashboards should be available by November 2016 meeting, showing progress updates on all initiatives.

Some dashboard material will be available to the Board as early as May 2016.

UNT Dallas Strategic Planning

Robert Mong, President

UNT Dallas Strategic Objectives

Key Objectives

Initiatives

Department Goals

Team Member Goals

Team Member Tasks

Learning and Discovery

Sustainable Growth, Finance and Resources

Quality Experiences for Lifetime Success

People and Teamwork

UNT Dallas Strategic Objectives

Key Objectives	Initiatives	Department Goals	Team Member Goals	Team Member Tasks
Sustainable Growth, Finance and Resources				
5	Use data strategically to guide better decision-making (8/31/21)			
6	Increase philanthropic support (8/31/21)			
7	Increase enrollment, retention and completion rates (8/31/21)			
8	Improve student and administrative customer service (8/31/21)			
9	Keep tuition and fees affordable (8/31/21)			
10	Build active residential life and additional facilities to make UNTD more vibrant (8/31/21)			
11	Develop more meaningful private-public partnerships (8/31/21)			

UNT Dallas Strategic Objectives

Key Objectives

Initiatives

Department Goals

Team Member Goals

Team Member Tasks

Sustainable Growth, Finance and Resources

- 5 Use data strategically to guide better decision-making (8/31/21)
- 6 Increase philanthropic support (8/31/21)
- 7 Increase enrollment, retention and completion rates (8/31/21)

7.1 Grow student enrollment

7.2 Exceed state student retention rate for each of 11 demographic areas that include race, age, transfer, FTIC, full-time, part-time, credit completion, Pell, non-Pell, HS GPA, and ACT/SAT.

7.3 Improve 4-year graduation rate

7.4 Improve 6-year graduation rate

UNT Dallas Strategic Objectives



Sustainable Growth, Finance and Resources ▼

- 7.1** Grow student enrollment
- 7.2 Exceed state student retention rate for each of 11 demographic areas that include race, age, transfer, FTIC, full-time, part-time, credit completion, Pell,...
- 7.3 Improve 4-year graduation rate
- 7.4 Improve 6-year graduation rate

- 7.1.1 Establish annual enrollment goals.
- 7.1.2 Develop a 10 year plan for healthcare education.
- 7.1.3 Develop short and long term marketing plan to recruit students with identifiable measures and cost/benefit.

UNT Dallas Strategic Objectives



Sustainable Growth, Finance and Resources ▼

- 7.1.1** Establish annual enrollment goals.
- 7.1.2** Develop a 10 year plan for healthcare education.
- 7.1.3** Develop short and long term marketing plan to recruit students with identifiable measures and cost/benefit.

7.1.1.1 Steering Committee and Deans set enrollment targets for Fall 2016 - Spring 2017.

UNT Dallas Strategic Objectives



Sustainable Growth, Finance and Resources ▼

- 7.1.1 Establish annual enrollment goals.
- 7.1.2 Develop a 10 year plan for healthcare education.**
- 7.1.3 Develop short and long term marketing plan to recruit students with identifiable measures and cost/benefit.

7.1.2.1 Steering Committee and selected University stakeholders develop plan by Fall 2016

UNT Dallas Strategic Objectives



Sustainable Growth, Finance and Resources ▼

- 7.1.1 Establish annual enrollment goals.
- 7.1.2 Develop a 10 year plan for healthcare education.
- 7.1.3 Develop short and long term marketing plan to recruit students with identifiable measures and cost/benefit.**

7.1.3.1 Develop a plan with university stakeholders to identify effective recruiting methods for Fall 2016 and beyond.

UNT Strategic Planning

Neal Smatresk, President

UNT System Themes

Learning & Discovery



Sustainable Growth Finances and Resources



Quality Experiences for Lifetime Success



People and Teamwork



UNT Strategic Objective through Project Team Action Items

Navigation: **UNT Strategic Objectives** | Implementation Initiatives | Implementation Team Projects | Implementation Team Action Items | Project Team Member Tasks <

Learning & Discovery ?

Sustainable Growth Finances and Resources ?

- 3 Improve management of fiscal and physical resources to enhance efficiencies and cost savings. >
- 4 Increase key measures of engagement and fundraising. >
- 5 Improve student and administrative customer service. >
- 6 Adopt focused strategies to improve the quality and diversity of the student population. >**

Sustainable Growth Finances and Resources ?

Quality Experiences for Lifetime Success ?

UNT Strategic Objective through Project Team Action Items

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

Learning & Discovery >

Sustainable Growth Finances and Resources ? >

3 Improve management of fiscal and physical resources to enhance efficiencies and cost savings.

4 Increase key measures of engagement and fundraising.

5 Improve student and administrative customer service.

6 Adopt focused strategies to improve the quality and diversity of the student population.

6.1 Increase enrollment by developing and implementing a robust student enrollment plan (Student Enrollment Implementation Team - Shannon Goodman) >

6.2 Implement robust CRM and Marketing Automation Software (Student Enrollment Implementation Team - Shannon Goodman) (08/31/2018) >

6.3 Achieve minority-serving institution (MSI) status (Diversity and Inclusion Implementation Team - Joanne Woodard) >

6.4 Achieve Hispanic-serving institution (HSI) status (Diversity and Inclusion Implementation Team - Joanne Woodard) >

6.5 Increase the number of National Merit Scholars (Student Enrollment Implementation Team - Shannon Goodman) >

UNT Strategic Objective through Project Team Action Items



Sustainable Growth Finances and Resources



6.1 Increase enrollment by developing and implementing a robust student enrollment plan

6.2 **Implement robust CRM and Marketing Automation Software**

6.3 Achieve minority-serving institution (MSI) status

6.4 Achieve Hispanic-serving institution (HSI) status

6.5 Increase the number of National Merit Scholars

6.2.1 Implement Phase I of the new Constituent Relations Management (CRM) system designed to increase student recruitment, enrollment and retention. (Student Enrollment Implementation Team - Shannon Goodman) (03/15/2016)

6.2.2 Implement Phase I of the Marketing Automation Platform (MAP) that provides additional tools to increase student recruitment capabilities. (Student Enrollment Implementation Team - Shannon Goodman) (03/15/2016)

6.2.3 Implement Phase II - CRM Marketing and Automation to implement all remaining recruitment campaigns and print management functionality. Appointment scheduling implemented for admissions and advising teams. (Student Enrollment Implementation Team - Shannon Goodman) (08/31/2016)

6.2.4 CRM and Marketing Automation Phase III - Expansion of CRM and Marketing Automation functionality to additional UNT units to aid in customer service, communication and retention. (Student Enrollment Implementation Team - Shannon Goodman) (08/31/2018)



Project Team Action Items – CRM Phase I

UNT Strategic Objectives	Implementation Initiatives	Implementation Team Projects	Implementation Team Action Items	Project Team Member Tasks	<
	6.2.1 Implement Phase I of the new Constituent Relations Management (CRM) system designed to increase student recruitment, enrollment and retention.		6.2.1.1 Official Vendor Kickoff (Kenn Moffitt) (10/01/2015)	>	
	6.2.2 Implement Phase I of the Marketing Automation Platform (MAP) that provides additional tools to increase student recruitment capabilities.		6.2.1.2 Requirements gathering and documentation (Kenn Moffitt) (11/01/2015)	>	
	6.2.3 Implement Phase II - CRM Marketing and Automation to implement all remaining recruitment campaigns and print management functionality. Appointment scheduli...		6.2.1.3 Installation and Configuration of Platform (Kenn Moffitt) (03/15/2016)	>	
	6.2.4 CRM and Marketing Automation Phase III - Expansion of CRM and Marketing Automation functionality to additional UNT units to aid in customer service, commun...		6.2.1.4 Data Conversion (Monica Botha) (03/01/2016)	>	
			6.2.1.5 Beta Testing and Process Design (Kenn Moffitt) (03/01/2016)	>	
			6.2.1.6 Security Design and Implementation (Jennifer Lee) (03/10/2016)	>	
			6.2.1.7 User Acceptance Testing (Rebecca Lothringer) (02/12/2016)	>	
			6.2.1.8 Final Testing and Validation (staging environment) (Monica Botha) (03/01/2016)	>	
			6.2.1.9 End User Training (Kenn Moffitt) (02/26/2016)	>	
			6.2.1.10 Move to Production and Go-live (Monica Botha) (03/15/2016)	>	
			6.2.1.11 Phase I - CLOSE OUT (Kenn Moffitt) (04/01/2016)	>	

Implementation Initiative Dashboard

6 Adopt focused strategies to improve the quality and diversity of the student population. ✕

6.2 Implement robust CRM and Marketing Automation Software

50%

% of CRM and Marketing Automation Software Process Implemented

🎯 0%

📊 Current Status

↕ -50%

👤 Student Enrollment Implementation ...

❓ On Target

🕒 10/21/2015 - 8/31/2018

Implementation Team Projects Dashboard

6 Adopt focused strategies to improve the quality and diversity of the student population. ✕

6.2.1 Implement Phase I of the new Constituent Relations Management (CRM) system designed to increase

75%

% of Phase 1 Implemented

🎯 0%
📊 Highest
⬆️ -25%
👤 Student Enrollment Implementation ...
❓ On Target
🕒 10/1/2015 - 3/15/2016

6 Adopt focused strategies to improve the quality and diversity of the student population. ✕

6.2.2 Implement Phase I of the Marketing Automation Platform (MAP) that provides additional tools to

70%

% of Phase I Implemented

🎯 0%
📊 Highest
⬆️ -30%
👤 Student Enrollment Implementation ...
❓ On Target
🕒 11/1/2015 - 3/15/2016

6 Adopt focused strategies to improve the quality and diversity of the student population. ✕

6.2.3 Implement Phase II - CRM Marketing and Automation to implement all remaining recruitment

0%

% of Implementation of Phase II - CRM Marketing and Automation

🎯 0%
📊 Highest
⬆️ -100%
👤 Student Enrollment Implementation ...
❓ Not Started
🕒 3/16/2016 - 8/31/2016

6 Adopt focused strategies to improve the quality and diversity of the student population. ✕

6.2.4 CRM and Marketing Automation Phase III - Expansion of CRM and Marketing Automation

0%

% of Phase III Implementation of CRM and Marketing Automation

📊 Highest
⬆️ -100%
👤 Student Enrollment Implementation ...
❓ Not Started
🕒 9/1/2016 - 8/31/2018

UNT Health Science Center Strategic Plan Review

Presented By: Dr. Michael R. Williams, President

Key Objective 2.8 Strengthen HSC Long-Term Viability

2.8.3 Create a Culture of Continuous Improvement

2.3 Create a culture of continuous improvement

0

of process improvement projects completed

Stephen Barrett

2 Strengthen HSC long-term viability

2.3 Create a culture of continuous improvement

0

of process improvement projects completed

3 Total
-3
Stephen Barrett
On Target
9/1/2015 - 8/31/2020

TARGET ACTUAL

QUARTERLY MONTHLY ANNUAL YTD

3.5
3
2.5
2
1.5
1
0.5
0

Q1 FY17

Supporting Items

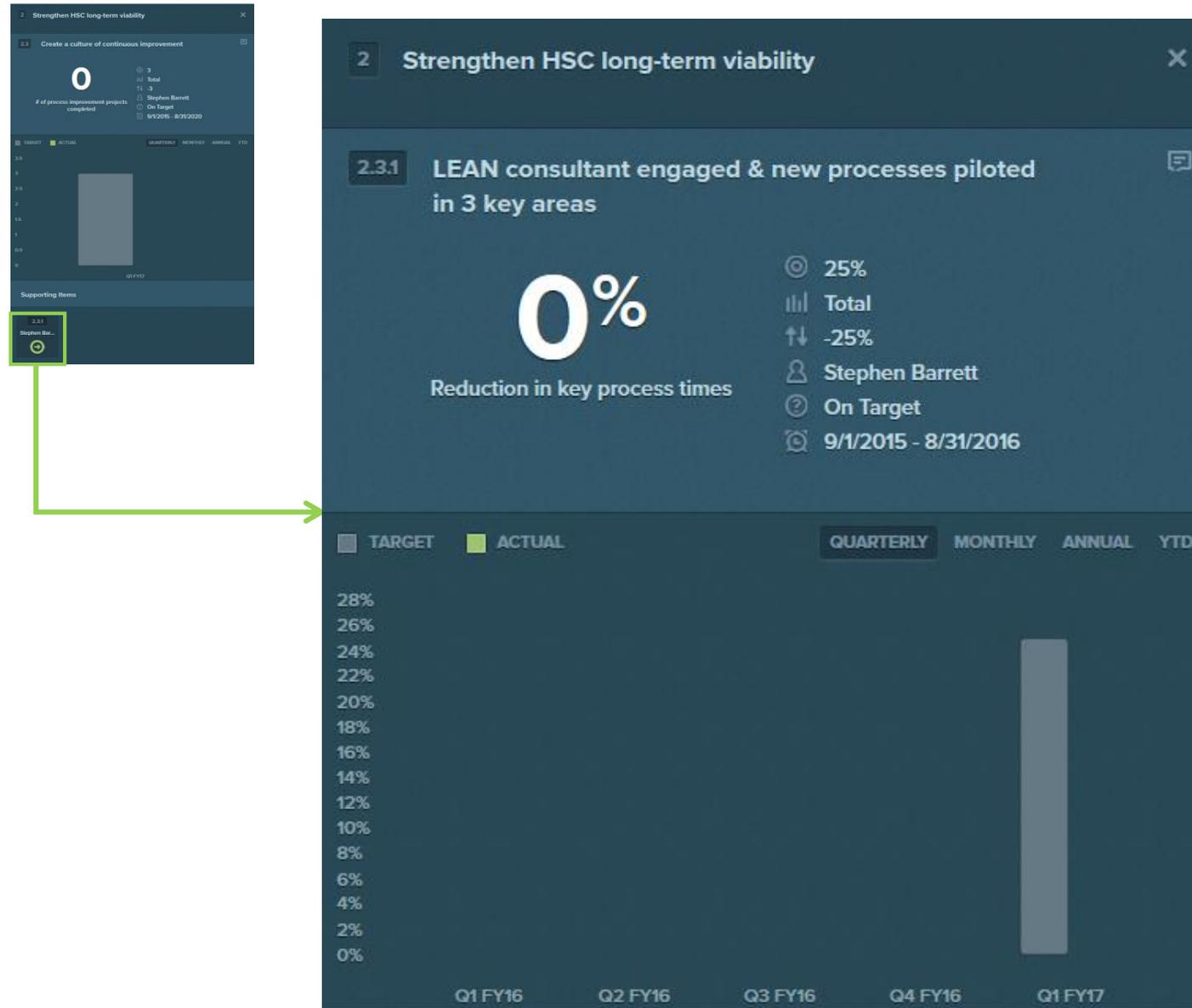
2.3.1
Stephen Bar...

2016 Team Goal

2.8.3.1 LEAN consultant engaged and new processes piloted in 3 key areas

Initiative 2.8.3 Create a Culture of Continuous Improvement

2.8.3.1 LEAN consultant engaged and new processes piloted in 3 key areas

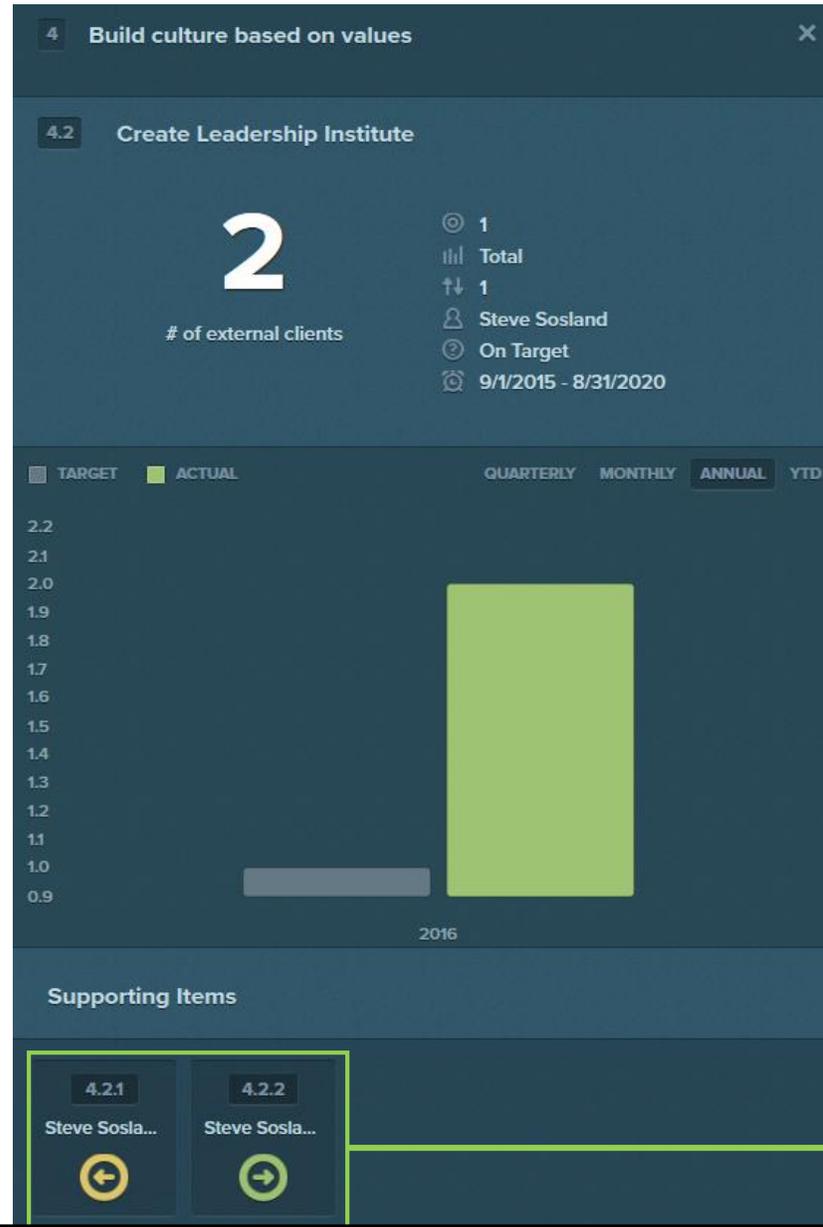


LEAN consultant engaged and new processes piloted in 3 key areas

- Beginning implementation of Phase 2: training internal Continuous Improvement Champions and implementation of recommendations from Phase 1
- Establishing tracking measures to confirm changes in process times

Key Objective 4.5 Build Culture Based on Values

4.5.2 Create Leadership Institute



2016 Team Goals

4.5.2.1 HSC Fellows Program for leadership development established

4.5.2.2 External leadership consultancy formed

Initiative 4.5.2 Create Leadership Institute

4.5.2.1 HSC Fellows Program for leadership development established

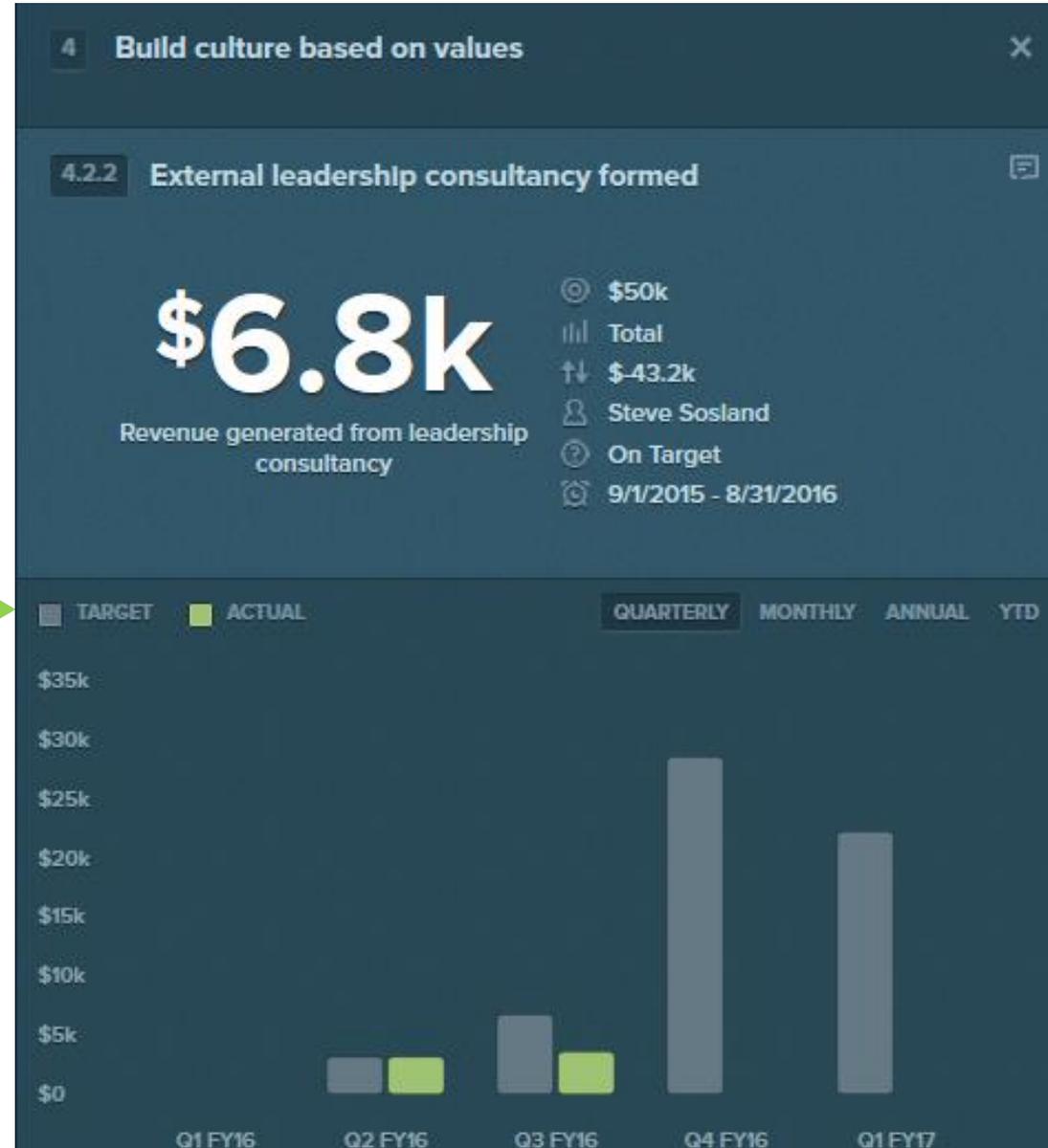
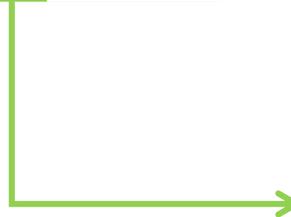
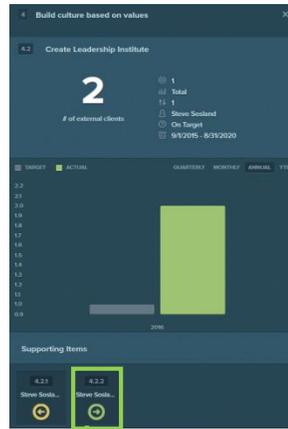


HSC Fellows Program

- 36 applicants
- Accepted 17 that met competitive standards

Initiative 4.5.2 Create Leadership Institute

4.5.2.2 External leadership consultancy formed



External leadership consultancy

- \$6800 in revenues received to-date
- Terminated one coaching client in February, resulting in loss of projected revenue of \$3200

UNT System Consolidated Strategic Plan

UNT|SYSTEM

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
LEARNING & DISCOVERY 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) (08/31/31)	1.1.1 Require clear goals for each academic, student support, and research program on UNTS campuses, working closely with Presidents, Provosts, and other leaders to establish clear understanding of targets for above average peer performance in the areas most important to each program. (UNTS VC: Haggett) (08/31/21)	M: Certify goals for all programs T: 100%
	1.2 UNTS: Maintain a thorough, regular evidence-based process of consistent performance reporting and innovation to improve continuously (UNT System) (08/31/31)	1.2.1 Develop and maintain a formal assessment with each campus annually to review progress and promote innovation opportunities (UNTS VC: Haggett) (08/31/21)	M: Formal progress assessments completed each year T: 1
	1.3 UNT: Strengthen the quality, numbers and accessibility of academic offerings to address evolving student and regional economic and workforce needs. (UNT) (08/31/31)	1.3.1 Establish off-site instructional facilities (UNT) (08/31/21)	M: Total # of off-site instructional facilities T: 5
		1.3.2 Evaluate and restructure online offerings in distance education (UNT) (08/31/31)	M: Total # SCH T: 190,063
		1.3.3 Achieve re-accreditation through the Southern Association of Colleges and Schools Commission on Colleges (UNT) (08/31/16)	M: % of reaccreditation process complete T: 100%
		1.3.4 Review and improve comparative status and rankings of academic programs (UNT) (08/31/31)	M: # of programs ranked in top 25 in their field T: 23
1.3.5 Evaluate and adjust academic programs within colleges and schools to address emerging needs (UNT) (08/31/21)	M: % of programs reviewed in light of workforce needs on 3-year cycle T: 100		

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21	
	1.4 UNT: Enhance research activities in key established and emerging areas of strength to promote innovation, entrepreneurialism and increase research funding. (UNT) (08/31/31)	1.4.1 Initiate Institutes of Research Excellence and establish functional governance model (UNT) (08/31/31)	M: Total new \$ awarded to the institutes annually T: \$10,000,000	
		1.4.2 Strengthen faculty in key established and emerging areas (UNT) (08/31/31)	M: Net increase in total # of additional new faculty hired in identified key areas T: 12	
		1.4.3 Increase private sponsored research agreements (SRAs) (UNT) (08/31/31)	M: Total # of SRAs T: 15	
		1.4.4 Build intellectual property portfolio (UNT) (08/31/31)	M: Total number of licenses executed T: 12	
		1.4.5 Optimize and expand research space (UNT) (08/31/31)	M: # of net square feet of research space T: 240,000	
		1.4.6 Establish plan and schedule for participation in Texas National Research University Fund (UNT) (08/31/31)	M: Total annual restricted research expenditures as a % of \$45M T: 67%	
		1.4.7 Improve graduate student funding model to increase the number of masters and doctoral students (UNT) (08/31/31)	M: Average % growth of graduate stipends compared to OSU Graduate Stipend Study T: 111%	
		1.4.8 Align promotion and tenure standards to our national prominence goals (UNT) (08/31/31)	M: % of dept. P&T stds. reviewed and improved to aspirant stds. on a 5-year cycle T: 100%	
		1.5 UNTHSC: Transform to high-performing health science center (UNTHSC) (08/31/20)	1.5.1 Restructure to high-performing schools and institutes (UNTHSC) (08/31/20)	M: Number of schools & institutes recognized as a high performing institute T: 5
			1.5.2 Expand educational, clinical and research programs with external partners (UNTHSC) (08/31/20)	M: # of signed partnership agreements T: 5

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
		1.5.3 Develop high-performing Patient Safety Institute (UNTHSC) (08/31/20)	M: # of clinical disciplines for which core curriculum is developed and implemented T: 4
	1.6 UNTD: Align our work to our market's greatest needs (UNT Dallas) (08/31/21)	1.6.1 Reduce the gap between UNT Dallas program offerings and the market needs (UNT Dallas) (08/31/21)	M: # priority programs identified T: 10
	1.7 UNTD: Identify priority programs that are relevant, distinctive and differentiated, including one that will be the best in North Texas (UNT Dallas) (08/31/21)	1.7.1 Establish hallmark programs in each academic school (UNT Dallas) (08/31/21)	M: # of hallmark programs identified T: 5
	1.8 UNTD: Recruit and retain outstanding teacher-scholars (UNT Dallas) (08/31/21)	1.8.1 Align UNT Dallas mission/vision to recruit outstanding teacher-scholars in terms of: teaching, teaching service, university service, service to profession, and research (UNT Dallas) (08/31/21)	M: % of faculty hires that qualify as outstanding teacher-scholars T: 100%
		1.8.2 Retain outstanding teacher-scholars to include: teaching, teaching service, university service, service to profession, and research (UNT Dallas) (08/31/21)	M: % of faculty identified as outstanding teacher-scholars T: 100%
	1.9 UNTD: Benchmark with similar aspirational universities regionally, nationally, best in class (UNT Dallas) (08/31/21)	1.9.1 Identify areas of excellence compared to regional peers (UNT Dallas) (08/31/21)	M: # of regional peers T: 4
		1.9.2 Identify areas of excellence compared to national peers (UNT Dallas) (08/31/21)	M: # of national peers T: 3
		1.9.3 Identify areas of excellence compared to best-in-class peers (UNT Dallas) (08/31/21)	M: # of best in class peers T: 3

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
SUSTAINABLE GROWTH, FINANCE & RESOURCES 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) (08/31/31)	2.1.1 Establish service level goals and targets for all appropriate administrative and student services, measure performance against benchmark data, and assist campus officials in doing the same for key campus-based services (UNTS VC: Waldron) (08/31/21)	M: Meeting service level targets T: 100%
		2.1.2 Implement technology tools to track service performance on a continuing basis across all key services (UNTS VC: Waldron) (08/31/21)	M: Automate and report all service performance T: 100%
		2.1.3 Create a culture of service excellence. (UNTS VC: Waldron) (08/31/21)	M: Customer satisfaction with quality of service T: 100%
	2.2 UNTS: Manage total expenditures and student-borne costs, and be able to provide a strong and sustainable value proposition for a UNTS education (UNT System) (08/31/31)	2.2.1 Manage total expenditures by establishing meaningful measures in each higher education expenditure category and reporting consistently. (UNTS VC: Waldron) (08/31/21)	M: Value-added budget reporting format T: 100%
		2.2.2 Maintain appropriate tuition and financial aid strategies to reduce student costs to degree, constrain student debt, and maintain quality and competitive position. (UNTS VC: Waldron) (08/31/21)	M: Measure & report cost to degree compared to targets/peers T: 100%
	2.3 UNTS: Provide comprehensive support and guidance in core system services that are excellent, timely, cost effective, and responsive (UNT System) (08/31/31)	2.3.1 Establish and maintain high performance standards for all financial management responsibilities (UNTS VC: Waldron) (08/31/21)	M: Monitor performance regularly T: 4
		2.3.2 Provide services and leadership in master planning, real estate services, development and delivery of capital facilities through collaborative processes with campus leadership, achieving high functionality, cost effectiveness, and innovation. (UNTS VC: Maguire) (08/31/21)	M: Customer satisfaction with quality of service T: 100%
		2.3.3 Provide valuable guidance to UNTS and its institutions to maintain full compliance with all relevant laws, regulations, and standards. (UNTS VC: Footer) (08/31/21)	M: Customer satisfaction with quality of service T: 100%

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
	2.4 UNT: Improve management of fiscal and physical resources to enhance efficiencies and cost savings (UNT) (08/31/31)	2.4.1 Improve financial net position (UNT) (08/31/31)	M: # of weeks of operating funds in reserves T: 17
		2.4.2 Establish data warehouse (UNT) (08/31/31)	M: # of interactive dashboards T: 7
		2.4.3 Improve and expand campus physical infrastructure (UNT) (08/31/31)	M: % of facilities with renovation age greater than 25 years T: 65%
	2.5 UNT: Increase key measures of engagement and fundraising (UNT) (08/31/31)	2.5.1 Increase philanthropic support (UNT) (08/31/31)	M: Total annual cash received T: \$16,000,000
		2.5.2 Increase number of donors (UNT) (08/31/31)	M: Increase the total # of donors T: 16,000
		2.5.3 Expand alumni network and engagement (UNT) (08/31/31)	M: Increase total # UNT Alumni Association members T: 12,000
		2.5.4 Increase new investment into UNT Foundation and University Endowments (permanent and quasi) (UNT) (08/31/31)	M: New gift dollar additions to endowments and quasi-endowments T: \$115,000,000
	2.6 UNT: Improve student and administrative customer service (UNT) (08/31/31)	2.6.1 Implement mobile application that provides enterprise solution for most valued functions and information to current and prospective students (UNT) (08/31/18)	M: % of process complete T: 100%
		2.6.2 Work with UNT System to improve shared and campus administrative functions to develop high quality services and data systems (UNT) (08/31/31)	M: % of service level targets met T: 96%
	2.7 UNT: Adopt focused strategies to improve the quality and diversity of the student population (UNT) (08/31/31)	2.7.1 Increase enrollment by developing and implementing a robust student enrollment plan (UNT) (08/31/31)	M: Total # of headcount enrollment (Denton & Off-Site Instructional Facilities) T: 40,665
		2.7.2 Implement robust CRM and marketing automation software (UNT) (08/31/18)	M: % of process complete T: 100%
		2.7.3 Achieve minority-serving institution (MSI) status (UNT) (08/31/18)	M: % complete T: 100%

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
		2.7.4 Achieve Hispanic-serving institution (HSI) status (UNT) (08/31/21)	M: % complete T: 100%
		2.7.5 Increase the number of National Merit Scholars (UNT) (08/31/31)	M: # of new National Merit Scholars annually T: 20
		2.7.6 Improve the overall quality of the entering class (FTIC) (UNT) (08/31/31)	M: % of entering FTIC students in top 25% of high school class T: 35.75%
	2.8 UNTHSC: Strengthen HSC long-term viability (UNTHSC) (08/31/20)	2.8.1 Develop successful, financially sustainable practice plan that aligns with the mission of HSC (UNTHSC) (08/31/20)	M: % of clinics that are financially sustainable T: 100%
		2.8.2 Increase number of GME slots by adding new GME programs (UNTHSC) (08/31/20)	M: # of total GME slots T: 350
		2.8.3 Create a culture of continuous improvement (UNTHSC) (08/31/20)	M: # of process improvement projects completed T: 15
		2.8.4 Improve net financial position (UNTHSC) (08/31/20)	M: # of weeks of operating cash reserves T: 22
		2.8.5 Increase philanthropy (UNTHSC) (08/31/20)	M: Total donor funds received 2016-2020 T: \$50,000,000
	2.9 UNTD: Use data strategically to guide better decision-making (UNT Dallas) (08/31/21)	2.9.1 Commit to Proactive, Informed Data-Driven Decision-Making Via Data Improvement (UNT Dallas) (08/31/21)	M: Retrievable and accurate data is housed in the data warehouse T: 100%
		2.9.2 Improve the Availability and Visibility of Data Among Functional Units (UNT Dallas) (08/31/21)	M: % of constituents have access to reliable data to make informed decisions T: 100%
		2.9.3 Implement New and Enhanced Visualization Tools and Techniques for Planning and Forecasting (UNT Dallas) (08/31/21)	M: % completion of Data Warehouse to enhance planning and forecasting T: 100%

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
	2.10 UNTD: Increase philanthropic support (UNT Dallas) (08/31/21)	2.10.1 Commit to ambitious fundraising goals (UNT Dallas) (08/31/21)	M: Total cash received 2016-2021 T: \$5,000,000
		2.10.2 Develop goal and strategy for first capital campaign (UNT Dallas) (08/31/21)	M: Capital campaign plan completion by 8/31/21 T: 100%
		2.10.3 Increase value of endowments (permanent and quasi) (UNT Dallas) (08/31/21)	M: New gift dollar additions to endowments and quasi-endowments 2016-2021 T: \$3,000,000
	2.11 UNTD: Increase enrollment, retention and completion rates (UNT Dallas) (08/31/21)	2.11.1 Grow student enrollment (UNT Dallas) (08/31/21)	M: Increase student headcount T: 5,000
		2.11.2 Exceed state student retention rate for each of the 11 demographic areas that include: Race, Age, Transfer, FTIC, Full-Time, Part-Time, Credit Completion, Pell, Non-Pell, HS GPA, and ACT/SAT (UNT Dallas) (08/31/21)	M: % above state retention rate for each category T: 10%
		2.11.3 Improve 4-year graduation rate (UNT Dallas) (08/31/21)	M: Four-year graduation rate T: 25%
		2.11.4 Improve 6-year graduation rate (UNT Dallas) (08/31/21)	M: Six-year graduation rate T: 50%
	2.12 UNTD: Improve student and administrative customer service (UNT Dallas) (08/31/21)	2.12.1 Increase information resources to University stakeholders (UNT Dallas) (08/31/18)	M: Increase the # of resources T: 6
		2.12.2 Develop a One-Stop-Shop to welcome and retain students (UNT Dallas) (08/31/16)	M: Creation of One-Stop-Shop T: 80%
		2.12.3 Create a customer-oriented culture (UNT Dallas) (08/31/26)	M: Net Promoter Score T: 25
	2.13 UNTD: Keep tuition and fees affordable (UNT Dallas) (08/31/21)	2.13.1 Remain among the most affordable 4-year university within a 50 mile radius (UNT Dallas) (08/31/21)	M: Remain in the lowest quartile of cost in a 50 mile radius in our region T: 100%
	2.14 UNTD: Build active residential life and additional facilities to make UNTD more vibrant. (UNT Dallas) (08/31/21)	2.14.1 Tie pending construction to increased academic and student activities along with implementation of 1st year experience programing (UNT Dallas) (08/31/21)	M: # of programs developed T: 5

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
	2.15 UNTD: Develop more and meaningful private-public partnerships (UNT Dallas) (08/31/21)	2.15.1 Build the number of private-public partnerships (UNT Dallas) (08/31/21)	M: # of partnerships T: 20

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
QUALITY EXPERIENCES FOR LIFETIME SUCCESS 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) (08/31/31)	3.1.1 Broaden the exposure of all UNTS students to career-related experiences and leadership and team-based activities. (UNTS VC: Haggett) (08/31/21)	M: Graduates with career-related experience T: 100%
		3.1.2 Establish a comprehensive portfolio opportunity for all students to recognize their significant achievements in addition to those reflected on transcripts (UNTS VC: Haggett) (08/31/21)	M: Percentage of students utilizing student portfolio product T: 100%
	3.2 UNTS: Develop alumni engagement through student mentorships, alumni surveys, and alumni education opportunities (UNT System) (08/31/31)	3.2.1 Promote the building of broader alumni participation in student support programs and continuing educational opportunities. (UNTS VC: Haggett) (08/31/21)	M: Yearly percentage increase in alumni engagement T: 10%
	3.3 UNT: Foster and support student persistence and success (UNT) (08/31/31)	3.3.1 Increase retention numbers by creating a comprehensive retention program designed to identify and address students' academic and well-being needs (UNT) (08/31/31)	M: First year (fall-to-fall) FTIC retention rate T: 80.61%
		3.3.2 Improve 6-year graduation rate (UNT Only; cohort based) (UNT) (08/31/31)	M: Six year graduation rate T: 53.40%
		3.3.3 Increase degrees awarded (UNT) (03/31/31)	M: Total # degrees awarded T: 9,140
	3.4 UNT: Prepare all students to be competitive in the marketplace (UNT) (08/31/31)	3.4.1 Expand professional development and internship opportunities available to students (UNT) (03/31/31)	M: % students participating in professional development & internship opportunities T: 50%
		3.4.2 Establish new and expand current programs to improve student career preparedness (UNT) (08/31/31)	M: # of programs included in QEP T: 80
	3.5 UNTHSC: Create student outcomes & experiences that deliver value and extraordinary service to others (UNTHSC) (08/31/20)	3.5.1 Enhance student services for career counseling (UNTHSC) (08/31/20)	M: Percent of graduating students during academic year who receive career services T: 75%
		3.5.2 Improve quality of teaching (UNTHSC) (08/31/20)	M: Number of programs with >90% student satisfaction with quality of teaching T: 12

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
		3.5.3 Improve quality of education (UNTHSC) (08/31/20)	M: Number of programs with >90% student satisfaction with quality of education T: 12
	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) (08/31/20)	3.6.1 Demonstrated Competencies: All graduates demonstrate outstanding oral and written communication skills (UNT Dallas) (08/31/21)	M: % of graduates with 90% score for Communication rubric T: 85%
		3.6.2 Demonstrated Competencies: All graduates demonstrate strong critical thinking and analytical abilities (UNT Dallas) (08/31/21)	M: % of graduates with 85% score for Initiative/Problem-solving rubric T: 78%
		3.6.3 Demonstrated Competencies: All graduates demonstrate ethical decision making (UNT Dallas) (08/31/21)	M: % of graduates with 90% score for Leadership & Ethics rubric T: 80%
		3.6.4 Demonstrated Competencies: All graduates demonstrate ability to work well with others (UNT Dallas) (08/31/21)	M: % of graduates with 95% score for Teamwork rubric T: 90%
		3.6.5 Pathway to Social and Economic Mobility: Become a national leader in producing graduates who make better than expected earnings after graduation (UNT Dallas) (08/31/21)	M: % of alumni earning greater than avg Dallas entry wage 1 year after graduation T: 75%
		3.6.6 Enhance and expand Service Learning experiences (UNT Dallas) (08/31/21)	M: % of graduates with professional portfolio T: 80%
		3.6.7 Be known for conducting service learning projects in the community (UNT Dallas) (08/31/20)	M: % of community partners reporting satisfaction with SL and EL outcomes T: 70%
	3.7 UNTD: Develop expertise serving under-resourced college students (UNT Dallas) (08/31/20)	3.7.1 Benchmark with Best-In-Class Institutions (UNT Dallas) (08/31/21)	M: # of Best-In-Class Institutions T: 5
		3.7.2 Expand Mentorship Programs (UNT Dallas) (08/31/20)	M: # of mentorship programs T: 3
		3.7.3 Obtain Title III Grants (for developing universities) (UNT Dallas) (08/31/20)	M: # of grants obtained T: 3

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
PEOPLE & TEAMWORK 4 Develop the fullest potential of every team member	4.1 UNTS: Establish a culture of employee engagement, assessment and satisfaction (UNT System) (08/31/31)	4.1.1 Create a culture of leadership collaboration, empowerment, and accountability. (UNTS VC: Waldron) (08/31/21)	M: Leadership training program participation T: 100%
		4.1.2 Regularly assess employee engagement and satisfaction and incorporate findings into all evaluations of administrators. (UNTS VC: Waldron) (08/31/31)	M: % employee engagement and satisfaction T: 100%
	4.2 UNTS: Become a "Best Place to Work" (UNT System) (08/31/31)	4.2.1 Select an externally sponsored Best Place to Work program and become recognized. (UNTS VC: Waldron) (08/31/31)	M: Recognition by Best Place to Work program T: 100%
	4.3 UNT: Recruit, retain, develop and support an outstanding team of faculty and staff (UNT) (08/31/31)	4.3.1 Establish a program to improve mentoring, training and career development support for staff (UNT) (08/31/31)	M: % of staff participation T: 80%
		4.3.2 Increase participation of staff mid-level managers receiving training for upper-level responsibility (UNT) (08/31/31)	M: % of staff mid-level manager participation T: 30%
		4.3.3 Expand mentoring and career development for faculty (UNT) (08/31/21)	M: % tenure-track faculty participating in mentoring programs T: 100%
		4.3.4 Ensure robust academic leadership structure (UNT) (08/31/31)	M: # of faculty participating in leadership development programs T: 110
	4.4 UNT: Develop a common sense of purpose based on best practices (UNT) (08/31/31)	4.4.1 Develop and implement a campus climate assessment process (UNT) (08/31/31)	M: % of employee engagement and satisfaction T: 100%
	4.5 UNTHSC: Build culture based on values (UNTHSC) (08/31/20)	4.5.1 Create a nationally recognized best places to work environment (UNTHSC) (08/31/20)	M: Recognition by Best Place to Work program T: 100%
		4.5.2 Create leadership institute (UNTHSC) (08/31/20)	M: # of external clients T: 8
		4.5.3 Create a customer service culture (UNTHSC) (08/31/20)	M: Customer satisfaction with quality of service T: 100%

Theme	Key Objectives	Initiatives	Performance Measures and Targets at 5 years (8/31/21) or earlier if completion date occurs before 8/31/21
	4.6 UNTD: Build a strong culture based on our shared values (UNT Dallas) (08/31/31)	4.6.1 Practice inter-professional cooperation and respect (UNT Dallas) (08/31/21)	M: Recognition by Best Place to Work program T: 100%
		4.6.2 G.R.E.A.T Communications (Genuine Relevant Effective and Timely Communication) (UNT Dallas) (08/31/21)	M: % of primary audiences that can articulate the institutional message T: 80%
		4.6.3 Establish traditions (UNT Dallas) (08/31/21)	M: # of traditions T: 5
		4.6.4 Serve different constituencies well (UNT Dallas) (08/31/21)	M: Satisfaction of quality of service T: 80%

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*Business Process Improvement – Implementation of
Prior Administrative Improvement Studies
Recommendations*

*Donna Asher, Associate Vice Chancellor for Finance & Administration
Rama Dhuwaraha, Associate Vice Chancellor and Chief Information Officer*

Presented to
Strategic and Operations Committee of the UNT System Board of Regents

February 25, 2016

Boston Consulting Global (BCG)

- Conducted comprehensive operational review of UNT
 - **Labor Effectiveness (Organizational Optimization)**
 - Optimize spans of control
 - Maximize management value add
 - Eliminate over management and improve morale
 - **Process effectiveness (Lean Optimization)**
 - Optimize/Standardize processes
 - Improve Coordination
 - Avoid duplication of work
 - **Factor effectiveness (Procurement & Sourcing Efficiency)**
 - Supplier management**
 - Commodity strategies**
 - Restructure supply base**
 - Supplier negotiations**
- Twelve week analysis
- Report shared with Board of Regents in March 2013

Boston Global Consulting (BCG) Areas of Spend Opportunity (Factor Effectiveness)

Spend Area	Est. Bucket Spend	Est. Savings Potential	Scope
1. IT Hardware	\$10.9M	\$2.9M - \$4.0M	System
2. IT Service/Software	\$7.7M	\$0.5M - \$0.8M	System
3. Advertising/ Promotions	\$4.3M	\$0.5M - \$0.9M	UNT
4. Auto	\$4.4M	\$0.2M - \$0.6M	System
5. Building Maintenance & Renovations	\$19.3M	\$1.4M - \$3.2M	UNT
6. Consumables	\$9.1M	\$0.6M - \$1.2M	System
7. Furniture	\$7.0M	\$0.3M - \$0.4M	UNT
8. Academic Equipment	\$4.3M	\$0.5M - \$1.0M	System

Information Technology/Academic Equipment

Recommendation		Actions Taken	Status
IT hardware	<i>PC standardization</i>	System Regulation on Personal & Tablet Computer Standardization	Completed
	<i>Transition to virtual server</i>	Transitioned to virtual servers at UNT	Completed
	<i>Transition to thin client</i>	Thin client currently under discussion	In process
IT Service/ Software	<i>Software demand management</i>	Print management solution implemented	Completed

Facilities/Auto Management

Recommendation		Actions Taken	Status
Building Maintenance & Renovation	<i>Construction & renovation job order contracts</i>	Through formal request for bid process, use job order contracts for selected vendors	Completed
	<i>Maintenance & repair supplier management</i>	Increased use of state cooperative contracts for services and supplies.	In process
Furniture	<i>Furniture supplier management</i>	Instituted automated process to require Facilities approval for furniture purchases to ensure quality, appearance, and best value	Modified & Completed
Auto	<i>Fleet standardization</i>	UNT Police began leasing for non-patrol cars for better value; began using City of Denton contracts for better pricing	Modified & in process

Advertising / Promotions

Recommendation		Actions Taken	Status
Advertising/ Promotions	<i>Promotional spend centralization</i>	<ul style="list-style-type: none"> • Launched own brokerage arrangement for wholesale purchase benefits • Average savings of 30% • Voluntary usage by departments 	Modified & Completed
	<i>Advertisement spend centralization</i>	<ul style="list-style-type: none"> • Contracted with external buyer to review bid rates and negotiate with vendors on behalf of institution • Average savings of 20% for ads • Average savings of 30% - 35% on billboards • Voluntary usage by departments 	Modified & Completed

Benefits: allows for brand consistency

Consumables

Recommendation		Actions Taken	Status
Consumables	<i>Consumable supplier management</i>	<ul style="list-style-type: none"> Through a formal request for bid process, selected a preferred vendor for office supplies <ul style="list-style-type: none"> ➤ Negotiated market basket savings of 25% 	Completed
		<ul style="list-style-type: none"> Joined University of Texas Supply Chain Alliance & use others co-operatives as needed <ul style="list-style-type: none"> ➤ Co-operative purchasing program to leverage buying power with other institutions 	Completed

Non-BCG Operational Efficiency & Effectiveness Progress

UNT System Shared Services Goals



Goal 1:
 Improve efficiency by eliminating unnecessary duplication of services across the UNT System

Goal 2:
 Manage business and IT services strategically

Goal 3:
 Promote the buying power of the UNT System and increase the ability to leverage resources

Goal 4:
 Improve quality by continually monitoring customer expectations and satisfaction and continuous process evaluation and improvement

Goal 5:
 Facilitate long-term financial savings by providing more efficient (cost effective) services

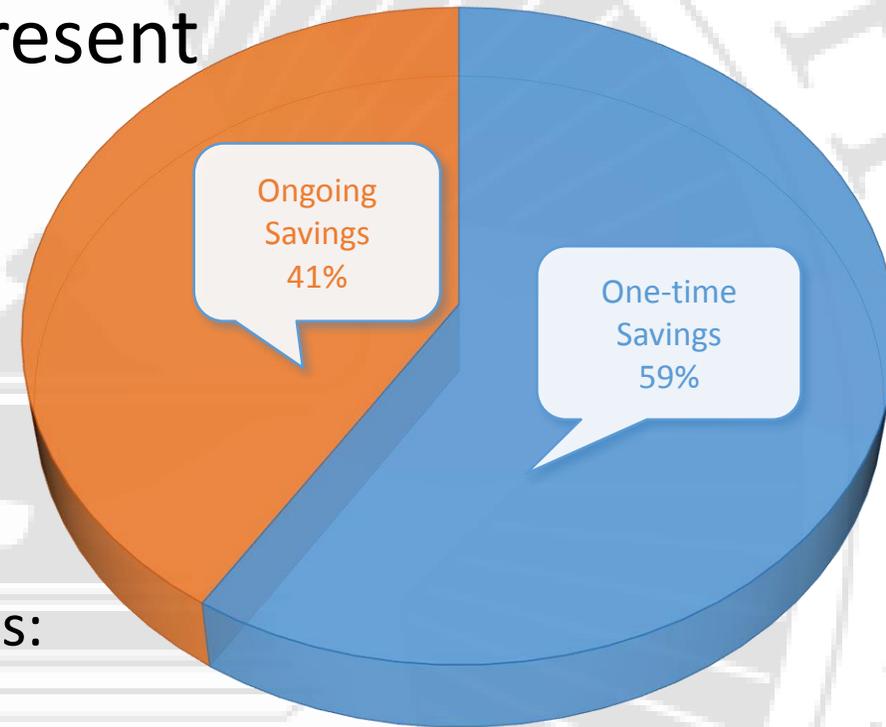
Shared Service Charge

- Information Technology Shared Services (ITSS)
 - Slow the growth curve for IT costs
- Business Support Services (formerly known as Business Service Center)
 - Increase process efficiencies and cost effectiveness while providing effective quality customer service

ITSS Savings | January 2012 -> Present

Top 3 Saving Types:

- Contract Negotiations:
\$ 4,124,394
- Replacement systems:
\$ 435,079
- Removal of old/unused items:
\$ 420,175

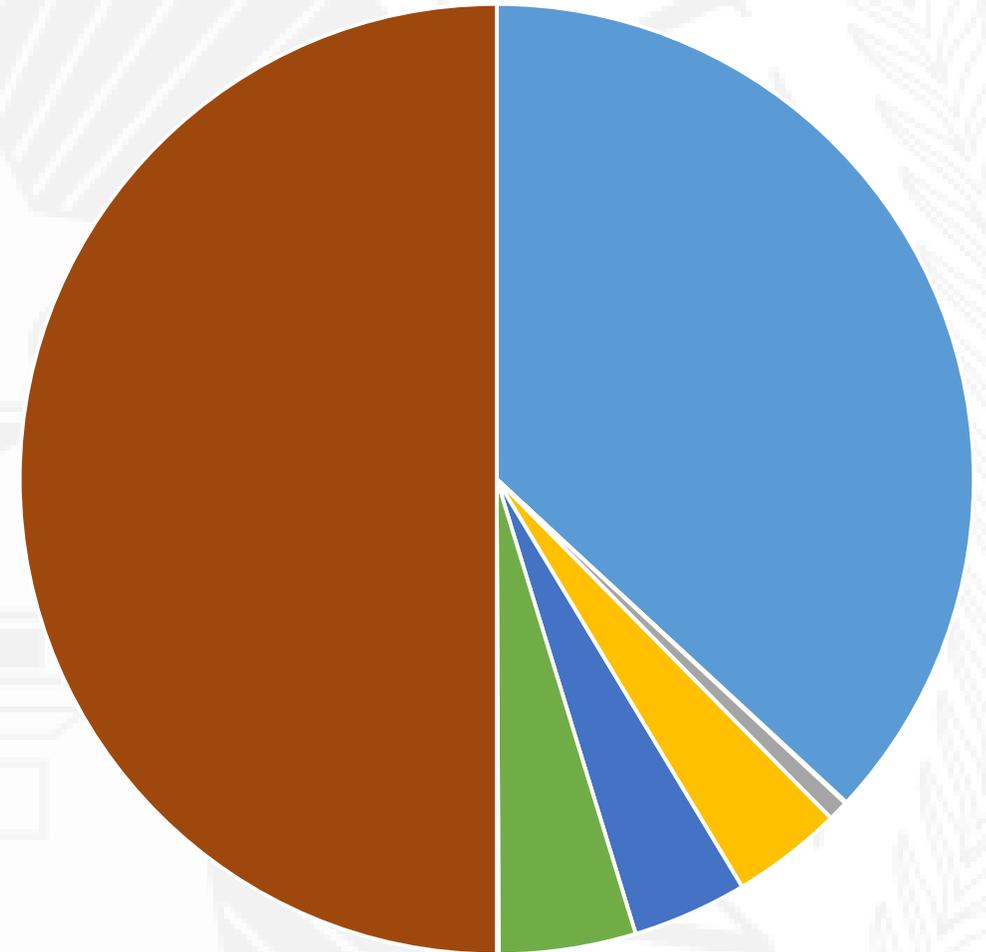


One-time Savings	\$3,314,238
Ongoing Annual Savings	\$2,273,883
Total Savings	\$5,588,121

IT Saving's from...

Contract Negotiation	\$4,124,394.40
New License type	\$5,250.00
Reallocation	\$77,312.60
Removed Unused Components	\$420,174.98
Replacement	\$435,079.00
Reviewed contract/metrics	\$518,449.90
Standardization	\$7,460.00

Grand Total **\$5,588,120.88**



- Contract Renegotiation
- New License type
- Reallocation
- Removed Unused Components
- Replacement
- Review
- Standardization
- Grand Total

Business Services - Progress Made

- Redesigned over 150 processes
- Estimated recurring direct and indirect savings due to process efficiencies exceeds \$1.5m
 - Electronic employee onboarding
 - Electronic payroll action requests
 - Travel planning management
- Created strategic sourcing/purchasing team
- Saved over \$1m due to direct negotiations with suppliers, usage of cooperative agreements or price comparisons on open market
- Created service level agreements
- Customer service
 - Added call center to handle tier 1 customer contact
 - Implemented new call center software to track & monitor email and phone responses
 - Instituted campus partner quarterly meetings with department representatives
 - Relationship director meets with campus leaders on a regular basis

Business Services - Progress Made (cont')

- No increase in base budget since inception on 9/1/2011.
- Annual Dividends Returned

	FY14 Dividend	FY13 Dividend	FY12 Dividend	Total Dividends
UNT	\$ 317,150	\$ 304,800	\$ 174,535	\$ 796,485
UNTHSC	\$ 136,850	\$ 131,517	\$ 75,309	\$ 343,676
UNT Dallas	\$ 23,000	\$ 22,090	\$ 12,649	\$ 57,739
UNT System	\$ 23,000	\$ 22,090	\$ 12,649	\$ 57,739
Total	\$ 500,000	\$ 480,496	\$ 275,142	\$ 1,255,638

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Questions?

UNT Strategic Plan Goals & Metrics

						UNT Targets				
UNTS Theme	UNT Key Objectives	UNT Initiatives	UNT Measures	Baseline	2016	2018	2021	2026	2031	
						2 Year	5 Year	10 Year	15 Year	
LEARNING & DISCOVERY: 1. Create and continuously improve vibrant and innovative academic communities	1.3 UNT: Strengthen the quality, numbers and accessibility of academic offerings to address evolving student and regional economic and workforce needs.	1.3.1 Establish off-site instructional facilities	M: total # of off-site instructional facilities		2	4	5	5	5	
		1.3.2 Evaluate and restructure online offerings in distance education	M: total # SCH			165,871	190,063	230,889	271,674	
		1.3.3 Achieve re-accreditation through the Southern Association of Colleges and Schools Commission on Colleges	M: % of reaccreditation process complete	-	100%	-	100%	100%	100%	
		1.3.4 Review and improve comparative status and rankings of academic programs	M: # of programs ranked in top 25 in their field		19	21	23	25	28	
		1.3.5 Evaluate and adjust academic programs within colleges and schools to address emerging needs	M: % of programs reviewed in light of workforce needs on 3-year cycle		33%	66%	100%	100%	100%	
	1.4 UNT: Enhance research activities in key established and emerging areas of strength to promote innovation, entrepreneurialism and increase research funding.	1.4.1 Initiate Institutes of Research Excellence and establish functional governance model	M: total new \$ awarded to the institutes annually		0	\$4M per year	\$10M per year	\$20M per year	\$35M per year	
		1.4.2 Strengthen faculty in key established and emerging areas	M: net increase in total # of additional new faculty hired in identified key areas		1	5	12	20	50	
		1.4.3 Increase private sponsored research agreements (SRAs)	M: total # of SRAs		2	6	15	25	40	
		1.4.4 Build intellectual property portfolio	M: total # of licenses executed		2	5	12	25	30	
		1.4.5 Optimize and expand research space	M: # of net square feet of research space		208,463 SF	230,000 SF	240,000 SF	260,000 SF	360,000 SF	
		1.4.6 Establish plan and schedule for participation in Texas National Research University Fund	M: total annual restricted research expenditures as a % of \$45M		40%	44%	67%	111%	178%	
		1.4.7 Improve graduate student funding model to increase the number of masters and doctoral students	M: average % of growth of graduate stipends compared to OSU Graduate Stipend Study		109%	110%	111%	113%	115%	
		1.4.8 Align promotion and tenure standards to our national prominence goals	M: % of department P&T standards reviewed and improved to aspirant standards on 5-year cycle		100%	100%	100%	100%	100%	
SUSTAINABLE GROWTH, FINANCE & RESOURCES: 2. Achieve exceptional service and value for all customers including students	2.4 UNT: Improve management of fiscal and physical resources to enhance efficiencies and cost savings.	2.4.1 Improve financial net position	M: # of weeks of operating funds in reserves		15	16	17	20	22	
		2.4.2 Establish data warehouse	M: # of interactive dashboards		2	5	7	9	15	
		2.4.3 Improve and expand campus physical infrastructure	M: % of facilities with renovation age greater than 25 years		69%	67%	65%	58%	50%	
	2.5 UNT: Increase key measures of engagement and fundraising.	2.5.1 Increase philanthropic support	M: total \$ annual cash received	\$12.2M	\$12.5M	\$14M	\$16M	\$20M	\$25M	
		2.5.2 Increase number of donors	M: increase the total # of donors	14,000	14,500	15,000	16,000	18,000	20,000	
		2.5.3 Expand alumni network and engagement	M: increase total # UNT Alumni Association members	9,000	9,000	10,500	12,000	14,000	16,000	
		2.5.4 Increase new investment into UNT Foundation and University Endowments (permanent and quasi)	M: new gift \$ additions to endowments and quasi-endowments	\$91M	\$94M	\$100M	\$115M	\$130M	\$150M	
	2.6 UNT: Improve student and administrative customer service.	2.6.1 Implement mobile application that provides enterprise solution for most valued functions and information to current and prospective students	M: % of process complete			100%	-	-	-	
		2.6.2 Work with UNT System to improve shared and campus administrative functions to develop high quality services and data systems	M: % of service level targets met		90%	92%	96%	98%	98%	
	2.7 UNT: Adopt focused strategies to improve the quality and diversity of the student population.	2.7.1 Increase enrollment by developing and implementing a robust student enrollment plan	M: total # of headcount enrollment (Denton & off-site instructional facilities)			38,557	40,665	43,010	45,263	
		2.7.2 Implement robust CRM and marketing automation software	M: % of process complete			100%	-	-	-	
		2.7.3 Achieve minority-serving institution (MSI) status	M: % complete			100%	-	-	-	
		2.7.4 Achieve Hispanic-serving institution (HSI) status	M: % complete				100%	-	-	
2.7.5 Increase the number of National Merit Scholars		M: # of new National Merit Scholars annually				17	20	25	30	
2.7.6 Improve the overall quality of the entering class (FTIC)	M: % of entering FTIC students in top 25% of high school class				34.00%	35.75%	37.50%	38.00%		
QUALITY EXPERIENCES FOR LIFETIME SUCCESS: 3. Provide quality experiences for lifetime success for all students	3.3 UNT: Foster and support student persistence and success.	3.3.1 Increase retention numbers by creating a comprehensive retention program designed to identify and address students' academic and well-being needs	M: % first year (fall-to-fall) FTIC retention			79.71%	80.61%	83.16%	85.42%	
		3.3.2 Improve 6-year graduation rate (UNT Only; cohort based)	M: % six year graduation rate			52.80%	53.40%	54.40%	55.40%	
		3.3.3 Increase degrees awarded	M: total # degrees awarded			8,853	9,140	9,526	9,958	
	3.4 UNT: Prepare all students to be competitive in the marketplace.	3.4.1 Expand professional development and internship opportunities available to students	M: % of students participating in professional development and internship opportunities	22%	25%	33%	50%	55%	60%	
		3.4.2 Establish new and expand current programs to improve student career preparedness	M: # of programs included in Quality Enhancement Program	0	10	40	80	100	125	
PEOPLE & TEAMWORK: 4. Develop the fullest potential of every team member	4.3 UNT: Recruit, retain, develop and support an outstanding team of faculty and staff.	4.3.1 Establish a program to improve mentoring, training and career development support for staff	M: % of staff participation		50%	60%	80%	85%	90%	
		4.3.2 Increase participation of staff mid-level managers receiving training for upper-level responsibility	M: % of staff mid-level manager participation		Establish Tracking Sys.	20%	30%	35%	35%	
		4.3.3 Expand mentoring and career development for faculty	M: % tenure-track faculty participating in mentoring programs	20%		30%	100%	100%	100%	
		4.3.4 Ensure robust academic leadership structure	M: # of faculty participating in leadership development programs		82	95	110	120	120	
	4.4 UNT: Develop a common sense of purpose based on best practices	4.4.1 Develop and implement a campus climate assessment process	M: % of employee engagement and satisfaction		Establish Baseline & Targets	Est. Target	100%	100%	100%	



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MINUTES

BOARD OF REGENTS Audit Committee November 19, 2015

The Audit Committee of the Board of Regents of the University of North Texas System convened on Thursday, November 19, 2015 in Room 43/47 of the Gateway Center, University of North Texas, 801 North Texas Blvd, Denton, Texas with the following members in attendance: Regents Don Potts, Rusty Reid, Glen Whitley, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Glen Whitley, at 3:42 pm. The minutes of the August 27-28 Audit Committee meeting was approved on a 4-0 vote following a motion by Regent Potts and seconded by Regent Reid.

UNT System Chief Audit Executive, Tracy Grunig, delivered the **Internal Audit Report of Audit Activities, November 2015**.

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

- **UNTS Consolidated Annual Compliance Report**

Some discussion of the report format followed.

There being no further business, the Committee meeting adjourned at 4:25 pm.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: Dec 4, 2015



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MINUTES

BOARD OF REGENTS Audit Committee December 14, 2015

The Audit Committee of the Board of Regents of the University of North Texas System convened on Monday, December 14, 2015 in Room 712 A & B of the University of North Texas System, 1901 Main St., Dallas, Texas with the following committee members in attendance: Regents Don Potts, Glen Whitley, and Laura Wright. Regent A.K. Mago was also present for the meeting.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Glen Whitley, at 2:30 pm.

Ben Kohnle, Partner at Grant Thornton, delivered a presentation on **Planning the 2015 External Audit**.

At 2:50 pm Chairman Whitley moved the Audit Committee into Executive Session to consider matters noted on the Executive Session agenda.

At 4:20 pm, following Executive Session, Chairman Whitley reconvened the Audit Committee. There were no action items from Executive Session.

There being no further business, Regent Potts made a motion for adjournment, which Regent Wright seconded. The motion was approved and the Audit Committee meeting adjourned at 4:20 pm.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: 1/5/16

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BOARD OF REGENTS AUDIT COMMITTEE CHARTER

Purpose and Authority

The Audit Committee of the Board of Regents ("Board") of the University of North Texas System (System) assists the Board in fulfilling its responsibilities for:

1. Oversight of the quality and integrity of the accounting financial, and non-financial reporting practices;
2. Oversight of the internal audit function, any external auditors who the Committee may employ, and engagements with the State Auditor;
3. Oversight of the internal control environment;
4. Oversight of legal and regulatory compliance;
5. Oversight of information security and controls;
6. Oversight of the integrity of the System's financial statements and the System's accounting and financial reporting processes and financial statement audits;
7. Oversight of the System's disclosure control processes and procedures, internal controls over financial reporting, and compliance with ethical standards adopted by the System; and
8. Oversight of the System's risk management process.

The Audit Committee should encourage continuous improvement, and should foster adherence to the System's policies, procedures, and practices at all levels. The Audit Committee should also provide for open communication among the external auditor, financial and senior management, the internal audit function, and the Board of Regents.

The Audit Committee has the authority to conduct investigations into any matters within its scope of responsibility and obtain advice and assistance from outside legal, accounting, or other advisers, as necessary, to perform its duties and responsibilities. In carrying out its duties and responsibilities, the Audit Committee shall also have the authority to meet with and seek any information it requires from employees, Regents, or external parties.

The System will provide appropriate funding, as determined by the Audit Committee, to fund the internal audit activity, to compensate the external auditor, to compensate any advisers that the Audit Committee chooses to engage, and for payment of ordinary administrative expenses of the Audit Committee that are necessary or appropriate in carrying out its duties.

The Audit Committee's principal responsibility is one of oversight. The fundamental responsibility for the integrity of the System's financial statements and disclosures rests with management and the external auditor.

Membership and Meetings

The Audit Committee is a standing committee of the Board and is composed of not fewer than four members of the Board. The Chairman of the Finance Committee shall serve as an ex officio voting member of the Audit Committee.

Committee members will be appointed by the Chairman of the Board of Regents.

The Audit Committee members will be financially literate and the Committee will provide its members with continuing education opportunities in financial reporting and other relevant areas. The Audit Committee should include at least one financial expert.

The Audit Committee will meet four times annually or more frequently as circumstances require. The Audit Committee may meet in executive session as needed and as allowed by law. The Audit Committee should meet with the external auditors, internal auditors and management in separate executive sessions.

The agenda for Committee meetings will be developed by the Audit Committee Chairman in

consultation with the Chancellor and the Chief Internal Auditor.

The committee will meet periodically with the external auditor and management to discuss the annual audited financial statements and quarterly financial statements.

Independence

The Board of Regents and management must be independent from vendors. If overlapping financial interests or personal relationships exist, they must be fully disclosed, and the appropriate personnel must recuse themselves from discussions and voting on related matters.

Accounting / Financial Information Review Duties

1. Review the annual financial statements and related footnotes and discuss with management, the Chief Internal Auditor and the external auditor.
2. Review the financial statements and all of its disclosures, especially fees paid to vendors, activities unrelated to the System's purpose and transactions with related entities.

External Auditor Review Duties

1. Appoint, compensate, retain, and oversee the work performed by the external auditor retained for the purpose of preparing or issuing an audit report or related work. Review the performance and independence of the external auditor and remove the external auditor if circumstances warrant. The external auditor will report directly to the Audit Committee and the Audit Committee will oversee the resolution of disagreements between management and the external auditor if they arise.
2. Review both the audit and non-audit services to be provided by the external auditor.
3. Consider whether the external auditor's provision of permissible non-audit services is compatible with the auditor's independence. Actively engage in dialogue with the external auditor with respect to any disclosed relationships or services that may affect the independence and objectivity of the auditor and take appropriate actions to oversee the independence of the external auditor.
4. Review with the external auditor any problems or difficulties with respect to the audit and obtain reports on significant findings and recommendations, together with management responses.
5. Hold timely discussions with the external auditor regarding the following:
 - a. All critical accounting policies and practices.
 - b. All alternative treatments of financial information within generally accepted accounting principles (GAAP) related to material items that have been discussed with management, ramifications of the use of such alternative disclosures and treatments, and the treatment preferred by the external auditor.
6. At least annually, obtain and review a report by the external auditor describing:
 - a. The external auditor's internal quality-control procedures.
 - b. Any material issues raised by the most recent internal quality-control review or peer review, or by any inquiry or investigation by governmental or professional authorities within the preceding five years with respect to independent audits carried out by the external auditor, and any steps taken to deal with such issues.
 - c. All relationships between the external auditor and the System.
7. Annually, evaluate the external auditor's qualifications, performance, and independence. Further, the Audit Committee will review the experience and qualifications of the lead partner. The Audit Committee will also consider whether there should be rotation of the external auditor itself. The Audit Committee should present its conclusions to the board.
8. Set policies for hiring personnel of the external auditor.

Financial Reporting Processes, Accounting Policies, and Internal Control Structure Duties

UNT | SYSTEM™

1. Discuss with the external auditor, the internal audit function, and management, the extent to which changes or improvements in financial or accounting practices have been implemented.
2. In consultation with the external auditor and the internal audit function, review the integrity of the System's financial reporting processes (both internal and external).
3. Understand the scope of the external auditor's review of internal control over financial reporting.
4. Monitor the effectiveness of the internal control systems. Receive and review any disclosures from the System's CFOs and Controllers made in connection with the certification of the System's financial reports: a) significant deficiencies and material weaknesses in the design or operation of internal control over financial reporting which are reasonably likely to adversely affect the university's ability to record, process, summarize, and report financial data; and b) any fraud, whether or not material, that involves management or other employees who have a significant role in the university's internal controls.
5. Review major issues regarding accounting principles and financial statement presentations, including any significant changes in the System's selection or application of accounting principles; major issues as to the adequacy of the university's internal controls.
6. Review analyses prepared by management and the external auditor setting forth significant financial reporting issues and judgments made in connection with the preparation of the financial statements, including analyses of the effects of alternative GAAP methods on the financial statements for state and local governments.
7. Review and approve all related-party transactions.
8. Establish and oversee procedures for the receipt, retention, and treatment of complaints regarding accounting, internal accounting controls, or auditing matters, including procedures for confidential, anonymous submissions by System employees regarding questionable accounting or auditing matters.
9. Confirm that significant findings and recommendations made by the internal and external auditors are received, discussed and acted upon appropriately and promptly.
10. Assure that management is setting the appropriate tone in communicating the importance of internal controls and in establishing policies and procedures to mitigate risk.

Internal Audit Duties

1. Review all internal audit reports and responses and monitor the implementation of recommendations.
2. Recommend for approval by the Board the hiring, removal, and evaluation of the Chief Internal Auditor who shall report to the Board through the Audit Committee.
3. Annually review the performance of the Chief Internal Auditor.
4. Review the effectiveness of the internal audit function, including staffing, training, independence, and adequacy of resources.
5. Approve the internal audit purpose statement, charter, and other governance documents related to internal audit activities, and annually review and recommended changes, as needed, of the internal audit governance documents (including the purpose statement and charter).
6. Periodically review, with the Chief Internal Auditor, any significant difficulties, disagreements with management, or scope restrictions encountered in the course of conducting their work.
7. Periodically review the internal audit function's responsibility, budget, and staffing.
8. Meet with the Chief Internal Auditor in private without representation from administration present.

Ethical Compliance, Legal Compliance, and Risk Management Duties

1. Oversee, review, and periodically update the System's code of conduct and how the System assures compliance with and enforces this code.
2. Oversee the System's risk management process.
3. Review any legal and regulatory matters that may have a material impact on the financial statements, internal auditing, and/or compliance activities.
4. Recommend the annual System-wide risk assessment and annual internal audit plan for review and approval by the Board of Regents.
5. Initiate audits and compliance activities as deemed necessary to ensure appropriate risk management and control processes within the System.
6. Review all compliance reports and monitor the implementation of recommendations.
7. Consider the risk of management's ability to override the internal controls.

Reporting and Duties

1. Recommend to the Board of Regents that the audited financial statements be included in the System's annual report.
2. Report regularly to the Board of Regents regarding the execution of the Audit Committee's duties, responsibilities, activities, and any issues encountered.

Other Responsibilities and Duties

1. Recommend an Audit Committee Charter for review and approval by the Board of Regents; and review this charter at least annually and recommend to the Board of Regents any necessary amendments.
2. Conduct an annual performance assessment relative to the Audit Committee's purpose, duties, and responsibilities outlined herein.
3. Perform any other activities consistent with this charter, the System's bylaws, and governing laws that the Board of Regents or Audit Committee determine are necessary or appropriate.

Audit Committee Chair

Chief Internal Auditor

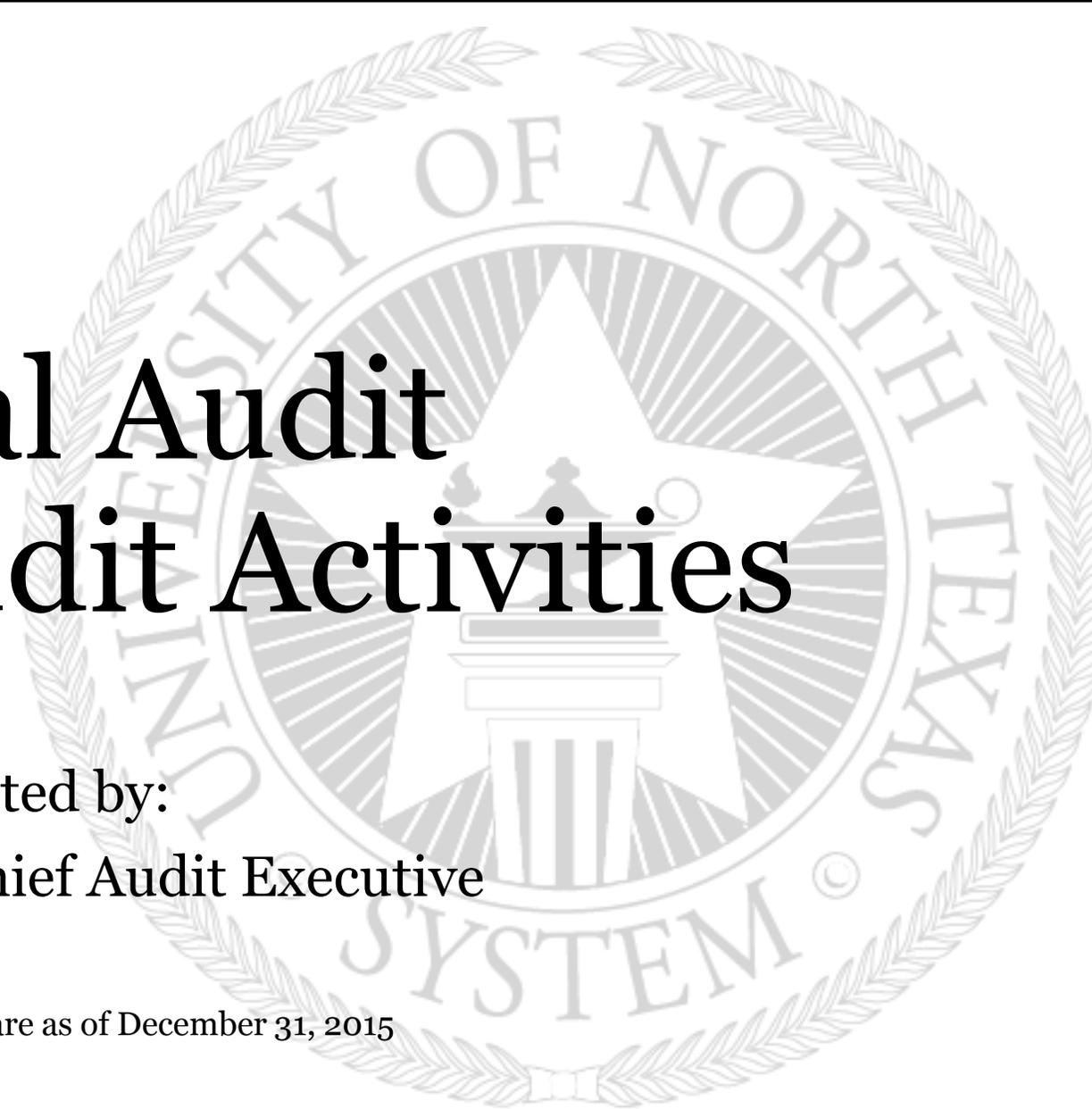
Date:

Adopted:

Effective:

Revised:

Board Item	Feb	March Retreat	May	Aug	Nov
<u>Annual Items</u>					
Committee Charter	X				
Audit Committee Annual Calendar	X				
Auditor Evaluation				X	
Auditor's Work Plan				X	
Risk Assessment & Internal Audit Plan					
Compliance Work Plan				X	
Audit Committee Training		X			
Annual Internal Audit Report					X
Internal Audit Charter	X				
<u>Quarterly Items</u>					
Quarterly Internal Audit Report	X		X	X	X
Compliance Quarterly Report	X		X	X	X



Internal Audit Report of Audit Activities

Presented by:

Tracy C. Grunig, Chief Audit Executive

Activities reflected within are as of December 31, 2015

Internal Audit Milestones

- Revamping of Audit Committee Quarterly Materials
- Enhanced transparency in communication
- Due Diligence/Audit Report submission process
- Internal Audit Policies & Procedures
- Auditor Training
 - Auditor Skills & Techniques/IIA Standards
 - Audit and Security for Cloud-Based Services
 - ACFE Interviewing & Fraud Examination
- Staffing Reorganization Model
 - Identify new areas of need within organization
 - Senior Financial Auditor
 - Continuous Monitoring Auditor
 - Internal Audit Associate

Fiscal Year 2016 Audit Plan

Audit Name	Component Institution				Current Status					Audit Committee Presentation Date
	System	UNT	UNTHSC	UNT Dallas	Outsourced	Open	Planned	In-Progress	Issued	
Expenditure Review	X	X	X	X					X	February 2016
Family Medicine Residency Program Review			X						X	February 2016
Investments Review	X	X	X	X					X	February 2016
Joint Admission Medical Program Review			X						X	February 2016
Advisory: FY 15 External Audit Coordination and Assistance	X	X	X	X				X		Continuous
Advisory: Hyperion Implementation	X	X	X	X				X		May 2016 (estimated)
Advisory: PeopleSoft Implementation	X	X	X	X				X		May 2016 (estimated)
Audit Recommendation Follow-up	X	X	X	X				X		Continuous
Financial Transformation Implementation Assurance	X	X	X	X				X		Continuous
Investigations	X	X	X	X				X		Continuous
IT Governance	X	X	X	X				X		May 2016 (estimated)
Management Control Review-Policies & Procedures Review				X				X		
Management Requests and Emerging Risks	X	X	X	X				X		Continuous
Privacy and Data Protection	X	X	X	X				X		May 2016 (estimated)
Selected Student Fees Review		X		X				X		
Student Cell Phone Access Audit	X	X	X	X				X		May 2016 (estimated)
Unrelated Business Income Tax		X						X		
Accounts Payable	X	X	X	X		X				Continuous
Affordable Care Act Implementation		X				X				
Change Management	X	X	X	X		X				
Enrollment Management and Planning				X		X				
Federal Financial Aid Review				X		X				
International Travel Process Review		X				X				
Journal Entry	X	X	X	X		X				Continuous
Payroll	X	X	X	X		X				Continuous
PCI Data Security Overview	X	X	X	X		X				
Selected Contract Review (1 of 2)	X					X				
Selected Contract Review (2 of 2)	X					X				
Selected Scholarships Review		X				X				
Student Managed Investment Fund Review		X				X				
Task Payments	X	X	X	X		X				Continuous
Time & Labor Audit	X					X				
Unit Specific Management Control Review		X				X				
Unit Specific Management Control Review		X				X				
Unit Specific Management Control Review			X			X				
HRSA Loan Programs			X							Performed by Texas SAO A-133
Benefits Proportionality Review	X	X	X	X	X					
Cancer Prevention Research Institute of TX Program		X	X		X					August 2016
Endowments		X	X	X	X					
Financial Review of HSC Reserves			X		X					
Grants Management Process Review		X			X					
Selected Grants Reviews		X	X		X					
Federal Financial Aid Review				X	X					

Audit Reports Issued

UNT System Administration

- 16-001 Chancellor's Expenditure Review
- 16-004 Investments Review

Audit Reports Issued

UNT

- 15-031 Office of Sustainability
- 16-003 President's Expenditure Review
- 16-004 Investments Review

Audit Reports Issued

UNT Health Science Center

- 16-008 President's Expenditure Review
- 16-009 Investments Review
- 16-010 Family Medical Residency Program
- 16-011 Joint Admissions Medical Program

Audit Reports Issued

UNT Dallas

- 16-004 Investments Review
- 16-014 President's Expenditure Review

IT Audit Update

Management Advisory Services

Advisory: PeopleSoft Implementation

- Attended PeopleSoft Upgrade For Finance Project weekly team meetings
- Met regularly with Project Management to discover any roadblocks and escalate concerns as needed
- Monitored the timeline and milestones ensuring that the right people were informed of any delays
- Watched emerging risks, errors, and defects
- Verified the issues were resolved to the satisfaction of the correct parties
- Verified user access security was being discussed and vetted during the implementation

IT Audit Update

Management Advisory Services

Advisory: Hyperion Implementation

- Attended kickoff and initial planning meetings
- Engaged project team to ensure controls and security are built into the system from outset
- Ensured proper System Development Life Cycle processes are being followed
- Developed Risk Analysis for project
- Monitored project status

IT Audit Update

Audit Projects

IT Governance

- Conducted preliminary interviews of senior leadership
- Interviewed key IT personnel at UNT, UNTHSC & UNT Dallas
- Report is in draft process and report will cover Enterprise IT reporting structure, Enterprise IT Communication, Roles & Responsibilities, Security Program and Security Plan, Policies & Procedures, and controls surrounding the publication of websites

Data Privacy Audit

- Started January 2016
- Scope-All laptops purchased and maintained by all University components for use by faculty and staff
- Objective-Verify an inventory process is in place, a standard and secure build process is utilized and anti-virus and encryption is maintained on each laptop

IT Audit Update

Audit Projects

Student Cell Phone Access Audit

- Audit initiated per discussion with Chancellor Jackson regarding his concern for student safety
- Addressed potential safety concerns such as access to and dissemination of student personal information under University control
- Potential compliance with Family Education Rights and Privacy Act
- Ensured access to sensitive information is properly vetted
- Met with Information Technology Shared Services (ITSS) representatives to understand where information is located in the various databases and how to access the information
- Created a breakdown by department of individuals who have access to student cell phone numbers

Integrity Unit Update

Services Provided & Presentations Made

- UNT Business Faculty
- Internal Audit Training-Interviewing Techniques

Hotline Implementation

- Hosted steering committee meeting
- Identifying all departmental hotlines and investigators

Approval Transaction Identification Error Corrected

Effective Controls – Cash Loss Detected at UNT Dallas

Integrity Unit Update

Open Investigation Status			
Field Work	Hand-off to Other University Units	Pending	Total
20	12	2	34

Closed Investigations					
	UNTS	UNT	UNTHSC	UNT Dallas	Total
Substantiated*	2	2	1	1	6
Unsubstantiated**	1	2	0	0	3
Total	3	4	1	1	

*Investigation corroborated complaint

**Investigation was not able to corroborate complaint

UNT System Administration Recommendations Completed this Quarter

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
14-002 FY 2013 Investments Review	Moderate	<p>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.</p> <p>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.</p>	<p>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.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: November 30, 2014</p>	Fully Implemented

UNT System Administration Recommendations Completed this Quarter

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due	Accolades
1505 FY 2014 Investments Audit	Low	<p>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.</p> <p>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%.</p> <p>We recommend the Vice Chancellor for Finance:</p> <ol style="list-style-type: none"> 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. 	<p>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.</p> <p>Review of System Regulation 08.2000 to determine if modification is needed and resulting Board Order, if so.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: December 01, 2015</p>	Fully Implemented	Management elevated review of System Regulation 08.2000 to Board of Regents in timely manner.

UNT System Administration Recommendations Completed this Quarter

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
16-011 Joint Admissions Medical Program Audit	High	<p>UNT Information Security Users Guidelines- Credit Card Sensitive Information</p> <p>Business Support Services (BSS) should consider the following management actions:</p> <p>2. Provide training to appropriate personnel in regards to the UNT Information Security Users Guide and PCI Best Practices.</p> <p>3. Mask credit card information that is transmitted by email, uploaded and retained in the document management system, ApplicationXtender, to help ensure sensitive information is not compromised.</p>	<p>The Purchasing Card Program Supervisor sends a copy of the Citibank statement that includes the full account number each month as supporting documentation for the payment. The account number will be redacted going forward.</p> <p>Expected Implementation Date: Effective immediately (October 28, 2015) Revised Implementation Date: March 31, 2016</p> <p>Party Responsible for Implementation: Kimberly Bien, Purchasing Card Program Supervisor</p> <p>Expected Implementation Date: Effective immediately (October 28, 2015) Revised Implementation Date: March 31, 2016</p> <p>Party Responsible for Implementation: Kimberly Bien, Purchasing Card Program Supervisor</p>	<p>Fully Implemented</p> <p>Fully Implemented</p>

UNT System Administration Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
<p>14-010 Bank Account Authorization Review</p>	<p>High</p>	<p>Removal of Employees from Bank Accounts – The removal of signatory authority access for terminating employees from University bank accounts was not completed timely.</p> <p>Recommended actions for the Vice Chancellor for Finance:</p> <p>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.</p>	<p>Management concurs with the recommendations that bank signatory authority is kept up to date and there is a policy created that specifies who will ensure they remain current at all times.</p> <p>Expected Implementation Date: Interim process and policies May 1, 2014 and permanent process and policies July 1, 2014</p> <p>Revised Implementation Date: March 31, 2016</p> <p>Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury</p>	<p>17</p>

UNT System Administration Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
14-010 Bank Account Authorization Review	High	<p>Check Signatory Policy – A policy has not been established requiring executive level approval of checks exceeding a set monetary threshold.</p> <p>Recommended actions for the Vice Chancellor for Finance:</p> <ol style="list-style-type: none"> 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. 	<p>Management concurs with the recommendation to create a formal UNT System regulation requiring executive level review and signature of checks for all transactions exceeding an established dollar threshold. Management has assigned resources to begin the research and development of this policy and will quickly develop drafts for leadership review and approval. The Vice Chancellor for Finance will immediately establish an interim policy that will require the signature of the appropriate VC/VP for Finance on any check equal to or greater than \$500,000 and the Chancellor/President for checks equal to or greater than \$1,000,000.</p> <p>Expected Implementation Date: Interim policy April 16, 2014 and permanent policy July 1, 2014 Revised Implementation Date: March 31, 2016</p> <p>Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury</p>	17

UNT System Administration Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
14-010 Bank Account Authorization Review	Moderate	<p>Signature Card Management – The Office of Financial Reporting & Operations discovered a university bank account which was being maintained at the department-level.</p> <p>Recommended action for the Vice Chancellor for Finance:</p> <p>6. Develop a UNT System policy that documents the authority and requirements to establish, maintain, update, and close bank accounts, which includes:</p> <ul style="list-style-type: none"> • An annual confirmation verifying directly with the bank, all bank accounts bearing the name University of North Texas in their title, listed as their customer, or with a UNT tax ID number, and • A statement of where each entity’s signature cards and policy statements are to be maintained. 	<p>Management concurs with the recommendation to develop a policy that documents the authority and requirement to establish, maintain, update, and close bank accounts. The policy will be comprehensive and not only address items presented in recommendation 6 but those policy matters presented above.</p> <p>Expected Implementation Date: July 1, 2014 Revised Implementation Date: January 31, 2016</p> <p>Party Responsible for Implementation: James Mauldin, Associate Vice Chancellor for Treasury</p>	17

UNT System Administration Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
1505 Fiscal Year 2014 Investments Audit	Low	<p>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.</p> <p>We recommend the Vice Chancellor for Finance;</p> <p>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.</p>	<p>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</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Planned Implementation Date: November 20, 2015</p> <p>This audit recommendation was incorporated into audit report 16-004.</p>	<p>Internal Audit will continue to monitor this recommendation through the work performed in FY2015 audit report 16-004 since this audit finding was also noted in the current years test work.</p>

Recommendations Completed this Quarter

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
14-023 Adjusting Journal Entry Investigation	High	<p>The Net Position in the FY2012 and FY2013 Financial Statements could be Overstated by as much \$23 Million. – The former UNT Associate Vice President for Finance and Controller and the former Director of Financial Reporting and Operations were aware of the unreconciled differences and potentially uncollectible receivables prior to the issuance of the FY2012 and FY2013 UNT and UNTS financial statements. They directed and recorded this adjustment rather than valuating the validity of these differences as to whether they were true assets of the UNTS.</p> <p>Recommendations for the Acting UNT Vice President for Finance and Administration:</p> <p>4. Periodically evaluate receivables to determine their collectability.</p>	<p>UNT/UNTS concur and will review the current UNT Allowance for Doubtful Accounts Policy in comparison to historical receivable collectability to ensure the Policy and related process results in an accurate estimate. Any required revisions to the current Policy will be completed before August 31, 2014. UNT/UNTS will periodically evaluate all receivables in light of this Policy to determine receivable collectivity and appropriate asset value.</p> <p>UNT/UNTS will also ensure all necessary action is taken relative to the referenced UNT adjusting journal entry and will recalculate the Allowance for Doubtful Accounts estimate presented in the FY 2013 UNT and UNTS consolidated financial statements to ensure the net accounts receivable balance was presented accurately. Any necessary adjustments to prior period UNT and UNTS consolidated financial statements will be completed by August 31, 2014.</p> <p>Party responsible for implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting</p> <p>Planned Implementation Date: August 31, 2014 Revised Implementation Date: November 23, 2015</p>	<p>Fully Implemented</p> <p>Work was performed by UNT System Administration.</p>

Recommendations Completed this Quarter

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
14-023 Adjusting Journal Entry Investigation	High	<p>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.</p> <p>Recommendation for the UNT System Interim Chief Financial Officer:</p> <p>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.</p>	<p>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.</p> <p>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.</p> <p>Party responsible for implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting</p> <p>Planned Implementation Date: August 31, 2014 Revised Implementation Date: November 23, 2015</p>	<p>Fully Implemented</p> <p>Work was performed by UNT System Administration</p>

Recommendations Completed this Quarter

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
<p>14-023 Adjusting Journal Entry Investigation</p>	<p>High</p>	<p>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.</p> <p>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.</p> <p>Recommendations for the UNT System Interim Chief Financial Officer:</p> <p>11. Create System-wide Policies and develop procedures related to account reconciliations and write-off timelines for unresolved reconciling items.</p> <p>13. Institute an effective review process of all differences identified in the reconciliation process. This process should require the reviewer to 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.</p>	<p>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.</p> <p>Party responsible for Implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting</p> <p>Planned Implementation Date: November 2014 Revised Implementation Date: November 23, 2015</p> <p>Party responsible for Implementation: Jane-Anne Kanke, Sr. Director-Financial Systems Support & Reporting</p> <p>Planned Implementation Date: November 2014 Revised Implementation Date: November 23, 2015</p>	<p>Fully Implemented</p> <p>Fully Implemented</p>

Recommendations Completed this Quarter

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
12-021 Employment Waiver Review	Moderate	<p>There is not sufficient, independent review and approval of Employment Waivers prior to processing.</p> <p>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.</p>	<p>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.”</p> <p>Change Employment Waiver form to include three questions to help programs determine eligibility.</p> <p>Change Employment Waiver form to include graduate dean’s signature.</p> <p>Change processing procedure to require graduate dean’s signature prior to final approval by Student Accounting.</p> <p>Planned Implementation Date: August 1, 2013 Revised Implementation Date: December 31, 2015</p>	Fully Implemented

UNT Prior Recommendations-Current Status

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
14-023 Adjusting Journal Entry Investigation	High	<p>The Net Position in the FY2012 and FY2013 Financial Statements could be Overstated by as much \$23 Million. – The former UNT Associate Vice President for Finance and Controller and the former Director of Financial Reporting and Operations were aware of the unreconciled differences and potentially uncollectible receivables prior to the issuance of the FY2012 and FY2013 UNT and UNTS financial statements. They directed and recorded this adjustment rather than valuating the validity of these differences as to whether they were true assets of the UNTS.</p> <p>Recommendations for the Acting UNT Vice President for Finance and Administration:</p> <ol style="list-style-type: none"> 1. Develop and document a UNT Allowance for Doubtful Accounts Policy, based on historical receivable information, to establish guidelines for accurately estimating uncollectible amounts. 	<p>UNT/UNTS concur and will review the current UNT Allowance for Doubtful Accounts Policy in comparison to historical receivable collectability to ensure the Policy and related process results in an accurate estimate. Any required revisions to the current Policy will be completed before August 31, 2014. UNT/UNTS will periodically evaluate all receivables in light of this Policy to determine receivable collectivity and appropriate asset value.</p> <p>UNT/UNTS will also ensure all necessary action is taken relative to the referenced UNT adjusting journal entry and will recalculate the Allowance for Doubtful Accounts estimate presented in the FY 2013 UNT and UNTS consolidated financial statements to ensure the net accounts receivable balance was presented accurately. Any necessary adjustments to prior period UNT and UNTS consolidated financial statements will be completed by August 31, 2014.</p> <p>Party responsible for implementation: Dan Stephens, Assistant Vice-Chancellor Finance/Controller</p> <p>Planned Implementation Date: August 31, 2014 Revised Implementation Date: September 30, 2016</p>	<p>16</p> <p>This is considered implemented for Audit Finding related to student accounts receivable (AR) allowance.</p> <p>However, the System Regulation related to AR is currently being drafted. This action plan will now be tracked at UNT System Administration level.</p>

UNT

Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
12-024 Student Worker Review	Low	<p>Internal Audit identified five UNT policies related to student employment that require enrollment; however, not all policies contain the same enrollment requirements.</p> <p>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.</p>	<p>Write a new overarching policy for student employment positions, as well as, develop operational procedures for the various job codes connected to the new overarching policy.</p> <p>Party responsible for implementation: Dan Naegeli, Senior Director, Career & Leadership Development</p> <p>Planned Implementation Date: September 1, 2013 Revised Implementation Date: March 31, 2016</p>	27
		<p>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.</p>	<p>Party responsible for implementation: Dan Naegeli, Senior Director, Career & Leadership Development</p> <p>Planned Implementation Date: September 1, 2013 Revised Implementation Date: March 31, 2016.</p>	27

Prior Recommendations-Current Status

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
09-011 Advancement Office Follow- Up Review	Low	<p>The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.</p> <p>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.</p> <p>7. Distribute or make available the reaffirmed agreement to stakeholders including Center administrators, Advancement Office employees, and the Foundation Board of Directors.</p>	<p>Management agrees. In process. The Vice President for Development will raise this topic at the April 2009 Foundation Board meeting and complete by the June meeting. The updated agreement will be distributed upon approval of appropriate Center and Foundation administrators.</p> <p>Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement</p> <p>Planned Implementation Date: November 30, 2012 Revised Implementation Date: May 31, 2016</p> <p>Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement</p> <p>Planned Implementation Date: November 30, 2012 Revised Implementation Date: May 31, 2016</p>	<p>37</p> <p>HSC is currently working with the Foundation, Accounting and Office of General Counsel to revise the agreement.</p> <p>This action plan will now be tracked at UNT System Administration level.</p>

UNT Health Science Center Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
16-011 Joint Admissions Medical Program Audit	High	<p>Non-Compliance with University Policy - The Joint Admission Medical Program (JAMP) agreement was not properly set up in accordance to University Policy Chapter 13.123.</p> <p>Admissions & Outreach should consider the following management action:</p> <ol style="list-style-type: none"> 1. Work with appropriate management from the Office of Grants and Contract Management and the Office of Finance to set up JAMP as a sponsored project. 	<p>We are in agreement with moving JAMP funds to the Office of Grants and Contract Management. It should be noted that this has never been recommended in any previous audit.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 31, 2015 Revised Implementation Date: May 31, 2016</p>	1

UNT Health Science Center Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
16-011 Joint Admissions Medical Program Audit	High	<p>Non-Compliance with JAMP Medical School Expenditure Guidelines - Out of State Travel (Unallowable Cost) - A total of \$1,309.11 was used to fund out-of-state travel as a direct administrative cost under the JAMP Administrative Distribution.</p>	<p>We are in agreement with this assessment. We will review JAMP expenditure guidelines to ensure compliance. We will identify another account to reimburse JAMP for the aforementioned expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.</p>	
		<p>Admissions & Outreach should consider the following management actions:</p> <p>7. Use a different funding source to cover the out of state travel expenditures and reimburse the JAMP Program account for the amount of \$1,309.11.</p>	<p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p>	1
		<p>8. Re-educate the JAMP Coordinator on the JAMP Medical Expenditure Guidelines.</p>	<p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p>	1

UNT Health Science Center Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
16-011 Joint Admissions Medical Program Audit	High	<p>Inadequate Monitoring of Expenditures - Two expenditures were incorrectly processed resulting in an overpayment of \$1,725.00 from the JAMP fund.</p> <p>Admissions & Outreach should consider the following management actions:</p> <p>9. Request repayment from the JAMP Coordinator for the amount over-reimbursed of \$225.00.</p> <p>10. Develop expenditure verification procedures to help ensure that all transactions entered into the Accounting System are verified for accuracy and any errors are timely reported to the appropriate office for correction.</p>	<p>The \$225 reimbursement has been repaid as of 10/22/2015. We will request a refund from the Department of Medical Education for \$1,500.00. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p>	<p>Fully Implemented</p> <p>1</p>

UNT Health Science Center Past Due Recommendations

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
<p>16-011 Joint Admissions Medical Program Audit</p>	<p>High</p>	<p>Inappropriately Billing Expenditures to Incorrect Fiscal Years -Testing identified two expenditures that they were not processed within the appropriate fiscal year.</p> <p>Admissions & Outreach should consider the following management action:</p> <p>15. Re-educate the JAMP Coordinator on the JAMP Expenditure Report process and monitor until sustained compliance is achieved.</p>	<p>We are in agreement with this assessment. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.</p> <p>Party Responsible for Implementation: Mike Kennedy, Director of Admissions</p> <p>Expected Implementation Date: December 1, 2015 Revised Implementation Date: May 31, 2016</p>	<p>1</p>

Audit Recommendations Implementation

All recommendations are complete at this time.

Previous UNT Audit Report Recommendations Now Residing at UNT System Administration

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
14-023 Adjusting Journal Entry Investigation	High	<p>The Net Position in the FY2012 and FY2013 Financial Statements could be Overstated by as much \$23 Million. – The former UNT Associate Vice President for Finance and Controller and the former Director of Financial Reporting and Operations were aware of the unreconciled differences and potentially uncollectible receivables prior to the issuance of the FY2012 and FY2013 UNT and UNTS financial statements. They directed and recorded this adjustment rather than valuating the validity of these differences as to whether they were true assets of the UNTS.</p> <p>Recommendations for the Acting UNT Vice President for Finance and Administration:</p> <ol style="list-style-type: none"> 1. Develop and document a UNT Allowance for Doubtful Accounts Policy, based on historical receivable information, to establish guidelines for accurately estimating uncollectible amounts. 	<p>UNT/UNTS concur and will review the current UNT Allowance for Doubtful Accounts Policy in comparison to historical receivable collectability to ensure the Policy and related process results in an accurate estimate. Any required revisions to the current Policy will be completed before August 31, 2014. UNT/UNTS will periodically evaluate all receivables in light of this Policy to determine receivable collectivity and appropriate asset value.</p> <p>UNT/UNTS will also ensure all necessary action is taken relative to the referenced UNT adjusting journal entry and will recalculate the Allowance for Doubtful Accounts estimate presented in the FY 2013 UNT and UNTS consolidated financial statements to ensure the net accounts receivable balance was presented accurately. Any necessary adjustments to prior period UNT and UNTS consolidated financial statements will be completed by August 31, 2014.</p> <p>Party responsible for implementation: Dan Stephens, Assistant Vice-Chancellor Finance/Controller</p> <p>Planned Implementation Date: August 31, 2014 Revised Implementation Date: September 30, 2016</p>	<p>16</p> <p>This is considered implemented for Audit Finding related to student accounts receivable (AR) allowance.</p> <p>However, the System Regulation related to AR is currently being drafted. This action plan will now be tracked at UNT System Administration level.</p>

Previous UNTHSC Audit Report Recommendations Now Residing at UNT System Administration

Audit	Risk Level	Recommendation Details	Management Response	Months Past Due
09-011 Advancement Office Follow- Up Review	Low	<p>The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.</p> <p>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.</p> <p>7. Distribute or make available the reaffirmed agreement to stakeholders including Center administrators, Advancement Office employees, and the Foundation Board of Directors.</p>	<p>Management agrees. In process. The Vice President for Development will raise this topic at the April 2009 Foundation Board meeting and complete by the June meeting. The updated agreement will be distributed upon approval of appropriate Center and Foundation administrators.</p> <p>Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement</p> <p>Planned Implementation Date: November 30, 2012 Revised Implementation Date: May 31, 2016</p> <p>Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement</p> <p>Planned Implementation Date: November 30, 2012 Revised Implementation Date: May 31, 2016</p>	<p>37</p> <p>HSC is currently working with the Foundation, Accounting and Office of General Counsel to revise the agreement.</p> <p>This action plan will now be tracked at UNT System Administration level.</p>



Background Report

Committee: Audit

Date Filed: January 15, 2016

Title: UNT System Consolidated Quarterly Compliance Report, September 2015 through November 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, 2015 through November 30, 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 quarterly report has been consolidated to reflect the compliance actions for all UNT System components. This report reflects the actions that management and each compliance function has taken to manage their highest risks.

Financial Analysis/History:

This is a report item only.

Janet
Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.02.17 14:09:02 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule: NA

No action required. Information only. Submitted by:

Steven A. Hill I

UNT System Compliance Officer

Tracy C.
Grunig

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North Texas System, ou=Internal Audit,
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Chief Audit Executive

Lee
Jackson

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c=US
Date: 2016.02.18 11:52:06 -06'00'

Chancellor

Attachments Filed Electronically:

- **UNT System Consolidated Quarterly Compliance Report,
September 2015 through November 2015**

UNT System Consolidated Quarterly Compliance Report September 2015 through November 2015



Section I. Organizational Actions

There were no significant actions that affected the Compliance program for this reporting period.

Section II. Compliance Risks

High-Risk #1: Electronic Information Handling (Information Technology Shared Services - ITSS)

Action Taken by Management:

- As a result of UNT System's financial transformation efforts, risk identification, assessment, and remediation of over-allocated access have been deployed to mitigate known risk. Where circumstances exist that prevent full separation of duties among staff, special controls are being identified and developed to further lessen the remaining risk.
- Financial transformation next steps include complete identification and development of compensating controls across all business functions and continued work within the PeopleSoft Upgrade for Finance (PUFF) to ensure that Finance version 9.2 security has separation of duties principles applied for March 1 go-live.
- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to fifty-three (53) new employees as part of the online onboarding process.
- A disaster recovery exercise was successfully conducted on November 11, 2015. The purpose of the exercise was to conduct a live restoration of a critical enterprise system whose functionality was lost.
- IT support is provided to UNT System through Information Technology Shared Services.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continues to partner with ITSS to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #2: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management:

- The UNT Compliance Officer (and Chief Records Management Officer), the System Compliance Officer, and Chief Records Management Representative were involved in hiring a new Institutional Records Management Director.
- The Program's next steps will focus initially on reestablishing the Records Management Representative (RMR) network and developing campus-wide records management training.

Action Taken by Institutional Compliance:

- The UNT Compliance Officer (and Chief Records Management Officer), the System Compliance Officer, and Chief Records Management Representative hired a new Institutional Records Management Director.

High-Risk #3: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management:

- The UNT Operations & Infrastructure Implementation Team (work-team for employee training and development) has identified seven (7) training subjects that must be completed by all employees.
- UNT Risk Management Services is working with UNT System/UNT HR and UNT System IT Shared Services to finalize a pilot test that identifies a process within PeopleSoft that will track any type of completed training.
- The plan is to use this pilot process to initially track the seven (7) training subjects identified by the OIIT for any UNT System institution.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance has partnered with RMS, UNT System/UNT HR, and other responsible System-wide parties to ensure these trainings are available via the web and when completed, coordinating with IT Shared Services to be able to track the completed training using the PeopleSoft pilot test process.

High-Risk #4: I-9 Compliance (Associate Vice Chancellor for HR & Campus HR Director)

Action Taken by Management:

- New law implements E-Verify for all new employees as of September 1st, 2015. E-Verify process and structure was created and implemented by September 1st, 2015. EIS systems were modified to facilitate compliance with the new law and process in confirming that new employees are authorized to work through E-Verify.
- The current process is being enhanced to reduce the amount of risk posed by the transmittal of I-9 documents via secured email.
- The new process reduced and will maintain the lowest possible number of I-9 Input Coordinators on the UNT campus and track I-9 training to reduce the risk of errors.

- UNT System/UNT HR are monitoring cases where delays exist in entering I-9 documentation, identifying the source of these delays, and implementing solutions that will facilitate compliance with Federal Law.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance is partnering with UNT System/UNT HR to enhance current I-9 processing so that both processes (I-9 and E-Verify) are completed within the required time-frame.

Section III. Compliance Training

- System/UNT Institutional Compliance developed Compliance Awareness Training that is designed to be completed (web-based) by UNT System, UNT, and UNT Dallas employees. This training was provided in a lecture format to a System-wide group of employees during a UNT System Business Support Services' (BSS) workshop at the Business Service Center.
- The Office of General Counsel (OGC) provided Ethics in Public Service training during the same BSS workshop. System/UNT Institutional Compliance will work with OGC to develop a web-based version of this ethics training designed to be completed by UNT System, UNT, and UNT Dallas employees.

Section IV. Confidential and Other Complaint Reporting for UNT System

- UNT System maintains a web-based Compliance Hotline that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- An analysis of the *fourteen (14) reports (via hotline)* received by UNT System during this quarter reveals the following breakdown of complaints:
 - *One report was received pertaining to alleged FERPA issue, fraudulent practice, and a disability accommodation issue involving UNT.* This report is being handled by UNT System Internal Audit, UNT's Equity and Diversity and Institutional Compliance (IC).
 - *One report was received with no complaint information provided.* This report was closed upon receipt.
 - *Two reports were received with multiple allegations pertaining to some enrollment, employer paid educational benefits, and salary increase concerns at UNT Dallas.* IC met with executive management and found that most of the allegations were not accurate. IC explained (via the hotline) what actually took place. IC also asked for additional information to be able to follow-up on a couple of additional concerns. IC is waiting for a response and will close the report if no additional information is received.
 - *Ten (10) reports were received pertaining to a community issue involving a UNT faculty member.* The information in these reports were passed on and being handled by the appropriate university officials.



Section I. Organizational Actions

There were no significant actions that affected the Compliance program for this reporting period.

Section II. Compliance Risks

High-Risk #1: Laboratory Inspections and Follow-up (Risk Management Services - RMS)

Action Taken by Management:

- Of the 220 laboratories inspected this quarter, two (2) laboratories required re-inspection to resolve the identified impairments.

Action Taken by Institutional Compliance:

- Institutional Compliance continues to attend regular meetings between Risk Management Services and other applicable UNT System and UNT risk partners to assist in resolving any findings and/or impairments identified during inspections as quickly as possible and identifying opportunities to enhance laboratory inspections and follow-up processes and procedures.
- Institutional Compliance and RMS are working to finalize the laboratory inspection and follow-up review of UNT's most critical laboratories to evaluate the efficiency of this process.
- As part of this review, escalation procedures were developed to help assure that findings are addressed within the applicable period designated by RMS. Institutional Compliance, Facilities, and Risk Management Services are finalizing their review of these draft procedures and will forward to the Office of General Counsel for its final review to finalize the content of the escalation procedures.

High-Risk #2: Emergency Planning & Preparedness and Business Continuity (Risk Management Services - RMS)

Action Taken by Management:

Emergency Planning & Preparedness and Business Continuity

- Risk Management Services is preparing to submit the Continuity of Operations Plan (COOP) to the State Office of Risk Management (SORM). A COOP program has been developed to detail project management practices for each Mission Essential Function (MEF). Phase One (1) of the COOP program includes: pre-planning, planning, post-plan development, and pre-exercise. This will be the focus of future planning for the first half of calendar year 2016.
- Construction on the UNT Emergency Operations Center (EOC) is in progress and expected to be completed by March 2016. UNT Risk Management is in the process of hiring an EOC manager who will have the responsibility of managing the physical location, support personnel, and associated programs and training.

International Risk Management

- UNT-International (UNT-I) and RMS Emergency Management continue to address risk management oversight for international travel. International travel includes study abroad programs, faculty led programs, and individual faculty and staff travel.
- Primary concerns include registering personnel traveling abroad in order to provide effective support should emergency situations arise. It includes providing pre-departure safety, health and security resources for personnel traveling abroad, ensuring plans are in place to appropriately address a crisis or emergency situation, and establishing an institutional review process for proposed travel to high-risk destinations.

Action Taken by Institutional Compliance:

- Institutional Compliance continues to attend regular meetings between Risk Management Services and other applicable UNT System and UNT risk partners to assist in identifying opportunities to enhance Emergency Planning & Preparedness and Business Continuity processes and procedures.

High-Risk #3: Environmental Compliance (Risk Management Services - RMS)

Action Taken by Management:

- Within RMS, Environmental Management (EnvM) continues to monitor the Resource Conservation and Recovery Act (RCRA) metals. Both the Chemistry and Discovery Park outfalls continue to show low levels of RCRA metals, which remain below the Environmental Protection Agency (EPA) established threshold limits.
- The Mercury Scrubber tank was pumped out which removed excessive Mercury. Planned improvements to the Mercury Scrubber system will be implemented by the end of the calendar year to bring the system back on line.
- EnvM is using the new fats, oil, and grease (FOG) testing process for all grease interceptors on campus (food cooking and vehicle washing facilities). Current cleaning processes disperse most of the fats and oils into the water area, thus giving a high percentage of fats in the water and low oil and solids being separated out. ENVM will determine what steps are needed to resolve this problem. The earliest that UNT would be subject to any new thresholds would be when it renews its permits in the spring of 2016.

Action Taken by Institutional Compliance:

- Institutional Compliance regularly meets with Risk Management Services and other applicable UNT System and UNT risk partners and the City of Denton (as applicable) in preventing exceeding RCRA metal, FOG, or other applicable thresholds.

High-Risk #4: Radiation Safety (Risk Management Services - RMS)

Action Taken by Management and Institutional Compliance:

- The Texas Department of State Health Services (TDSHS) requested that ENVM streamline the radiation license to include new requirements.
- Institutional Compliance regularly meets with Risk Management Services and other applicable UNT System and UNT risk partners to ensure the program is in compliance with state radiation safety regulations.

High-Risk #5: Research Conflict of Interest (Office of Grants & Contract Administration – OGCA)

Action Taken by Management:

- The Office of Grants & Contracts Administration only has two (2) conflict of interest (COI) disclosures (out of approximately 300) yet to be concluded for FY 2016, and are expected to be completed in early December 2015 with the assistance of the COI Committee. This is a substantial improvement in terms of timeliness as a result of targeted changes implemented.
- The Division of Research and Economic Development hired a new Director of Research Integrity and Compliance. The new director comes to UNT with research integrity and compliance experience from Rice University and the University of Central Oklahoma and has other Texas university experience.

Action Taken by Institutional Compliance:

- Institutional Compliance was an active search committee participant, working with the division and search committee members to fill this vacant position.
- Institutional Compliance will meet with the division to assist with identifying opportunities to enhance Research Conflict of Interest training, processes, and procedures.

High-Risk #6: Time and Effort Reporting (Office of Research Services – ORS)

Action Taken by Management:

- Effort reports were distributed using the automated Effort Certification Reporting System (ECRS) for summer 2015 on November 4, 2015. First and second completion reminders were sent to Principal Investigators on November 24, 2015 and December 1, 2015, respectively, with summer 2015 effort reports being 94% certified.

Action Taken by Institutional Compliance:

- Institutional Compliance will follow-up with the Office of Research Services and the new Director of Research Integrity and Compliance to discuss, document, and address any ongoing time and effort reporting goals, objectives, and challenges.

High-Risk #7: Export Controls (Office of Grants & Contract Administration – OGCA)

Action Taken by Management:

- The responsibility for reviewing visa petitions for proposed H-1B beneficiaries to determine whether or not an export control license would be needed for the release of any controlled technology or technical data by UNT to H-1B beneficiaries has been accomplished via a UNT-International (UNT-I) contract with a consultant to perform these reviews.

Action Taken by Institutional Compliance:

- Institutional Compliance will follow-up with the new Director of Research Integrity and Compliance to discuss, document, and address any ongoing export control goals, objectives, and challenges.

High-Risk #8: Grants Management (Office of Grants & Contract Administration – OGCA)

Action Taken by Management and Institutional Compliance:

- Institutional Compliance will work with the Associate VP of Research and Economic Development, the new Director of Research Integrity and Compliance, the Office of Grants & Contract Administration, and other UNT System units (as applicable) to discuss, document, and address any ongoing sponsored project management goals, objectives, and challenges.

High-Risk #9: Electronic Information Handling (University Information Technology and Information Technology Shared Services - ITSS)

Action Taken by Management:

- As a result of UNT System's financial transformation efforts, risk identification, assessment, and remediation of over-allocated access have been deployed to mitigate known risk. Where circumstances exist that prevent full separation of duties among staff, special controls are being identified and developed to further lessen the remaining risk.
- Financial transformation next steps include complete identification and development of compensating controls across all business functions and continued work within the PeopleSoft Upgrade for Finance (PUFF) to ensure that Finance version 9.2 security has separation of duties principles applied for March 1 go-live.
- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to 1,437 new employees as part of the online onboarding process.
- A disaster recovery exercise was successfully conducted on November 11, 2015. The purpose of the exercise was to conduct a live restoration of a critical enterprise system whose functionality was lost.
- IT support is provided to UNT through University Information Technology.

Action Taken by System and/or Institutional Compliance:

- System and UNT Institutional Compliance continues to partner with University Information Technology and ITSS to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #10: Health Insurance Portability and Accountability Act (HIPAA) Compliance (Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- Institutional Compliance continues to coordinate with UNT System Administration, UNT, and UNT Dallas units to ensure that all applicable units are designated as a health care component, with other applicable units that touch personally identifiable health

information, having to comply with other privacy protections in accordance with applicable Health Information Technology for Economic and Clinical Health (HITECH) Act requirements.

- Institutional Compliance continues to work with UNT System units to ensure that each component unit has a HIPAA Security and Privacy Officer.

High-Risk #11: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- The UNT Compliance Officer (and Chief Records Management Officer), the System Compliance Officer, and Chief Records Management Representative were involved in hiring a new Institutional Records Management Director.
- The Program's next steps will focus initially on reestablishing the Records Management Representative (RMR) network and developing campus-wide records management training.

High-Risk #12: Having policies, procedures, and/or practices in place that may not provide protection of minors participating in UNT related activities (Risk Management Services and Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- Risk Management Services has finalized the web based version of the Sexual Abuse and Child Molestation Prevention Training that was originally planned to be hosted in Blackboard. RMS is considering additional options for hosting and tracking this training.
- UNT Risk Management Services and Institutional Compliance are working with UNT System/UNT HR and UNT System IT Shared Services to finalize a pilot test that provides a process within PeopleSoft that will track any type of completed training (including the Sexual Abuse and Child Molestation Prevention Training).

High-Risk #13: Required Compliance Related Training (Office of Institutional Compliance)

- The UNT Operations & Infrastructure Implementation Team (work-team for employee training and development) has identified seven (7) training subjects that must be completed by all employees.
- UNT Risk Management Services is working with UNT System/UNT HR and UNT System IT Shared Services to finalize a pilot test that identifies a process within PeopleSoft that will track any type of completed training.
- The plan is to use this pilot process to initially track the seven (7) training subjects identified by the OIIT for any UNT System institutions.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance has partnered with RMS, UNT System/UNT HR, and other responsible System-wide parties to ensure these trainings are available via the web and when completed, coordinating with IT Shared Services to be able to track the completed training using the PeopleSoft pilot test process.

High-Risk #14: I-9 Compliance (Associate Vice Chancellor for HR & Campus HR Director)

- New law implements E-Verify for all new employees as of September 1st, 2015. E-Verify process and structure was created and implemented by September 1st, 2015. EIS systems were modified to facilitate compliance with the new law and process in confirming that new employees are authorized to work through E-Verify.
- The current process is being enhanced to reduce the amount of risk posed by the transmittal of I-9 documents via secured email.
- The new process reduced and will maintain the lowest possible number of I-9 Input Coordinators on the UNT campus and track I-9 training to reduce the risk of errors.
- UNT System/UNT HR are monitoring cases where delays exist in entering I-9 documentation, identifying the source of these delays, and implementing solutions that will facilitate compliance with Federal Law.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance is partnering with UNT System/UNT HR to enhance current I-9 processing so that both processes (I-9 and E-Verify) are completed within the required time-frame.

Section III. Compliance Training

- System/UNT Institutional Compliance developed Compliance Awareness Training that is designed to be completed (web-based) by UNT System, UNT, and UNT Dallas employees. This training was provided in a lecture format to a System-wide group of employees during a UNT System Business Support Services' (BSS) workshop at the Business Service Center.
- The Office of General Counsel (OGC) provided Ethics in Public Service training during the same BSS workshop. System/UNT Institutional Compliance will work with OGC to develop a web-based version of this ethics training designed to be completed by UNT System, UNT, and UNT Dallas employees.

Section IV. Confidential and Other Complaint Reporting for UNT

- UNT maintains a web-based Compliance Hotline that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- An analysis of the **three (3) reports (2 hotline and 1 walk-in)** received by UNT Institutional Compliance (IC) during this quarter reveals the following breakdown of complaints:
 - **Two hotline reports were received pertaining to a mold issue in two academic rooms.** One issue was resolved by Facilities and Risk Management Services. The second issue is being handled by Facilities and Risk Management Services.
 - **One walk-in report was received pertaining to a workplace issue.** This report was referred to and being handled by the department and UNT HR.

Section I. Organizational Actions

There were no significant organizational actions that affected the Compliance program for this reporting period.

Section II. Risk Assessment Monitoring Activities Conducted by Individual Compliance Divisions

The Institutional Compliance Office receives quarterly reports from the Compliance Divisions on all low, medium and high risks identified during the fiscal year 2015-16 risk assessment. The First Quarter actions taken by UNT Health Science Center (UNTHSC) to address the UNTHSC Compliance high risks are below:

High-Risk #1: Billing and Coding in Compliance with State and Federal Law (Clinical Division)

Description: Review of sample medical records of Medicare and Medicaid patients to confirm that the documentation supports the bill.

Action Taken by Management:

- The percentage of sample medical records reviewed that meet billing documentation requirements during the first quarter is 83%. Our Measure of Success is an aggregate of 90%.
 - One-on-one education was provided by the Clinical Compliance Department to each provider who scored below the 90% threshold. Refunds were initiated for claims which were over coded by two levels or more. A summary of each department's audit results was presented by the Compliance Specialist at the department meetings which allowed for discussion of identified issues and additional education to providers and directors.
- In an effort to enhance compliance related to documentation of Texas Health Steps medical checkup claims, our Clinical Compliance department has implemented the following additional steps:
 - The Compliance Specialists worked with the Health Information Management Template Developer to create a new template for the providers to use in documenting Texas Health Steps medical checkup claims in the electronic medical record. The new template ensures that all mandated components of a Texas Health Steps visit are properly captured.
 - The Compliance Specialists are providing ongoing training to the providers on properly documenting Texas Health Steps medical checkup claims.
 - The Compliance Specialists are conducting prospective audits on all Texas Health Steps medical checkup claims to ensure that all required components are documented to support the claims submitted.

Action Taken by Compliance:

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

High-Risk #2: Unauthorized Access to Protected Institutional Data/HIPAA Privacy and Security (Information Resources Technology Division)

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

Action Taken by Management:

- Institutional Laptop Encryption Project – The laptop encryption rollout efforts are currently ongoing.
 - Approximately 37% of UNTHSC issued laptops have been encrypted. ITS is currently working on an action plan for outstanding laptops.
- Review of Office 365 OneDrive Security - The UNTHSC ITS Department, working with UNT System IT Shared Services, is performing a security evaluation of the Microsoft Office 365 OneDrive product as a possible enterprise solution for institutional file storage and sharing.
 - Latest update: The existing product and available feature set is not ready for UNTHSC enterprise-wide rollout due to mobile security related risks and the inability to prevent downloading of Institutional data to employee personal and/or unmanaged, untrusted devices. Awaiting additional security features to be made available within Microsoft OneDrive for possible re-evaluation (expected in the spring of 2016).
- Mobile Device Security Enhancements - This project involves the discovery, evaluation and piloting of a mobile device management solution that can be deployed to protect Institutional data that is downloaded to faculty/staff personal mobile devices.
 - Latest update: Based on discovery work that ITS (UNTHSC) and ITSS (UNT System) have collaborated on, the mobile device management options available within the Microsoft Office 365 suite of products look to offer a viable solution for controlling the risk of mobile devices for conducting UNTHSC business. This effort has been on hold during this quarter due to an issue on the vendor (Microsoft) side that is preventing this feature set from being available to UNTHSC. ITSS is currently pursuing resolution.
- Enterprise Encrypted Messaging - While stand-alone encrypted messaging products such as TigerText and Accellion are currently in use by specific departments at UNTHSC, an enterprise-wide solution would be more ideal. Project scope includes the discovery, evaluation and roll out of an enterprise secure messaging solution for UNTHSC.
 - Latest update: Microsoft Office Message Encryption (#HSCSecure) was selected as a viable (both from a cost and functionality perspective) enterprise solution for secure messaging at UNTHSC. One significant security weakness was identified within the product during the evaluation phase. ITSS has crafted a custom solution to mitigate this weakness and released this custom feature for testing on 9/10/15. Select customer departments are currently using this product. Enterprise release expected in spring of 2016.

- UNTHSC IT Acceptable Use Policy – The Office of General Counsel has completed its review of the policy, and it is now ready to be released campus-wide.
- The following activities capture ongoing risk management efforts that are built into the UNTHSC IT Security Program:
 - Training classes and new employee orientations include computer policies and security awareness training. "Refresher" training is delivered to existing staff on an annual basis. Compliance rate for most recently concluded "refresher" training is 100%.
 - Password security policies electronically enforced including use of strong passwords and changing passwords every 12 months.
 - Completed Q1 external vulnerability assessment of all UNTHSC public facing applications, services and networks.
 - Completed Q1 compliance assessment of anti-virus and windows security updates posture of all Institutional servers and PCs.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Director of Infrastructure and Security to provide support for compliance activities as needed and is responsible for UNTHSC HIPAA training. The Office of Institutional Compliance monitors access to the UNTHSC electronic medical record to confirm access is appropriate based upon role of user.

High-Risk #3: Non-Compliance with Center for Medicaid and Medicare Services ("CMS") 1115 Waiver Requirements (Strategy Division)

Description: The CMS 1115 waiver projects are Medicaid incentive payment programs designed to improve access to and quality of medical care for Medicaid and indigent patients. Incentive payments are awarded based upon meeting target results of selected quality measures. UNTHSC monitors compliance with 1115 waiver requirements.

Action Taken by Management:

- An 1115 Waiver Steering Committee has been formed and meets on a quarterly basis to discuss any potential compliance issues with CMS and/or the Texas Health and Human Services Commission ("HHSC"). The 1115 Waiver management team also meets with the project leads, the Office of Grants and Contracts, clinical operations personnel and the Offices of Institutional Compliance and Quality and Risk Management on a regular basis to build awareness and discuss potential compliance issues before they arise. The 1115 Waiver management team also works with the Offices of Institutional Compliance and Quality and Risk Management to conduct regular audits of patient outcome data in order to minimize risks and potential issues.
 - UNTHSC received notification of a random "Category 3" audit for two of our projects. The same firm that conducted the mid-point assessment is conducting the audit. The 1115 Waiver management team has responded to the audit. Similar audits are expected in the future due to the nature of the 1115 Waiver projects.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Executive Director of Strategic Alignment to provide support for compliance activities as needed. The Chief Compliance and Enterprise Risk Management Officer is involved in key meetings and reviews and signs off on the data submitted to HHSC.

High-Risk #4: Title IX Compliance (Student Affairs Division)

Description: Title IX of the U.S. Education Amendments of 1972 protects people from discrimination based upon sex in education programs or activities that receive financial assistance. UNTHSC monitors compliance with Title IX requirements.

Action Taken by Management:

- The UNT Health Science Center has designated Dr. Trisha Van Duser as the Campus Title IX Coordinator. In October 2015, Dr. Van Duser and eight other members of the Division of Student Affairs attended Title IX Investigator Training and Title IX Coordinator Training. Dr. Van Duser has also updated our Student Code of Conduct, Sexual Harassment, and Consensual Relationship policies to reflect changes in the law based on Title IX. Student Conduct and Title IX investigations are now separated and function independently to avoid any perceived conflicts of interest.
- On-going Title IX training is required of all faculty, staff and students.

Action Taken by Compliance:

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

High Risk #5: Distance Education (Academic Affairs Division)

Description: Distance Education is highly regulated by state and federal law. UNTHSC monitors compliance with regulatory requirements.

Action Taken by Management:

- A policy addressing distance education (DE) at UNTHSC is in the final stages of review and approval. According to that policy, faculty planning to offer DE towards a degree or certificate awarded through the UNTHSC must obtain approval to do so through the University's Distance Education Committee (DEC).
- The UNTHSC will adhere to rules and notification procedures established by the Texas Higher Education Coordinating Board (THECB) for the conduct and approval of distance education including the [*Principles of Good Practice for Academic Degree and Certificate Programs and Credit Courses Offered Electronically*](#) and [*Approval of Distance Education, including Off-Campus Course and Programs*](#).
- The DEC and the Center for Innovative Learning (CIL) work with faculty from the five colleges/schools at UNTHSC to assure that curriculum and instruction provided through distance education are appropriate to the requirements listed above. In addition, course and instructional activities are required to be appropriately evaluated for educational effectiveness, including assessments of student learning outcomes, student retention, and student satisfaction.

- Access to DE materials is restricted to properly enrolled students who possess a unique login identifier which has been assigned to them by the UNTHSC. Login identifiers shall only be provided to students who have been properly registered and who have been approved to participate in online courses by the respective academic school/program.
 - All requests to deliver DE materials for academic credit must be routed through the CIL for review and ultimately through the DEC for approval.
- No internal or external audits have been conducted, however a plan is place to conduct a review of all DE courses and activities being offered through UNTHSC during FY 2016.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Interim Director of Center for Innovative Learning to provide support for compliance activities as needed.

High Risk #6: Human Resources (“HR”) Policy Project (Human Resources)

Description: UNTHSC HR campus policies are undergoing review and revision to support and outline HR best practices. UNTHSC monitors status of HR’s policy project.

Action Taken by Management:

- Human Resources has reviewed and updated ten (10) policies. They have been submitted to the Office of General Counsel and are waiting for approval. Three (3) policies have been reviewed and recommended to the Office of General Counsel for removal.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Director of Human Resources and the Assistant Director of Policy and Records Management to provide support for compliance activities as needed.

High Risk #7: Time and Effort Reporting (Research Grants and Contracts)

Description: Time and Effort Reporting certification is required to substantiate salaries and benefits charged to sponsored grants and research by UNTHSC. UNTHSC monitors compliance with regulatory requirements. (NOTE: This risk has been elevated from “Medium” to “High”.)

Action Taken by Management:

- UNTHSC is working with the Office of General Counsel (“OGC”) to address discrepancies in time and effort reporting.
- The Office of Grants and Contracts Management (“OGCM”) has established comprehensive, annual mandatory sponsored project compliance training for key employees involved in any aspect of research. OGCM will continue to provide mandatory one-on-one training on federal and state regulatory requirements, specific sponsor processes, terms and conditions, and refresher training on roles and responsibilities for specific awards prior to approving a sponsored project.
- OGCM, under the direction of the OGC and in conjunction with Deloitte, will perform a probe audit on a sample of federal and state awards to review for time and effort

reporting compliance. Ongoing monitoring will occur going forward on a semi-annual basis.

- OGCM defined actions that can be taken for non-compliance with research policies and procedures, including (1) barring employees from submitting proposals, (2) reducing or eliminating Facilities and Administration returns, and (3) freezing one or all active projects.
- OGCM is continuing to work with ITSS to develop IT functionality to increase the efficiency of monitoring, reviewing, and collecting of time and effort reports.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Assistant VP of Research Administration to provide support for compliance activities as needed. The Chief Compliance and ERM Officer is assisting the OGCM in establishing ongoing compliance monitoring.

Section III. Compliance Training and Additional Monitoring

Compliance Training:

- Code of Ethics/Standard of Conduct training was given to 98% of new employees by the Institutional Compliance Office. Measure of Success is 95%
- HIPAA Privacy and Security training was given to 98% of new employees by the Institutional Compliance Office. Measure of Success is 95%
- Minors on Campus training was given to 96% of new employees by the Institutional Compliance Office. Measure of Success is 95%
- Medicare Compliance Training was given to 98% of new employees by the Institutional Compliance Office. Measure of Success is 95%
- Institutional Compliance Office rolled out the FY16 annual training in November. All training is online and tracked via reports from the WeComply training platform.

Additional Monitoring:

Each quarter, the Institutional Compliance Office selects certain areas to monitor in addition to monitoring the quarterly risk reports received from the Compliance Divisions. The following areas were monitored during the first quarter.

Provider Trust Monitoring

Description: Provider Trust provides software that helps UNTHSC monitor whether employees are on the Office of Inspector General ("OIG") list of excluded individuals for federally funded healthcare programs as well as General Services Administration Excluded Parties List System (GSA-EPLS) and System for Award Management (SAM) exclusion list. UNTHSC runs the names of all UNTHSC employees through the software on a monthly basis.

- The percentage of UNTHSC employees reviewed through Provider Trust is 100%. Measure of Success is 100%

- 772 UNTHSC employees were run through Provider Trust to confirm licenses, certifications, documentation, and verification. Completion score was 100% with zero issues found.

Review of Roll Based Access in the Electronic Medical Record

Description: The Institutional Compliance Office conducts role-based access audits on patients' medical records as part of HIPAA Privacy monitoring activities to confirm appropriate access based on the role of the individual.

- A patient's medical chart was reviewed, and it was concluded that all individuals appropriately accessed the patient's medical record based upon their roles in the patient's care and treatment as a patient of UNTHSC or their roles in the payment and operations functions of UNTHSC.

Confirm Web Editors received training prior to obtaining access

Description: Before Web Editors are given access to make basic edits to information, images, files, and embedded media on www.unthsc.edu using the WordPress content management software, they must receive training.

- Currently, there are 131 editors who have passed the training course and have access to edit Web Content in WordPress. Everyone who currently has access to edit content with WordPress has passed the training course and were approved by their department leadership.

Monitor Fire Drills

Description: According to the Emergency Management Policy 04.430, emergency exercises must take place no less than annually.

- The Safety Office last conducted a Fire Drill on October 27, 2014 in the Library Building. A Fire Drill Report was provided to the Institutional Compliance Office by the UNTHSC Safety Officer. A new Emergency Management Associate Director was hired in October of 2015 and is currently preparing a schedule of fire drills campus wide. The goal is to conduct a fire drill in each building on the HSC campus annually. The Institutional Compliance Office will follow-up with Safety Officer during the fourth quarter and confirm that fire drills have taken place for fiscal year 2016.
- A draft of the 2016 Safety Office Inspection, Training and Exercise Plan was provided to the Institutional Compliance Office. The Inspection, Training and Exercise Plan outlines a timeline for the completion of all inspections, training and exercises.

Review of Lab Inspections

Description: All laboratories utilizing potentially bio-hazardous agents will be subject to annual inspections by the UNTHSC Biosafety Officer and/or Biosafety Committee members. Inspections of these laboratories will be performed to verify compliance with the National Institute of Health (NIH) Guidelines and the Center for Disease Control (CDC) regulations.

- The Biosafety Assistant Director uses the "Protocol with Post-Approval Monitoring (PAM) and Lab Inspection" spreadsheet that contains the Principal Investigators (PI) and their subjects/protocols to identify which labs to inspect. This spreadsheet is submitted to the Biosafety Committee. The Biosafety Assistant Director provided the Institutional Compliance Office with the checklists that are used for the different lab inspections and walked the Senior Compliance Manager through the inspection process. The Senior

Compliance Manager recommended that a written process for lab inspections be made along with a schedule that shows which labs will be inspected per quarter and a notation on whether it has been completed. The plan is to follow-up during the fourth quarter to review the progress with the new Inspection, Training and Exercise Plan Schedule that outlines an inspection timeline. The Senior Compliance Manager will participate in the next lab inspection.

Credit Balances/UNTHHealth

Description: Quarterly reviews of credit balances on patients' bills are conducted to identify third party overpayments and to confirm that overpayments are being processed in an accurate and timely manner according to Medicare and Medicaid guidelines or payer contracts. Overpayments from Medicare and Medicaid programs must be reimbursed within sixty (60) days of identification.

- The healthcare industry recommended standard for credit balances is 2% or less of the active accounts receivable ("AR") according to the Healthcare Financial Management Association (HFMA). Currently, UNTHHealth AR's are under the industry standard at 1.59%. The Institutional Compliance Office receives a weekly aging report of credit balances to monitor compliance of timely repayment of identified overpayments.

Section IV. Compliance Reports

UNTHSC maintains a Compliance Hotline system with a third party vendor that allows a person to report a compliance matter or file a complaint anonymously and confidentially. The Compliance Hotline is managed by the Institutional Compliance Office. In addition, the Institutional Compliance Office receives complaints or becomes aware of compliance matters through email, by telephone or in person.

The Ethics Hotline information, which includes the hotline telephone number and information on how to report a violation, is posted on Institutional Compliance Office's website, UNTHSC's website and on signs through-out the campus. The Institutional Compliance Office provides Ethics Hotline handouts to new employees through the Human Resources orientation process.

100% of Hotline reports were dispatched to the appropriate division within 24 hours. Measure of Success is within 48 hours.

FY 2013-14 Outstanding Reports

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

FY 2014-15 Outstanding Reports

- **One** Academic Affairs report – (1 – Hotline)
 - Inappropriate relations allegation – Referred to the Office of General Counsel –
In Progress
- **One** Clinical reports – (1 – In Person)
 - Outstanding UNTHSC invoices for hospital Program Director Services – **In Progress**

- **Two** Human Resources reports – (2 – In Person)
 - Staff member reported discrimination related to an employment decision based on the school she attended. – **Resolved, no merit** (In Person)
 - Monitoring a report that UNT units have improperly released confidential employee and student employee data. – **Resolved, no merit – Managed by Chief Internal Auditor’s Office** (In Person)

- **One** Research report – (1 – In Person)
 - Monitoring a Research Integrity investigation by OIG and time and effort investigation by OGC– **In Progress – Managed by the Office of General Counsel**

- **One** Operations report – (1 - In Person)
 - Lack of compliance with ADA in Sleep Lab building – **Resolved, with merit** – New handrails, steps, and ramp installed.

First Quarter Reports – September 2015 to November 2015

UNTHSC received the following seven (7) reports during the first quarter:

- **Two** Human Resources reports – (1 - Hotline, 1 - In Person)
 - Caller stated a staff member was rude on the phone when she called in for information on the Master’s Program. – **Resolved, no merit** (Hotline)
 - Staff member filed a previous report and now feels like she is being retaliated against. – **Resolved, no merit** (In Person)

- **Three** Clinical Reports – (3 – Hotline)
 - Patient feels that a staff member may have violated the HIPAA Privacy Act by accessing her medical record. – **Resolved, no merit**
 - Patient’s friend reported that the physician fell asleep during his visit. – **Resolved, no merit**
 - Patient reported a resident rubbing his eyes and then not washing his hands in the clinic. – **Resolved, with merit** – hand hygiene reminder was sent to all clinics.

- **One** System Report (1 – In Person)
 - A BSC staff member approved time using a HSC staff member’s user ID. – **Resolved, unsubstantiated – Managed by Internal Audit.**

- **One** Institutional Compliance Office report (1 – In Person)
 - Report of a staff member using the Daily News to promote her husband’s business. – **Resolved, with merit** – education provided to the staff member.

Section I. Organizational Actions

There were no significant actions that affected the Compliance program for this reporting period.

Section II. Compliance Risks

High-Risk #1: Emergency Planning & Preparedness and Business Continuity (UNT Dallas Police Chief and UNT Risk Management Services, as applicable)

Action Taken by Management:

- UNT Dallas Police Chief conducted emergency preparedness training for applicable employees which included new employee orientation. The training also discussed Senate Bill 11 (Campus Carry) and active shooter situations.
- UNT Dallas Police Chief continues to work with UNT Risk/Emergency Management to update emergency signage and posters.
- UNT Dallas is participating in a system-wide project that will enhance emergency notifications to employees and students via phone calls, text messaging, social media and television monitors.
- UNT Dallas is updating its campus security systems, including cameras, building and area alarms, locks, exterior lighting, and portable metal detection wands.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance meets at least quarterly with the UNT Dallas Chief of Police and UNT Risk Management Services as applicable to identify opportunities to enhance emergency planning & preparedness and business continuity processes and procedures at UNT Dallas.

High-Risk #2: Electronic Information Handling (Information Technology Shared Services - ITSS)

Action Taken by Management:

- As a result of UNT System's financial transformation efforts, risk identification, assessment, and remediation of over-allocated access have been deployed to mitigate known risk. Where circumstances exist that prevent full separation of duties among staff, special controls are being identified and developed to further lessen the remaining risk.
- Financial transformation next steps include complete identification and development of compensating controls across all business functions and continued work within the PeopleSoft Upgrade for Finance (PUFF) to ensure that Finance version 9.2 security has separation of duties principles applied for March 1 go-live.

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to forty-five (45) new employees as part of the online onboarding process.
- A disaster recovery exercise was successfully conducted on November 11, 2015. The purpose of the exercise was to conduct a live restoration of a critical enterprise system whose functionality was lost.
- IT support is provided to UNT Dallas through Campus Technology Support Services.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continues to partner with Campus Technology Support Services and ITSS to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #3: Grants Management (Principal Investigator, Co-PI on Mountain View Grant, and UNT's Office of Grants & Contract Administration, as applicable)

Action Taken by Management:

- UNT Dallas filled the grants writer position. The new grants writer comes to UNT Dallas from Southern Methodist University's grants office and is currently working on securing several grants. This position is under the supervision of the Provost.

Action Taken by System and/or Institutional Compliance:

- Institutional Compliance will meet with the UNT Dallas Provost, the new grants writer, the new UNT Director of Research Integrity and Compliance, UNT's Office of Grants & Contract Administration, and other UNT System units (as applicable) to discuss, document, and address any ongoing sponsored project management goals, objectives, and challenges.

High-Risk #4: Having policies, procedures, and/or practices in place that may not provide protection of minors participating in UNT Dallas related activities (Institutional Compliance Office)

Action Taken by Management and System/Institutional Compliance:

- Student Life took the lead in reviewing the Minors on Campus policy, which primarily addresses camps, programs, and/or activities that include minors participating in them.
- UNT's Risk Management Services has finalized the web based version of the Sexual Abuse and Child Molestation Prevention Training that was originally planned to be hosted in Blackboard. RMS is considering additional options for hosting and tracking this training, which will be available to applicable UNT System and Dallas stakeholders.
- UNT Risk Management Services and Institutional Compliance are working with UNT System/UNT HR and UNT System IT Shared Services to finalize a pilot test that provides a process within PeopleSoft that will track any type of completed training (including the

Sexual Abuse and Child Molestation Prevention Training also available to applicable UNT System and Dallas stakeholders).

High-Risk #5: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- The UNT Compliance Officer (and Chief Records Management Officer), the System Compliance Officer, and Chief Records Management Representative were involved in hiring a new Institutional Records Management Director.
- The Program's next steps will focus initially on reestablishing the Records Management Representative (RMR) network and developing campus-wide records management training.

High-Risk #6: Required Compliance Related Training (Office of Institutional Compliance)

- The UNT Operations & Infrastructure Implementation Team (work-team for employee training and development) has identified seven (7) training subjects that must be completed by all employees (including UNT Dallas).
- UNT Risk Management Services is working with UNT System/UNT HR and UNT System IT Shared Services to finalize a pilot test that identifies a process within PeopleSoft that will track any type of completed UNT Dallas related training.
- The plan is to use this pilot process to initially track the seven (7) training subjects identified by the OIIT for any UNT System institution.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance has partnered with RMS, UNT System/UNT HR, and other responsible System-wide parties to ensure these trainings are available via the web and when completed, coordinating with IT Shared Services to be able to track the completed training using the PeopleSoft pilot test process.

Section III. Compliance Training

- System/UNT Institutional Compliance developed Compliance Awareness Training that is designed to be completed (web-based) by UNT System, UNT, and UNT Dallas employees. This training was provided in a lecture format to a System-wide group of employees during a UNT System Business Support Services' (BSS) workshop at the Business Service Center.
- The Office of General Counsel (OGC) provided Ethics in Public Service training during the same BSS workshop. System/UNT Institutional Compliance will work with OGC to develop a web-based version of this ethics training designed to be completed by UNT System, UNT, and UNT Dallas employees.

Section IV. Confidential and Other Complaint Reporting for UNT Dallas

- UNT Dallas maintains a Compliance Hotline reporting system that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- There was ***one hotline complaint*** received pertaining ***to a UNT community issue involving a faculty member***. It was provided to and handled by the appropriate university officials.



Board Briefing

Committee: Audit

Date Filed: January 27, 2016

Title: Amendment to Regents Rule 04.500, *Audit and Compliance* and Adoption of Regents Rule 04.1200, *Compliance*

Background:

Existing Regents Rule 4.500, *Audit and Compliance*, directs System Administration and each Institution to develop and implement a compliance program. In order to provide more direction and specificity to System Administration and the Institutions regarding the Board’s requirements for the compliance function throughout the System, approval is requested to revise Regents Rule 4.500 by deleting Regents Rule 04.502 and adopting Regents Rule 04.1200, *Compliance*. Under the new rule, the Board mandates a system-wide Compliance and Ethics Program and directs the Chancellor to establish the Program elements via a System Regulation.

The Board has the authority to adopt these revisions under Texas Education Code §105.101, which grants to the Board the power to adopt rules and policies for the administration of the Board’s powers and duties.

Financial Analysis/History:

There are no fiscal implications related to the adoption of new Regents Rules.

Janet
Waldron

Vice Chancellor for Finance

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.02.17 14:08:08 -06'00'

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule:

Effective immediately upon Board approval.

Recommendation:

It is recommended that the Board adopt Regents Rule 04.1200, *Compliance*, and the revisions to the Regents Rule 04.500, *Audit and Compliance*, as set forth in the attachments.

Recommended By:

Lee
Jackson



Digitally signed by Lee Jackson
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Date: 2016.02.18 11:51:08 -06'00'

Chancellor

Attachments Filed Electronically:

- Proposed revisions to Regents Rule 04.500, *Audit and Compliance*
- Proposed adoption of Regents Rule 04.1200, *Compliance*



Board Order

Title: Amendment to Regents Rule 04.500, *Audit and Compliance* and Adoption of Regents Rule 04.1200, *Compliance*

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, revisions to the Regents Rules are necessary to provide more direction and specificity to System Administration and the Institutions regarding the Board’s requirements for the compliance function throughout the System,

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

1. Adoption of revisions to Regents Rule 04.500, *Audit and Compliance*, as set forth in the attachment to this briefing and order.
2. Adoption of Regents Rule 04.1200, *Compliance*, as set forth in the attachment to this briefing and order.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

04.500 Audit ~~and Compliance~~

04.501 Internal Audit.

1. Objective. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve the System Administration's and each Institution's operations. It assists the System Administration and each Institution with accomplishing their objectives by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of risk management, control, and governance processes.
 - a. Assurance Services. An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organization. Examples may include financial, performance, compliance, system security, and due diligence engagements.
 - b. Consulting Services. Advisory and related client service activities, the nature and scope of which are agreed with the client, are intended to add value and improve an organization's governance, risk management, and control processes without the internal auditor assuming management responsibility. Examples include counsel, advice, facilitation, and training.
 - c. Risk Management. The internal audit activity shall evaluate the effectiveness and contribute to the improvement of risk management systems processes.
 - d. Control. The internal audit activity shall assist the System Administration and each Institution in maintaining effective controls by evaluating their effectiveness and efficiency and by promoting continuous improvement.
 - e. Governance. The internal audit activity shall assess and make appropriate recommendations for improving the governance process in its accomplishment of the following objectives:
 - i. promoting appropriate ethics and values within the System Administration and the Institutions;
 - ii. ensuring effective organizational performance, management, and accountability;

- iii. communicating risk and control information to appropriate areas of the System Administration and the Institutions; and
 - iv. coordinating the activities of and communicating information among the Board, external and internal auditors, and management.
- f. Scope of Evaluation. Risks and controls relating to the System Administration's and each Institution's governance, operations, and information systems shall be evaluated for:
- i. reliability and integrity of financial and operational information;
 - ii. effectiveness and efficiency of operations;
 - iii. safeguarding of assets; and
 - iv. compliance with laws, regulations, and contracts.

The Internal Audit activity shall evaluate the potential for the occurrence of fraud and how the organization manages fraud risk.

2. Appointment of the Chief Internal Auditor. The Chief Internal Auditor shall be appointed by the Board on the recommendation of the Chancellor and shall serve at the pleasure of the Board.
3. Reporting. The Chief Internal Auditor reports to the Board through the Audit Committee and shall have access to the Chancellor.
4. Duties and Responsibilities of the Chief Internal Auditor. The Chief Internal Auditor shall:
 - a. Advise the Board and the Chancellor in formulating policies and procedures to guide audit policies and services for the System Administration and the Institutions, including:
 - i. periodically reviewing the internal audit charter and presenting it to senior management and the Board for approval;
 - ii. discussing the Definition of Internal Auditing, the Code of Ethics, and the *Standards* with senior management and the Board;
 - iii. confirming to the Board, at least annually, the organizational independence of the internal audit activity; and

- iv. discussing with the Board the external assessment needs, qualifications, and independence of external reviewers or review team, and communicating the results of the quality assurance and improvement program.
 - b. Develop a consolidated annual internal audit plan based on a documented System-wide risk assessment (input of senior management and the Board shall be considered in this process) and coordinate the plan's implementation;
 - c. Coordinate the reporting of all audit activities;
 - d. Direct audits of the System and the System Administration;
 - e. Direct and evaluate the performance of individuals holding positions that directly report to the Chief Internal Auditor;
 - f. Promote diversity within the System and support existing System programs designed to create a welcoming environment for everyone;
 - g. Provide leadership and oversight of institutional effectiveness efforts, including the use of evaluation and linking results to planning; and
 - h. Perform other duties as assigned by the Board and the Chancellor.
- 5. Independence. In carrying out their duties and responsibilities, the Chief Internal Auditor and the Internal Audit staff shall have full, free, and unrestricted access to all System Administration and Institution activities, records, personnel, and physical properties. Internal Audit shall not be given any responsibility that would interfere with its ability to perform independent reviews of all aspects of System Administration and/or Institution operations.
- 6. Internal Audit Responsibilities. The Chief Internal Auditor shall implement a program of internal auditing that includes:
 - a. Using risk assessment techniques to develop a flexible annual audit plan that identifies the individual audits to be conducted during the year;
 - b. Performing the annual audit plan, as approved, including any special tasks or projects requested by management and the Board Audit Committee when appropriate;
 - c. Periodically reviewing major systems and controls, including: (i) accounting systems and controls, (ii) administrative systems and controls, and (iii) information technology systems and controls;

- d. Reporting each quarter to the Board Audit Committee on (i) whether appropriate action has been taken on significant audit issues, findings, and recommendations, (ii) audits in progress and those completed during the quarter, and (iii) deviations from the audit plan;
 - e. Reporting audit results to members of management who should be informed or who should take corrective action;
 - f. Performing follow-up to determine whether corrective action was taken and is achieving the desired results; and
 - g. Performing quality assurance reviews in accordance with professional standards and periodically taking part in a comprehensive external peer review.
7. Standards. Internal Audit shall perform its responsibilities in accordance with the Texas Internal Auditing Act, Chapter 2102 of the Texas Government Code. Internal Audit recognizes the Institute of Internal Auditors (IIA) as its professional and authoritative source. Internal Audit shall conform to the IIA: Definition of Internal Auditing, the Code of Ethics, and the *International Standards for the Professional Practice of Internal Auditing* contained in the International Professional Practices Framework as promulgated by the IIA. Additionally, Internal Audit shall conform to generally accepted governmental auditing standards (GAGAS).

~~04.502 — Compliance. The System Administration and each Institution shall develop and implement a compliance program that supports activities intended to assist the Institution in complying with federal and state laws and regulations. Each compliance program shall be designed to promote ethical behavior and ensure compliance with all applicable policies, laws and rules governing higher education, including research and health care to the extent applicable.~~

Adopted: November 15, 2007
Effective: November 15, 2007
Revised: February 13, 2009, August 28, 2015

04.1200 Compliance and Ethics Program

04.1201 Compliance and Ethics Program. The Board is committed to a Compliance and Ethics Program that encourages ethical, honest, and lawful conduct at every level of the University of North Texas System; that promotes practices designed to prevent and detect violations of law and policy; and that prevents retaliation against individuals who make good faith reports of suspected wrongdoing. Accordingly, the Chancellor shall adopt a System Regulation that is consistent with Regents Rule 04.1100, *Reporting Suspected Wrongdoing*, and that is designed to establish an effective Compliance and Ethics Program. The System Administration and each Institution shall adopt policies and procedures that ensure implementation of the regulation.

04.1202 Program Requirements. At a minimum, the Compliance and Ethics Program shall require:

1. compliance standards and procedures reasonably capable of reducing the prospect of criminal activity;
2. oversight by high-level personnel, including timely informing the Board of material compliance violations, and informing the Board quarterly on the effectiveness of each Compliance and Ethics Program;
3. due care in delegating substantial discretionary authority;
4. mechanisms to encourage effective communication and education for all levels of employees;
5. reasonable steps to achieve compliance, to include systems for monitoring, auditing and reporting suspected wrongdoing without fear of retaliation, and periodic review of each Compliance and Ethics Program by the System Chief Audit Executive;
6. means for facilitating consistent enforcement of compliance standards including corrective and disciplinary mechanisms;
7. reasonable steps to respond to and prevent the reoccurrence of the same or similar criminal conduct and policy violations; and
8. practices and structures that encourage a culture committed to individual and organizational ethical conduct and compliance with the law and policy.

04.1203 Responsibility for Support and Resources. The Chancellor and Presidents shall be responsible for providing support and sufficient resources to ensure the effectiveness of the Compliance and Ethics Program.

04.1204 Board Review of Program. The Audit Committee of the Board shall review this Rule and the Compliance and Ethics Program System Regulation annually.

Adopted:
Effective:
Revised:



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MINUTES

BOARD OF REGENTS Finance and Facilities Committee November 20, 2015

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Thursday, November 20, 2015 in Room 43/47 of the Gateway Center, University of North Texas, 801 North Texas Blvd, Denton, Texas with the following members in attendance: Regents Rusty Reid, Glen Whitley and Laura Wright.

There being a quorum present the meeting was called to order by Committee Chairman Regent Rusty Reid, at 10:36 am. The minutes of the August 27-28 Finance and Facilities Committee meeting were approved on a 4-0 vote following a motion by Regent Whitley seconded by Regent Wright.

Chair Reid asked Vice Chancellors Janet Waldron and James Maguire to present the **Quarterly Activity Report**, which included brief summaries of FY15 budget, treasury, business process improvements, information technology, human resources, customer service, and capital improvement plan, including status of projects and plan changes.

Vice Chancellor Waldron noted that two briefings listed for this meeting, **Cost per Degree Factors** and **Cost Trends in Major NACUBO Categories**, would be taken up at the next Committee meeting.

Chairman Reid introduced Paige Smith, UNT System Associate Vice Chancellor for Budget who briefed the Board on **New System Budget Regulations: Reserves and Variance Policies**.

The **FY15 Financial Review** consisted of a series of briefings, the first being a **FY15 Budget Status Summary** provided by Associate Vice Chancellor Smith. This was followed by a report on the **FY15 Investment Performance**, delivered by Mike Mlinac, UNT Foundation, President and CEO, Alfred Lockwood, UNT Foundation, Director of Investment Administration, and James Mauldin, UNT System, Associate Vice Chancellor for Treasury. The final briefing in this set was given by Jane-Anne Kanke, UNT System, Senior Director, who presented an update on the **Unaudited FY15 Consolidated Annual Financial Report Status**.

Vice Chancellor James Maguire presented a **Campus Master Plan Update** to the Committee.

Chair Reid noted that there were four action items on the agenda. The first was presented by James Mauldin.

6. UNTS

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

**BOARD OF REGENTS
UNIVERSITY OF NORTH TEXAS SYSTEM
FINANCE AND FACILITIES COMMITTEE CHARTER**

The Finance and Facilities Committee oversees the fiscal stability and long term economic health of the University of North Texas System. The committee monitors the System and component institutions' financial operations, debt level, and investment performance; requires the maintenance of accurate and complete financial records; and maintains open lines of communication with the Board of Regents about the System and component institutions' financial condition. The Finance and Facilities Committee shall also have responsibility to review all capital project schedules and construction contracts, evaluate land and property purchase opportunities, recommend to the Board any required actions concerning the naming of buildings, facilities, real property, streets and programs as required by the Regents Rules, and review contracts and purchases of goods and services as required by the Regents Rules.

Specifically, the Finance and Facilities Committee shall review and recommend to the Board:

- The consolidated annual operating budget;
- Financial components of the capital budget;
- Changes to tuition and those fees and charges requiring Board approval;
- Contracts and purchases of goods and services as required by the Regents Rules;
- The issuance of debt;
- Changes to the consolidated annual budget as required by the Regents Rules;
- Investment regulations and policies, including investment goals, model asset allocations, distribution policies and performance benchmarks;
- Capital project plans and schedules;
- Capital project design and construction contracts as required by Regents Rules;
- The naming of buildings, facilities , real property, streets and programs as required by the Regents Rules;
- Administration of System real property, including both surface and mineral interests
- Campus Master Plans;
- The Finance and Facilities Committee charter

The Finance and Facilities Committee also provides governance oversight to:

- Budget to actual status;
- Long-range financial planning strategies;
- Total indebtedness of the System and component institutions;
- The investment portfolio, including performance of investments compared to relevant benchmarks or indices and investment costs; and
- The financial relationship between the System and component institutions' and their respective affiliates, including affiliated foundations, clinical operations, and external entities

The Finance and Facilities Committee may also review:

- Selected financial metrics that measure the System and component institutions' fiscal condition
- Capital financing and debt-management reports
- The report on central reserves
- Asset management reports
- Other external and internal reporting requirements
- Other financial reports as requested by the committee

Adopted: 02.20.15

Effective: 02.20.15

Revised: 05.22.15

Board Item	Feb	March Retreat	May	Aug	Nov
<u>Annual Items</u>					
Committee Charter & Schedule	X				
Tuition (College of Law)	X				
Benchmark Options for Investment Portfolios	X				
Consolidated Annual Financial Report	X				
Consolidated Budget RR 10.204				X	
Annual Investment Report					X
Self-Insurance Fund Report - UNTHSC				X	
Cost per Degree Factors					X
Cost Trends in Major NACUBO Categories					X
Annual Capital Improvement Plan				X	
<u>Quarterly Items</u>					
Budget to Actual	X		X	X	X
Remediation Activities Update	X		X	X	X
Campus Master Plan Update	X		X		X

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UNT Dallas Campus Master Plan Update

UNT System Board of Regents

February 25, 2016

Presented by

Bob Mong, President UNT Dallas

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



Update on Progress
of
Campus Master Plan

THE UNIVERSITY OF NORTH TEXAS

DALLAS CAMPUS MASTER PLAN - 2005

Approved by the UNT System Board of Regents on August 19, 2005

S A S A K I

Master Plan



Supports Strategic VISION

Mission

Empower. Transform. Strengthen.

UNT Dallas empowers students, transforms lives, strengthens communities.

Vision

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



Master Plan



- Compelling Vision for the Campus environment
- Providing Facilities and Amenities that Support Campus Life
- Pedestrian Experience – Squares and Promenade
- Providing a Center for the Community
- Plan provides for 1,600 beds on-campus housing when the headcounts reach 16,000 students

Camp Wisdom Road

University Hills Blvd



2005 Master Plan

1. Library
2. Student Center
3. Visitors Center
4. **Housing**
5. North-South Promenade
6. Campus Square

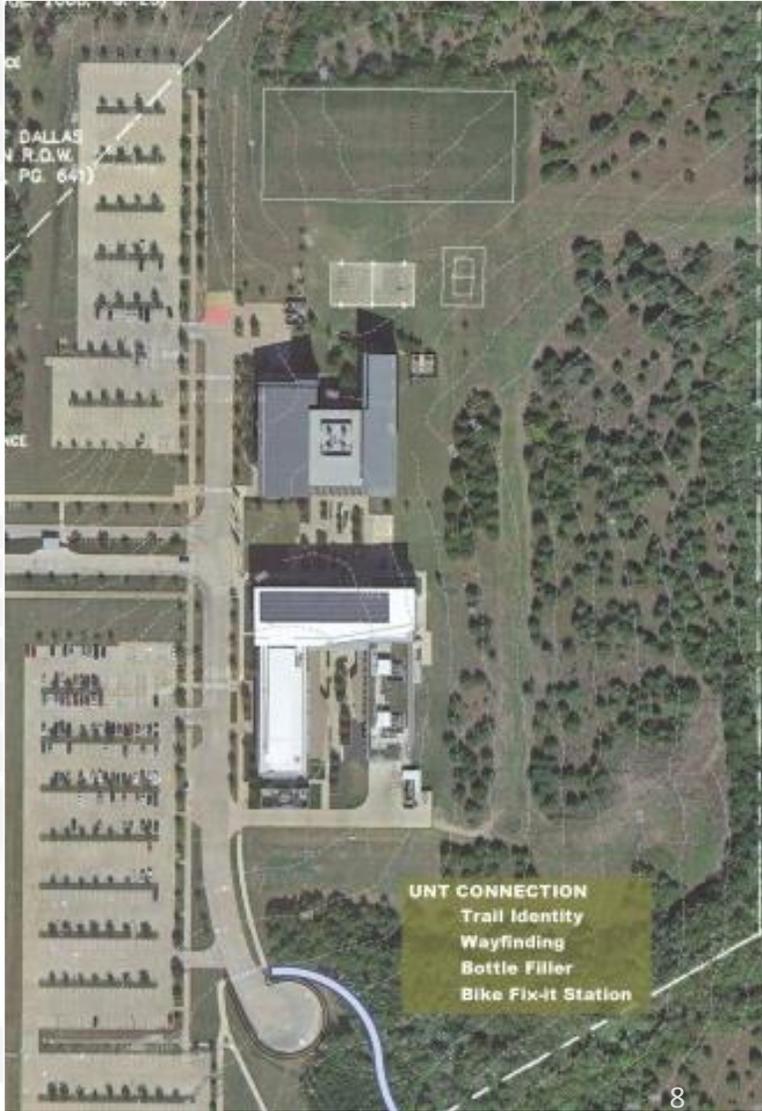
University Promenade

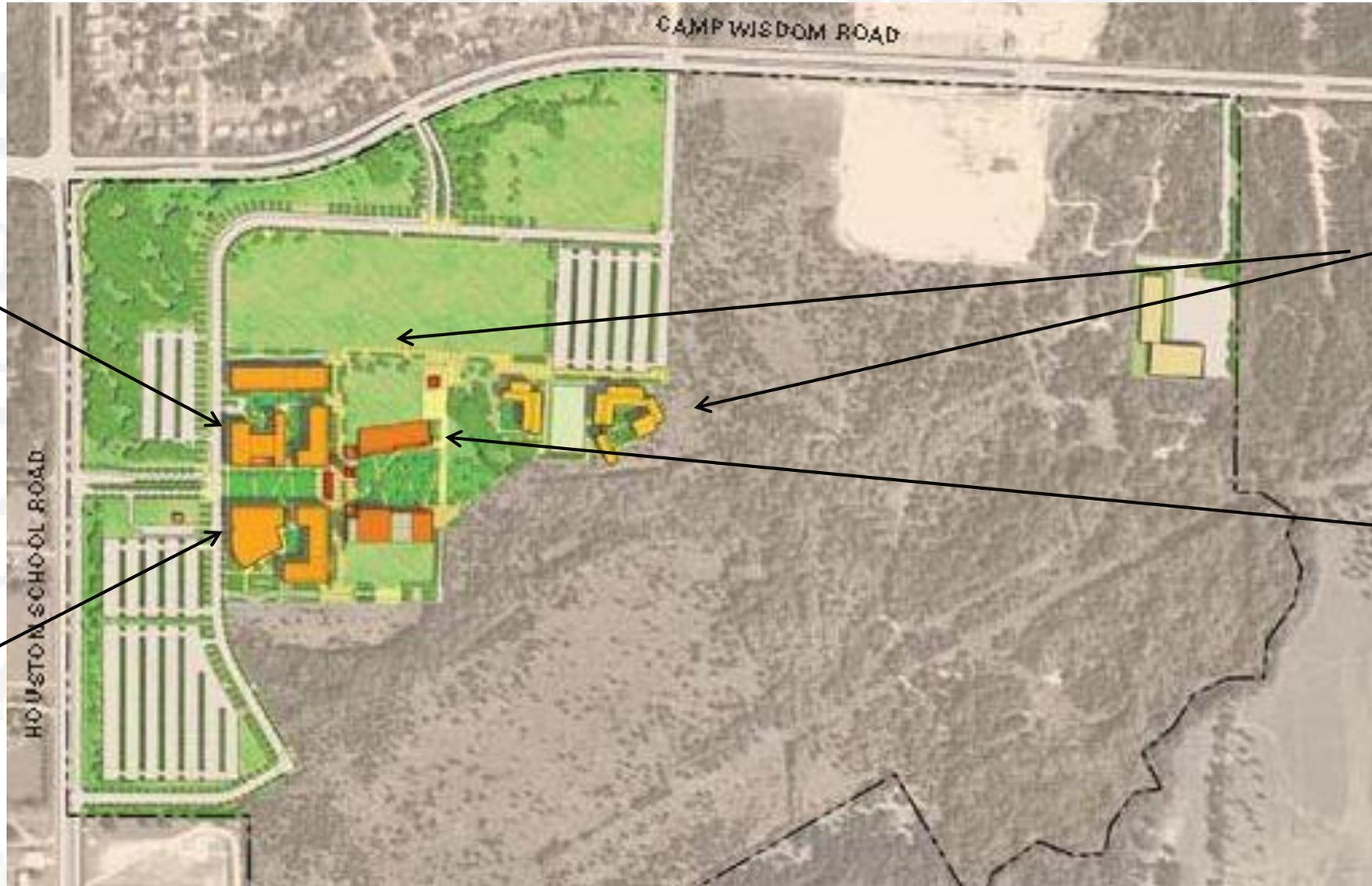


University Promenade



Current Development





Building 1

Founders Hall

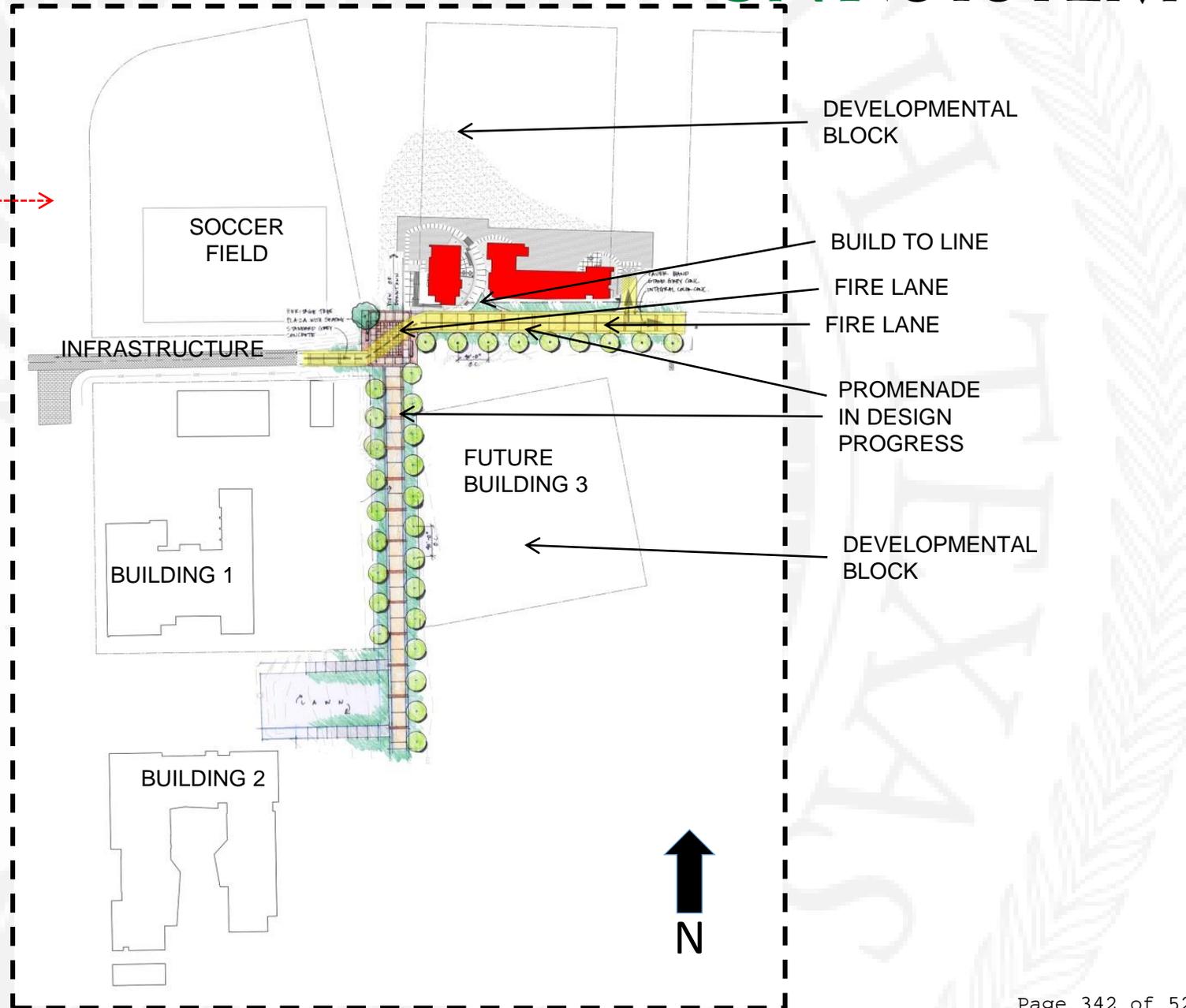
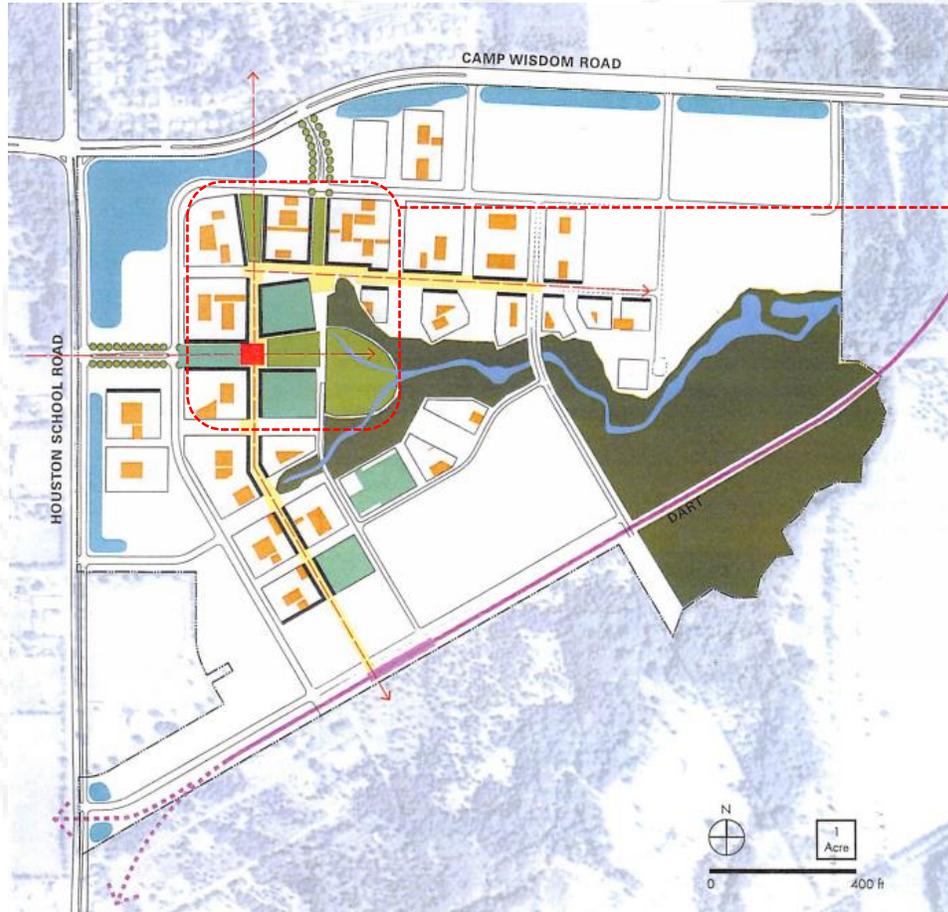
Planned Locations for Housing

Planned Location for Building 3

DART at UNT Dallas



Residence Hall Site Plan

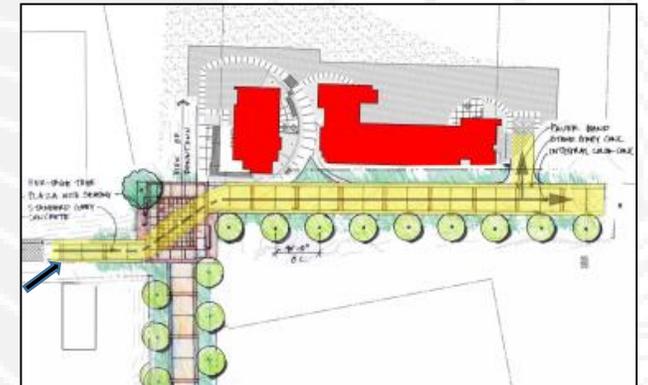


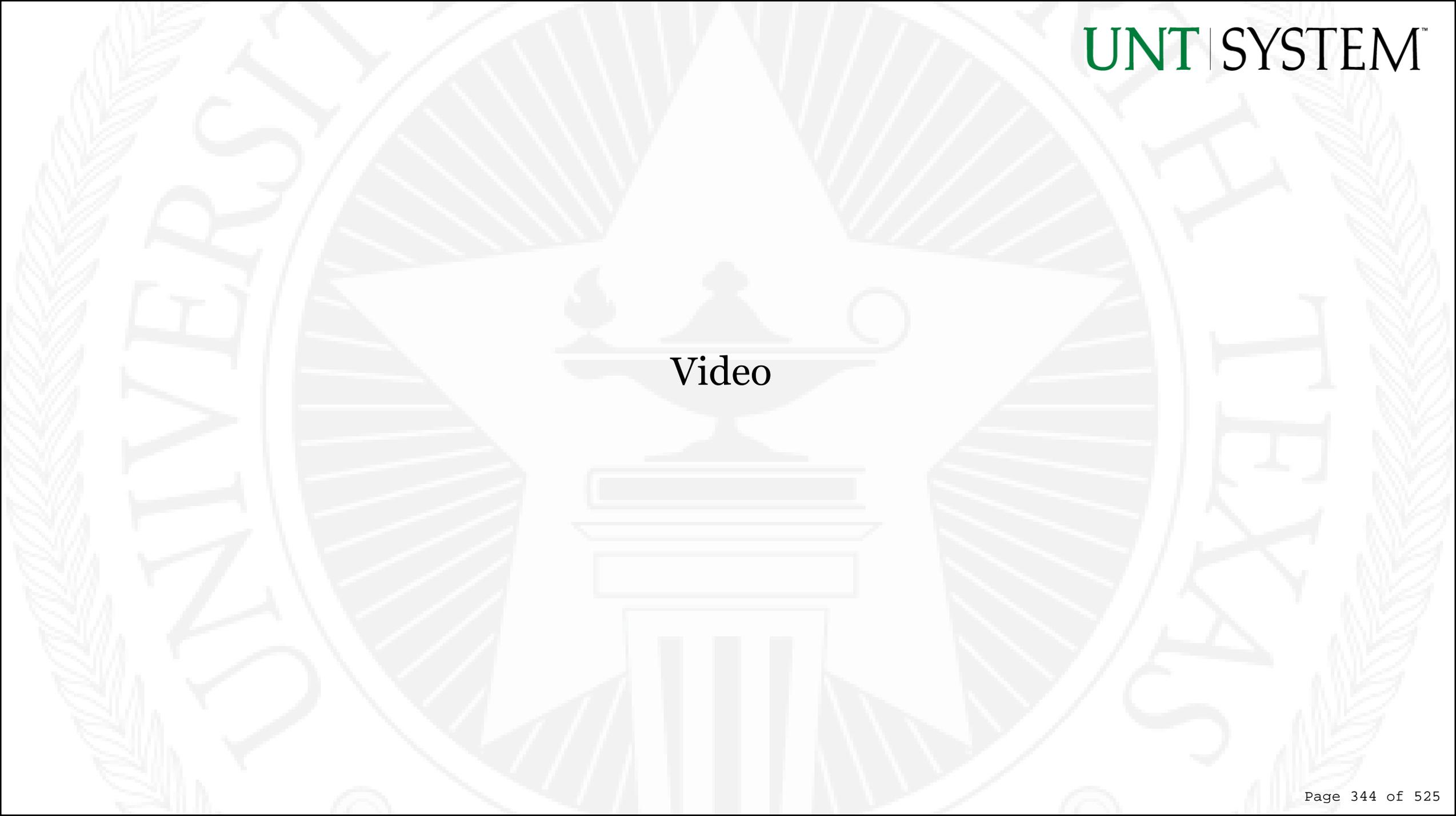


Rendering



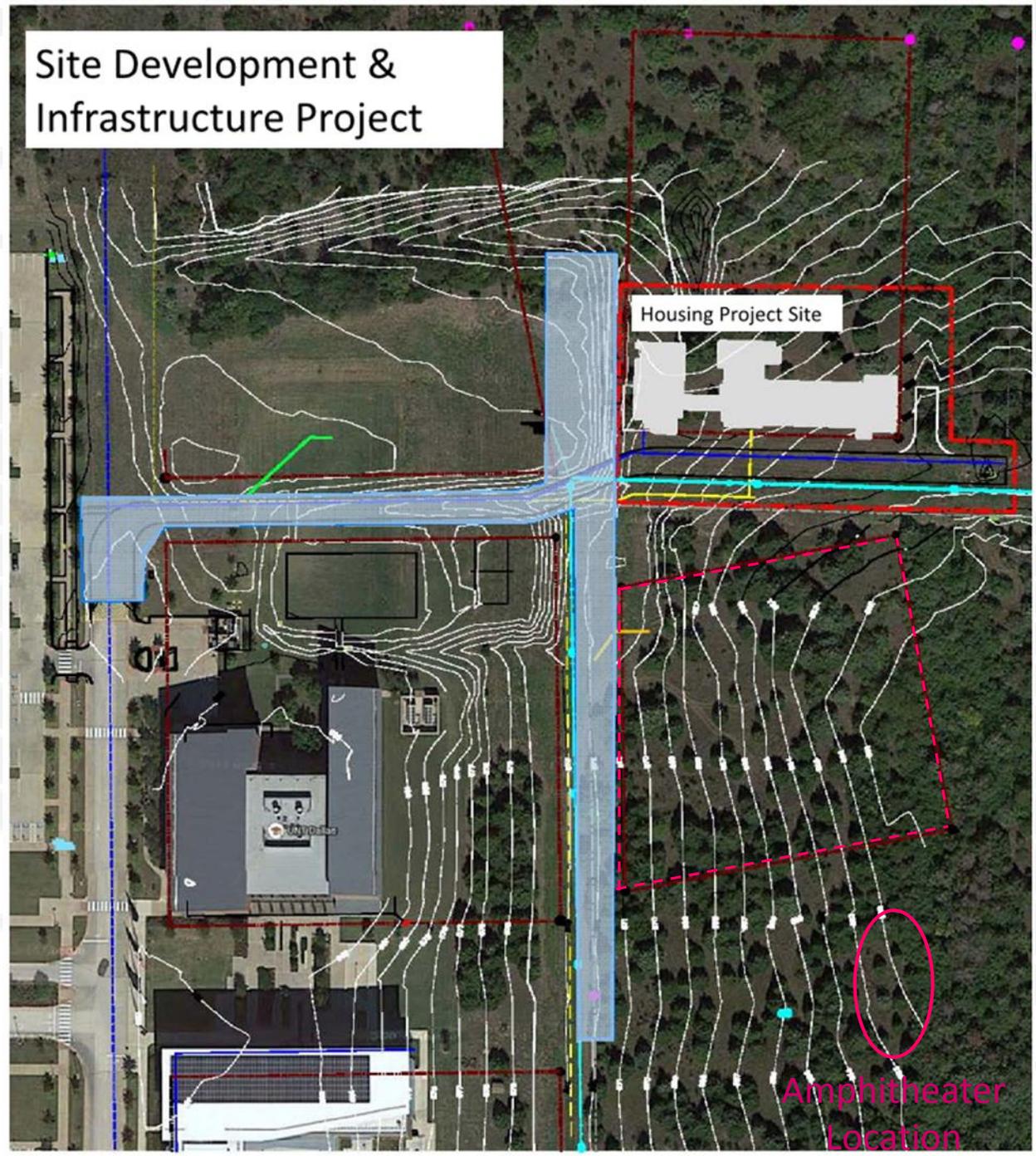
Elevation





Video

Site Development & Infrastructure Project



UNT Dallas Student Learning and Success Center

Approx. 153,000 GSF

Project Budget: \$63,000,000

- \$63,000,000 Tuition Revenue Bonds

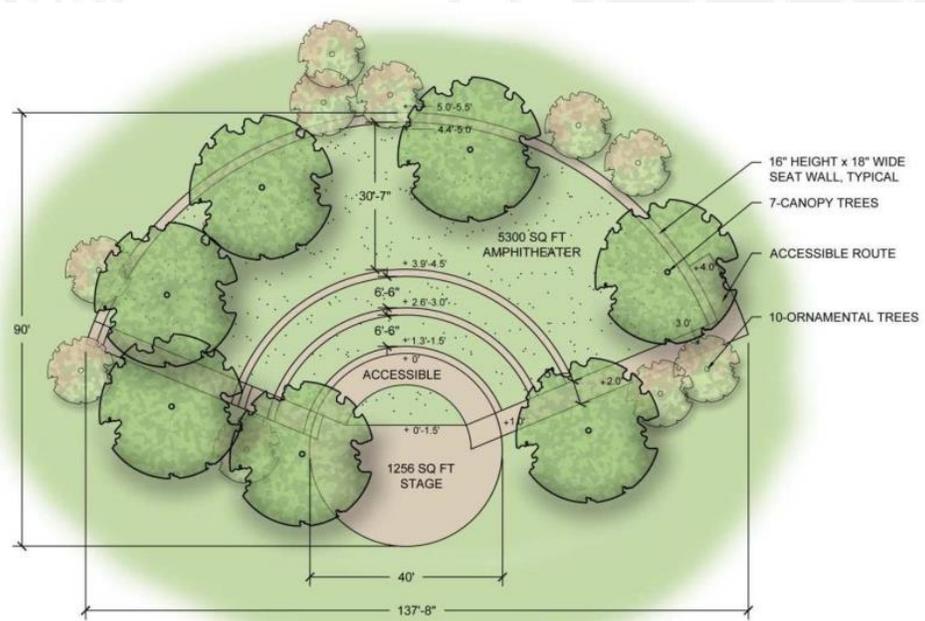
Potential Program Space:

- Library/Learning Commons
- Offices for Student Services including enrollment management, financial aid, student advising, tutoring, remedial education, aptitude testing, student employment, student life, and counseling
- Fitness Facility
- Classrooms and other instructional space
- Flexible large gathering space



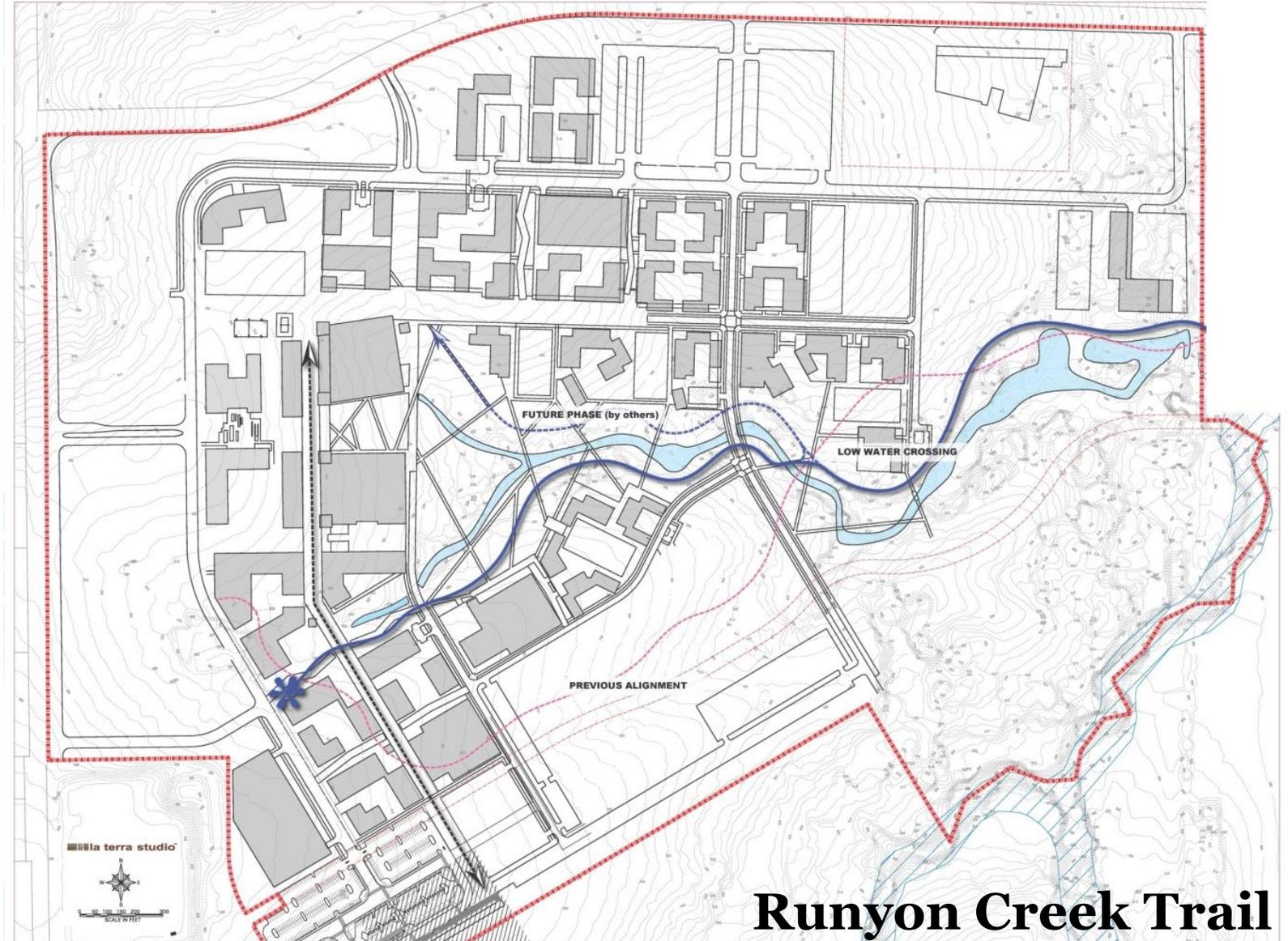
Building Site

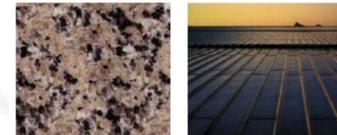
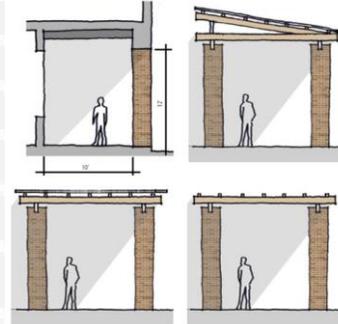
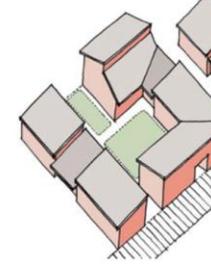
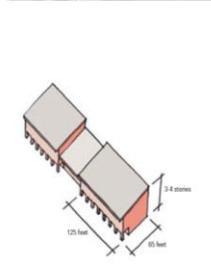
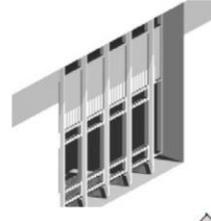
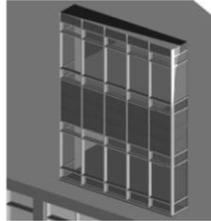
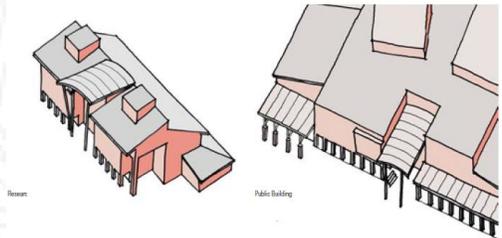
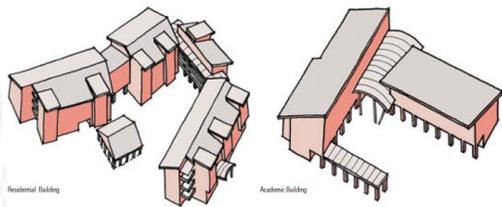
Amphitheater



Will be adjacent to SLSC and planned with the project







Promenade







• END



University of North Texas System

Consolidated Annual Financial Report: Fiscal Year 2015 Highlights

Jane-Anne Kanke – Senior Director, Financial Systems Support & Reporting
Janet Waldron – Vice Chancellor for Finance

February 25, 2016

Statement of Net Position

(\$ in thousands)	Audited 2014	Unaudited 2015	% Increase (Decrease)	GASB 68 Amount
Assets & Deferred Outflows:				
Current Assets	\$ 464,237	\$ 498,910	7%	
Noncurrent Assets	1,175,319	1,234,567	5%	
Deferred Outflows	4,768	22,298	368%	18,294
Total Assets & Deferred Outflows	1,644,324	1,755,775	7%	
Liabilities:				
Current Liabilities	420,695	376,985	-10%	
Noncurrent Liabilities	427,366	644,955	51%	103,406
Deferred Inflows	-	32,034	100%	31,608
Total Liabilities & Deferred Inflows	848,061	1,053,974	24%	
Net Position:				
Net Investment in Capital Assets	429,303	463,615	8%	
Restricted	90,648	100,370	11%	
Unrestricted	276,292	137,816	-50%	116,719
Total Net Position	\$ 796,263	\$ 701,801	-12%	

Highlighted cells include GASB 68 activity.

Note: Deferred Outflows are a consumption of net position that is applicable to a future reporting period. It has a positive effect on net position, similar to assets. Deferred Inflows are an acquisition of net position that is applicable to a future reporting period. It has a negative effect on net position, similar to liabilities.

Financial Position of UNT System as of August 31, 2015

Total assets		Increased from \$1,644 million in prior year to over \$1,755 million, which includes a \$30 million increase in cash position and an \$80 million increase in net capital assets.
Total liabilities		Increased from \$848 million in prior year to over \$1,021 million, primarily due to a new bond issuance and the new net pension liability.
GASB 68		Excluding the effect of GASB 68, assets increased by \$93 million and liabilities increased by \$70 million for a net positive increase of \$23 million.
Net position		The \$23 million increase in net position (excluding the effect of GASB 68) resulted in part from a \$34 million increase in net investment in capital assets and a \$10 million increase in restricted net position. Additionally, there was a \$21 million decrease in unrestricted net position.

Statement of Revenues, Expenses, and Changes in Net Position

(\$ in thousands)	Audited 2014	Unaudited 2015	% Increase (Decrease)	GASB 68 Amount
Operating Revenues:				
Net Tuition and Fees	\$ 279,781	\$ 302,510	8%	
Net Professional Fees	56,882	56,611	0%	
Auxiliary and Sales & Services	94,620	94,101	-1%	
Contracts and Grants	124,092	133,727	8%	
Other Operating	5,531	554	-90%	
Total Operating Revenues	560,906	587,503	5%	
Operating Expenses	(861,895)	(881,079)	2%	416
Operating Loss	(300,989)	(293,576)	-2%	
Nonoperating Revenues (Expenses):				
State Appropriations	235,024	238,215	1%	
Gifts and Nonexchange Grants	69,453	79,512	14%	
Net Investment Income	9,790	7,744	-21%	
Net Increase (Decrease) in Fair Value	20,857	(20,988)	-201%	
Interest Expense	(17,327)	(16,092)	-7%	
Net Other Nonoperating	(1,302)	(6,474)	397%	
Income (Loss) Before Other Rev/Exp	15,506	(11,659)	-175%	
Other Rev/Exp & Transfers:				
Capital Appropriations	36,618	36,618	0%	
Additions to Endowments	234	75	-68%	
Transfers and Other	(1,720)	(2,360)	37%	
Change in Net Position	50,638	22,674	-55%	
Beginning Net Position	758,457	796,263	5%	
Restatement	(12,832)	(117,135)	813%	(117,135)
Restated Net Position	745,625	679,128	-9%	
Ending Net Position	\$ 796,263	\$ 701,802	-12%	

Highlighted cells include GASB 68 activity.

- Overview of operations

<p>Operating revenues increased by 5% over prior year.</p>		<p>\$27 million</p>
<p>Operating expenses increased by 2% over prior year.</p>		<p>\$19 million</p>
<p>Current year activity for the fair value of investments was a decrease of \$21 million due to unfavorable market conditions. This almost completely offsets the prior year increase of \$22 million.</p>		<p>\$21 million (\$42M variance from prior year)</p>
<p>Ending net position decreased due to a \$117 million restatement to beginning net position per GASB 68 (GASB 68 aside, ending net position increased by \$23 million).</p>		<p>\$94 million</p>

Operating Results

(in thousands)

	2012	2013	2014	2015
Income (loss) before other rev/exp	\$ (23,741)	\$ (38,721)	\$ 15,506	\$ (11,659)
Less: The effect of items not considered part of true operations				
Net increase (decrease) in fair value of investments	1,718	2,978	20,857	(20,998)
Other nonoperating (income)/expense	227	(1,942)	(1,302)	(6,473)
Realized gains on investments	216	3,985	2,511	481
Net operating results - Gain (loss)	\$ (25,902)	\$ (43,742)	\$ (6,560)	\$ 15,331

Note: This calculation represents operating income (loss) without the effect of realized and unrealized gains (losses) on investments and other non-operating revenues (expenses).

Financial Ratio Analysis Fiscal Year 2015

Composite Financial Index

UNT System considers the results of four ratios that make up the CFI in order to evaluate financial health and answer several fundamental questions:

Ratio	Analysis	CFI Weight	Benchmark	Formula
Primary Reserve Ratio	Are resources sufficient and flexible enough to support the mission?	35%	.40X (5 months)	$\frac{\text{Expendable Net Position}^*}{\text{Total Expenses}}$
Net Operating Margin	Do operating results indicate the institution is living within available resources?	10%	2% - 4%	$\frac{\text{Operating Inc (Loss) + Net Non-Op Rev (Exp)}}{\text{Operating Rev + Non-Op Rev}}$
Return on Net Position	Does asset performance and management support the strategic direction?	20%	1.00+	$\frac{\text{Change in Net Position}}{\text{Total Beginning of Year Net Position}}$
Viability Ratio	Are financial resources, including debt, managed strategically to advance the mission?	35%	improving trend	$\frac{\text{Expendable Net Position}^*}{\text{Outstanding Debt}}$

**excluding net position restricted for capital investments*

Composite Financial Index

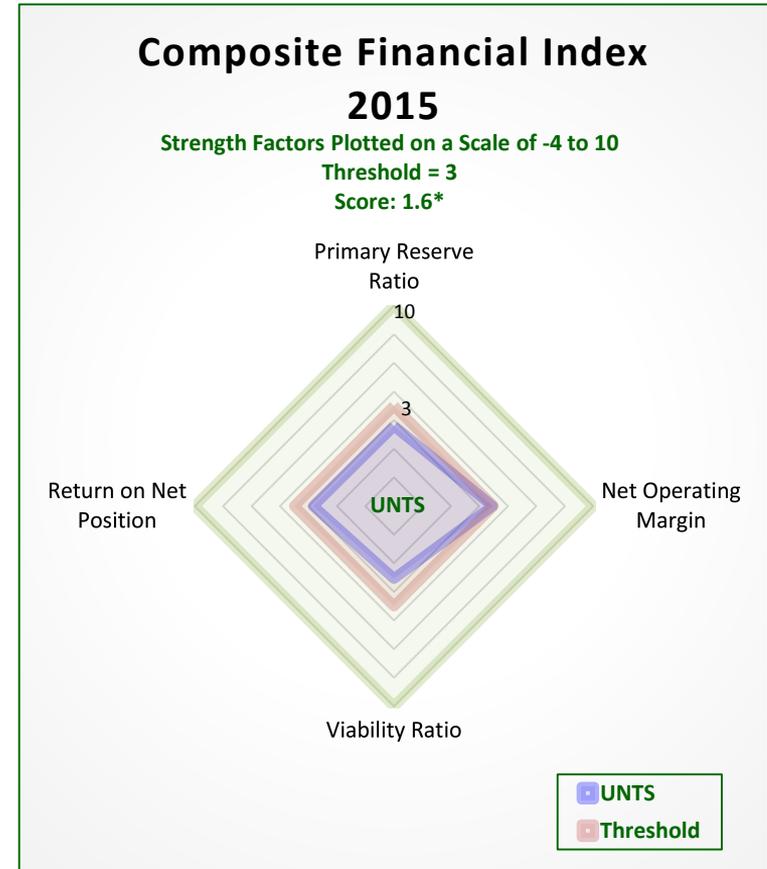
Overall Financial Health	Resources Flexibility and Sufficiency	Operating Results	Financial Asset Performance	Debt Management	Composite Financial Index Score
	Primary Reserve Ratio	Net Operating Margin	Return on Net Position	Viability Ratio	
	.40x	2% - 4%	1.00%+	Trend ↑	
Consolidated*					
FY14	.35x	1.74%	6.79%	.84x	2.6
FY15	.21x	2.05%	3.34%	.45x	1.6
FY15 (ex. GASB 68)	.34x	2.00%	2.80%	.72x	2.1

*The FY14 and FY15 Viability Ratios exclude the financial burden of Tuition Revenue Bonds, as these are funded by the state.

The FY15 consolidated CFI score decreased from 2.6 (FY14) to 1.6 (FY15). The overall decrease is a result of the following factors:

- The primary reserve ratio decreased from .35x to .21x due to the negative impact on unrestricted net position due to GASB 68.
- The viability ratio decreased from .84x to .45x due to the issuance of new debt, and the negative impact on unrestricted net position due to GASB 68.
- The Return on Net Position decreased from 6.79% to 3.34% due to market conditions. We experienced a \$20M increase in fair market value in FY14, and a \$20M decrease in fair market value in FY15.

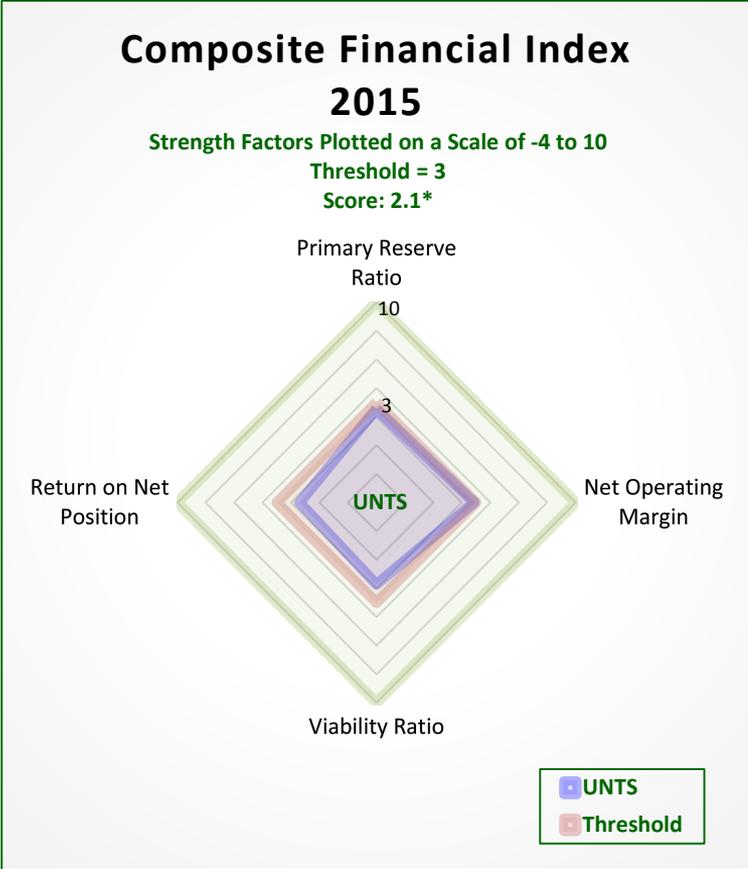
**The FY15 CFI Score excludes the financial burden of Tuition Revenue Bonds.*

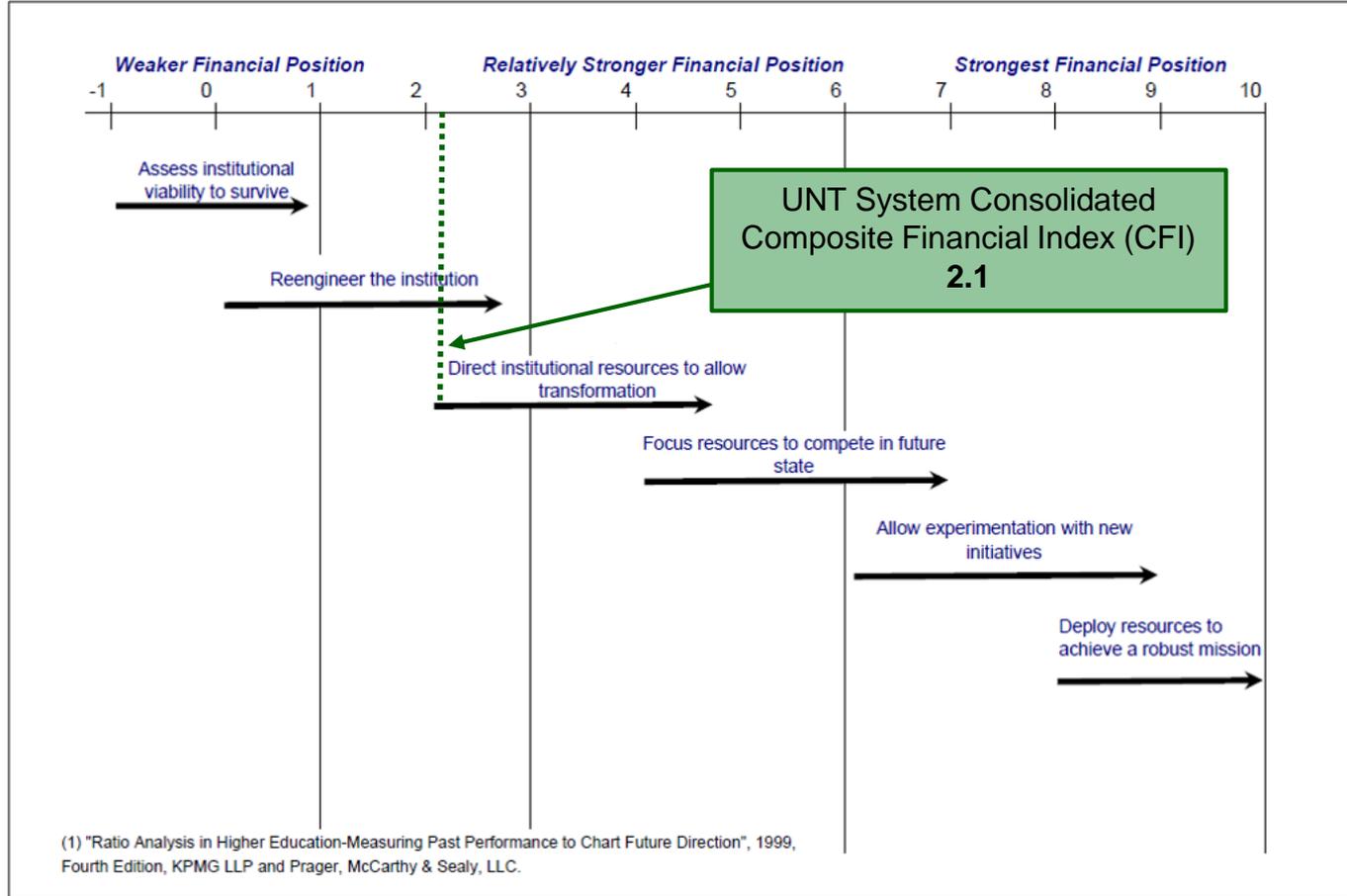


The FY15 consolidated CFI score decreased from 2.6 (FY14) to 2.1 (FY15). The overall decrease is a result of the following factors:

- The viability ratio decreased from .84x to .72x due to the issuance of new debt.
- The Return on Net Position decreased from 6.79% to 2.8% due to market conditions. We experienced a \$20M increase in fair market value in FY14, and a \$20M decrease in fair market value in FY15.

*The FY15 CFI Score excludes the financial burden of Tuition Revenue Bonds as well as the effect of GASB 68.





UNTS Moody's Financial Ratio Comparison to Medians by Rating

Year For Comparison	2014	2014 Moody's Public University and College Medians by Rating Category		
School	University of North Texas System			
Rating*	Aa2	"Aaa"	"Aa"	"A"
Ratios : Key Financial Statistics				
Total Direct Debt (\$, in millions)	468	1,729	497	78
Expendable Financial Resources (\$, in millions)	355	4,972	511	55
Total Financial Resources (\$, in millions)	481	6,330	827	74
Total Revenues (\$, in millions)	823	3,388	924	129
Ratios : Market Ratios				
Total Enrollment FTE (#, may be estimated)	32,500	55,925	27,422	7,087
Total tuition discount (%)	37	29.7	31.7	34.7
State appropriation per student (\$)	7,465	7,128	7,145	4,493
Ratios : Capital Ratios				
Expendable financial resources-to-direct debt (x)	0.8	2.4	1.2	0.6
Ratios : Balance Sheet Ratios				
Expendable financial resources-to-operations (x)	0.44	1.1	0.6	0.5
Ratios : Operating Ratios				
Debt Service Coverage (x)	1.6	3.3	2.7	1.8
Operating margin (%)	1.3	3.7	2.4	1.3
Ratios : Sources of Revenue				
Tuition & Auxiliaries (% of Total Revenue)	38.3	24.9	38.9	50.3
State appropriation (% of Total Revenue)	28.9	15.6	23.3	27.8
Operational and Demographic Data : Market Information				
First year student selectivity ratio (%)	61.7	58.6	70.7	69.6
First year student matriculation ratio (%)	38.4	39.8	35.6	35.9

*Source: Moody's Investors Service, Inc. The rating displayed in Moody's Financial Ratio Analysis is the most recent derived underlying ratings. Analysis compiled by Raymond James.

UNTS Moody's Financial Ratio Comparison to Texas Peers

Selected Financials and other Datapoints	University of North Texas System	Texas Woman's University	Texas State University System	University of Houston System	Texas Tech University System	University of Texas System	Texas A&M University System
Financial Data as of:	(AA:8/31/2014)	(AA:8/31/2014)	(AA:8/31/2014)	(AA:8/31/2014)	(AA:8/31/2014)	(AA:8/31/2014)	(AA:8/31/2014)
Current Senior Most Rating*	Aa2	Aa3	Aa2	Aa2	Aa1	Aaa	Aaa
Ratios : Key Financial Statistics							
Total Direct Debt (\$, in millions)	468	74	808	923	607	8,217	3,036
Expendable Financial Resources (\$, in millions)	355	166	448	681	1,324	13,881	6,350
Total Financial Resources (\$, in millions)	481	180	599	1,108	1,946	30,581	13,524
Total Cash & Investments (\$, in millions)	458	218	810	1,118	2,020	28,451	3,358
Total Revenues (\$, in millions)	823	182	1,071	1,111	1,617	15,434	3,888
Total Expenses (\$, in millions)	812	174	1,037	1,087	1,541	14,837	3,754
Ratios : Market Ratios							
Total Enrollment FTE (#, may be estimated)	32,500	12,317	61,952	51,437	42,025	172,989	111,650
Educational expenses per student (\$)	22,394	11,897	13,854	17,619	29,073	47,228	25,459
Total tuition discount (%)	36.7	38.1	35	33	33.4	38.1	33.5
State appropriation per student (\$)	7,465	4,958	4,472	5,058	10,560	12,048	9,596
Ratios : Capital Ratios							
Expendable financial resources-to-direct debt (x)	0.8	2.3	0.6	0.7	2.2	1.7	2.1
Direct Debt-per-Student (\$)	14,408	5,970	13,039	17,941	14,443	47,501	27,196
Debt to Operating Revenues (x)	0.6	0.4	0.8	0.8	0.4	0.5	0.8
Debt service to operations (%)	6.45	4.62	7.63	9.7	4.61	4.24	6.7
Ratios : Balance Sheet Ratios							
Expendable financial resources-to-operations (x)	0.44	0.95	0.43	0.63	0.86	0.94	1.69
Ratios : Operating Ratios							
Debt Service Coverage (x)	1.6	3.2	2	1.4	3.1	4	2.7
Research expense to total operating expense (%)	6.9	1.7	4.1	10.3	11.9	13.7	19.6
Ratios : Sources of Revenue							
Tuition & Auxiliaries (% of Total Revenue)	38.3	50.3	55.9	47.8	29	12.5	30.1
State appropriation (% of Total Revenue)	28.9	33.9	25.6	22.4	26.1	13.3	26.1
Other (% of Total Revenue)	32.8	15.7	18.4	29.8	44.9	74.3	43.8
Operational and Demographic Data : Market Information							
Primary Selectivity (%)	61.7	85.3	78.3	60.3	51.7	59.9	61.6
Primary Matriculation (%)	38.4	30.3	37.9	37.3	44.1	45.9	39

*Source: Moody's Investors Service, Inc. The rating displayed in Moody's Financial Ratio Analysis is the most recent derived underlying ratings. Analysis compiled by Raymond James.

FY15 AFR to FY15 Budget Actuals Reconciliation

UNIVERSITY OF NORTH TEXAS SYSTEM CONSOLIDATED

	FY15 AFR	FY15 Budget Actuals
Change in Net Position	\$ 22,674,096	\$ 60,144,804
Beginning Net Position	\$ 679,127,466	\$ 679,129,466
Ending Net Position	\$ 701,801,562	\$ 739,274,270
Reconciliation:		
1. Net Increase (Decrease) in Fair Market Value of Investments		(20,856,989)
2. Depreciation		(56,222,595)
3. Transfers Out to Other State Agencies - Not Budgeted		(6,309,214)
4. Transfers In - Not Budgeted		-
5. Debt Service - Principal		42,444,513
6. Capital Contributions		534,771
7. Contributions to Permanent Term Endowments		75,256
8. Capital Outlay		9,555,038
9. Gain/(Loss) on Sale of Capital Assets		(3,935,260)
10. Items reconciling to All Funds (FY15 Budget to Actuals was not all funds)		(2,758,228)
Net Position Per SCRECNP:	\$ 701,801,562	\$ 701,801,562

Items numbered 3, 4, and 10 will not be reconciling in FY16 All Funds Budget.

Board of Regents Finance and Facilities Committee

Fiscal Year 2016 University of North Texas System
Q1 Budget to Actual Review

Presented by:

Paige Smith, Associate Vice Chancellor for Budget, UNT System

Bob Brown, Vice President for Finance and Administration, UNT

John Harman, Senior Vice President for Finance and CFO, UNT Health Science Center

Dan Edelman, CFO/Executive Vice President for Finance and Administration, UNT Dallas

Janet Waldron, Vice Chancellor for Finance, UNT System

Date: February 25-26, 2016

Highlights

- First report in new All Funds Budget Format
- Impacts of Accruals/Deferrals
- First year with quarterly estimates - to be refined in FY17
- Revenues for all component units are tracking at or over estimate for first quarter as adjusted for discounts, allowances, accruals, and timing
- Expenditures for all components tracking under estimated budgets (when adjusted for accruals.)
- Overall first semester enrollment is either exceeding expectations or tracking close to targets at all institutions.

Overview

Revenues Variance –

- Tuition and Fees for component institutions reflect excess of approximately 12% over Q1 budgets (adjusted for discounts and allowances.)
- Revenues in Sales and Services tracking above Q1 budgets due largely to Housing and Dining at maximum capacity at UNT.
- Other significant variances are due to timing and deferrals.

Expenses Variance –

- System-wide, Q1 actuals reported at 5% under Q1 budget expectations in total Personnel Costs.
- Other expense categories reflecting lower than expected actuals (after adjusting for accruals) are Professional Fees and Services – largely due to delayed payment of service contracts.
- Due to timing of expenses combined with the impact of FY15 accruals, several categories of expense in Q1 reflect expenses lower than anticipated for Q1 – will even out as FY16 expenses accrued in FY15 are incurred.

Transfers Variance –

- Variances in Transfers resulting from timing of capital projects (transfers of HEF to Plant Funds), and other timing differences not anticipated (transfers budgeted in Q1, not occurring until Q2, etc.)

Summary of Q1 Budget to Actuals

	Q1 Budget	Q1 Actuals	Variance
Revenues	\$403.5M	\$501.5M	\$98.0M
Expenses	\$181.8M	\$169.9M	\$11.9M
Transfers	(\$16.1M)	(\$29.3M)	(\$13.2M)
Surplus	\$ 205.6M	\$302.3M	\$96.7M

Revenues Variance –

- Tuition and fees realized at \$21.2M above conservative Q1 budgeted amounts; Auxiliary Fees (originally budgeted in Sales of Goods and Services) at \$13.6M, up \$4.8M over original estimate.
- Actuals for Tuition and Fees shown gross - budget shown net of Discounts and Allowances; Discounts and Allowances will show in Scholarships, Exemptions, and Financial Aid until netted against Tuition and Fees at year end – estimated impact on Q1 of \$61.0M results in Net Tuition and Fees of \$232.2M.
- Sales and Services (Auxiliaries) revenues exceeded budget Q1 by \$12.8M due to housing and dining at maximum capacity.

Expenses Variance –

- FY15 accruals reduced expenses in Q1.
- Communications & Utilities, Repairs & Maintenance, and Capital Expenses exceeded budgets by approximately \$2.2M due to projects such as expansion of campus Wi-Fi, building repairs, and software maintenance charges.

Transfers Variance –

- Interfund transfer of E&G moving HEF to Plant Funds.

Summary of Q1 Budget to Actuals

	Q1 Budget	Q1 Actuals	Variance
Revenues	\$149.2M	\$127.6M	(\$21.6M)
Expenses	\$62.8M	\$52.6M	\$10.2M
Transfers	(\$8.5M)	(\$7.6M)	(\$.9M)
Surplus	\$ 77.9M	\$67.4M	(\$10.5M)

Revenues Variance –

- Revenue Budget for Tuition and Fees underestimated Deferred Revenue, resulting in positive variance of \$1.8M.
- \$1.3M above budget in Grants and Contracts due to increase in contractual revenue and change in accounting methodology.
- Variances in Net Professional Fees (\$8.8), and Gift Income (\$3.3M) due to larger than expected FY15 accruals.
- (\$12.7M) variance in Other Revenue due to delayed receipt of 1115 Waiver revenues.

Expenses Variance –

- FY15 accruals reduced expenses in Q1 - \$5.3M Federal Prison System services expensed in FY15, to be paid in FY16; \$1M Bond Interest expensed in FY15; \$1.9 Judgements and Settlements expensed in FY15.
- Other variances in expenses for Q1 include: lower expenses in Professional Fees and Services due to delayed payment of contracts - \$680K JPS, and \$502K consulting services from Acclaim.

Transfers Variance –

- Timing of capital projects – HEF not transferred to Plant Funds.

Summary of Q1 Budget to Actuals

	Q1 Budget	Q1 Actuals	Variance
Revenues	\$26.1M	\$20.4M	(\$5.7M)
Expenses	\$12.2M	\$8.6M	\$3.6M
Transfers	(\$1.7M)	\$1.5M	(3.2\$M)
Surplus	\$ 15.6M	\$10.3M	(\$5.3M)

Revenues Variance –

- Tuition and Fees tracking at approximately 3% below target (after inclusion of transfer from System Administration and recognition of Federal Pell Grant revenue.)
- \$1.65M transfer from System Administration of Fall 2015 tuition and fees recorded in Q3 .
- \$1.5M Federal Pell Grant revenue – to be recognized in Q3.

Expenses Variance –

- FY15 accruals reduced expenses in Q1.
- Federal Pell Grant Expense not included of \$1.5M – to be corrected in Q3.

Transfers Variance –

- \$1.1M HEF transferred to Plant Funds.
- Transfer-In from System Administration for State Appropriations to occur in Q3.

Summary of Q1 Budget to Actuals

	Q1 Budget	Q1 Actuals	Variance
Revenues	\$6.5M	\$8.2M	\$1.7M
Expenses	\$17.6M	\$20.2M	(\$2.6M)
Transfers	\$15.1M	\$19.9M	\$4.8M
Surplus/(Deficit)	\$ 4.0M	\$7.9M	\$3.9M

Revenue Variance –

- (\$143K) for Net Tuition and Fees due to deferral not budgeted.

Expenses Variances –

- Expenses impacted by contract and subscription renewals frontloaded in Q1 - not reflected in quarterly estimates. Categories are: Materials & Supplies, Repairs & Maintenance, and Other Expenses.
- Equipment purchases for IT not budgeted as Capital Expenses - resulted in \$1.5M variance.
- Debt service paid from Plant Funds but budgeted as expense, this will be reflected as transfer.

Transfers Variance –

- College of Law asset transfer budgeted in Q1, to be recorded upon approval of College of Law transfer by BOR (Q3).

Intercomponent Transfer Approval

General Appropriations Act Article III Special Provisions Section 4, Transfer Provisions, allows intercomponent transfers of state appropriations with Governing Board approval. State Comptroller staff has requested more explicit transfer approval from the UNT System Board of Regents than was visible in the FY2016 budget approved in August.

The FY2016 Board-approved budget includes the following items:

- State general revenue formula and special item appropriations transferred from UNT System Administration to UNT Dallas for UNTD College of Law.
- State general revenue group insurance appropriations transferred from UNT System Administration to UNT Dallas for UNTD College of Law.
- Collection of statutory tuition and graduate differential tuition for UNTD College of Law as part of UNT Dallas.
- State general revenue special item appropriations for Federation of North Texas Universities and Universities Center at Dallas transferred as needed from UNT System Administration to UNT.
- State general revenue for operating transferred from UNT Health Science Center and UNT Dallas to UNT System Administration for assessments.

At the request of State Comptroller staff, there are two items for approval of the full Board on the agenda tomorrow: one related specifically to the transfer of appropriations for the College of Law from UNT System Administration to UNT Dallas; one more general approval that covers other appropriations transfers approved in the FY2016 budget.



Board Briefing

Committee: Finance & Facilities

Date Filed: January 15, 2016

Title: Approval of Broker/Dealer list for Fiscal Year 2016

Background:

In accordance with System Regulation 08.2005.10, *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.”

Prior to the Board’s approval of a revised investment policy in November, 2015, the list of authorized investments in the Short Term Pool – the only investments managed directly by the System – did not necessitate the use of broker/dealers, thus the system does not currently have an approved list. The system will now need a diversified list of broker/dealers from whom to solicit investments.

Based on the situation described above, the selection of the individuals and firms represented by the attached list is based primarily on reputation in the industry.

If approved, the list will then fall into an annual cycle of review and approval by the Board of Regents.

Financial Analysis/History:

There is no cost associated with this action.

Janet
Waldron

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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.02.17 13:59:52 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.02.16 16:56:43 -06'00'

Vice Chancellor/General Counsel

Schedule:

Approval would be effective immediately.

Recommendation:

The Associate Vice Chancellor for Treasury recommends that the Board of Regents approve the attached list of broker/dealers, authorizing them to engage in investment transactions with and for the System.

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2016.02.18 11:38:10 -06'00'

Chancellor

Attachments Filed Electronically:

- List of Recommended Broker/Dealers



Board Order

Title: Approval of Broker/Dealer list for Fiscal Year 2016

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, §2256.025 of the Government Code states, “The governing body of an entity subject to this subchapter or the designated investment committee of the entity shall, at least annually, review, revise, and adopt a list of qualified brokers that are authorized to engage in investment transactions with the entity”, and

Whereas, System Regulation 08.2005 states, “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”, and

Whereas, System Regulation 08.2000 now includes authorized investments that would require the services of a broker/dealer,

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

- 1. The attached list of broker/dealers, enabling them to engage the System in investment transactions.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

List of Broker/Dealers Recommended for Approval

February, 2016

Firm	Office Location
Wells Fargo Securities, LLC	Dallas, TX
UBS Financial Services, Inc.	Denver, CO
Mizuho Securities USA, Inc.	New York, NY
Raymond James Financial, Inc.	Fort Worth, TX
Coastal Securities, Inc.	Houston, TX
Rice Financial Products Company	New York, NY



Board Briefing

Committee: Finance & Facilities

Date Filed: January 26, 2016

Title: Amendment to Regents Rule 10.200, *Accounting, Operating Budgets, and Appropriation Requests*

Background:

University of North Texas Regents Rule 10.200, Section 10.201 - Approval of Accounting Records Section 10.201 Approval of Accounting Records sets forth the structure for review and approval of accounting records and changes to procedures. The change proposed to this section adds clarity and better reflects the current structure. Excerpt:

Current: The System Administration and each Institution shall submit all accounting records and procedures to the Vice Chancellor of Finance for approval.

Proposed: All accounting records and procedures shall be subject to approval of the Vice Chancellor of Finance.

University of North Texas Regents Rule 10.200 Section 10.203 - Budget Recommendations, sets forth guidance for preparation of the annual operating budget of each component of the UNT system. Section 10.203 – Budget Recommendations currently authorizes the Chief Executive Officer of each component to issue instructions and forms each year for preparing annual operating budgets. A revision to the rule is needed to codify authority at the System level to issue general system-wide guidelines for effective consolidation and presentation of budgets.

To allow for consolidation at the System level, the Chief Executive Officer and Chief Financial Officer from each component submit an operating budget to the System Budget Office in a common template, using consistent guidelines, and following a uniform timeline. Improvements taking place as part of the UNT System's financial transformation, including use of a uniform chart of accounts, adoption of similar processes among components, and system-wide uniformity in reporting, enable further consistency in budgeting processes across the System.

Neither Section 10.203, nor any other rule within Chapter 10 - Fiscal Management of the Regents Rules, addresses the broad guidelines, timelines, forms, and instructions that are issued from the Chancellor (System level) to manage consolidation, consistency, and uniformity. To this end, it is recommended that section 10.203 of Regents Rule 10.200 be revised to incorporate the broad guidelines and instructions for preparing annual operating budgets issued from the UNT System level. The recommended revision maintains that local instructions are issued at the institution level. Excerpt:

Budget Recommendations. The Chancellor shall issue System instructions to be followed in preparing budgets. The Vice Chancellor for Finance for System Administration and the President for each Institution shall issue local instructions and forms to employees making budget requests.

Financial Analysis/History:

Section 10.201 Approval of Accounting Records:

The System Controller with review and approval from the Vice Chancellor for Finance manages most accounting records and financial reports for all institutions and System Administration. This proposed change better reflects this structure.

Section 10.203 Budget Recommendations:

The general instructions, timelines, forms, and guidelines are issued by the UNT System Budget Office. The applicable Regents Rule needs revision to align with the current and evolving organization - shared services, unified controller functions, uniform chart of accounts, current and future reporting.

Janet Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu, c=US
Date: 2016.02.17 14:00:34 -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
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ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.02.16 17:09:56 -06'00'

Vice Chancellor/General Counsel

Schedule:

Effective upon Board approval.

Recommendation:

It is recommended that the Board of Regents approve the revised University of North Texas Regents Rule 10.200, Accounting, Operating Budgets, and Appropriation Requests, Sections 10.201 - Approval of Accounting Records and 10.203 – Budget Recommendations.

Recommended By:

Paige Smith

Associate Vice Chancellor for Treasury

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2016.02.18 11:39:44 -06'00'

Chancellor

Attachments Filed Electronically:

- University of North Texas Regents Rule 10.200, Accounting, Operating Budgets, and Appropriation Requests (with revisions to Sections 10.201 and 10.203 proposed for approval)



Board Order

Title: Amendment to Regents Rule 10.200, *Accounting, Operating Budgets, and Appropriation Requests*

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, University of North Texas Regents Rule 10.200, Section 10.201 – Approval of Accounting Records sets forth guidance for review and approval of accounting records, and Section 10.203 - Budget Recommendations, sets forth guidance for review and approval of accounting records, and preparation of the annual operating budget of each component of the UNT system, and

Whereas, accounting records should be reviewed and approved by the Vice Chancellor for Finance (Section 10.201), and general system-wide guidelines should be issued at the System level for effective consolidation and presentation of budgets (Section 10.203), and

Whereas, Section 10.201 should be revised for clarity, and

Whereas, neither Section 10.203, nor any other rule within Chapter 10 - Fiscal Management of the Regents Rules, addresses the broad guidelines, timelines, forms, and instructions that are issued from the Chancellor (System level) to manage consolidation, consistency, and uniformity,

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

1. University of North Texas Regents Rule 10.200, Accounting, Operating Budgets, and Appropriation Requests, Section 10.201 – Approval of Accounting Records, and Section 10.203 – Budget Recommendations, as revised.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

- 10.200 Accounting, Operating Budgets, and Appropriation Requests
- 10.201 Approval of Accounting Records. The Vice Chancellor of Finance is responsible for establishing internal controls that ensure funds are expended and recorded properly. All accounting records and procedures shall be subject to approval of the Vice Chancellor of Finance.
- 10.202 Financial Reports. Annual financial reports shall be prepared under the direction of the Vice Chancellor for Finance and furnished to the Board.
- 10.203 Budget Recommendations. The Chancellor shall issue System instructions to be followed in preparing budgets. The Vice Chancellor for Finance for System Administration and the President for each Institution shall issue local instructions and forms to employees making budget requests. System Administration and each Institution shall prepare budgets within estimates for available funds. The Vice Chancellor for Finance for the System Administration and the President for each Institution shall review, approve, and submit its budget to the Chancellor for approval and recommendation to the Board.
- 10.204 Approval of Budgets. The Board shall approve an operating budget for the System Administration and each Institution annually as required by Texas Education Code § 51.0051.
- 10.205 Approval of Legislative Appropriation Requests. Legislative appropriation requests for the Institutions shall be prepared by the Presidents for their respective Institutions and by the Chancellor for the System Administration in conformity with these Regents Rules and applicable policies. The Presidents must submit legislative appropriation requests for the Institutions to the Chancellor for approval prior to their submission to the Legislative Budget Board and the Office of the Governor.

Adopted: November 15, 2007

Effective: November 15, 2007
Revised:

- 10.200 Accounting, Operating Budgets, and Appropriation Requests
- 10.201 Approval of Accounting Records. The Vice Chancellor of Finance is responsible for establishing internal controls that ensure funds are expended and recorded properly. ~~The System Administration and each Institution shall submit~~ All accounting records and procedures shall be subject to approval of the Vice Chancellor of Finance ~~for approval.~~
- 10.202 Financial Reports. Annual financial reports shall be prepared under the direction of the Vice Chancellor for Finance and furnished to the Board.
- 10.203 Budget Recommendations. ~~The Chancellor shall issue System instructions to be followed in preparing budgets.~~ The Vice Chancellor for Finance ~~for the~~ System Administration and the President ~~of for~~ 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 shall prepare budgets within estimates for available funds. The Vice Chancellor for Finance for the System Administration and the Presidents for each Institution ~~must~~ shall review, approve, and submit ~~Institution its~~ budgets to the Chancellor for approval and recommendation to the Board.
- 10.204 Approval of Budgets. The Board shall approve an operating budget for the System Administration and each Institution annually as required by Texas Education Code § 51.0051.
- 10.205 Approval of Legislative Appropriation Requests. Legislative appropriation requests for the Institutions shall be prepared by the Presidents for their respective Institutions and by the Chancellor for the System Administration in conformity with these Regents Rules and applicable policies. The Presidents must submit legislative appropriation requests for the Institutions to the Chancellor for approval prior to their submission to the Legislative Budget Board and the Office of the Governor.

Adopted: November 15, 2007
Effective: November 15, 2007
Revised:



Board Briefing

Committee: Finance & Facilities

Date Filed: January 29, 2016

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

Background:

Continued expansion of on-campus housing, particularly for lower division students, continues to be a high priority for the campus. As of fall 2015, the total number of bed spaces on campus is 6,216 and the total number of students housed on the 12th day of class was 6,199. Continued enrollment growth is expected.

Responding to this growth and building on the success of the recently completed Rawlins Hall, the campus plans to construct new housing for approximately 1,000 students. The project will proceed in two phases of approximately equal size; planned completion for the first phase is early summer 2018. It is expected that construction on the second phase will commence about one year after the first phase, pending confirmation of continuing enrollment growth and financing availability, with completion expected in summer of 2019. A project budget of \$93,000,000 (\$44.8M for the first phase and \$48.2M for the second phase) has been developed; the budget is based on the recent Rawlins Hall project with appropriate adjustments for cost escalation in the construction market. The 2013 Campus Master Plan provides for increasing capacity on on-campus housing to 9,650 beds and identifies sites sufficient to accommodate this growth.

On August 27, 2015 the Board of Regents approved the UNTS FY2016 Capital Improvement Plan which identified capital projects for the UNT System. The requested action is to amend the UNTS FY2016 Capital Improvement Plan to include the new residence hall. Emphasis will be given to providing a living-learning type of environment with ample study and shared common spaces throughout the buildings. Site analysis will be conducted during the programming phase to determine the locations of the facilities consistent with the UNT 2013 Campus Master Plan.

Financial Analysis/History:

The project will be funded through the Revenue Financing System using short and long term vehicles and supported by housing fees and other auxiliary revenue. Ongoing financial analysis of the UNT housing system indicates that a phased program of rate increases beyond inflationary factors will be needed to support this project and maintain appropriate support for the entire portfolio. Appropriate financial analysis including project proformas and enrollment projections will be documented and validated before project commencement. Financing considerations will be confirmed by the Vice Chancellor of Finance. Planning and design funds up to \$1.5M would be from the UNT Housing/Auxiliary services to be reimbursed with bond funds once the financing arrangements are in place.

Bob Brown
Institution Chief
Janet Waldron
Financial Officer
Vice Chancellor for Finance

Digitally signed by Bob Brown
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Date: 2016.02.15 15:58:03 -0600

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2016.02.17 14:02:40 -0600

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Vice Chancellor/General Counsel

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2016.02.16 17:13:43 -0600

Schedule:

Phase 1:
Programming/Planning: March 2016 – May 2016
Design: May 2016 – February 2017
Construction: February 2017 – June 2018
Substantial Completion May 2018

Phase 2:
Programming/Planning: March 2016 – June 2016
Design: May 2016 – June 2017
Construction: March 2018 – June 2019
Substantial Completion: May 2019

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order.

Recommended By:

James K. Davis
Associate Vice Chancellor for
Facilities Planning and Development

James Maguire
Vice Chancellor

Digitally signed by James Maguire
DN: cn=James Maguire, o=UNT System, ou=Office of Administrative Services, email=james.maguire@untsystem.edu, c=US
Date: 2016.02.16 13:52:04 -0600

Neal Smatresk
President

Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University of North Texas, ou=President, email=neal.smatresk@unt.edu, c=US
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Lee Jackson
Chancellor

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System, ou=Office of the Chancellor, email=lee.jackson@untsystem.edu, c=US
Date: 2016.02.18 11:42:08 -0600

Attachments Filed Electronically:

- FY 16 CIP Amendment



Board Order

Title: Authorization to Amend the UNTS FY2016 Capital Improvement Plan to Add Multi-phase Bed Residence Hall at UNT

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the Board of Regents has previously approved the UNTS FY2016 Capital Improvement Plan, and

Whereas, additional on-campus housing for lower division students at UNT is warranted to meet continuing enrollment growth, and

Whereas, project scope and budget have been developed for a multi-phase housing project of 1,000 beds consistent with the 2013 Campus Master Plan, and

Whereas, funds for expenditure in FY2016 have been identified for planning and design efforts and funds for the completion of the project planned for later Fiscal years, and

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

- 1. Amend the UNTS FY2016 Capital Improvement Plan to Add Multi-phase Residence Hall at UNT.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

FY 2016 Capital Improvement Plan
UNIVERSITY of NORTH TEXAS SYSTEM

FY 2016 SUMMARY (in \$Million)

NEW PROJECTS FOR FY 2016

Proj. No.	Project	Funding Source	Prior Yrs Costs	2016	2017	2018	2019	2020+	Total Project
University of North Texas									
16-1.20	College of Visual Arts and Design	TRB		6.80	63.20				70.00
16-1.21	Applied Physics	RFS		0.80	12.00				12.80
16-2.25	General Academic Building MEP	HEAF		0.50					
		RFS			7.00				7.50
16-2.50	Life Science Lab Exhaust Upgrade	HEAF		0.20	3.00				3.20
16-2.55	Discovery Park MEP Upgrade	HEAF		0.60					
		RFS			10.00				10.60
16-2.62a	Maple Common Area Renovation	AUX		0.15	1.50				1.65
16-2.63	Kerr Hall Kitchen and Dining Renovation	AUX	0.04	0.72	7.48				8.24
16-2.65	Sycamore 2nd Floor Renovation	HEAF		0.30	3.00				3.30
16-2.66	Coliseum Concourse Renovation	RFS		5.50	2.50				8.00
16-2.67	1500 I-35 Building	RFS		3.00	4.00				7.00
16-2.77	Wooten Hall Code Upgrade	HEAF		0.03	2.00				2.03
16-2.78	Child Development Lab Renovation	HEAF		2.00					2.00
16-2.79	McConnell Hall MEP	AUX		2.00					2.00
16-2.80	Fouts Field Demolition	Local/Cash		0.05					
		AUX			4.95				5.00
16-2.81	Fraternity Row Site Development	RFS		2.24					2.24
16-2.82	Track and Field Stadium and Sports Fields	RFS		0.50	1.50				
		GIFT			2.00				
		AUX			1.60				5.60
16-2.83	Bruce Hall Renovation	AUX		1.70					1.70
16-2.84	New Residence Hall								
16-2.84a	New Residence Hall - Phase 1	RFS		1.35	13.44	26.43	3.58		
16-2.84b	New Residence Hall - Phase 2	RFS		1.41	0.93	14.11	28.40	3.35	93.00
University of North Texas Total			0.04	29.85	140.10	40.54	31.98	3.35	245.86
University of North Texas Dallas									
16-1.01	Student Learning and Success Center	TRB		2.00	14.00	33.40	13.60		63.00
16-1.04	Campus Infrastructure	HEAF		1.15					
		CP		0.50					1.65
University of North Texas Dallas Total			-	3.65	14.00	33.40	13.60	-	64.65
University of North Texas Health Science Center									
16-1.40	Interdisciplinary Research Building	TRB			35.70	44.30			
		RFS	0.36	7.87	12.57	20.20			121.00
16-2.96	Research and Education (RES) Level 4	RFS		3.00	1.50				4.50
16-2.94	Patient Care Center Level 6	RFS		0.50	1.00	1.00			2.50
University of North Texas Health Science Center Total			0.36	11.37	38.20	57.87	20.20	-	128.00
University of North Texas System									
16-2.01	Renovate Dallas Municipal Bldg and Assoc Law Bldgs	TRB		1.62	10.92	25.20	18.26		56.00
University of North Texas System Total			-	1.62	10.92	25.20	18.26	-	56.00
Capital Improvement Plan Total			0.40	46.49	203.22	157.01	84.04	3.35	494.51

Summary by Funding Source

Funding Source	Prior Yrs Costs	2016	2017	2018	2019	2020	Total
HEAF	HEAF	4.78	8.00	-	-	-	12.78
HEAF Reserve	HEAF Reserve	-	-	-	-	-	-
Tuition Revenue Bonds	TRB	10.42	123.82	102.90	31.86	-	269.00
Commercial Paper	CP	0.50	-	-	-	-	0.50
Private Placement	PP	-	-	-	-	-	-
Revenue Bonds	RB	-	-	-	-	-	-
Revenue Financing System Bonds	RFS	26.17	53.87	54.11	52.18	3.35	190.04
Auxiliary Reserves	AUX	4.57	15.53	-	-	-	20.14
Grants	GRNT	-	-	-	-	-	-
Student Fees	SF	-	-	-	-	-	-
Housing Revenue	HR	-	-	-	-	-	-
Gift/Donations	GIFT	-	2.00	-	-	-	2.00
Annual Budget, Operating and Capital	Local/Cash	0.05	-	-	-	-	0.05
Total		0.40	46.49	203.22	157.01	84.04	494.51



FY 2016 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs Costs	2016	2017	2018	2019	2020+	Total Project
Previously Approved Projects:									
1.06	Student Residence Hall	PP	36.53	(36.53)					37.10
		RB			37.10				
1.17	University Union Renovation	AUX	5.10						128.40
		CP	25.08	(25.08)					
		PP	82.90	(82.90)					
		SF			8.00				
		Local/Cash			2.60				
		RB			112.70				
1.17a	Scoular/ Stovall Relocations	HEAF	1.00						8.70
		CP	7.68	(7.68)					
		RB			7.70				
2.14	SRB Renovation	HEAF	4.19						20.43
		RFS	0.74	15.50					
2.20	Matthews Hall MEP	HEAF	2.40	1.80					4.20
2.21	Wooten Hall MEP	HEAF	3.25	1.20					4.45
2.34	Hickory Hall MEP	HEAF	3.00						3.00
2.33	Willis Library MEP	HEAF	0.45	5.10	3.40				8.95
5.01	Central Path Extension at Clark Park	HEAF Reserve	1.50	-					1.50
Previously Approved Projects Total			173.82	39.51	3.40	-	-	-	216.73
New Projects for Approval:									
16-1.20	College of Visual Arts and Design	TRB		6.80	63.20				70.00
16-1.21	Applied Physics	RFS		0.80	12.00				12.80
16-2.25	General Academic Building MEP	HEAF		0.50					7.50
		RFS				7.00			
16-2.50	Life Science Lab Exhaust Upgrade	HEAF		0.20	3.00				3.20
16-2.55	Discovery Park MEP Upgrade	HEAF		0.60					10.60
		RFS				10.00			
16-2.62a	Maple Common Area Renovation	AUX		0.15	1.50				1.65
16-2.63	Kerr Hall Kitchen and Dining Renovation	AUX	0.04	0.72	7.48				8.24
16-2.65	Sycamore 2nd Floor Renovation	HEAF		0.30	3.00				3.30
16-2.66	Coliseum Concourse Renovation	RFS		5.50	2.50				8.00
16-2.67	1500 I-35 Building	RFS		3.00	4.00				7.00
16-2.77	Wooten Hall Code Upgrade	HEAF		0.03	2.00				2.03
16-2.78	Child Development Lab Renovation	HEAF		2.00					2.00
16-2.79	McConnell Hall MEP	AUX		2.00					2.00
16-2.80	Fouts Field Demolition	Local/Cash		0.05					5.00
		AUX				4.95			
16-2.81	Fraternity Row Site Development	RFS		2.24					2.24
16-2.82	Track and Field Stadium and Sports Fields	RFS		0.50	1.50				5.60
		GIFT				2.00			
		AUX				1.60			
16-2.83	Bruce Hall Renovation	AUX		1.70					1.70
16-2.84	New Residence Hall								93.00
16-2.84a	New Residence Hall - Phase 1	RFS		1.35	13.44	26.43	3.58		
16-2.84b	New Residence Hall - Phase 2	RFS		1.41	0.93	14.11	28.40	3.35	
New Project for Approval Total			0.04	29.85	140.10	40.54	31.98	3.35	245.86
Planned Projects with Identified Funding Sources:									
1.43	Gateway Park	HEAF			1.00				1.00
2.01	Administration Building Renovation	HEAF	0.02		0.20	4.00			4.22
2.32	Terrill Hall MEP	HEAF			0.25	5.25			5.50
2.35	Curry Hall MEP	HEAF			0.50	5.00			5.50
2.51	Coliseum MEP	Local/Cash			0.50	4.00			9.50
		AUX					5.00		
2.53	PAC Foundation Repairs	HEAF			0.25	1.75			2.00
2.54	Physical Education Building (PEB) MEP	HEAF				0.50	7.00		7.50
2.56	Language Building MEP	HEAF					0.30	4.00	4.30
2.62b	Clark Common Area Renovation	AUX			0.15	1.50			1.65
2.62c	Crumley Common Area Renovation	AUX				0.15	1.50		1.65



FY 2016 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs Costs	2016	2017	2018	2019	2020+	Total Project
2.62d	McConnel Common Area Renovation	AUX					0.15	1.50	1.65
2.68	Kerr Hall - Air Handler Replacement	AUX			1.30	1.30			2.60
2.69	Maple Hall Air Handler Replacement	AUX				1.00			1.00
2.70	Demo and Build New Business Svs Whse	AUX				1.00			1.00
2.71	SRB MEP Renovation	HEAF				1.20			1.20
2.72	USB MEP Renovation	HEAF			0.30	3.00			3.30
2.73	RTPF MEP Renovation	HEAF				0.50	5.00		5.50
2.74	Discovery Park Engineering Construction	RFS			0.75	8.75			9.50
2.84	Driveway Upgrades (Discovery Park and Campus)	HEAF						1.00	1.00
Planned Projects with Identified Funding Sources Total			0.02	-	5.20	43.90	13.95	6.50	69.57
Planned Land Acquisitions									
3.01	Land Acquisitions per Master Plan	HEAF Reserve		2.00					8.00
		HEAF			1.50	1.50	1.50	1.50	
Planned Land Acquisition Total			-	2.00	1.50	1.50	1.50	1.50	8.00
Capital Improvement Plan Total			173.88	71.36	150.20	85.94	47.43	11.35	540.16

Planned Project without Identified Funding Sources

New Construction:

- Science and Tech Research Building
- Music Practice Building
- Baseball Stadium
- Fouts Field Parking Garage
- Academic Building
- Teaching Hotel

Renovation:

- Visitor's Center
- Eagle Student Services Envelope

Summary by Funding Source

	Funding Source	Prior Yrs Costs	2016	2017	2018	2019	2020	Total
HEAF	HEAF	14.31	11.73	15.40	22.70	13.80	6.50	84.44
HEAF Reserve	HEAF Reserve	1.50	2.00	-	-	-	-	3.50
Tuition Revenue Bonds	TRB	-	6.80	63.20	-	-	-	70.00
Commercial Paper	CP	32.76	(32.76)	-	-	-	-	-
Private Placement	PP	119.43	(119.43)	-	-	-	-	(0.00)
Revenue Bonds	RB	-	157.50	-	-	-	-	157.50
Revenue Financing System Bonds	RFS	0.74	30.30	52.12	49.29	31.98	3.35	167.78
Auxiliary Reserves	AUX	5.14	4.57	16.98	9.95	1.65	1.50	39.79
Grants	GRNT	-	-	-	-	-	-	-
Student Fees	SF	-	8.00	-	-	-	-	8.00
Housing Revenue	HR	-	-	-	-	-	-	-
Gift/Donations	GIFT	-	-	2.00	-	-	-	2.00
Annual Budget, Operating and Capital	Local/Cash	-	2.65	0.50	4.00	-	-	7.15
Total		173.88	71.36	150.20	85.94	47.43	11.35	540.16

Approved

President

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 New Residence Hall(s)
 Capital Improvement Project No. 16-1.84



PROJECT DESCRIPTION

A new project will construct 1,000 beds on the main campus. This project may be undertaken in phases with approximately 500 beds being completed during the initial phase. Emphasis will be given to provide a living-learning type of environment with ample study and shared common spaces throughout the building(s). Site analysis will be conducted during the programming verification phased to determine the location(s) of the facility/ facilities as consistent with the UNT Campus Master Plan.

PROJECT INFORMATION

JUSTIFICATION: As of Fall 2015, the total headcount at UNT was 37,175. This represents an over 2.5% growth in student enrollment over the preceding year. The existing residence halls can accommodate 6,216 students and as of Fall 2015, these beds were nearly 100% occupied. With enrollment growth anticipated to continue, additional on-campus housing is needed to provide the resources to accommodate the goal of housing 22-25% of the undergraduate and 5% of graduate students.

LOCATION: Denton
 SIZE (ASF/GSF): GSF: 243,000 ASF: 147,000
 CIP PROJECT TYPE (NEW CONST. OR RENO.): New Construction
 HISTORICALLY SIGNIFICANT? (Y or N): N
 CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

Phase 1:	
Design Fees	\$ 2,700,000
Construction Costs	\$ 35,800,000
Other Cost (Commissioning, Inspection, etc)	\$ 1,000,000
Furniture, Fixtures, and Equipment	\$ 2,800,000
Contingency and Fees	\$ 2,500,000
Total Phase 1 Project	\$ 44,800,000
Phase 2:	
Design Fees	\$ 3,000,000
Construction Costs	\$ 38,500,000
Other Cost (Commissioning, Inspection, etc)	\$ 1,000,000
Furniture, Fixtures, and Equipment	\$ 2,800,000
Contingency and Fees	\$ 2,900,000
Total Phase 2 Project	\$ 48,200,000

PROJECT FUNDING (in \$ Millions)

Project No.	Funding Source Abbr.	Funding Source	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	Source Total
		Revenue						
16-1.84a	RFS	Finance System	\$ 1.35	\$ 13.44	\$ 26.43	\$ 3.58	\$ -	\$ 44.80
		Revenue						
16-1.84b	RFS	Finance System	\$ 1.41	\$.93	\$ 14.11	\$ 28.40	\$ 3.35	\$ 48.20
FY Total			\$ 2.76	\$ 14.37	\$ 40.54	\$ 31.98	\$ 3.35	\$ 93.00

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
New Residence Hall(s)
Capital Improvement Project No. 16-1.84



PROJECT SCHEDULE

Phase 1:	
PROGRAMMING/PLANNING:	March 2016 – May 2016
DESIGN:	May 2016 – February 2017
CONSTRUCTION:	February 2017 – June 2018
SUBSTANTIAL COMPLETION:	May 2018
Phase 2:	
PROGRAMMING/PLANNING:	March 2016 – June 2016
DESIGN:	May 2016 – June 2017
CONSTRUCTION:	March 2018 – June 2019
SUBSTANTIAL COMPLETION:	May 2019

LOCATION MAP

The potential housing locations per the 2013 UNT Master Plan Update will be evaluated and the exact location for the new residence hall will be determined during the programming phase of the project.



Board Briefing

Committee: Finance & Facilities

Date Filed: January 26, 2016

Title: Amendment to Regents Rules 03.300, *Board Ethics and Standards of Conduct*; 03.900, *Delegation of Authority for Contracts and Agreements*; 04.500, *Audit and Compliance*; and 05.700, *System Administration and Institution Ethics and Standards of Conduct*

Background:

Senate Bill 20, signed into law in 2015, mandates significant changes to the state contracting process. Senate Bill 20 includes expanded ethics, conflicts of interest, training and reporting requirements related to procurement. For institutions of higher education, procurement authority pursuant to the Education Code is now contingent on the Board of Regents, the System and the campuses adopting and implementing the rules, policies and procedures described in the bill. Senate Bill 20 also revises the retention requirement for contract documents and requires disclosure of research sponsors in public communications.

Senate Bill 20 took effect September 1, 2015, but provides for an implementation period after the effective date so that affected state agencies can adopt rules, processes, and procedures and take actions necessary to execute all of the changes required by the new law. A workgroup organized by UNT System Business Support Services has been formed to manage implementation of Senate Bill 20.

At the August 2015 Board Meeting, the Board approved amendments to Regents Rules 03.900, *Delegation of Authority for Contracts and Agreements*; 04.500, *Audit and Compliance*; and 05.700, *System Administration and Institution Ethics and Standards of Conduct*, to begin bringing the UNT System Regents Rules into compliance with Senate Bill 20. At this time, it is recommended that additional amendments be made to the following Regents Rules to comply with the requirements of Senate Bill 20:

- 03.300, *Board Ethics and Standards of Conduct* – addition of ethical requirements applicable to Regents such as a prohibition against using System and Institution resources for unauthorized purposes and a two year prohibition for former members of the Board who have participated on behalf of the System in a procurement or contract negotiation from accepting employment with that individual or business entity.
- 03.900, *Delegation of Authority for Contracts and Agreements* – requires the System to adopt contract monitoring and reporting requirements, a verification process for large purchasing contracts, and a procedure to identify contracts that require enhanced contract or performance monitoring.

- 04.500, *Audit and Compliance* – requires Internal Audit to annually assess whether the System Administration and the Institutions have adopted the rules and policies required by Senate Bill 20 and to report the findings to the state auditor.
- 05.700, *System Administration and Institution Ethics and Standards of Conduct* – addition of ethical requirements applicable to employees, such as a two year prohibition for former employees who participated on behalf of the System Administration or an Institution in a procurement or contract negotiation from accepting employment with that individual or business entity. Also, addition of an ethical requirement applicable to the System Administration and Institutions, which prohibits entering into a purchasing contract with a vendor with whom the chancellor, a president, the general counsel, the chief procurement director, or a procurement director (or relatives of the above) have a financial interest.

No changes have been proposed regarding one aspect of Senate Bill 20 relating to ethics and conflicts of interest for Board members because this provision conflicts with another section of state law. Senator Jane Nelson has requested an Attorney General’s Opinion to resolve this statutory conflict, and we are awaiting the Attorney General’s guidance before making any further changes to Regents Rule 03.300.

The Board has the authority to adopt these amendments under Texas Education Code §105.101, which grants to the Board the power to adopt rules and policies for the administration of the Board’s powers and duties.

Financial Analysis/History:

There are no fiscal implications related to the adoption of new Regents Rules.

Janet Waldron
Digitally signed by Janet Waldron
 DN: cn=Janet Waldron, o=UNT System,
 ou=Vice Chancellor for Finance,
 email=janet.waldron@untsystem.edu, c=US
 Date: 2016.02.17 14:03:46 -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, ou=University of North Texas
 System, ou=Office of General Counsel,
 email=nancy.footer@untsystem.edu, c=US
 Date: 2016.02.16 17:15:48 -06'00'
 Vice Chancellor/General Counsel

Schedule:

Effective immediately upon Board approval.

Recommendation:

It is recommended that the Board adopt the amendments to the Regents Rules, as set forth in the attachment.

Recommended By:

Attachments Filed Electronically:

- Proposed amendments to Regents Rule 03.300
- Proposed amendments to Regents Rule 03.900
- Proposed amendments to Regents Rule 04.500
- Proposed amendments to Regents Rule 05.700



Board Order

Title: Amendment to Regents Rules 03.300, *Board Ethics and Standards of Conduct*; 03.900, *Delegation of Authority for Contracts and Agreements*; 04.500, *Audit and Compliance*; and 05.700, *System Administration and Institution Ethics and Standards of Conduct*

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, revisions to the Regents Rules are necessary to comply with Senate Bill 20, recently enacted by the 84th Texas Legislature,

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

1. Amendment to Regents Rules 03.300, *Board Ethics and Standards of Conduct*; 03.900, *Delegation of Authority for Contracts and Agreements*; 04.500, *Audit and Compliance*; and 05.700, *System Administration and Institution Ethics and Standards of Conduct*; as set forth in the attachment to this briefing and order.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

03.300 Board Ethics and Standards of Conduct

03.301 Board Ethics and Conduct. The responsibility for educating and training the future leaders of the state and nation carries with it the duty to adhere to the highest ethical standards and principles. It is of the highest importance that the people of the State of Texas have complete confidence in the integrity of their public servants.

1. General Standards of Conduct. Members of the Board shall perform their duties and activities in conformity with applicable federal, ~~and state, and local~~ laws, administrative rules, and these Regents Rules, and may be subject to disciplinary action for violation of this Regents Rule.

a. A member of the Board ~~shall not~~:

~~a.~~ i. shall not accept or solicit any gift, favor, or service that might reasonably tend to influence the member in the discharge of official duties, or that the member knows or should know is being offered with the intent to influence the member's official conduct;

~~b.~~ ii. shall not intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised his or her official powers or performed his or her official duties in favor of another;

~~c.~~ iii. shall not disclose confidential information, information that is excepted from public disclosure under the Texas Public Information Act or information that has been ordered sealed by a court, that was acquired by reason of the member's official position, or accept other employment, including self-employment, or engage in a business, charity, nonprofit organization, or professional activity that the member might reasonably expect would require or induce the member to disclose confidential information, information that is excepted from public disclosure under the Texas Public Information Act, or information that has been ordered sealed by a court, that was acquired by reason of the member's official position;

- ~~d.~~ iv. shall not accept other employment, including self-employment, or compensation or engage in a business, charity, nonprofit organization, or professional activity that could reasonably be expected to impair the member's independence of judgment in the performance of the member's official duties;
- ~~e.~~ v. shall not make personal investments, or have a personal or financial interest, that could reasonably be expected to create a substantial conflict between the member's private interest and the public interest; ~~or~~
- ~~f.~~ vi. shall not use System resources for unauthorized purposes or in an unreasonable manner;
- vii. shall not act as an agent for another person in the negotiation of the terms of any agreement relating to the provision of money, services, or property to the System;
- viii. shall not engage in any political activity while on state time or utilize state resources for any political activity-;
- ix. shall promptly report any conduct or activity that the Board member believes to constitute fraud, waste or abuse or to be in violation of any Regents Rule. Reports shall be made to the Chairman of the Board, the Chancellor and the Vice Chancellor and General Counsel, unless the conduct or activity being reported has to do with any of these parties, in which case the report shall be made to the other parties;
- x. shall participate in regular training on ethical obligations and this Regents Rule;
- xi. shall participate in an intensive short orientation course as required by Texas Education Code 61.0841 that is developed by the Texas Higher Education Coordinating Board, and training sponsored or coordinated by the Office of the Governor, on the first opportunity after taking the oath of office. No member of the Board appointed on or after January 1, 2016, may vote on a budgetary or personnel matter until the intensive short course is completed.
- b. Former members of the Board who participated on behalf of the System or an Institution in a procurement or contract negotiation involving an individual or business entity may not accept

employment from that individual or business entity before the second anniversary of the date the member's service with the System ceased.

2. Conflicts of Interest. State officers and employees shall not have direct or indirect interests, including financial and other interests, engage in business transactions or professional activities, or incur any obligation of any nature that is in substantial conflict with the proper discharge of the officer's or employee's duties in the public interest. In order to implement this Regents Rule and strengthen the faith and confidence of the people of the State of Texas in the integrity of persons serving on the Board of Regents, the Board requires the following:
 - a. Ethics Commission Financial Disclosure Statements. Members of the Board must file a financial statement with the Texas Ethics Commission annually using forms prescribed by the commission.
 - b. Contracts Prohibited. Except as permitted by Regents Rule 03.301.2(c) below, the System may not enter into a contract in which a member of the Board has a direct or indirect pecuniary interest. An "indirect pecuniary interest" includes an interest owned by a member of a Board member's family.
 - c. Contracts with Business Entities. If a member of the Board has an interest in a business entity, the System is not prohibited from entering into a contract or other transaction with that business entity if:
 - i. The affected member's interest in the business entity is not a substantial interest; or
 - ii. The affected member has a substantial interest in the business entity, and the affected member discloses such interest in a public meeting of the Board. Such disclosure shall be entered into the minutes of the meeting. The Board may consider such contract or other transaction, but the affected member shall not vote or otherwise participate in such deliberation or action of the Board. Any such contract or transaction requiring Board approval must be approved by an affirmative majority of the members voting on the contract or transaction.

All contracts or transactions with a business entity in which a member of the Board has a substantial interest shall be presented to the Board for approval irrespective of any exemption, Rule or policy to the contrary.

A “business entity” is any entity recognized by law through which business is conducted, including a sole proprietorship, partnership, firm, corporation, limited liability company, holding company, joint stock company, receivership, or trust.

A member of the Board has a “substantial interest” in a business entity if:

1. the member owns 10 percent or more of the voting stock or shares of the business entity or owns either 10 percent or more or \$15,000 or more of the fair market value of the business entity;
2. funds received by the member from the business entity exceed 10 percent of the member’s gross income for the previous year;
3. the member is an officer of the business entity or a member of the governing board of the business entity; or
4. an individual related to the member in the first degree by consanguinity or affinity, as determined under Chapter 573 of the Texas Government Code, has an interest in the business entity as described in (1) – (3) above.

- d. Disclosure of Personal or Private Interest. A member of the Board who has a personal or private interest in a measure, proposal, or decision pending before the Board, other than a contract in which the member has a pecuniary interest, shall disclose such interest in a public meeting of the Board, and such disclosure shall be entered in the minutes. The Board may consider such measure, proposal, or decision, but any member of the Board having such an interest shall not vote or otherwise participate in such deliberation or action of the Board. This procedure may not be utilized for contracts in which a member of the Board has a pecuniary interest.
- e. Disclosure of Potential Conflict of Interest. A member of the Board shall disclose any potential conflict of interest and any other relevant information to the Chairman and the Vice Chancellor and General Counsel as soon as possible after becoming aware of the potential conflict. In such an event, the Vice Chancellor and General Counsel shall review the potential conflict and render an opinion.
- f. Contracts with Nonprofit Corporations. The Board is not precluded from entering into contracts or other transactions with nonprofit

corporations merely because a member of the Board serves on the board of, or is a member of, the nonprofit corporation. Other factors and interests, such as pecuniary or personal interests, may require disclosure and recusal, as described in this Regents Rule.

- g. Disclosure of Interest in Property to be Acquired. Members of the Board are required to disclose any legal or equitable interest in property that is to be acquired with public funds. Such disclosure shall be made by filing an affidavit containing specific information as required by Texas Government Code § 553.002.

3. Travel.

- a. Travel Reimbursement from Appropriated Funds. Members of the Board shall comply with the requirements of the Travel Regulations Act, Chapter 660 of the Texas Government Code, rules adopted by the Comptroller, travel provisions of the General Appropriations Act, and other applicable federal and state laws when seeking travel payments or reimbursements from public funds.
- b. Travel Reimbursement from Institutional Funds. The Board shall adopt rules as necessary to administer and control travel expense payments and reimbursements from Institutional funds as required by Texas Government Code § 660.004.

4. Benefits, Gifts, and Honoraria. A “benefit” is anything reasonably regarded as pecuniary gain or pecuniary advantage, including benefit to any other person in whose welfare the member has a direct and substantial interest.

- a. The following benefits, gifts, and honoraria are prohibited:
 - i. Bribery. No member of the Board may solicit, offer, or accept any benefit in exchange for his or her decision, opinion, recommendation, vote, or other exercise of official power or discretion. A benefit that is otherwise allowed by these Regents Rules is nevertheless prohibited if it is offered in exchange for official action as described above.
 - ii. Benefits From Interested Persons. As public servants who exercise discretion in connection with contracts, purchases, payments, claims, and other pecuniary transactions of government, a member of the Board may not solicit, accept, or agree to accept any benefit from any person the member knows is interested in, or is likely to become interested in,

any contract, purchase, payment, claim, or transaction involving a member's discretion.

- iii. Handling Unsolicited Gifts. A member of the Board who receives an unsolicited benefit that he or she is prohibited from accepting by law may return the benefit, donate the benefit to a governmental entity that has the authority to accept the gift, or donate the benefit to a recognized tax-exempt charitable organization formed for educational, religious, or scientific purposes.
- b. Members of the Board may accept the following benefits, gifts, and honoraria:
- i. Gifts Valued at Less Than \$50. A member of the Board may accept non-cash items of less than \$50 in value when the gift is not offered in exchange for an official action or decision.
 - ii. Benefits from Friends, Relatives, and Associates. A member of the Board may accept a benefit from a person such as a friend, relative, or business associate with whom he or she has a relationship independent of his or her status as a member if the benefit is given on account of that relationship rather than his or her official status and not offered in exchange for official action or decision.
 - iii. Payment for Goods or Services. A member of the Board may accept a payment for which he or she gives legitimate consideration in a capacity other than as a public servant. The use of the term "legitimate consideration" means that the payment the member receives must reflect the actual value of the services or goods the member provided in exchange for the payment.
 - iv. Food, Lodging, Transportation, or Entertainment. A member of the Board may accept benefits in the form of food, lodging, transportation, or entertainment in any amount if the member accepts them as a "guest" and reports them if there is an applicable reporting requirement. In order for the member to accept something as a "guest," the donor must be present.
 - v. Honoraria. A member of the Board may not solicit, accept, or agree to accept an honorarium in consideration for services if the member would not have been asked to

provide the services but for his or her official position or duties. This prohibition includes a request for or acceptance of a payment made to a third party if made in exchange for such services. Members may, however, accept the direct provision of, or reimbursement for, expenses for transportation and lodging incurred in connection with a speaking engagement at a conference or similar event. Meals provided as a part of the event or reimbursement for actual expenses for meals may also be accepted. Participation by a member must be more than merely perfunctory.

- vi. Awards. Members of the Board may accept plaques and similar recognition awards.
 - vii. Benefits from Lobbyists. Members of the Board may accept certain gifts, awards, and mementos from persons required to register as lobbyists. “Gift” in this context does not include food, entertainment, transportation, or lodging if the lobbyist is present at the event. Lobbyists may provide a member with transportation and lodging only in connection with a fact-finding trip related to his or her official duties or in connection with an event, such as a conference, at which the member will be providing “more than perfunctory” services in his or her official capacity.
5. Reporting Requirements. Members of the Board are required to report the following benefits, gifts, and honoraria:
- a. Members of the Board shall disclose to the Chairman any benefit received in the course of official business having a value of more than \$250.
 - b. Members of the Board are required to report on their personal financial statement to the Texas Ethics Commission the acceptance of gifts worth more than \$250, except for gifts from a member’s immediate family or from a lobbyist required to report the gift. Members also must report on their personal financial statement acceptance of meals, transportation, or lodging provided in connection with a speech or other services provided in their official capacity.
6. Political Activities. Members of the Board shall not:
- a. engage in any political activity while on state time or utilize state resources for any political activity;

- b. use official authority or influence or permit the use of a program administered by the System to interfere with or affect the result of an election or nomination of a candidate or to achieve any other political purpose;
- c. use appropriated money to employ, as a regular full-time or part-time or contract employee, a person who is required by Chapter 305 of the Texas Government Code to register as a lobbyist;
- d. use or authorize the expenditure of appropriated money to pay, on behalf of the System Administration or an Institution, membership dues to an organization that pays part or all of the salary of a person who is required by Chapter 305 of the Texas Government Code to register as a lobbyist (this rule does not apply to the payment of membership fees under Chapter 81 of the Texas Government Code); or
- e. use or authorize the expenditure of appropriated money to pay lobbying expenses incurred by: (1) the recipient of the money, (2) a person or entity that is required to register with the Texas Ethics Commission under Chapter 305, (3) any partner, employee, employer, relative, contractor, consultant, or related entity of a said person or entity, or (4) a person or entity that has been hired to represent associations or other entities for the purpose of affecting the outcome of legislation, agency rules, ordinances, or other government policies.

7. Use of Authority.

- a. Misapplication of Property. Members of the Board shall use government property only for government purposes, not personal or private purposes.
- b. Nepotism.
 - i. Members of the Board are prohibited from appointing, voting for the appointment of, or confirming the appointment of any person to a position that is directly or indirectly compensated from public funds if the person is related to the member within the degree specified by Texas Government Code § 573.002. In addition, a member may not take such action on behalf of any individual who is related to the member within the specified degree.

- ii. Regents Rule 3.301.7(b)(1) does not apply if the person who is related to the member has been continuously employed in the office or position for at least thirty days prior to appointment or employment of the member. If the related person continues in such a position, the member may not participate in any deliberation or voting on the appointment, reappointment, confirmation, employment, re-employment, change in status, compensation, or dismissal of the related individual if that action applies only to that individual and is not taken regarding a bona fide class or category of employees.

- c. Misuse of Official Information. It is a violation of state law for a member of the Board, in reliance on information to which he or she has access in his or her official capacity and which has not been made public to: (1) acquire or aid another to acquire a pecuniary interest in any property, transaction, or enterprise that may be affected by the information; (2) speculate or aid another to speculate on the basis of the information; or (3) disclose or use the information with the intent to obtain a benefit or harm another.

Adopted: November 15, 2007
Effective: November 15, 2007
Revised: February 16, 2012

03.900 Delegation of Authority for Contracts and Agreements

03.901 Purpose and Scope. The effective administration of contracts is essential to the operation of the System and the Institutions. This Regents Rule establishes authority for the System, the System Administration, and the Institutions to approve and execute contracts.

03.902 Authority of the Board. Pursuant to Texas Education Code § 105.108, the Board has authority to contract on behalf of the System, the System Administration, and the Institutions, and may delegate to an employee of the System Administration or an Institution the authority to negotiate, execute, and approve contracts. No person has the authority to bind the System, the System Administration, or an Institution contractually except in accordance with this Regents Rule. A contract that is not approved in accordance with this Regents Rule is void.

03.903 Definition. For the purpose of this Regents Rule, the term “contract” shall mean any written agreement that creates a binding obligation, financial or otherwise, for the System, the System Administration, or an Institution. Contracts include but are not limited to affiliation agreements, cooperative agreements, easements, grants, intellectual property agreements, interagency contracts, internship agreements, leases, letter agreements, letters of intent, licenses, loans, memoranda of understanding, nondisclosure agreements, professional services agreements, purchase orders, and amendments to any of these types of agreements.

03.904 Board Approval. Board approval is required for the following types of contracts:

1. Contracts that have a cost or monetary value to the System, the System Administration, or an Institution of \$1,000,000 or more in cash or other consideration. The total value of a contract shall include the aggregation of all contract extensions and renewals. Regardless of value, approval by the Board is not required for contracts exempted from the approval process under Section 03.905, 03.906, 03.907, or 03.908 of this Regents Rule.
2. Employment contracts as follows:

- a. employment contracts with a chancellor, president, or athletic director;
 - b. employment contracts with a head coach whose base salary during the term of the contract totals \$500,000 or more; and
 - c. employment contracts having a total salary consideration of \$1,000,000 or more.
 - d. For employment contracts with administrators that require Board approval under Regents Rule 03.904 a or c and that are to be paid in whole or part from appropriated funds, Board approval shall be contingent on a determination by the Board that the contract is in the best interest of the System, System Administration or an Institution and the contract shall be required to meet all other requirements of Texas Education Code §51.948.
- 3. Agreements with affiliated entities required by Regents Rule 09.500.
 - 4. Contracts that involve athletic conference membership.

03.905 Exceptions to Board Approval. The following types of contracts shall not require approval by the Board, regardless of the contract amount:

- 1. Contracts relating to construction projects previously approved by the Board of Regents in a Capital Improvement Plan.
- 2. Contracts for utility services (water, gas, electric, telecommunications, internet or television services) or energy resources and related services, if any, when such contracts have been approved in advance by the Chancellor or the Chancellor's delegee.
- 3. Contracts or grant proposals for sponsored research, including institutional support grants.
- 4. Contracts licensing or transferring rights in intellectual property, technology or products protectable by patents, copyright, or constituting a trade secret of unpatented technological know-how.
- 5. Contracts for the lease or purchase of replacement equipment or licensing of replacement software.
- 6. Contracts for the purchase of routinely purchased supplies.

7. Contracts for purchases made under a group purchasing program procured through a state contract, state catalog or other procurement methodology authorized by statute.
 8. Contracts for the lease or purchase of new equipment or licensing of new software identified specifically in the System Administration or Institutional budget approved by the Board.
 9. Contracts for the purchase or license of library books and library materials.
 10. Contracts for athletic competitions.
 11. Contracts for or related to legal services.
 12. Contracts related to bequests or gifts.
 13. Contracts with financial institutions to effectuate letters of credit authorized by these Regents Rules and applicable regulations of the System.
- 03.906 Contracts Related to Real Property. All contracts for (a) the purchase or sale of real property; (b) the lease, license or use of real property; (c) the granting or acceptance of easements or rights-of-way; and (d) any other acquisition or disposition of real property or real property interests is governed by Chapter 11 of these Rules.
- 03.907 Contracts Related to Major Construction Projects. All contracts related to major construction projects are governed by Chapter 11 of these Rules.
- 03.908 Emergency Contracts. Unless otherwise prohibited by law, in the event of an urgent situation that cannot or should not for good business reason be delayed until the next regularly scheduled Board meeting as determined by the Board Chairman in consultation with the Chancellor, the Chancellor may approve and execute a contract that would otherwise require Board approval in accordance with this Regents Rule. As soon thereafter as is reasonably practicable, the Chancellor shall provide to the members of the Board written notice of the approval and execution of the contract.
- 03.909 Delegation of Authority.
1. Delegations to the Chancellor.
 - a. The Board delegates to the Chancellor the authority to execute all contracts for the System, the System Administration, and

Institutions that are approved by the Board in accordance with Regents Rule 03.904, unless otherwise specified by the Board.

- b. For employment contracts exempt from Board approval pursuant to Regents Rule 03.904.2, the Board delegates to the Chancellor the authority to sign an employment contract with an administrator for the System Administration or an Institution that is to be paid in whole or part from appropriated funds or that otherwise comes under Texas Education Code §51.948. These contracts must comply with the requirements of Texas Education Code §51.948 and for any contract paid from appropriated funds shall require a determination that the contract is in the best interest of the System or System Administration. Authority to make such a determination is delegated to the Chancellor.
- c. Subject to the requirements and limitations of this Rule, the Board delegates to the Chancellor the authority to approve and execute contracts for the System and the System Administration without regard to the cost or monetary value of the contract and to approve and execute contracts for the Institutions that have a cost or monetary value to an Institution of more than \$500,000.

2. Delegations to the Presidents.

- a. Subject to the requirements and limitations of this Rule, the Board delegates to the Presidents the authority to approve and execute contracts for their respective Institutions that have a cost or monetary value to the Institutions of \$500,000 or less.
- b. For employment contracts exempt from Board approval pursuant to Regents Rule 03.904.2, an employment contract with an administrator that is to be paid in whole or part from appropriated funds or that otherwise is pursuant to Texas Education Code §51.948 must be signed by the Chancellor in accordance with Regents Rule 03.909.1(b).

3. Delegations to the Vice Chancellor and General Counsel. The Board delegates to the Vice Chancellor and General Counsel authority to approve and execute contracts with the concurrence of the Chancellor or the Chairman for or related to providing legal services for the Board, the System, the System Administration, and/or the Institutions, after obtaining approvals required by state law.

4. Delegations to the Chief Internal Auditor. The Board delegates to the Chief Internal Auditor authority to approve and execute contracts having a cost or monetary value of less than \$1,000,000 with the concurrence of the

Chancellor or the Chairman of the Audit Committee, when such contracts are for or related to providing audit services for the Board, the System, the System Administration, and/or the Institutions after obtaining approvals required by state law.

5. Further Delegation. For contracts with a value of \$1,000,000 or less, the authority delegated to the Chancellor and the Presidents under Regents Rules 03.909(1) and (2) may be further delegated. Delegations must be in writing, clearly state the extent of the authority delegated, and state if and to what extent the authority may be further delegated. A delegation must be retained by the delegee, and a copy must be provided to the Office of General Counsel.
6. Revocation of Delegation. Delegations of authority may be revoked at any time. Revocations must be in writing, and a copy must be provided to the Office of General Counsel. Notice of revocation must be provided to the delegee.

03.910 ~~Legal and Administrative Review.~~ All contracts must be approved as to form by the Office of General Counsel before execution, unless exempt under this Regents Rule. In his or her sole discretion, the Vice Chancellor and General Counsel may exempt from individualized legal review: The Office of General Counsel shall develop a contract management handbook that provides consistent contracting policies and practices and contract review procedures, including a risk analysis procedure.

~~03.911 Exemption from Legal Review. In his or her sole discretion, the Vice Chancellor and General Counsel may exempt from individualized legal review:~~

1. Contracts prepared on forms developed by the Office of General Counsel and approved in writing by the Office of General Counsel for use without individualized legal review that have a total value of less than \$1,000,000;
2. Contracts prepared on forms not developed by the Office of General Counsel, but that are approved in writing by the Office of General Counsel for use without individualized legal review that have a total value of less than \$1,000,000; and
3. Other contracts as stated in the Criteria for Exemption issued in writing by the Office of General Counsel.

03.911 Contract Management Handbook. The Vice Chancellor for Finance and the Office of General Counsel shall develop a contract management

handbook that provides for consistent contracting policies and practices and contract review procedures, including the following:

1. identification of contracts that require enhanced performance monitoring and notification to the Board of any identified serious issue or risk regarding a monitored contract;
2. purchasing accountability and risk analysis procedures assessing the risk of fraud, waste or abuse in the contactor selection process, contract provisions and payment and reimbursement rates and methods for the different types of goods and services for which the member contracts;
3. a comprehensive guideline for preparing and advertising a solicitation, including identifying key pieces in the statement of work;
4. guidance on the evaluation of solicitation responses and awarding and drafting the contract. This includes sample terms and clauses for the contract;
5. contract administration and oversight; and
6. a requirement that all contracts shall, at a minimum:
 - a. be in writing;
 - b. comply with applicable federal and state law and regulations, these Regents Rules, and applicable System, System Administration, or Institution regulations, policies and procedures and the System contract management handbook;
 - c. be properly executed by a person with appropriate authority;
 - d. adequately protect resources;
 - e. comply with state purchasing requirements;
 - f. support and be in accordance with the mission of the System, the System Administration, or Institution; and
 - g. if with a foreign source with an aggregate value of \$250,000 or more be reported to the U.S. Department of Education in accordance with 20 U.S.C. §1011f on or before January 31st and July 31st of each year for all such contracts entered into in the preceding six months.

~~03.912~~ Contract Policies, and Training. The System Administration and the Institutions shall adopt the following:

1. ~~Policies and procedures~~

~~for administrative processing of contracts. Such policies and procedures shall provide that:~~

~~a. all contracts are in writing;~~

~~b. contracts comply with applicable federal and state law and regulations, these Regents Rules, and applicable System, System Administration, or Institution regulations, policies and procedures and the System contract management handbook;~~

~~c. contracts are properly executed by a person with appropriate authority;~~

~~d. resources are adequately protected;~~

~~e. on behalf of the System and the System Administration, the Vice Chancellor for Finance, and on behalf of the Institutions, the respective chief financial officer, approves regulations, policies and procedures to comply with state purchasing requirements;~~

~~f. contracts are in accordance with and support the mission of the System, the System Administration, or Institution; and~~

~~g. the policies and procedures of each of the Institutions and the System Administration shall provide that contracts with a foreign source and with an aggregate value of \$250,000 or more that are required to be reported to the U.S. Department of Education in accordance with 20 U.S.C. §1011f, shall be reported on or before January 31st and July 31st of each year for all such contracts entered into in the preceding six months.~~

~~203.912~~ Training. ~~Contract training for officers~~ Officers and employees authorized to execute contracts ~~for the System Administration or an Institution~~ or ~~who~~ exercise discretion in awarding contracts shall participate in training on ~~including training in~~ ethics, selection of appropriate procurement methods, and information resources purchasing technologies.

~~303.913~~ Reporting. The System and Institutions shall comply with all applicable reporting requirements established by statute, Legislative Budget Board rules, and other state authorities.

| 03.91~~43~~ Prior Contracts. Contracts approved and signed in accordance with policies in effect prior to the effective date of Regents Rule 03.900 shall remain in full force and effect, but modifications or extensions to such contracts must be approved and signed in accordance with Regents Rule 03.900.

Adopted: November 15, 2007

Effective: November 15, 2007

Revised: February 13, 2009; February 16, 2012, August 28, 2015

04.500 Audit and Compliance

04.501 Internal Audit.

1. Objective. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve the System Administration's and each Institution's operations. It assists the System Administration and each Institution with accomplishing their objectives by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of risk management, control, and governance processes.
 - a. Assurance Services. An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organization. Examples may include financial, performance, compliance, system security, and due diligence engagements.
 - b. Consulting Services. Advisory and related client service activities, the nature and scope of which are agreed with the client, are intended to add value and improve an organization's governance, risk management, and control processes without the internal auditor assuming management responsibility. Examples include counsel, advice, facilitation, and training.
 - c. Risk Management. The internal audit activity shall evaluate the effectiveness and contribute to the improvement of risk management systems processes.
 - d. Control. The internal audit activity shall assist the System Administration and each Institution in maintaining effective controls by evaluating their effectiveness and efficiency and by promoting continuous improvement.
 - e. Governance. The internal audit activity shall assess and make appropriate recommendations for improving the governance process in its accomplishment of the following objectives:
 - i. promoting appropriate ethics and values within the System Administration and the Institutions;
 - ii. ensuring effective organizational performance, management, and accountability;

- iii. communicating risk and control information to appropriate areas of the System Administration and the Institutions; and
 - iv. coordinating the activities of and communicating information among the Board, external and internal auditors, and management.
- f. Scope of Evaluation. Risks and controls relating to the System Administration's and each Institution's governance, operations, and information systems shall be evaluated for:
- i. reliability and integrity of financial and operational information;
 - ii. effectiveness and efficiency of operations;
 - iii. safeguarding of assets; and
 - iv. compliance with laws, regulations, and contracts.

The Internal Audit activity shall evaluate the potential for the occurrence of fraud and how the organization manages fraud risk.

2. Appointment of the Chief Internal Auditor. The Chief Internal Auditor shall be appointed by the Board on the recommendation of the Chancellor and shall serve at the pleasure of the Board.
3. Reporting. The Chief Internal Auditor reports to the Board through the Audit Committee and shall have access to the Chancellor.
4. Duties and Responsibilities of the Chief Internal Auditor. The Chief Internal Auditor shall:
 - a. Advise the Board and the Chancellor in formulating policies and procedures to guide audit policies and services for the System Administration and the Institutions, including:
 - i. periodically reviewing the internal audit charter and presenting it to senior management and the Board for approval;
 - ii. discussing the Definition of Internal Auditing, the Code of Ethics, and the *Standards* with senior management and the Board;
 - iii. confirming to the Board, at least annually, the organizational independence of the internal audit activity; and

- iv. discussing with the Board the external assessment needs, qualifications, and independence of external reviewers or review team, and communicating the results of the quality assurance and improvement program.
 - b. Develop a consolidated annual internal audit plan based on a documented System-wide risk assessment (input of senior management and the Board shall be considered in this process) and coordinate the plan's implementation;
 - c. Coordinate the reporting of all audit activities;
 - d. Direct audits of the System and the System Administration;
 - e. Direct and evaluate the performance of individuals holding positions that directly report to the Chief Internal Auditor;
 - f. Promote diversity within the System and support existing System programs designed to create a welcoming environment for everyone;
 - g. Provide leadership and oversight of institutional effectiveness efforts, including the use of evaluation and linking results to planning; and
 - h. Perform other duties as assigned by the Board and the Chancellor.
- 5. Independence. In carrying out their duties and responsibilities, the Chief Internal Auditor and the Internal Audit staff shall have full, free, and unrestricted access to all System Administration and Institution activities, records, personnel, and physical properties. Internal Audit shall not be given any responsibility that would interfere with its ability to perform independent reviews of all aspects of System Administration and/or Institution operations.
- 6. Internal Audit Responsibilities. The Chief Internal Auditor shall implement a program of internal auditing that includes:
 - a. Using risk assessment techniques to develop a flexible annual audit plan that identifies the individual audits to be conducted during the year;
 - b. Performing the annual audit plan, as approved, including any special tasks or projects requested by management and the Board Audit Committee when appropriate;
 - c. Periodically reviewing major systems and controls, including: (i) accounting systems and controls, (ii) administrative systems and controls, and (iii) information technology systems and controls;

- d. Reporting each quarter to the Board Audit Committee on (i) whether appropriate action has been taken on significant audit issues, findings, and recommendations, (ii) audits in progress and those completed during the quarter, and (iii) deviations from the audit plan;
- e. Reporting audit results to members of management who should be informed or who should take corrective action;
- f. Performing follow-up to determine whether corrective action was taken and is achieving the desired results; ~~and~~
- g. Performing quality assurance reviews in accordance with professional standards and periodically taking part in a comprehensive external peer review; ~~and~~
- h. Annually assessing whether the System Administration and each Institution has adopted the rules and policies required by Texas Education Code 51.9337 and submitting a report of the findings to the state auditor.

7. Standards. Internal Audit shall perform its responsibilities in accordance with the Texas Internal Auditing Act, Chapter 2102 of the Texas Government Code. Internal Audit recognizes the Institute of Internal Auditors (IIA) as its professional and authoritative source. Internal Audit shall conform to the IIA: Definition of Internal Auditing, the Code of Ethics, and the *International Standards for the Professional Practice of Internal Auditing* contained in the International Professional Practices Framework as promulgated by the IIA. Additionally, Internal Audit shall conform to generally accepted governmental auditing standards (GAGAS).

04.502 Compliance. The System Administration and each Institution shall develop and implement a compliance program that supports activities intended to assist the Institution in complying with federal and state laws and regulations. Each compliance program shall be designed to promote ethical behavior and ensure compliance with all applicable policies, laws and rules governing higher education, including research and health care to the extent applicable.

Adopted: November 15, 2007
 Effective: November 15, 2007
 Revised: February 13, 2009; August 28, 2015

05.700 System Administration and Institution Ethics and Standards of Conduct

05.701 Ethics and Conduct. The responsibility for educating and training the future leaders of the state and nation carries with it the duty to adhere to the highest ethical standards and principles. It is of the highest importance that the people of the State of Texas have complete confidence in the integrity of their public servants.

1. General Standards of Conduct. Officers and eEmployees shall perform their duties and activities in conformity with applicable federal, state, and local laws, administrative rules, Regents Rules, and applicable policies of the System, the System Administration, or the Institutions. Officers and eEmployees may be subject to disciplinary action for violation of this Regent Rule or a policy based on this Regents Rule.

a. Off~~A~~ officers and employees shall not:

- i. accept or solicit any gift, favor, or service that might reasonably tend to influence the officer or employee in the discharge of official duties, or that the officer or employee knows or should know is being offered with the intent to influence the officer's or employee's official conduct;
- ii. intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised his or her official powers or performed his or her official duties in favor of another;
- iii. disclose confidential information, information that is excepted from public disclosure under the Texas Public Information Act, or information that has been ordered sealed by a court, that was acquired by reason of the officer's or employee's official position, or accept other employment, including self-employment, or engage in a business, charity, nonprofit organization, or professional activity that the officer or employee might reasonably expect would require or induce the officer or employee to disclose confidential information, information that is excepted from public disclosure under the Texas Public Information Act, or information that has been ordered sealed by a court, that was acquired by reason of the officer's or employee's official position;

- iv. accept other employment, including self-employment, or compensation or engage in a business, charity, nonprofit organization, professional or other outside activity that could reasonably be expected to impair the officer's or employee's independence of judgment in the performance of the officer's or employee's official duties or otherwise interfere with an officer's or employee's duties and responsibilities to the System Administration or an Institution;
- v. make personal investments or have a direct or indirect personal, financial or other interest, or engage in a business transaction or professional activity, or incur any obligation that is in substantial conflict with the proper discharge of the officer's or employee's duties or that could reasonably be expected to create a substantial conflict between the officer's or employee's private interest and the public interest;
- vi. utilize state time, property, facilities, or equipment, or other resources for any purpose other than official state business, unless such use is reasonable and incidental and does not result in any direct cost to the State of Texas or the System Administration or an Institution, interfere with the officer's or employee's official duties, or interfere with the functions of the System Administration or an Institution;
- vii. utilize his or her official position, or state issued items, such as a badge, indicating such position for financial gain, obtaining privileges, or avoiding consequences of illegal acts;
- viii. act as an agent for another person in the negotiation of the terms of an agreement relating to the provision of money, services or property to the System, System Administration or to the Institution;
- ix. knowingly make misleading statements, either oral or written, or provide false information, in the course of official state business;
- x. engage in any political activity while on state time or utilize state resources for any political activity; or
- xi. engage in actions that would create the appearance that he or she is violating the law, these Regents Rules, or System Administration or Institution policies and procedures.

- b. Officers and employees shall:
 - i. perform ~~his or her~~ official duties in a lawful, professional, and ethical manner; and
 - ii. report any conduct or activity that the officer or employee believes to be in violation of this ethics policy, or in violation of Regents Rule 04.1100, Reporting Suspected Wrongdoing, or Regents Rule 10.700, Fraud Policy.
- c. Former officers and employees who participated on behalf of the System Administration or an Institution in a procurement or contract negotiation involving an individual or business entity may not accept employment from the individual or business entity before the second anniversary of the date the officer's or employee's employment with the System Administration or Institution ceased.

2. Conflicts of Interest, Conflicts of Commitment and Outside Activities. State officers and employees shall not have direct or indirect interests or commitments, including financial and other interests and commitments, engage in business transactions or professional activities or other outside activities, or incur any obligation of any nature that is in substantial conflict with the proper discharge of the officer's or employee's duties in the public interest. The primary responsibility of each officer and employee of the System Administration and the Institutions shall be to accomplish the duties and responsibilities assigned to that position. In order to implement this Regents Rule and strengthen the faith and confidence of the people of the State of Texas in the integrity of officers and employees of the System Administration and Institutions, the Board requires the following:

- a. Ethics Commission Financial Disclosure Statements. The Chancellor and each President must file a financial statement with the Texas Ethics Commission annually using forms prescribed by the commission.
- b. Disclosure of Interest in Property to be Acquired. The Chancellor, Vice Chancellors, Associate and Assistant Vice Chancellors, the President of each Institution, Vice Presidents, and Associate and Assistant Vice Presidents are required to disclose any legal or equitable interest in property that is to be acquired with public funds. Such disclosure shall be made by filing an affidavit containing specific information as required by Texas Government Code §553.002.

c. Policies Governing Conflicts of Interest, Conflicts of Commitment and Outside Activities. The System Administration and each Institution shall adopt policies governing conflicts of interest, conflicts of commitment, and outside activities that are in conformance with this Regents Rule and §51.9337(c) of the Texas Education Code. The policy governing an officer's or employee's outside activities shall clearly delineate the nature and amount of permissible outside activities and shall include processes for disclosing outside activities and for obtaining and documenting approval to perform the activities.

d. Contracts Prohibited.

i. The System and each Institution are prohibited from entering into a contract for the purchase of goods or services with a private vendor with whom any of the following persons have a financial interest:

1) The chancellor, a president, the general counsel, the chief procurement officer or a procurement director; or

2) Any person related to an employee described above within the second degree of affinity (marriage) or consanguinity (blood), as determined under Chapter 573 of the Texas Government Code.

ii. A person has a "financial interest" in a private vendor if the person:

1) Owns or controls, directly or indirectly, an ownership interest of at least one percent in the private vendor, including the right to share in profits, proceeds, or capital gains; or

2) Could reasonable foresee that a contract with the private vendor could result in a financial benefit to the person.

iii. A "financial interest" prohibited by this section does not include a retirement plan, a blind trust, insurance coverage, or an ownership interest of less than one percent in a corporation.

3. Travel. Employees shall comply with the requirements of the Travel Regulations Act, Chapter 660 of the Texas Government Code, rules adopted by the Comptroller, travel provisions of the General Appropriations Act, other applicable federal and state laws, these Regents

Rules, and System Administration and/or Institution policies when seeking travel payments or reimbursements.

4. Benefits, Gifts, and Honoraria. A “benefit” is anything reasonably regarded as pecuniary gain or pecuniary advantage, including benefit to any other person in whose welfare the employee has a direct and substantial interest.

a. The following benefits, gifts, and honoraria are prohibited:

i. Bribery. No employee may solicit, offer, or accept any benefit in exchange for his or her decision, opinion, recommendation, vote, or other exercise of official power or discretion. A benefit that is otherwise allowed by System Administration or Institution policy is nevertheless prohibited if it is offered in exchange for official action as described above.

ii. Benefits From Interested Persons. An employee who exercises discretion in connection with contracts, purchases, payments, claims, and other pecuniary transactions of government may not solicit, accept, or agree to accept any benefit from any person the employee knows is interested in, or is likely to become interested in, any contract, purchase, payment, claim, or transaction involving the employee’s discretion.

iii. Handling Unsolicited Gifts. System Administration employees shall disclose to the Chancellor through their Vice Chancellor, and Institution employees shall disclose to the President through their chair or department head, any gift received in the course of official business that has a value of more than \$250. The Chancellor or President shall make such disclosure to the Board.

b. Employees may accept the following benefits, gifts, and honoraria:

i. Gifts Valued at Less Than \$50. An employee may accept non-cash items of less than \$50 in value when the gift is not offered in exchange for an official action or decision.

ii. Benefits from Friends, Relatives, and Associates. An employee may accept a benefit from a person such as a friend, relative, or business associate with whom he or she has a relationship independent of his or her status as an employee if the benefit is given on account of that

relationship rather than the employee's official status and not offered in exchange for official action or decision.

- iii. Payment for Goods or Services. An employee may accept a payment for which he or she gives legitimate consideration in a capacity other than as a public servant. The use of the term "legitimate consideration" means that the payment the employee receives must reflect the actual value of the services or goods the employee provides in exchange for the payment. An employee providing goods and services for payment in a capacity other than as a public servant may be required to report such activities in accordance with applicable outside employment policies of the System Administration or the Institutions.
- iv. Food, Lodging, Transportation, or Entertainment. An employee may accept benefits in the form of food, lodging, transportation, or entertainment in any amount if the employee accepts such benefits as a "guest." In order for the employee to accept something as a "guest," the donor must be present when the benefit is conferred.
- v. Honoraria. An employee may not solicit, accept, or agree to accept an honorarium in consideration for services if the employee would not have been asked to provide the services but for his or her official position or duties. This prohibition includes a request for or acceptance of a payment made to a third party if made in exchange for such services. Employees may, however, accept the direct provision of, or reimbursement for, expenses for transportation and lodging incurred in connection with a speaking engagement at a conference or similar event. Meals provided as a part of the event or reimbursement for actual expenses for meals may also be accepted. In order to receive reimbursement, the employee's participation in the event must be more than merely perfunctory.
- vi. Awards. Employees may accept plaques and similar recognition awards.
- vii. Benefits from Lobbyists. Employees may accept certain gifts, awards, and mementos from persons required to register as lobbyists. "Gift" in this context does not include food, entertainment, transportation, or lodging if the lobbyist is present at the event. Lobbyists may provide an employee with transportation and lodging only in connection with a fact-finding trip related to the

employee's official duties or in connection with an event, such as a conference, at which the employee will be providing "more than perfunctory" services in his or her official capacity.

5. Political Activities. Employees shall not:

- a. Engage in any political activity while on state time or utilize state resources for any political activity;
- b. Use official authority or influence or permit the use of a program administered by the System, the System Administration, or an Institution to interfere with or affect the result of an election or nomination of a candidate or to achieve any other political purpose;
- c. Use appropriated money to employ, as a regular full-time or part-time or contract employee, a person who is required by Chapter 305 of the Texas Government Code to register as a lobbyist;
- d. Use or authorize the expenditure of appropriated money to pay, on behalf of the System Administration or an Institution, membership dues to an organization that pays part or all of the salary of a person who is required by Chapter 305 of the Texas Government Code to register as a lobbyist (this rule does not apply to the payment of membership fees under Chapter 81 of the Texas Government Code); or
- e. Use or authorize the expenditure of appropriated money to pay lobbying expenses incurred by: (1) the recipient of the money, (2) a person or entity that is required to register with the Texas Ethics Commission under Chapter 305, (3) any partner, employee, employer, relative, contractor, consultant, or related entity of a said person or entity, or (4) a person or entity that has been hired to represent associations or other entities for the purpose of affecting the outcome of legislation, agency rules, ordinances, or other government policies.

6. Political Office.

- a. Non-Elective Office. An employee may hold a non-elective public office with a board, commission, or other state, political subdivision, or federal entity if the holding of such office benefits the State of Texas or is required by state or federal law. The holding of such office must not conflict with the employee's duties with the System Administration or an Institution.

- b. Elective Office. An employee may serve as a member of the governing body of a school district, city, town, or other local governmental district if he or she receives no salary for serving as a member of the governing body and such a position does not conflict with the employee's duties with the System Administration or an Institution.

7. Use of Authority.

- a. Misapplication of Property. Employees shall use government property only for government purposes, not personal or private purposes.
- b. Misuse of Official Information. It is a violation of state law if an employee, in reliance on information to which he or she has access in his or her official capacity and which has not been made public: (1) acquires or aids another to acquire a pecuniary interest in any property, transaction, or enterprise that may be affected by the information; (2) speculates or aids another to speculate on the basis of the information; or (3) discloses or uses the information with the intent to obtain a benefit or harm another.

05.702 Ethics Policy. The System Administration and each Institution shall adopt an ethics policy that outlines federal and state law requirements applicable to their employees as well as the requirements of Regents Rule 05.700. The policy shall include the following:

- 1. a procedure for employees to report ethical violations;
- 2. guidance on the use of institutional resources; and
- 3. training requirements that provide for the regular training of officers and employees on ethical obligations, the ethics policy and this Regents Rule.

Adopted: November 15, 2007
Effective: November 15, 2007
Revised: August 28, 2015



Board Briefing

Committee: Finance & Facilities

Date Filed: January 18, 2016

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

Background:

On January 8, 2016, the Department of Justice – Federal Bureau of Prisons (BOP) announced plans to issue a Request for Proposals (RFP) to provide Comprehensive Medical Services to the Federal Correctional Institution (FCI) Fort Worth (men’s) facility. It is anticipated that the solicitation will be issued on or about January 25, 2016, with the expected due date for submission within 60-days, by March 25, 2016.

The University of North Texas Health Science Center (UNTHSC) seeks to be the successful bidder for these services and is the incumbent contractor, having provided these contracted services since October 1993. The UNTHSC also provides similar contract health care services for the Federal Medical Center (FMC) Carswell (women’s) facility.

Bid respondents must be able to provide acute care inpatient services, outpatient care, long term care and on-site institution specialist services. The UNTHSC expects to continue to meet these requirements with providers from the UNT Health clinical practice and through subcontracts with other community healthcare providers (hospitals, surgery centers, allied health providers and local physicians).

Financial Analysis/History:

The Agreement will be comprised of a Base Year with four (4) one-year Option periods for renewal at the unilateral discretion of the BOP. The amount of the UNTHSC proposal is estimated to total \$14 million annually. Although we anticipate several rounds of discussion and negotiation, acceptance of UNTHSC’s initial proposal by the BOP may result in a binding Agreement.

Under the current Agreement, annual revenues are just under \$15 million. Annual payments to subcontracted providers are about \$4 million, while payments to subcontracted hospitals and outpatient facilities are just under \$10 million with just over \$600,000 going to the UNTHSC clinical practice.

Subcontracted partners have historically included: Tarrant County Hospital District/JPS Health Network, Kindred Hospital – Southwest, Harris Methodist- Fort Worth and Plaza Medical Center of Fort Worth.

John
Harman

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Science Center, ou=Office of Finance,
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Institution Chief Financial Officer
Janet
Waldron
Vice Chancellor for Finance

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ou=Vice Chancellor for Finance,
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Date: 2016.02.17 14:04:32 -06'00'

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Date: 2016.02.16 17:18:14 -06'00'

Vice Chancellor/General Counsel

Schedule:

Anticipated start date April 11th, 2016, the Base Year, followed by four one-year renewal Options at the unilateral discretion of the BOP.

Recommendation:

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

Recommended By:

John A. Harman
Institution Chief Financial Officer

Michael R.
Williams

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Williams
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President

Lee
Jackson

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ou=Office of the Chancellor,
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Date: 2016.02.18 11:44:30 -06'00'

Chancellor



Board Order

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

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____, the Board approved the motion presented below:

Whereas, UNTHSC currently provides Comprehensive Medical Services for the Federal Correctional Institution – Fort Worth set to expire of April 10th, 2016, and

Whereas, US Department of Justice - Federal Bureau of Prisons intends to issue a Request for Proposals to continue these Comprehensive Medical Services for the Federal Correctional Institution – Fort Worth , and

Whereas, UNTHSC desires to submit a competitive bid proposal and Execute an Agreement to continue providing Comprehensive Medical Services for the Federal Correctional Institution – Fort Worth,

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

1. Submission of a competitive bid proposal by the UNTHSC to the US Department of Justice – Federal Bureau of Prisons for Comprehensive Medical Services for the Federal Correctional Institution–Fort Worth.
2. Delegation of authority to the Chancellor or his designee to execute the Agreement and further delegation of authority to the UNTHSC President or his designee to execute any subcontracts necessary to provide Comprehensive Medical Services for the Federal Correctional Institution–Fort Worth under the Agreement.

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: January 15, 2016

Title: Delegation of Authority to Negotiate and Execute Professional Services Agreements for UNTHSC to Provide Physician Services to the Tarrant County Hospital District or Acclaim Physician Group.

Background:

In November 2009, the UNT Health Science Center (UNTHSC) entered into Professional Service Agreements (PSAs) with the Tarrant County Hospital District (TCHD) and Tarrant County Indigent Care Corporation (TCICC) to provide physician services to TCHD in Community Medicine, Orthopedics, Psychiatry and Obstetrics and Gynecology. UNTHSC also entered into PSAs to provide, Rheumatology, Cardiology and Gastroenterology. The PSAs for all but Cardiology and Rheumatology were extended and are set to expire on May 31, 2016.

TCHD desires for UNTHSC to continue providing professional services going forward. However, TCHD has recently established the Acclaim Physician Group (Acclaim PG), a wholly owned not-for-profit physician organization, through which it may decide to contract for some or all clinical services with affiliated entities practicing at TCHD facilities. However, this approach has not yet been finalized. Therefore, this Board Order assumes the final contract could be with either TCHD or Acclaim PG.

Financial Analysis/History:

The methodology whereby UNTHSC will be reimbursed by TCHD or Acclaim PG for professional services beginning on or about June 1, 2016 has not yet been determined. However, it will certainly exceed one-million dollars annually.

During FY2015 UNTHSC received approximately \$23.0 million dollars under the current Agreements.

John Harman
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Institution Chief Financial Officer

**Janet
Waldron**
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Date: 2016.02.17 14:05:23 -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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Date: 2016.02.16 17:22:23 -0600
Vice Chancellor/General Counsel

Schedule:

Beginning on or about June 1, 2016 and extending up to a total of sixty (60) months.

Recommendation:

Delegation of Authority to the Chancellor, with concurrence of UNTHSC president, to Negotiate and Execute Professional Services Agreements for UNTHSC to Provide Physician Services to the Tarrant County Hospital District or Acclaim Physician Group.

Recommended By:

John A. Harman
Institution Chief Financial Officer

Michael R. Williams Digitally signed by Michael R. Williams
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o=UNTHSC, ou=President,
email=michael.williams@unthsc.edu, c=US
Date: 2016.02.15 13:55:40 -0600
President

Lee Jackson Digitally signed by Lee Jackson
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Chancellor,
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Date: 2016.02.18 11:45:27 -0600
Chancellor



Board Order

Title: Delegation of Authority to Negotiate and Execute Professional Services Agreements for UNTHSC to Provide Physician Services to the Tarrant County Hospital District or Acclaim Physician Group.

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____, and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNTHSC provides professional services to the Tarrant County Hospital District under Professional Services Agreements set to expire May 31, 2016, and

Whereas, Tarrant County Hospital District or Acclaim Physician Group, its wholly owned not-for-profit physician organization, desires to contract for professional services with UNTHSC, and

Whereas, UNTHSC desires to provide professional services to the Tarrant County Hospital District or Acclaim Physician Group,

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

1. Delegation of Authority to the Chancellor, with the concurrence of the UNTHSC President, to negotiate and execute Agreements with TCHD or Acclaim PG to provide professional services.
2. Agreements to begin on or about June 1, 2016 and extending up to a total of 60 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 Briefing

Committee: Finance & Facilities

Date Filed: January 27, 2016

Title: Authorization to Enter into Agreement between City of Fort Worth and UNTHSC

Background:

In previous years, UNTHSC has entered into agreements with the City of Fort Worth (Research and Technology Development Project Agreements) as a partnership with the City of Fort Worth and TECH Fort Worth, a technology business incubator, which has successfully promoted economic development through the development and commercialization of technologies in health care and other fields. This partnership was supported by funds from the State of Texas and has consistently developed economic activity that resulted in tax revenues returning to the State of Texas. The funding agreement with the City of Fort Worth for the current biennium will be \$1,000,000 which will require approval by the Board of Regents.

In the 2015 (84th) legislative session, the Texas Legislature approved \$3,410,000 for the biennium of 2016-2017 to fund a partnership for economic development and technology commercialization between UNTHSC and the City of Fort Worth. The fund is part of UNTHSC's appropriation and based on the agreement with the City of Fort Worth they receive \$1,000,000 that we allocate from our appropriated budget. This would be the sixth biennium of funding. The initial round of funding was for the biennium of 2006-2007.

The funding is contingent upon the Comptroller of Public Accounts certifying that the joint activities of UNTHSC and the City of Fort Worth generate revenues to the State of Texas sufficient to offset the amount appropriated. The Comptroller will specify the supporting information to be provided by the collaboration. Throughout the history of this partnership the economic results have more than offset the funds appropriated. It is projected that the activities supported by the funds for 2016-2017 will also result in economic activity that will be more than sufficient to offset the funds appropriated.

These appropriations are required to be revenue-neutral for the State of Texas. During the 2014-2015 biennium, the combined efforts of UNTHSC, the City of Fort Worth's Business Assistance Center, and TECH Fort Worth created or retained a total of 3,574 jobs. At \$1,653 per job (figure provided by State Comptroller's office), this resulted in revenues for the State of Texas of \$5,907,822, which is higher than the appropriation of \$3,410,000, exceeding the requirement to be revenue neutral. It is anticipated that the coming biennium of 2016-2017 will also be productive and will meet or exceed the goal of \$3,410,000.

Financial Analysis/History:

For the previous biennium, 2014-2015, \$3,410,000 was provided by the Legislature. The City of Fort Worth received \$1,000,000 and an additional \$200,000 was provided per agreement, to TECH Fort Worth. UNTHSC used the remaining \$2,210,000 to support development and commercialization programs. The agreement with the City of Fort Worth for the 2016-2017 biennium will be for \$1,000,000.

John Harman
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Institution Chief Financial Officer

Janet Waldron
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Date: 2016.02.17 14:06:00 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule:

It is anticipated that for the 2016-2017 biennium UNTHSC will receive two payments in the amount of \$1,705,000 from the State of Texas. The funds will support amounts due to the City of Fort Worth under the Agreement. A date certain for the receipt of the initial funds cannot be set at this time because the Comptroller of Public Funds must certify the report for the previous biennium prior to the release of funds.

Recommendation:

It is recommended that the Board of Regents authorize and approve the execution of the Technology Development and Transfer Agreement with the City of Fort Worth and UNTHSC.

Recommended By:

Thomas Yorio

Provost and Executive VP for
Academic Affairs

Michael R. Williams
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President

Lee Jackson
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Date: 2016.02.18 11:46:51 -06'00'

Chancellor

Attachments Filed Electronically:

- **Technology Development and Transfer Agreement**



Board Order

Title: Authorization to Enter into Agreement between City of Fort Worth and UNTHSC

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in previous years UNTHSC has received funding from the State of Texas to support a collaboration between UNTHSC and the City of Fort Worth, which has successfully promoted economic development through the development and commercialization of technologies in healthcare and other fields, and

Whereas, the collaboration has consistently developed economic activity that resulted in tax revenues returning to the State of Texas over and above the required goals and it is projected that the continuing collaboration will also be successful in developing economic activity that will meet or exceed the necessary goals, and

Whereas, in the 2015, 84th Texas Legislature, funds in the amount of \$3,410,000 were appropriated to further support the continuation of this productive collaboration,

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

1. Execution of the Technology Development and Transfer Agreement between UNTHSC and the City of Fort Worth for technology development with a total amount of \$1,000,000 to be paid in two equal installments of \$500,000 following the receipt of funds from the State of Texas.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

RECEIVED
NOV 13 2015
CITY OF FORT WORTH
CITY SECRETARY

TECHNOLOGY DEVELOPMENT AND TRANSFER AGREEMENT

This **TECHNOLOGY DEVELOPMENT AND TRANSFER AGREEMENT** (“**Agreement**”) is made and entered into by and between the **University of North Texas Health Science Center (“UNTHSC”)**, a state institution of higher education established pursuant to Chapter 105 of the Texas Education Code, and the **City of Fort Worth (“City”)**, a home rule municipal corporation organized under the laws of the State of Texas.

RECITALS

A. The City owns the buildings occupied by the Fort Worth Business Assistance Center (the “**BAC**”), a non-profit business development center that provides skills development, technical advice and access to capital to small businesses and entrepreneurs. The BAC operates from the Guinn School Campus, consisting of three historic buildings (the former middle school, elementary school and gymnasium) on approximately five (5) acres of land in the City at the intersection of I-35 South and Rosedale Street (the “**Guinn School Campus**”).

B. Pursuant to a special item appropriation adopted by the 84th Legislature of the State of Texas during its Regular Session as part of H.B. 1 (General Appropriations Act for the 2016-2017 Biennium) and as approved by the Texas Comptroller of Public Accounts (the “**Appropriation**”), UNTHSC will receive a total of \$3,410,000.00 (the “**Appropriated Funds**”) in two (2) equal annual installments for costs associated with UNTHSC’s and the City’s joint economic development and technology commercialization activities.

C. UNTHSC and the City wish to enter into this Agreement in order to provide for UNTHSC’s transfer to the City of \$1,000,000.00 of those Appropriated Funds in two (2) equal annual installments of \$500,000.00 (the “**City Allocated Funds**”), all of which will be used by the City for operations of the BAC, including any contracted services geared toward small business development and job creation, and for renovations and maintenance of the Guinn School Campus.

NOW, THEREFORE, UNTHSC and the City, for and in consideration of the terms and conditions set forth herein, do hereby contract, covenant and agree as follows:

AGREEMENT

1. INCORPORATION OF RECITALS.

The parties hereby agree that the recitals set forth above are true and correct and form the basis upon which they have entered into this Agreement.

2. CITY ALLOCATED FUNDS.

2.1. Transfer by UNTHSC.

Within five (5) business days of receipt of each installment of the Appropriated Funds, UNTHSC will transfer the City Allocated Funds, as set forth in Recital C, to the City in accordance with a procedure reasonably acceptable to both UNTHSC and the City. The City agrees to deposit the City Allocated Funds into a segregated account(s) or sub-account(s) specifically designated for the funding of the BAC operations or renovations or maintenance of the Guinn School Campus. Any interest earned on the City Allocated Funds shall remain the property of the City, but shall not be spent for purposes other than BAC operations or renovations or maintenance of the Guinn School Campus.

2.2. Draw-Downs for BAC Operations and Guinn School Campus Renovations and Maintenance.

The City will pay invoices for construction and other authorized costs related to BAC operations and renovations of and maintenance costs to the Guinn School Campus directly from those City Allocated Funds that have been deposited into the account(s) or sub-account(s) designated for that purpose. The City will provide UNTHSC with copies of all invoices and other reasonable supporting documentation within a time frame (but in no event later than thirty (30) calendar days following payment) and pursuant to a procedure reasonably acceptable to both UNTHSC and the City.

2.3. No Rollover.

The City understands and agrees that City Allocated Funds received by UNTHSC must be used for a purpose authorized by the Appropriation and as permitted by this Agreement. The City will use commercially reasonable efforts to ensure that City Allocated Funds received by UNTHSC during a state fiscal year (September through August 31) are incurred during the same fiscal year. In the event that the City incurs such City Allocated Funds after expiration of the state fiscal year in which they were received by UNTHSC and the Comptroller demands repayment of all or any portion of such City Allocated Funds

specifically due to that fact, the City will pay UNTHSC or the State of Texas an amount equal to the refund demanded from any legally available source of funds; provided, however, that UNTHSC will cooperate with the City if the City reasonably and in good faith disagrees with the Comptroller's demand and wishes to employ any available administrative or legal remedy to contest the Comptroller's demand, with the understanding that UNTHSC itself shall have no liability or responsibility in asserting or related to such a contest.

3. COOPERATION WITH STATE COMPTROLLER.

UNTHSC will comply and cooperate with all requests and requirements of the Texas Comptroller of Public Accounts (the "**Comptroller**") pertaining to the Appropriated Funds. The City will comply and cooperate with all requests and requirements of the Comptroller (whether received directly from the Comptroller or through UNTHSC) pertaining to the City Allocated Funds, including all requests for information to substantiate job creation. Each party shall notify the other in writing within five (5) calendar days of receipt of any such request or requirement and shall cooperate with one another as reasonably necessary to ensure that such request or requirement is met in a timely fashion. As of the execution date of this Agreement, UNTHSC and City are not aware of any remaining duty, obligation or provision of information that the City or UNTHSC must undertake or supply to the Comptroller. In the event Comptroller demands the refund of any Appropriated Funds transferred to the City as City Allocated Funds on account of the City's misuse of such City Allocated Funds, City will pay UNTHSC or the State of Texas in a manner dictated by the Comptroller an amount equal to the refund demanded from any legally available source of funds; provided, however, that UNTHSC will cooperate with the City if the City reasonably and in good faith disagrees with the Comptroller's demand and wishes to employ any available administrative or legal remedy to contest the Comptroller's demand, with the understanding that UNTHSC itself shall have no liability or responsibility in asserting or related to such a contest.

4. TERM.

This Agreement shall take effect on the date as of which both UNTHSC and the City have executed it and shall expire at 11:59 P.M. CDT August 31, 2017. Any duty or obligation of a party arising prior to expiration shall survive the expiration.

5. BREACH OR DEFAULT.

City understands and acknowledges that UNTHSC is not obligated to pay the City Allocated Funds from any source other than the Appropriated Funds received by UNTHSC. City acknowledges and agrees that UNTHSC's liability to City under this Agreement is limited to the amount of funds actually received by UNTHSC designated

by this Agreement as the City Allocated Funds. If UNTHSC receives Appropriated Funds but fails to transfer the City Allocated Funds to the City in accordance with this Agreement, the City shall provide written notice to UNTHSC. If UNTHSC fails to transfer the City Allocated Funds to the City within ten (10) business days following receipt of such notice, UNTHSC shall be in breach of this Agreement, in which case the City shall have all rights at law for monetary damages or in equity for injunctive relief or specific performance. If either party breaches any other provision of this Agreement, the non-defaulting party shall notify the defaulting party in writing, specifying the nature of the default. If the defaulting party has not cured the default within thirty (30) calendar days following receipt of such notice (or, if the defaulting party has diligently and continuously attempted cure, such additional time as may reasonably be required to effect cure), the defaulting party shall be in breach of this Agreement, in which case the non-defaulting party shall have all equitable rights for injunctive relief or specific performance.

6. LIABILITY.

EXCEPT FOR UNTHSC'S DUTY AND OBLIGATION TO TRANSFER THE CITY ALLOCATED FUNDS TO THE CITY IN ACCORDANCE WITH THIS AGREEMENT, THE CITY HEREBY HOLDS HARMLESS AND RELEASES UNTHSC FROM AND AGAINST ANY LOSS, DAMAGE, LIABILITY AND EXPENSE (INCLUDING, WITHOUT LIMITATION, COURT COSTS AND REASONABLE ATTORNEY'S FEES) ARISING FROM OR RELATED TO THE SCHOOL RENOVATION AND THE PROVISION OF PROGRAM SERVICES.

7. NOTICES.

All written notices called for or required by this Agreement shall be addressed to the following, or such other party or address as either party designates in writing, by certified mail, postage prepaid, or by hand delivery:

City:

City of Fort Worth
Attn: Director
Economic Development Department
1000 Throckmorton
Fort Worth, TX 76102
Tel. No.: (817) 392-6125
Fax No.: (817) 392-2431

UNTHSC:

University of North Texas Health Science
Center
Attn: Dr. David Cistola, VP Research
3500 Camp Bowie Blvd.
Fort Worth, TX 76107-2699
Tel. No.: 817-735-2055
Fax No.: 817-735-5485

8. **COMPLIANCE WITH LAWS, ORDINANCES, RULES AND REGULATIONS.**

This Agreement will be subject to all applicable federal, state and local laws, ordinances, rules and regulations. Neither UNTHSC nor the City are aware of any law, rule or regulation that would prohibit the other from entering into this Agreement.

9. **NO WAIVER.**

The failure of either party to insist upon the performance of any term or provision of this Agreement or to exercise any right granted hereunder shall not constitute a waiver of that party's right to insist upon appropriate performance or to assert any such right on any future occasion.

10. **VENUE AND JURISDICTION.**

If any action, whether real or asserted, at law or in equity, arises on the basis of any provision of this Agreement, venue for such action shall lie in state courts located in Tarrant County, Texas. This Agreement shall be construed in accordance with the laws of the State of Texas.

11. **NO THIRD PARTY RIGHTS.**

The provisions and conditions of this Agreement are solely for the benefit of the City and UNTHSC and are not intended to create any rights, contractual or otherwise, to any other person or entity.

12. **FORCE MAJEURE.**

It is expressly understood and agreed by the parties to this Agreement that if the performance of any obligations hereunder is delayed by reason of war, civil commotion, acts of God, inclement weather, governmental restrictions, regulations, or interferences, or delays caused by unforeseen construction or site issues, fire or other casualty, court injunction, necessary condemnation proceedings, acts of the other party, its affiliates/related entities and/or their contractors, or any actions or inactions of third parties or other circumstances which are reasonably beyond the control of the party obligated or permitted under the terms of this Agreement to do or perform the same, regardless of whether any such circumstance is similar to any of those enumerated or not ("**Force Majeure**"), the party so obligated or permitted shall be excused from doing or performing the same during such period of Force Majeure, so that the time period applicable to such performance shall be extended for a period of time equal to the period such party was delayed due to the event of Force Majeure.

13. INTERPRETATION.

In the event of any dispute over the meaning or application of any provision of this Agreement, this Agreement shall be interpreted fairly and reasonably, and neither more strongly for or against any party, regardless of the actual drafter of this Agreement.

14. CAPTIONS.

Captions and headings used in this Agreement are for reference purposes only and shall not be deemed a part of this Agreement.

15. ENTIRETY OF AGREEMENT.

This Agreement, including any exhibits attached hereto and any documents incorporated herein by reference, contains the entire understanding and agreement between the City and UNTHSC as to the matters contained herein. Any prior or contemporaneous oral or written agreement is hereby declared null and void to the extent in conflict with any provision of this Agreement.

16. COUNTERPARTS.

This Agreement may be executed in multiple counterparts, each of which shall be

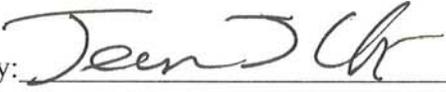
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considered an original, but all of which shall constitute one instrument.

EXECUTED as of the last date indicated below:

CITY OF FORT WORTH:

**UNIVERSITY OF NORTH TEXAS
HEALTH SCIENCE CENTER:**

By: 
Jesus J. Chapa
Assistant City Manager

By: _____
Dr. Michael R. Williams
President

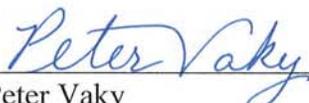
Date: 11-13-15

Date: _____

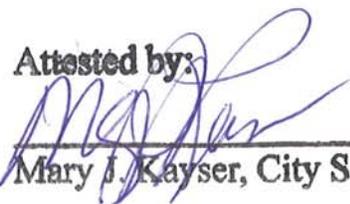
By: _____
Lee Jackson, Chancellor of
University of North Texas System

Date: _____

APPROVED AS TO FORM AND LEGALITY:

By: 
Peter Vaky
Deputy City Attorney

M&C: C-27461 9-15-15

Attested by:

Mary J. Kayser, City Secretary



Board Briefing

Committee: Finance & Facilities

Date Filed: January 15, 2016

Title: UNT Dallas Naming of Outdoor Amphitheater

Background:

Regents Rule 09.200, Naming of Property, Programs and Academic Positions, requires approval of namings. Private funding has been secured for an outdoor amphitheater to be located on the UNT Dallas campus. Initial planning for the 150 to 200 occupant amphitheater is complete, design and construction set to commence once all funds are received. The construction of this building falls below the limits of the projects requiring Board approval for construction; however, UNT Dallas's naming policy (9.001.1) requires naming approval by the Board.

The Hoblitzelle Foundation has pledged \$300,000 (50%) of the construction costs associated with the building of the new outdoor amphitheater and declined the naming rights to the facility. The Hoblitzelle Foundation has paid \$100,000 to date. Additional funding for the facility was received from the Hillcrest Foundation which pledged and paid \$100,000 (8%). Mr. and Mrs. Hart pledged \$250,000 (42%) and paid \$251,685.91.

The addition of an outdoor amphitheater to the UNT Dallas campus will greatly enhance various programs for our students as well as provide a valuable resource for the neighboring communities. In recognition of the gift made by Mr. and Mrs. Hart, the University wishes to honor these individuals with the naming of the new amphitheater.

Financial Analysis/History:

Current UNT Dallas policy 9.001, *Naming Policy*, states:

“Naming of buildings and other major facilities...must be approved by the Board of Regents following the recommendations of the President. The criteria for a gift-related naming will consider the value, visibility, improvements, and marketability of the location and will be based on a minimum donation valued between 33% and 50% of the original construction, renovation, or current value of the property.”

The estimated cost of the new outdoor amphitheater at UNT Dallas is \$600,000. UNT Dallas has received the following in gifts and pledges to date:

Pledged	Received	Donor
\$300,000	\$100,000.00	Hoblitzelle Foundation Matching grant from foundation, allowing UNT Dallas to retain naming rights. \$100,000 pledge payments to be paid in FY 2016 & FY 2017.
\$100,000	\$100,000.00	Hillcrest Foundation
\$250,000	\$251,685.91	Linda & Milledge Hart
\$650,000	\$451,685.91 Total	

There are no financial implications associated with this naming.

daniel.edelman@untdallas.edu
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 DN: cn=daniel.edelman@untdallas.edu
 Date: 2016.02.16 11:50:45 -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: 2016.02.17 14:06:47 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule:

Recommendation:

UNT Dallas at this time recommends that the Board formally approved the naming of this facility as the "Hart Amphitheater".

Recommended By:

Dan Edelman

CFO

Bob Mong

Digitally signed by Bob Mong
 DN: cn=Bob Mong, o=UNT Dallas, ou=Office of the President, email=bob.mong@untdallas.edu, c=US
 Date: 2016.02.16 10:27:57 -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.e
du, c=US
Date: 2016.02.18 11:47:54
-06'00'

Chancellor



Board Order

Title: UNT Dallas Naming of Outdoor Amphitheater

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, Regents Rule 09.200, Naming of Property, Programs and Academic Positions, requires approval of the Board of Regents for the naming of buildings, and

Whereas, the project for the construction of the outdoor amphitheater falls below the limits of projects requiring Board approval for construction, and

Whereas, this facility has not previously received Board of Regents approval for naming,

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

1. Naming of the new outdoor amphitheater to be constructed on the campus of UNT Dallas as the Hart Amphitheater.

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: January 15, 2016

Title: UNT Dallas College of Law FY2017 Tuition Increase

Background:

UNT Dallas College of Law inaugural class enrolled in August of 2014. To date, 272 students have enrolled. Approximately 400 students are expected to be enrolled by the end of FY 2017.

UNT Dallas College of Law’s core educational goal of delivering a legal education is second to none in developing practice-related competencies. Maintaining affordable tuition is consistent with this educational goal and critical to the mission.

The total tuition for resident students for 2015-2016 academic year is \$14,565. In light of its mission, and to ensure the quality education of its students, UNT Dallas College of Law requests that tuition for resident full-time students be increased to \$15,133 for 2016-2017 academic year or \$7,567 per semester (an increase of 3.9%). This increase will only apply to incoming students as current students’ tuition rate are frozen for the entirety of their degree (as long as they maintain satisfactory progress towards their degree). Resident part-time students will pay the tuition at the same rate, reduced on a pro rata basis contingent on the amount of enrolled semester credit hours. Current non-resident tuition of \$25,720 is recommended to be set at \$26,723, also an increase of 3.9%.

Unlike many other law schools, UNT Dallas College of Law does not discount tuition. The goal of this transparent tuition model is to keep tuition costs as low as possible. This practice also allows students to determine their costs before applying, but presents a challenge when comparing the true cost of tuition and fees at other law schools. Nevertheless, a tuition comparison chart is presented on the following page to show this increase in tuition remains substantially lower than tuition charged by other Texas law schools. The breakdown of proposed UNT Dallas College of Law tuition charges is as follows:

Full Time 30 SCH/Yr. Course load

	Statutory Tuition	Board Designated Tuition	Graduate Differential Tuition	Total Tuition	Est. Total Fees	Total Tuition & Fees
Resident	\$2,400	\$5,533	\$7,200	\$15,133	\$570	\$15,703
Non-Resident	\$13,200	\$6,323	\$7,200	\$26,723	\$570	\$27,293

Texas Law School Tuition and Fees Comparison***

	Institution	Location	Tx Resident 2015-2016	Non-Resident 2015-2016
Public	TSU	Houston	\$19,970	\$26,420
	Texas Tech	Lubbock	\$23,262	\$33,792
	U. Houston	Houston	\$29,784	\$44,044
	Texas A&M	Fort Worth	\$33,092	\$33,092
	UT Austin	Austin	\$33,162	\$49,244
	Public Average			\$27,854
Private	Baylor U	Waco	\$56,472	N/A
	SMU	Dallas	\$49,962	N/A
	South Texas	Houston	\$29,490	N/A
	St. Mary's U.	San Antonio	\$34,640	N/A
	Private Average			\$42,641

*Tuition and Fees data retrieved from each institution's website (as of 1/13/16).

**Based on 1st year student taking a 30 hour course load (except of U. Houston for 31 hour)

*** Gross not net of discounting

Financial Analysis/History:

Many other law schools set tuition and fees much higher and subsequently discount tuition for their students. This practice allows those schools to indirectly increase tuition (by decreasing the tuition discount). However, the transparent no discount tuition model embraced by UNT Dallas College of Law strategically maintains low tuition, produces modest operating revenue, and ensures access to historically disadvantaged students.

The proposed tuition is projected to generate net tuition and fee of \$4.3m for FY 2017 (an increase of 3%). This projection includes tuition and fees from the first year class (1L) and second year class with frozen tuition of \$14,040 and \$14,565 respectively. UNT Dallas College of Law is also expected to receive \$4.2m in State General Revenue

Projected operating expenses for FY 2017 is \$8.2m. Any variation in student enrollment could have a positive or negative effect on projected tuition revenue.

This increase is necessary to ensure the continued growth and sustainability of UNT Dallas College of Law, as well as to enhance its success with respect to accreditation from the American Bar Association. Following its first full year of operations with students in FY 15, the College of Law was able to determine ongoing operating expenses. The College of Law's requested increase in revenue will allow for investment and growth in significant and needed areas. For example, the projected budget for fiscal year 2017 includes funding for five new full-time tenured or tenure-track professors, new initiatives, and programming. In addition, new administrative and staff personnel being considered by the College of Law are in the areas of Academic Success,

Instructional Technology, experiential learning, career counseling, event planning, and additional administrative support. After a year-and-a-half of operations with students, these are the areas the College of Law has determined need additional investment to ensure compliance with the American Bar Association standards, thereby enhancing the College of Law application for provisional, and subsequently full, ABA approval. The projected budget for fiscal year 2018 includes funding for an additional five new full-time tenured or tenure-track professors, bringing the total projected full-time faculty to 20.

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Date: 2016.02.16 11:51:13 -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: 2016.02.17 14:07:30 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule:

Effective upon approval by the Board of Regents.

Recommendation:

It is recommended that the Board of Regents authorize and approve FY 2017 UNT Dallas College of Law Tuition for incoming students for the 2016-2017 academic year - \$15,133 resident tuition and \$26,723 non-resident tuition.

Recommended By:

Dan Edelman

CFO

Bob Mong

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DN: cn=Bob Mong, o=UNT Dallas,
ou=Office of the President,
email=bob.mong@untdallas.edu,
c=US
Date: 2016.02.16 10:28:25 -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: 2016.02.18 11:50:07 -06'00'

Chancellor



Board Order

Title: UNT Dallas College of Law FY2017 Tuition Increase

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Dallas College of Law is in preparation to enroll its third year class (3L), Board Designated Tuition and Graduate Differential Tuition must be established in order for students to matriculate in the Fall of 2016 and

Whereas, for FY 2017, the proposed UNT Dallas College of Law tuition would generate \$4.15m net tuition, and

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

1. FY 2017 UNT Dallas College of Law Tuition for incoming students for the 2016-2017 academic year - \$15,133 resident tuition and \$26,723 non-resident tuition.

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 November 19-20, 2015 Board Meeting and the December 5, 2015 Special Called Board Meeting

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the minutes of the November 19-20, 2015 Board Meeting and the December 5, 2015 Special Called Board Meeting have been prepared by the Board Secretary and are attached here for Board approval,

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

1. The minutes of the November 19-20, 2015 Board Meeting and the December 5, 2015 Special Called Board Meeting of the UNT System Board of Regents.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



UNT | SYSTEM™

MINUTES BOARD OF REGENTS MEETING November 19-20, 2015

Thursday, November 19, 2015

The University of North Texas System Board of Regents convened on Thursday, November 19, 2015 in Room 43/47 of the Gateway Center, University of North Texas, 801 North Texas Blvd, Denton, Texas with the following Regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Gwyn Shea, Al Silva, Glen Whitley, Laura Wright, and Courtney Haning. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 1:08 pm.

Chairman Ryan introduced the two new Regents, A.K. Mago and Laura Wright, and welcomed them to the Board.

Chairman Ryan recognized Chancellor Jackson who made **Introductions** of new System employees in leadership roles (Jim Gross, Aaron LeMay and Tracy Grunig). He **made comments on the meeting agenda and plans** and discussed the new **Quarterly Operations Report**.

Chairman Ryan recessed the Board for the meetings of the Strategic and Operational Excellence and Audit Committees.

Following the Committee meetings, the Board reconvened at 4:26 pm, at which time Chairman Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071, .072, .074 and .076.

Chairman Ryan reconvened the Board into open session at 6:12 pm. There were no action items to consider from Executive Session. There being no further business, the Board meeting was recessed at 6:12 pm on Thursday, November 19, 2015 to be reconvened at 8:30 am on Friday, November 20, 2015 in the same room.

Friday, November 20, 2015

The University of North Texas System Board of Regents convened on Friday, November 20, 2015 in Room 43/47 of the Gateway Center, University of North Texas, 801 North Texas Blvd, Denton, Texas with the following Regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Rusty Reid, Gwyn Shea, Al Silva, Glen Whitley, Laura Wright, and Courtney Haning. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 8:30 am.

Chairman Ryan recessed the Board for the meetings of the Academic Affairs and Student Success and Finance and Facilities Committees.

Following the Committee meetings, Chairman Ryan reconvened the full Board at 12:40 pm.

The Board considered the following items on the 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**

Regent Glen Whitley recused himself from action item 4. Therefore, the consent agenda was considered in two motions. Pursuant to a motion by Regent Glen Whitley seconded by Regent Rusty Reid, the Board approved action items 1-3 on the consent agenda. The motion was approved on an 8-0 vote. Pursuant to a motion by Regent Rusty Reid seconded by Regent A.K. Mago, the Board approved action item 4 on the consent agenda, on a 7-0 vote with Regent Glen Whitley recused.

The Board then considered the following action items coming out of committees:

Academic Affairs Committee Items

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

Pursuant to a motion by Regent Al Silva seconded by Regent A.K. Mago, the Board approved the above Academic Affairs and Student Success Committee action item. The motion was approved on an 8-0 vote.

Finance and Facilities Committee 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**

Pursuant to a motion by Regent Rusty Reid seconded by Regent Glen Whitley the Board approved the above Finance and Facilitates Committee action items. The motion was approved on an 8-0 vote.

The following Background Reports were shared with the Board through its committees:

- UNTS Quarterly Operations Report
- UNTS Consolidated Annual Compliance Report

At 12:44 pm, Chairman Brint Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071, .072, .074 and .076.

Chairman Ryan reconvened the Board into open session at 2:10 pm with Milton Lee, Rusty Reid, Gwyn Shea, Glen Whitley, and Laura Wright in attendance. There were two items to consider from Executive Session.

10. UNTS Authorization to Execute an Agreement with the Texas Department of Transportation for the Sale of Two Tracts of Land, Generally Described as Parcel 116 on the Southeast Side of IH-35E Running from North Texas Boulevard to Bonnie Brae, and Parcel 124 on the Northeast Side of IH-35E Running from North Texas Boulevard to Bonnie Brae, Denton County, Texas; and Authorization to Execute an Agreement with the Texas Department of Transportation regarding Parcel 124(AC), Denton County, Texas

Pursuant to a motion by Regent Milton Lee seconded by Regent Gwyn Shea the Board approved the above action item. The motion was approved on a 6-0 vote.

11. UNTS Authorization to Negotiate, Approve and Execute 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, Dallas County, Texas

Pursuant to a motion by Regent Rusty Reid seconded by Regent Glen Whitley the Board approved the above action item. The motion was approved on a 6-0 vote.

There being no further business, the Board meeting was adjourned at 2:13 pm on Friday, November 20, 2015.

Submitted By:

Approved By:

Rosemary R. Haggett
Rosemary R. Haggett, Board Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Date: Dec 4, 2015
University of North Texas System
Board of Regents Meeting
November 19-20, 2015

Date: _____



UNT | SYSTEM

BOARD OF REGENTS Teleconference Meeting Minutes December 5, 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 Saturday, December 4, 2015 in Room 711, UNT System Building, 1901 Main St. Dallas, Texas, with the following Regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Glen Whitley, and Laura Wright.

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 4:04 pm.

The Board Secretary called roll and identified all participants in the meeting. Regent Whitley joined the call at 4:15 pm.

At 4:06 pm Chairman Ryan moved the meeting into Executive Session in accordance with Texas Government Code Sections 551.074.

The Board reconvened in Open Session at 4:36 pm with one action item coming out of Executive Session.

2015-115 Delegation of Authority to Enter into an Employment Agreement with a Head Football Coach

Regent Mago made the motion to approve, and Regent Potts 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 4:38 pm.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett,
Board Secretary

Date: 1/5/16

Approved By:

Brint Ryan,
Chairman

Date: _____



Board Briefing

Committee: Consent

Date Filed: January 15, 2016

Title: Approval of TexPool Resolutions Amending Authorized UNT System Representatives

Background: The University of North Texas and University of North Texas at Dallas participate in TexPool as one of the local government investment pools. When changes in staffing among authorized TexPool representatives occur and a new authorized user must be added, it is necessary to file a TexPool “Resolution Authorizing Participation in the TexPool Investment Pools and Designating Authorized Representatives.” This resolution updates all authorized representatives, and because it is necessary to add additional authorized users, is required to be approved by the Board of Regents.

This action adds Gulnaar Murthy as an authorized user, and removes Kassie Grubbs as authorized user.

Financial Analysis/History:

There are no financial implications for the approval of TexPool Resolutions.

Janet Waldron

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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu, c=US
Date: 2016.02.17 13:52:07 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2016.02.16 13:57:09 -06'00'

Vice Chancellor/General Counsel

Schedule: N/A

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order.

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2016.02.18 11:23:16 -06'00'

Chancellor

Attachments Filed Electronically:

- TexPool Resolution Authorizing Participation in the TexPool Investment Pools And Designating Authorized Representatives for University of North Texas
- TexPool Resolution Authorizing Participation in the TexPool Investment Pools And Designating Authorized Representatives for University of North Texas at Dallas



Board Order

Title: Approval of TexPool Resolutions Amending Authorized UNT System Representatives

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2016, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, TexPool requires Board of Regents approval of the “Resolution Authorizing Participation in the TexPool Investment Pools and Designating Authorized Representatives” to add an authorized representative,

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

1. Adoption of the attached TexPool Resolutions Authorizing Participation in the TexPool Investment Pools and Designating Authorized Representatives for both University of North Texas and 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



RESOLUTION AMENDING AUTHORIZED REPRESENTATIVES

WHEREAS, UNIVERSITY OF NORTH TEXAS DALLAS 79327

(Participant Name & Location Number)

("Participant") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("TexPool/ Texpool Prime"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

- A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.
- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representatives of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

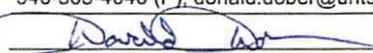
1. Name: James Mauldin Title: Assoc. Vice Chancellor for Treasury
 Phone/Fax/Email: 214-243-1768 phone; james.mauldin@untsystem.edu
 Signature: [Handwritten Signature]

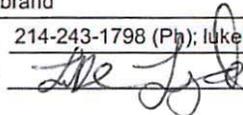
2. Name: Gulnaar Murthy Title: Treasury Analyst
 Phone/Fax/Email: 940-369-5532 phone; Gulnaar.Murthy@untsystem.edu
 Signature: [Handwritten Signature]

ORIGINAL SIGNATURE AND DOCUMENT REQUIRED

TEX – REP

TexPool Participant Services • Federated Investors Inc
1001 Texas Ave., Suite 1400 • Houston, TX 77002 • www.texpool.com • 1-866-839-7665

3. Name: Donald Dober Title: Director
Phone/Fax/Email: 940-565-4040 (P); donald.dober@untsystem.edu
Signature: 

4. Name: Luke Lybrand Title: Treasury Manager
Phone/Fax/Email: 214-243-1798 (Ph); luke.lybrand@untsystem.edu
Signature: 

List the name of the Authorized Representative listed above that will have primary responsibility for performing transactions and receiving confirmations and monthly statements under the Participation Agreement.

Name James Mauldin

In addition and at the option of the Participant, one additional Authorized Representative can be designated to perform only inquiry of selected information. This limited representative cannot perform transactions. If the Participant desires to designate a representative with inquiry rights only, complete the following information.

5. Name: Janet Waldron Title: Vice Chancellor for Finance
Phone/Fax/Email: 214-752-5547 phone; janet.waldron@untsystem.edu

D. That this Resolution and its authorization shall continue in full force and effect until amended or revoked by the Participant, and until TexPool Participant Services receives a copy of any such amendment or revocation. This Resolution is hereby introduced and adopted by the Participant at its regular/special meeting held on the 25th day February 2016, 20 .

Document is to be signed by your Board President, Mayor or County Judge and attested by your Board Secretary, City Secretary or County Clerk.

NAME OF PARTICIPANT: University of North Texas at Dallas

SIGNED: _____
Signature
Brint Ryan
Printed Name
Chairman, UNT System Board of Regents
Title

ATTEST: _____
Signature
Rosemary R. Haggett
Printed Name
Secretary to the UNT System Board of Regents
Title

This document supersedes all prior Authorized Representative designations.

ORIGINAL SIGNATURE AND DOCUMENT REQUIRED

TEX – REP

TexPool Participant Services • Federated Investors Inc
1001 Texas Ave., Suite 1400 • Houston, TX 77002 • www.texpool.com • 1-866-839-7665

0 6 /13



RESOLUTION AMENDING AUTHORIZED REPRESENTATIVES

WHEREAS, UNIVERSITY OF NORTH TEXAS 77383

(Participant Name & Location Number)

("Participant") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("TexPool/ Texpool Prime"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

- A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.
- B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and
- C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representatives of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

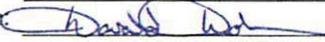
1. Name: James Mauldin Title: Assoc. Vice Chancellor for Treasury
 Phone/Fax/Email: 214-243-1768 phone; james.mauldin@untsystem.edu
 Signature: [Handwritten Signature]

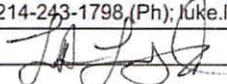
2. Name: Gulnaar Murthy Title: Treasury Analyst
 Phone/Fax/Email: 940-369-5532 phone; Gulnaar.Murthy@untsystem.edu
 Signature: [Handwritten Signature]

ORIGINAL SIGNATURE AND DOCUMENT REQUIRED

TEX – REP

TexPool Participant Services • Federated Investors Inc
1001 Texas Ave., Suite 1400 • Houston, TX 77002 • www.texpool.com • 1-866-839-7665

3. Name: Donald Dober Title: Director
Phone/Fax/Email: 940-565-4040 (P); donald.dober@untsystem.edu
Signature: 

4. Name: Luke Lybrand Title: Treasury Manager
Phone/Fax/Email: 214-243-1798 (Ph); luke.lybrand@untsystem.edu
Signature: 

List the name of the Authorized Representative listed above that will have primary responsibility for performing transactions and receiving confirmations and monthly statements under the Participation Agreement.

Name James Mauldin

In addition and at the option of the Participant, one additional Authorized Representative can be designated to perform only inquiry of selected information. This limited representative cannot perform transactions. If the Participant desires to designate a representative with inquiry rights only, complete the following information.

5. Name: Janet Waldron Title: Vice Chancellor for Finance
Phone/Fax/Email: 214-752-5547 phone; janet.waldron@untsystem.edu

D. That this Resolution and its authorization shall continue in full force and effect until amended or revoked by the Participant, and until TexPool Participant Services receives a copy of any such amendment or revocation. This Resolution is hereby introduced and adopted by the Participant at its regular/special meeting held on the 25th day February 2016, 20 .

Document is to be signed by your Board President, Mayor or County Judge and attested by your Board Secretary, City Secretary or County Clerk.

NAME OF PARTICIPANT: University of North Texas

SIGNED: _____
Signature
Brint Ryan
Printed Name
Chairman, UNT System Board of Regents
Title

ATTEST: _____
Signature
Rosemary R. Haggett
Printed Name
Secretary to the UNT System Board of Regents
Title

This document supersedes all prior Authorized Representative designations.



Board Briefing

Committee: Finance & Facilities

Date Filed: January 20, 2016

Title: Approval of Intercomponent Transfers of State Appropriations for the College of Law from UNT System Administration to UNT Dallas

Background:

With the approval of the governing board, appropriation transfers may be made between a system administrations and a component institution. The transfer of appropriated funds for the College of Law from UNT System Administration to UNT Dallas was approved as part of the fiscal year 2016 budget approval, however the transfer requires specific Board of Regents approval before the State Comptroller’s Office will facilitate the transfer of funds in the state treasury.

Financial Analysis/History:

UNT System Administration needs approval to transfer \$4,658,130 in addition to an amount for group insurance that will be determined by the state to UNT Dallas as part of the transfer of the College of Law.

The transfer of funds consists of the following items that UNT System Administration received as part of its total appropriation:

B.1.3. Strategy: Law School.....	\$2,318,713
C.1.1. Strategy: Operations Support.....	\$2,078,966
C.1.2. Strategy: Staff Group Insurance Premiums.....	\$74,283
C.1.3. Strategy: Texas Public Education Grants.....	\$43,527
C.1.4. Strategy: Educational/General Space Support.....	\$100,577
C.1.5. Strategy: Small Institution Supplement	\$42,064
Total:	\$4,658,130

The \$4,658,130 total consists of the following methods of finance:

General Revenue.....	\$3,454,110
General Revenue - Dedicated	
Estimated Board Authorized Tuition Increases Account No. 704	\$948,000
Estimated Other Educational and General Income Account No. 770.....	\$256,020
Total:	\$4,658,130

Additionally, UNT System will transfer a portion of its Higher Education Group Insurance appropriation to UNT Dallas to be used for insurance premium payments.

daniel.edelman@untdallas.edu
Digitally signed by
daniel.edelman@untdallas.edu
DN:
cn=daniel.edelman@untdallas.edu
Date: 2016.02.16 11:48:46 -06'00'

UNT Dallas Chief Financial Officer

Janet
Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.02.17 13:53:01 -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: 2016.02.16 13:57:51 -06'00'

Vice Chancellor/General Counsel

Schedule:

The transfer will be made after approval of the Board of Regents.

Recommendation:

It is recommended that the Board approve the transfer of FY2016 appropriations for the College of Law from UNT System Administration to UNT Dallas.

Recommended By:

Janet Waldron

Vice Chancellor for Finance

Lee
Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT
System, ou=Office of the
Chancellor,
email=lee.jackson@untsystem.e
du, c=US
Date: 2016.02.18 11:24:21 -06'00'

Chancellor



Board Order

Title: Approval of Intercomponent Transfers of State Appropriations for the College of Law from UNT System Administration to UNT Dallas

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, state law requires governing board approval of intercomponent transfers of appropriations, and

Whereas, the UNT System Board of Regents previously approved the use of these funds in the FY2016 UNT Dallas budget,

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

1. The transfer of appropriations from UNT System Administration to UNT Dallas in compliance with Article III Special Provisions Section 4.1: Intercomponent Transfers, General Appropriations Act (House Bill 1), 84th Legislature, Regular Session, as follows:

Method of Finance

General Revenue	\$3,454,110
General Revenue - Dedicated	
Estimated Board Authorized Tuition Increases Account No. 704	\$948,000
<u>Estimated Other Educational and General Income Account No. 770.....</u>	<u>\$256,020</u>
Total:.....	\$4,658,130

Informational Items

B.1.3. Strategy: Law School.....	\$2,318,713
C.1.1. Strategy: Operations Support.....	\$2,078,966
C.1.2. Strategy: Staff Group Insurance Premiums.....	\$74,283
C.1.3. Strategy: Texas Public Education Grants.....	\$43,527
C.1.4. Strategy: Educational/General Space Support.....	\$100,577
C.1.5. Strategy: Small Institution Supplement	\$42,064
Total:.....	\$4,658,130

2. The transfer of an amount to be decided by the State from the System Administration Higher Education Group Insurance appropriation to UNT Dallas.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Briefing

Committee: Finance & Facilities

Date Filed: February 3, 2016

Title: Approval of Intercomponent Transfers of State Appropriations

Background:

With the approval of the governing board, transfers of appropriations may be made between academic components within a system, between health science centers within a system, and between system administrations and component institutions.

Financial Analysis/History:

This item is intended to provide the approval necessary for appropriations transfers made throughout the year.

Bob Brown
Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas,
ou=VP for Finance and Administration,
email=bbob.brown@unt.edu, c=US
Date: 2016.02.15 15:28:09 -06'00'
UNT Chief Financial Officer

John Harman
Digitally signed by John Harman
DN: cn=John Harman, o=UNT Health
Science Center, ou=Office of Finance,
email=john.harman@unthsc.edu, c=US
Date: 2016.02.15 13:29:14 -06'00'
UNT Health Science Center Chief
Financial Officer

daniel.edelman@untdallas.edu
Digitally signed by
daniel.edelman@untdallas.edu
DN:
cn=daniel.edelman@untdallas.edu
Date: 2016.02.16 11:49:11 -06'00'
UNT Dallas Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT
System, ou=Vice Chancellor for
Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2016.02.17 13:53:48 -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: 2016.02.16 13:58:39 -06'00'
Vice Chancellor/General Counsel

Schedule:

The transfer will be made after approval of the Board of Regents.

Recommendation:

It is recommended that the Board approve intercomponent transfers of FY2016 appropriations.

Recommended By:

Janet Waldron

Vice Chancellor for Finance

Lee
Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2016.02.18 11:25:25 -06'00'

Chancellor



Board Order

Title: Approval of Intercomponent Transfers of State Appropriations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, state law requires governing board approval of intercomponent transfers of appropriations,

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

1. The request to the State Comptroller, pursuant to the appropriate transfer provisions of the General Appropriations Act of the 84th Legislature, to make necessary transfers within the Legislative Appropriations (and/or Informational Items of Appropriation) from the General Revenue Fund as authorized by the Chief Financial Officer of each entity as follows:

The University of North Texas
 The University of North Texas Health Science Center at Fort Worth
 The University of North Texas at Dallas
 The University of North Texas System Administration

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: January 11, 2016

Title: Approval of UNT Faculty Development Leaves for 2016-2017 Academic Year

Background:

In accordance with UNT Policy 15.1.11, *Faculty Development Leave Policy and Guidelines*,

“Faculty development leaves are authorized for the primary purpose of increasing the value of the recipient’s sustained contribution to the university by providing the individual an opportunity for professional growth. Such developmental leaves are not to be understood as deferred compensation, nor are they to be anticipated simply on the basis of longevity at the university, alone. Development leave may be granted, upon application, for study, research, writing, field observations or other suitable purposes.

Opportunities for additional training, for improving skills and for maintaining currency is understood to be included as a purpose of development leave.”

In 1984, the University of North Texas began granting faculty development leaves, recognizing the need for faculty to have an opportunity to pursue major research or creative projects in order to contribute to the body of knowledge in their fields and better serve their students by remaining current in their disciplines. In 1987, the 70th Texas Legislature similarly encouraged universities to expand faculty development programs through a series of measures that increased flexibility in accounting for faculty activities.

In the ensuing years, the faculty development leave program has proven vital in maintaining discipline mastery for our faculty as we push forward toward national research status. These development leaves contribute greatly to the increase in research funding, research publications, and national recognition for UNT.

After careful review of proposals at the department and college levels, by a Faculty Senate committee, and by the Provost and Vice President for Academic Affairs, the University plans to award a total of 50 (4.7% of the full-time faculty) developmental leaves for the upcoming academic year. This represents a decrease in the number and percentages of faculty development leaves that have been approved in the past several years.

Financial Analysis/History:

The cost incurred as a result of the recommended faculty development leaves will be covered by existing college and school budgeted funds and will total approximately \$342,474. The total estimate for the costs incurred as a result of the recommended faculty development leaves was

calculated from replacement costs submitted by colleges and estimated average costs for covering individual faculty leaves.

Bob Brown
Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas, ou=VP
for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2016.02.15 15:29:49 -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: 2016.02.17 13:54:32 -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: 2016.02.16 13:59:23 -06'00'

Vice Chancellor/General Counsel

Schedule:

2016-2017 Academic Year

Recommendation:

The President recommends that the Board of Regents approve the Faculty Development Leaves for the individuals named on the attached list.

Recommended By:

O. Finley Graves

Provost and VPAA

**Neal
Smatresk**

Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk,
o=University of North Texas,
ou=President,
email=neal.smatresk@unt.edu,
c=US
Date: 2016.02.15 14:57:11 -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: 2016.02.16 15:26:18 -06'00'

Vice Chancellor

**Lee
Jackson**

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2016.02.18 11:26:57 -06'00'

Chancellor

Attachments Filed Electronically:

- **UNT Faculty Development Leaves for 2016-2017 Academic Year**



Board Order

Title: Approval of UNT Faculty Development Leave for 2016-2017 Academic Year

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in 1984, the University of North Texas began granting faculty development leaves, recognizing the need for faculty to have an opportunity to pursue major research or creative projects in order to contribute to the body of knowledge in their fields and better serve their students by remaining current in their disciplines, and

Whereas, in 1987, the 70th Texas Legislature similarly encouraged universities to expand faculty development programs through a series of measures that increased flexibility in accounting for faculty activities,

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

1. Faculty Development Leave for Academic Year 2016-2017 for the UNT faculty as set forth in the attached list.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**UNT FACULTY DEVELOPMENT LEAVE RECOMMENDATIONS
2016-2017**

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Amie	Adelman	Associate Professor	Studio Art	<p>The in-depth study of a broad range of international and historical textile traditions have influenced my artwork. Knowledge gained from these histories, techniques, and art forms has equipped me to further explore and utilize a variety of woven and non-woven structures in my work. To further my creative research, I am requesting a faculty development leave for the spring 2017 semester. This leave will give me the opportunity to participate in a four-week residency program at the 360 Xochi Quetzal Artist and Writer's Residency Program located in Chapala, Jalisco, Mexico. The residency will provide an environment away from distractions to focus on a new body of artwork and offers living quarters, studio space and the opportunity to engage with a diverse group of artists, musicians, and writers in a country known for its colorful textiles. Living in an area that is rich in historical and contemporary textiles for one month will provide unforeseen discoveries. The unique environment will aid in exploring concepts, developing new patterns and investigating new materials and techniques in two-dimensional, three-dimensional and installation formats. The residency will also give me the opportunity to network with artists from other countries. Upon completion of the residency, I will refer to digital images, sketches, samples, models and notes to develop a body of artwork that will be shown in solo and group exhibitions in prominent national and international galleries and museums.</p>	<p>The FDL will give me the opportunity to achieve five primary outcomes: 1) Participate in an internationally recognized artist-in-residence program. I will be participating in a four-week residency at the 360 Xochi Quetzal Artist and Writer's Residency Program. During the residency I will be documenting Mexican textiles, interviewing contemporary fiber artists, photographing the environment, sketching, investigating new techniques and creating models that test the durability and stability of a variety of materials. 2) Produce a body of artwork that pushes the limits of my current work and is worthy of exhibiting in group and solo exhibitions. In my current artwork I stretch thread on two-dimensional surfaces. I also create large installations by stretching thread from the walls and ceilings in a gallery. During my development leave, I will investigate new materials and techniques and experiment with three-dimensional forms. 3) Document the artwork with professional images. 4) Submit proposals for national and international exhibitions, commissions, lectures, and workshops. Solo exhibitions are a challenge to acquire in any area of art, but the craft area (fibers, metals, ceramics) is at an extreme disadvantage, because most galleries and museums' focus is on painting and sculpture. By marketing my artwork as mixed media I am able to show in venues that typically shy away from fibers. 5) Participate in solo and group exhibitions, present lectures and lead workshops in national and international venues.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Alan	Albarran	Professor	Media Arts	<p>The primary purpose of this leave is to conduct field research and gather data for a new project on the subject of leadership in media organizations. While there is a considerable body of literature devoted to leadership in general, material devoted to leadership in a media context is extremely sparse. At a time when the media is experiencing unparalleled evolution and change, understanding the role of media leadership is critical. My field of research is the management and economics of the media industries. While I have been working in this area for over 25 years, my focus has been at the organizational (firm) or industry levels. Recently I have been studying leadership from a micro perspective, and want to devote more time and effort to this topic. A leave will allow me to expand my expertise of media organizations that will not only benefit me but students in my courses at UNT. In terms of outcomes, several are possible. There should be enough data collected to prepare a book devoted to the topic. Conference papers and journal articles are certainly possible outcomes, but I lean more towards long form writing. As an author of 15 books I am well suited to take on such a project. My Editor at Routledge has already expressed interest in a book if the project moves in that direction.</p>	<p>The primary outcomes anticipated from this project will be three-fold: 1) To thoroughly identify existing theories and patterns in contemporary leadership using existing published research, resulting in a comprehensive leadership review. Studies conducted using for-profit enterprises will be a requirement. 2) Engage in field research utilizing primary qualitative methods to gather data to further refine leadership styles used in contemporary media organizations. 3) These efforts will provide the resources for a possible new book devoted to the topic of leadership in media organizations. The applicant has written/edited a total of 15 books to date, most of them published by Routledge, a much respected international publisher. The author has already conducted some work on this project by collecting initial literature and engaging in pilot discussions with contemporary media managers to develop ideas.</p>	Fall 2016
Stephen	Austin	Professor	Vocal Studies	<p>The primary activity of my leave will be the writing of a pedagogical tool in the form of a method book for training singers in the tradition of bel canto voice production. Bel canto is the style of singing used for opera and art song in the west since the early 17th century. I am recognized as a leading expert in the United States and abroad in the field of vocal pedagogy and voice science as it applies to the classically trained singing voice. I have over 60 published articles in professional journals related to voice. A book is the natural progression of my contribution to my field of expertise and will enhance my career as the author of one of the only true method books written in the last several decades. The intended outcome of my leave is to provide the modern voice teacher (private and academic) of the bel canto style with a method book and supporting videos based on principles of the historical method that trained the singers during the period of time when the greatest development of the vocal art form occurred.</p>	<p>In the 18th and 19th centuries there were many books published around the world which could be characterized as a progressive method for training singers. They all followed a similar course, like those still used today in training beginning musicians on any musical instrument. The method was based upon the acquisition of fundamental skills in a slow, methodical fashion. As one skill was acquired, a new more complex one was added: relying upon the acquisition of the previous skill before the next more complex one was introduced. Around the turn of the 20th century, the progressive methods were largely replaced by books focusing on the scientific detail of the vocal mechanism to the exclusion of a methodical approach to teaching singing as a skill. The primary outcome of my leave will be to write a new progressive vocal method that will be modeled after the successful but forgotten methods of the 18th and 19th century for training singers. There is no other book on the market that fits this model. The historical ones are out of print and largely unavailable. I have published extensively on this topic in a regular column in a professional journal over the last 10 years.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Adam	Briggle	Associate Professor	Philosophy and Religion	<p>Applied philosophy can do a better job of achieving its stated goal of societal relevance. Improving the impacts of applied philosophy would benefit philosophy (by demonstrating its value) as well as policy makers and STEM researchers (by assisting with the ethics and values dimensions of problems). Accounts of applied philosophy's impact are rare. So too are accounts of how to have impacts. This suggests that much of applied philosophical research may never reach the stakeholders who are actually struggling with the problems addressed by the applied philosopher. And it means that the next generation of applied philosophers has little guidance for how to do impactful work. This proposal is part of my ongoing research project to improve the effectiveness of applied philosophy. In particular, this proposal covers the crucial phases of assessing cutting-edge practices in Europe and composing a handbook for best practices. I will conduct the following activities: a) a qualitative review and mapping of European literature and databases; b) interviews with reviewers, philosophers, STEM researchers, and policy makers in Europe; and c) dissemination of results. The main outcomes of my research project will be: a) posts on our research website, philosophyimpact.org; b) scholarly articles and presentations; and c) a handbook of best practices for improving the broader impacts of applied philosophical research.</p>	<p>The primary outcomes of my leave activities are as follows: a) Posts on our research website, philosophyimpact.org; b) Scholarly articles and presentations; and c) A handbook of best practices for improving the broader impacts of applied philosophical research. The main audience for these outcomes is philosophers, particularly early career philosophers who will benefit from a collection of best practices in a handbook. There is growing interest in conducting socially relevant philosophy, as evidenced by new organizations like the Public Philosophy Network and the Socially Relevant Philosophy of and in Science and Engineering consortium. Yet this emerging community lacks the tools needed to improve their skills and practices of socially engaged research. The handbook as well as my other publications and research website are designed to provide those tools. Other audiences for my work include policy makers and STEM researchers. My objective includes communicating with them so that they can be aware of the potential benefits provided by socially engaged philosophers I am also targeting academic administrators, because part of the project of fostering more socially relevant philosophy is institutional in nature. So, my outcomes will also speak to how administrators can incentivize and structure more impactful philosophical research.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Qi	Chen	Associate Professor	Educational Psychology	<p>I plan to collaborate with Dr. Qing Zhou and other scholars from the Culture and Family Study Laboratory in the Department of Psychology at University of California--Berkeley on multiple research projects. I will use state-of-the-art statistical modeling techniques to examine the impact of temperament, cultural influences, family socialization, and parenting practices, on the developmental pathways to mental health problems and competence in children and adolescents from immigrant families (with Asian heritage in particular). We plan to seek funding together from agencies like National-Institute-of-Child-Health-and-Human-Development (NICHD). This leave will allow me to extend my pre-tenure work on acculturation, parenting, and child adjustment and academic achievement in immigrant families, as well as improvement of quantitative methods for clustered and/or longitudinal data. I will use statistical modeling techniques that are relatively new to the field of family sciences, which allows the examination of between-person differences and handles violation of independence assumptions for dyadic/clustered and longitudinal data. Collaboration with substantive researchers will offer me different perspectives to real-world problems and generates methodological research ideas. I will have the opportunity to publish papers (2-4) in high-impact journals and apply for a grant with UC-Berkeley scholars and bring recognition to both UNT and myself. The collaboration can lead to collaborative research efforts between UNT and UC-Berkeley at both the faculty and student levels.</p>	<p>The outcomes of my leave are as follows: 1) To collaborate with internationally recognized researchers and laboratories at Psychology Department of UC-Berkeley on multiple research projects; 2) To understand the problems associated with analyzing dyadic and longitudinal data in family studies, generate methodological research ideas and conduct methodological research; 3) To develop growth mixture model, multi-level model, growth model, and multilevel structural equation model that handles the violation of independence assumption for longitudinal dyadic data; 4) I plan to publish 2-4 quality papers in high-impact journals. Examples of paper outlets are Developmental Psychology, Child Development, Journal of Educational Psychology, Journal of School Psychology, Early Childhood Research Quarterly, and Journal of Applied Developmental Psychology; 5) To present the research findings at 2-3 national and international conferences such as the annual or biennial meeting of American Educational Research Association (AERA), Society for Research in Child Development (SRCD), American Psychological Association (APA), and Psychometric Society (IMPS). 6) To attend research seminars, talks, and psychology and educational psychology courses at UC-Berkeley, update my knowledge and skills in research, measurement and statistics, as well as in developmental psychology; 7) To submit a grant application to agencies like National Institute of Child Health and Human Development (NICHD); 8) To establish a working relationship between UNT and UC-Berkeley that will last even upon my return to UNT.</p>	Spring 2017
Kris	Chesky	Professor	Instrumental Studies	<p>Designed to facilitate national and state mandates for educating students about the relationships between music and hearing loss, I intend to use my leave to write a book that will leverage my award-winning research as the basis for content, theory, and application. The intended audience is college and public school music professionals. As a practical resource, this book will include applied strategies designed to help music educators teach student musicians about hearing health. This book will enhance my academic career by exposing my work to new audiences while providing UNT an opportunity for expanded visibility and leadership in this rapidly growing area.</p>	<p>The primary outcome of my leave will include the development of a draft manuscript for a book that includes chapters on music and hearing loss, the history of hearing conservation in the US, standards of practice for industrial settings, integration of standards into musical settings, dosimetry, the NIOSH Dream initiative, musician earplugs, earplug testing, and future directions.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Guy	Chet	Professor	History	<p>After conducting preliminary research in the US, I will dedicate the fall term to primary research in England on the career of Charles Tegart, a colonial police officer in India, who was reassigned to quell the Arab revolt in British Palestine. I will investigate Tegart's experience as a counterinsurgency specialist in India and Palestine (1901-1941), using Tegart's policies to gauge British assessments of prior colonial conflicts in America, Asia, and Africa. British "small wars" experience offered varied solutions to the problem of insurgencies. Tegart's commitment to defensive measures (bureaucratic, administrative, and logistical) reflected his analysis of these prior conflicts. The challenges regular forces face when confronting insurgencies is a topic I investigated in my first two research monographs (on wilderness warfare in British America in the seventeenth and eighteenth centuries, and on Atlantic anti-piracy campaigns in the eighteenth and nineteenth centuries). The current research, which will produce a monograph published by a reputable university press, will carry this investigation into the early-twentieth century, collecting modern counterinsurgency with early-modern experiences of colonial warfare, and identifying the historical context of contemporary and current debates on counterinsurgency among strategists and policy-makers. By expanding my field of expertise from the New World to the Old, and from the early-modern era to the modern age, I will trace cultural, administrative, and military continuities between the First and Second British Empires.</p>	<p>I expect to locate sources on debates among civilian and military policy-makers in Britain, India, and British Palestine on the circumstances, causes, and solutions to colonial insurgencies of the nineteenth century. Initial data suggests that conflicting approaches toward counterinsurgency in the early-twentieth-century Indian and Palestine reflected conflicting historical and military analyses of Britain's prior experiences with insurgencies and "small wars" elsewhere. The most important objective of my Fall 2016 research activity will be to create a monograph published by a reputable university press that will document the policies of Tegart and his predecessors, in both India and Palestine, in the context of Britain's "small wars" of the eighteenth and nineteenth centuries, and of the bureaucratic culture of imperial authorities.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Danielle	Cooper Annamalai	Associate Professor	Management	<p>The primary activity of leave will be to pursue an in-depth, multi-method research study of the role of identity in family firms. The leave will provide me with the opportunity to pursue a number of goals that are critical to my professional development and to facilitate the continuation of a productive research career for the next several years. My research stream focuses on employee identities in organizations. A development leave will offer an opportunity to further expand my knowledge and extend my work into the growing field of family firm research, an area of strategic focus for my department, to link the new research with my past work, and to establish a more comprehensive research program. During the proposed leave, I plan to develop and test new theory using identity to understand employee dynamics within family firms. I intend to share the findings from this research through submissions to conferences and ultimately through publications in research outlets. These activities will contribute to the strategic goals of my department by further enhancing our visibility in the academic community in the area of family firm research. Additionally, by further developing this stream of research, I will also be able to share my increased expertise in this area with doctoral students and contribute to their development in this topic area. By studying these firms, I will also be able to complement my teaching activities to undergraduate and MBA students through increased understanding of the leadership requirements in these firms.</p>	<p>The primary objective of the leave is to gain understanding of how family firm employees negotiate and manage multiple bases for identity in family firms. Specific outcomes are: 1) Knowledge development that contributes to the understanding of employee relationships in family firms. Specifically, I hope to develop a model which describes how family firm employees manage multiple and sometimes conflicting identities and the outcomes of these processes. 2) Identification and securing of a data source that allows investigation into identity issues within family firms. First, this will involve identifying and securing agreement to participate from a select number of family firm employees for the first study, which will use qualitative methods to develop a model of identity management in family firms. Second, this will involve identifying and contacting a larger population of employees in family firms for a complementary quantitative study. 3) Dissemination of research with students, researchers, and policy makers. Dissemination opportunities will be sought through professional conferences and leading journals. 4) Expansion of personal skills associated with the qualitative methodology and analysis techniques to be used, which will be useful in achieving this project's outcomes as well as other tasks associated with my academic career such as teaching and training of doctoral students.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Narendra	Dahotre	Professor	Materials Science & Engineering	<p>The primary activity of my leave will be to conduct fundamental research in the area of laser-biological hard tissue/bone interaction through the interdisciplinary aspects based on physical science, biological science, materials science, mechanical engineering and orthopaedic medicine perspectives. The proposed research activity will be conducted in Perth, Australia in collaboration with multiple researchers at Australian Institute of Robotic Orthopaedics (AIRO), Curtin University of Technology (CUT), and University of Western Australia (UWA). My nearly one-decade research activities in the area of biomaterials will likely be greatly enhanced through proposed interdisciplinary/multidisciplinary collaboration with added dimensions in the fields of biophysics, bioengineering, and mechatronics/robotics. Especially, during these collaborations interactions with two renowned academic and practicing orthopaedic surgeons will provide an invaluable opportunity to learn and gain a perspective about translational research in biomedical engineering. The proposed activity will serve the primary purpose recently established Virtual Center of Advanced Orthopaedics (VACAO) to enable cooperation and exchange in all areas of mutual interest in research, development, implementation, and education related to the area of advanced orthopaedics between the founding organizations, UNT and AIRO. This activity is also expected to provide the platform to expand education and research in rapidly growing field of biomedical engineering which also a newly established academic department at UNT.</p>	<p>The proposed leave activity will be primarily aimed at 1) Seeking fundamental understanding of laser-biological hard tissue/bone at interaction at molecular and physical levels, and 2) Development of an intelligent laser system specifically engineering to shape biological hard tissue with an intension for applications in clinical environment. These aims will be achieved through the following specific objectives via laboratory based research and engineering activities: Development of an analytical thermal model for laser-bone interactions, Development of non-invasive optical sensing during laser-bone interaction, Development of an artificial Intelligence system to monitor and control laser-bone interaction for thermal, molecular, cellular, biological and physical effects.</p>	Fall 2016
Andrew	DeCaen	Associate Professor	Studio Art	<p>The purposes of my Faculty Development Leave for the 2016/17 academic year is to devote myself to a more robust studio practice both in my recently refurbished home studio and as a visiting artist in two international fine art printmaking institutions while developing relationships with significant professionals in my field. I have been invited to be an Artist-in-Residence at the Academy of Lithographic Art and the Museum of Lithography in Tidaholm, Sweden where I will reside one month making new lithographs, give a lecture on my work, present a solo exhibition of my work and an exhibition I curate composed of works by Contemporary American Lithographers. I have also been invited to be an Artist-in-Residence at Il Bisonte Foundation for the Study of Printmaking in Florence, Italy where I will reside one month making new lithographs, and give a lecture on my work. While in residence at each of these institutions I will create new works of art in response to local cultural stimuli that connect to my on-going central themes in food culture and more specifically the space of the meal. This Professional Development Leave will afford me the opportunity to invest more completely in creative research while building momentum to move to the next phase of my career.</p>	<p>I have four objectives with this Faculty Development Leave: 1) I will create a new body of artworks on paper including stone lithographs, screen prints, mixed media drawings and sculptural paper objects to be exhibited in future juried, invitational, and solo exhibitions. The work will expand my thematic interests in food culture while reacting to new cultural surroundings. 2) I will engage and make professional connections with the Academy of Lithographic Art I the Museum of Lithography in Tidaholm, Sweden (http://lithonet.org/) and Il Bisonte Foundation for the Study of Printmaking in Florence, Italy (http://www.ilbisonte.it/) while an Artist-in Residence at these European institutions. My interactions with the faculty, staff, and students of these institutions will promote cultural connections and global creative practice. 3) I will develop relationships among and with a large number (20-30) of contemporary American artists exploring the lithographic print media while curating and organizing an exhibition and publishing an exhibition catalog of the work for an exhibition at the Museum of Lithography in Tidaholm, Sweden. 4) I will research and apply myself to new opportunities for future exhibitions and other creative endeavors while traveling and upon return to my home creative practice.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Jacqueline	Demeritt	Associate Professor	Political Science	<p>Why do death squads behave as they do? What incites or suppresses perpetrators of murderous policy? Existing research on mass killing focuses on the leader's decision to kill civilians. Yet implementation is not perfect, and death squads tasked with executing civilians do not comply uniformly. To answer these questions and understand death squad behavior, I will gather new data based on primary source documents reporting the activities of Hitler's death squads: the Einsatzgruppen. In addition to producing an original dataset of interest to a wide range of scholars and policymakers, I will write at least two original research papers that develop and quantitatively test a theory of death squad behavior over space and time. I will present these papers at conferences, and submit them for publication in influential peer-reviewed journals. By understanding what influenced the Einsatzgruppen, I hope to extend understanding to other cases where death squads act as agents of atrocity. If granted, this leave will enhance my academic career in multiple ways. It will allow me to conduct and publish new research. It will enable the creation of a dataset that will have value for political scientists, and may also be useful for historians, sociologists, and psychologists. It will better-equip me to educate and advise my undergraduate and graduate students. Finally, it may garner interest and support from policymakers focused on human rights abuse. Each of these actions will increase my visibility and impact, create new opportunities for collaboration, and help me build a case for full professorship.</p>	<p>While on leave, I plan to provide new insight into death squad behavior. First, I will gather new events data on the behavior of Hitler's death squads: the Einsatzgruppen. The information will come from Operational Situation Reports sent regularly by each Einsatzgruppe to Berlin, and housed now at the United States Holocaust Memorial Museum. Once the data are complete, I will make them publicly available on my professional website. They will be of interest to scholars investigating (for example) repression, principal-agent relationships, the psychology of violence, and tyrannical regimes. Then, by focusing on the individual-level benefits of killing, I will develop a general theory to explain how and why death squad behavior varies over space and time. The new data will permit me to quantitatively test my theory's expectations. I will write at least two new research papers, and present them at least three major conferences. I will then submit the papers for publication in widely read and highly impactful political science journals. By understanding what influences the Einsatzgruppen, I hope to extend understanding to other cases where death squads act as agents of atrocity.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Derrick	D'Souza	Professor	Management	<p>I propose to conduct my Fall, 2016 Faculty Development Leave (FDL) at one of the top Business Schools in India - the SJM School of Management (SOM), located on the Indian Institute of Technology - Bombay campus, in Mumbai, India. In January, 2015, Dr. Bhargava, SOM's Dean, and I jointly develop a teaching, research and service oriented FDL agenda that would be mutually beneficial. I am scheduled to meet with Dr. Bhargava again in January 2016 to work on the scope, logistical and operational details regarding specific research activities with faculty, and doctoral students, and the course that I am scheduled to teach, while at the SOM. We will also explore avenues whereby I can provide (and attend) seminars and development workshops that are of interest to the vibrant business community in Mumbai. For the past decade, my teaching and research has been centered on organizational capabilities. The FDL offers me a collaborative learning experience in this area. I would avail of the opportunity to interact with researchers in another country, thereby advancing my teaching and research skill-sets. What I ultimately seek to gain from the FDL is the opportunity to 1) participate in research, and pedagogical conversations, 2) actively observe how classroom learning and research activities are promulgated in a different (Indian) cultural, institutional, and academic context, and 3) build an enduring research network with Indian faculty and business executives.</p>	<p>My current research focuses on the three types of organizational capabilities (strategic, dynamic, and ordinary). The SJM School of Management (SOM) has several well published, researchers in this area. In addition, in fall 2015, the SOM, and Washington University, St. Louis, MO, will begin offering a joint executive-MBA program in Mumbai. Hence, when I arrive in fall, 2016, there will be several faculty from Washington U on teaching/research assignments at the SOM. I plan to actively interact with, learn from, and initiate joint research projects with some of these individuals. The offer to co-teach a course at the SOM brings with it the opportunity to interact with graduate (masters and doctoral) students, and to engage in pedagogical with faculty from the SOM, and Washington University. Having these conversations in a different (Indian) social and cultural setting, will provide unique perspectives on these issues. With UNT's student population growing increasingly international, this is experience could provide invaluable when I redesign my own course offerings at UNT. Mumbai is India's business and financial capital. I plan to leverage the SOM's reputation and its established industry network in Mumbai to build lasting connections with senior executives at large Indian corporations.</p>	Fall 2016
Martin	Farris	Professor	Marketing & Logistics	<p>This is a request for faculty development leave to allow me to focus on researching in the area of supply chain finance through both quantitative data base and qualitative case study research. Over the last 25 years the topic of supply chain management has focused on the physical flow of goods and is now extending to supply chain management of financial flows as the next great opportunity. Through my early work in cash-to-cash, I have been in the forefront of this emerging area and am well poised to continue to make an impact to my field and further the reputation for logistics and supply chain research at North Texas. The expected outcome from my leave will be the development of multiple peer-reviewed articles which will be submitted to the leading journals in the field of logistics and supply chain management as well as accounting field.</p>	<p>The expected outcomes from my leave will be the creation of findings to be submitted peer-reviewed, high quality journals. I expect to disseminate my research results through: 1) Peer-Reviewed Publications - I expect to target the leading journals in the field of logistics and supply chain management including the International Journal of Logistics Management, International Journal of Physical Distribution and Logistics Management, and the Journal of Business Logistics. I will also seek publication in journals associated with the field of accounting. 2) Conference Presentations and Proceedings - I frequently present my research stream at conferences and publish working papers in conference proceedings. To date I have completed 42 academic conference presentations or proceedings and 60 professional presentations or proceedings. 3) Classroom - My research is an integral part of my classroom lectures, case assignments, and student projects.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Jacqueline	Foertsche	Professor	English	<p>I seek FDL for Spring 2017 to continue work on my monograph, <i>Freedom's Ring: Literatures of Liberation from Civil Rights to the Second Wave</i>. This project explores "freedom" as a key concept in important novels and nonfiction from leading writers of the civil rights, anti-war, free love, and women's liberation movements between 1955 and 1975. In addition, it discusses the related concepts of equality, responsibility, promiscuity, and escape and considers how appeals to freedom, belonging overwhelmingly to the conservative agenda at this point, once furthered the causes of left-leaning Americans from diverse backgrounds. I am currently completing the introduction for this project and will be at work on chapters during FDL: the chapter exploring manifestations of sexual freedom in popular literature, for instance, I will examine Jacqueline Susann's <i>Valley of the Dolls</i> (1966), Erica Jong's <i>Fear of Flying</i> (1973), and Judith Rossner's <i>Looking for Mr. Goodbar</i> (1975) among many others. My intention is to present findings related to this research at national conferences and to excerpt chapter material for article-length publication. In addition, I will complete an application for a year-long fellowship from the National Endowment for the Humanities (NEH). I will present a paper (and am now chairing the Postwar Area Studies Group) for the ALA in May 2016, and I've received strong interest from a panel organizer at the American Comparative Literature Association (ACLA) in a presentation from the book's introduction for ACLA's 2016 meeting.</p>	<p>I will work on a book project, discussing novels and films dealing with the sexual revolution in one chapter, as well as memoirs and biographies from the Black Panther movement in another. I will submit articles based on this research to well-regarded journals and develop a narrative sufficiently detailed to apply for an NEH Fellowship. <i>Freedom's Ring</i> explores the permutations of freedom and liberation that shaped the cultural agenda of left-leaning Americans of all ages in the decades following the Second World War. From the civil rights movement's call for "Freedom Now!" and the Freedom Rides and Freedom Party campaigns that polarized the South in the 1960s, to the "free stuff" demanded by San Francisco's Diggers and other hippie collectives, to the social license sought after by more radical groups such as the Black Power movement, late 1960s antiwar movements, and bra-burning "women's libbers," freedom was powerful currency spent lavishly in the writing, films, and public statements by and about these groups in this period. As rights movements sought new measures of political and sexual freedom, however, they repeatedly failed to achieve that other goal enshrined almost as often in national documents, equality. Equal access to education, jobs, and salaries eluded rights groups in the 1960s (as it continues to today), and my project explores the important differences between (political) freedom and (economic) equality for under-resourced US groups, as well as the various ways that women's bid for sexual freedom almost always resulted in greater benefits to men.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Erin	Friess	Associate Professor	Technical Communications	<p>My research focuses on the real-world practice of usability and user experience (UX) assessment. Usability investigates how well a user can accomplish a defined task (e.g., can a user rent a van at u-haul.com?). UX investigates the degree to which a user enjoys the interaction (e.g., would a user return to u-haul.com to rent another van?). On FDL, I will observe several usability professionals in their day-to-day work environment. Several members of the Dallas User Experience Group have invited me to observe their organizations regarding two particular mechanisms: "personas" and "heuristic evaluation." Further, some organizations have given initial permission for a quasi-experiment that would involve one assessment using personas and heuristic evaluation and one assessment without personas and heuristic evaluation. I will also use connections with evaluators in San Francisco to compare geographical differences in UX assessment. Current UX practice is based upon anecdotes. Few studies have looked empirically at the activities and best practices of UX professionals, and those that have are now dated (from the early 2000s and thus omit the smartphone boom). These empirical observations and quasi-experiments will enhance my academic career by furthering my understanding and, thus, my reputation as a scholar of solid empirical evaluation of usability and UX within the field of technical communication. The immediate intended outcome of this leave would be at least one presentation at an international conference, at least one conference paper at an international conference, and at least one article in an international journal.</p>	<p>The primary outcome of leave is to collect a rich data set of empirically obtained data. I will be able to observe how usability professionals actually conduct usability evaluation in practice. An ethnographic analysis that includes a discourse analysis will provide the field with a much needed baseline of what is actually happening in the field, particularly in terms of persona and heuristic evaluation usage. I anticipate at least three outcomes from this work. First, I anticipate to present the findings at least one major international conference. I anticipate this conference to be either IEEE ProComm Conference or ACM Computer Human Interaction Conference. I will also submit a conference paper to the appropriate conference. I also intend to publish at least one full length article in either IEEE Transactions on Professional Communication or the Journal of Usability Studies reporting the findings gathered during the leave. However, the most important element of this data collection will be that I will create a corpus of data that I can use to compare later findings against. While this data will reveal how usability professional use heuristic evaluation with personas, I will be able to conduct a later study that could compare, for example the use of heuristic evaluation with A/B testing to the previously collected data. Further, this collected data will prove to be invaluable as I pursue funding from sources, such as the NSF. Therefore, I believe that the results of this leave could continue to be invoked for many years to come in upwards of 3-4 presentations and articles and possibly the funding of a grant.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Francisco	Guzman	Associate Professor	Marketing & Logistics	<p>My purpose in seeking faculty development leave is to extend my research stream on Branding by conducting research on a relevant topic that has not been explored. This research should yield at least two peer-reviewed papers targeted at top marketing journals, being the main objective to publish in the Journal of Consumer Research. The timing of this development leave would coincide with the beginning of my fifth year as an associate professor, and my intention is to give my research a final boost to go up for full professor in Fall 2017. Personal branding, surprisingly, is an area of branding that has been thoroughly analyzed in practitioner literature but has not been fully explored academically. The topic is ever more relevant as what used to be reserved for a few (namely celebrities and public personalities) has become a must for almost any person in the workforce. In college, students are invited to build and work on their personal brands, yet no academic research has explored the topic. Furthermore, with the growth of social media, people are developing multiple 'personas' in different realms of their lives. What my proposed research project will explore is how people build their multifaceted self-identities, what factors influence this process, and how this process influences their consumption decisions in the marketplace. The leave activities will likely lead to journal publications, conference presentations, and enhancement of teaching activities.</p>	<p>The proposed project is a continuation of my research on brand identity co-creation and a part of an ongoing collaboration with Dr. Oriol Iglesias of ESADE Business School and the 'Brand Meaning Co-Creation and Co-Construction Dynamic Stakeholder Network' hosted by Dr. Richard Jones and Dr. Sylvia van Wallapach of Copenhagen Business School. The primary outcomes anticipated from the leave include two peer-reviewed manuscripts, one at a top ranked marketing journal, presentations at leading academic conferences and incorporation of research into brand management courses. 1) Manuscript #1-empirical behavioral piece, describing the formation and management of personal brands in order to build consumer self-identities. Targeted to Journal of Consumer Research, submission by March 2017. 2) Manuscript #2-empirical piece proposing and validating a personal branding conceptual model. Targeted to Journal of Business Research, submission by May 2017. 3) Conference presentations at leading US and European conferences, such as the Association of Consumer Research (ACR), the Academy of Marketing Global Brand Conference, the European Academy of Marketing Conference (EMAC), the Winter American Marketing Association (AMA) conference, and the Cross Cultural Research Conference.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Marjorie	Hayes	Associate Professor	Dance and Theatre	I'm requesting FDL travel to New York City to improve my performance and technology skills which would lead to professional growth and project development. Phase I: Skill development which leads to artistic ability at the highest professional level. The foundation of my development leave will be to study current trends in singing-acting for musical theatre not only in terms of best practices and entrepreneurship but also in the technological skill our digital age requires. Phase II: With the groundwork laid, proceed to identify collaborators and refine the research topic. The skill development and field knowledge will build momentum to the next stage which would be to select future collaborators and uncover possible directions for my performance project. Phase III: Create a scripted narrative musical performance piece The final phase of this research will be to conceive, compile songs, cast and write the connecting scenes of a scripted narrative musical revue, which will focus on female composers and their work in the musical theatre. Previous genre models include: Aint Misbehavin', Always, Patsy Cline, Side by Side by Sondheim and Jacques Brel is Alive and Well. This entire process is the same my students might encounter when moving to NYC to pursue their performance and creative careers. With the knowledge I'll gain during this leave I would be able to give them the most cutting edge advice and guidance upon my return. This life experience will lead to shared knowledge and inspiration in the classroom.	The expected outcomes of Faculty Development Leave will include: 1) Develop singing-acting skill at the highest professional level. 2) Gain expertise in digital marketing for the performing artist and the use of social media in artistic creation, career development and project promotion. 3) Network with Broadway professionals for the purpose of establishing a working relationship and potential collaborators. Learn from NYC theatres and festivals the process of new musical development with the goal of creating a summer New Musical Festival at UNT. 4) Identify suitable NYC venues/producers for the creation of a future musical theatre piece. There is a theory that music preceded language in our evolution. I see the actor-singer as a nurse practitioner of the heart: someone who ignites understanding and bonding. After medical practitioners and clergy, we artists are often the second responders at tragedies, social uprisings and political unrest. We strive to assist our communities to make sense of it all. The search for this communion and enlightenment is the theatrical artistic goal that has defined my career. During this renewal, I will seek artists who wish to explore the music that could give voice to an underrepresented population. Specifically, the stories of the few women Broadway composers whose contributions could be lost to history or are simply cast in the shadows of the men they served (e.g. Kay Swift and George Gershwin). As an actor and director, I am able to conceive and create theatre performances that could address this invisibility.	Fall 2016 & Spring 2017
Joshua	Hook	Assistant Professor	Psychology	Over the past several years, I have worked hard to develop a research program focused on positive psychology, specifically focused on humility. Because humility research was at its beginning stages, much of this initial work involved consolidating definitions, developing measures, and describing theory for the importance of humility in developing and maintaining relationships. At this point in my career, I have a need to complete a few key writing projects in this area, develop and strengthen my research collaborations in this area, and set a plan for my research program going forward. Thus, the primary activities of my leave will be to (a) analyze data from previous grants, (b) submit two manuscripts, (c) develop and strengthen relationships with key collaborators, and (d) set a research agenda for the next several years. This leave activity will enhance my academic career by providing the needed time to analyze data, finish manuscripts, connect with key collaborators, and put me in a good position to take the next step in this research area. The intended outcomes of the leave activity are two submitted manuscripts, two planning meetings with key collaborators, and an outline of my research agenda in the field of humility for the immediate future.	There are three primary outcomes from the leave activities. First, I have existing data from previous extramural grants on humility that I need to analyze, write up, and submit for publication. Specifically, I plan to analyze these data, and write and submit two papers to peer-reviewed journals. The outcome will be copies of the submitted manuscripts. Second, I will schedule two trips to meet with key collaborators for my research program. The outcome will be a summary of the meetings and projects discussed. Third, I plan to spend some time planning and setting a research agenda for my work on humility moving forward. The outcome will be an outline of my plan for humility research moving forward.	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Lee	Hughes	Associate Professor	Biological Sciences	<p>The primary purpose of this request is to expand and enhance my research and educational activities using Streptomyces phage. Streptomyces phage are viruses that infect the members of the bacterial genus Streptomyces. I involve both undergraduate and graduate students in the isolation and characterization of these phage through my involvement with the Science Education Alliance's Phage Hunters Advancing Genomics and Evolutionary Science (SEA-PHAGES) program sponsored by the Howard Hughes Medical Institute (HHMI). While most institutions participating in SEA-PHAGES nationally have focused on phage that infect the genus Mycobacterium, I have taken the lead in developing Streptomyces as a host. During the proposed leave, I propose to develop additional teaching guides that will assist in the adoption of this host by additional SEA-PHAGES programs, adapt experimental protocols currently in use for Mycobacterium to the Streptomyces host, and utilize these protocols to complete analyses of current Streptomyces phage isolates for publication. These activities will enhance my academic career through continued exposure within and beyond the SEA-PHAGES community as a leader in the study of Streptomyces phage. Project outcomes will include a completed laboratory manual for Streptomyces phage isolation and analysis for use by SEA-PHAGES community and one or more publication drafts on Streptomyces phages for submission to peer-reviewed journals.</p>	<p>The primary outcomes of this requested development leave would be a completed laboratory manual for Streptomyces phage isolation and analysis for use by SEA-PHAGES community and one or more peer-reviewed publications on Streptomyces phages. Currently, the only official SEA-PHAGES laboratory manual is written for the isolation of Mycobacteriophage. I have revised this manual to create a draft version for use with Streptomyces phage, but would need additional development time to complete the process of adapting the complete manual for use with Streptomyces phage isolation. The completed manual could be utilized by institutions across the nation who participate in the SEA-PHAGES program and who are interested in working with hosts other than Mycobacterium. I would work with the University of Pittsburgh (lead institution on the SEA-PHAGES program in association with HHMI) to adapt and test protocols for the final manual. In conjunction with this, I would utilize training from the University of Pittsburgh in more advanced techniques to advance the study of Streptomyces phage. This would contribute additional data that would result in the preparation and submission of one or more journal article drafts analyzing Streptomyces phage previously isolated at UNT.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Govind	Iyer	Professor	Accounting	<p>Research in the area of tax compliance has primarily been conducted in the United States, because the U.S. is one of very few nations that relies heavily on voluntary compliance. Most other countries enforce tax collections via high withholdings or by relying heavily on indirect taxes. Given shrinking enforcement budgets, revenue authorities in almost all jurisdictions are interested in learning about factors that influence compliance with tax laws. While there is a significant amount of compliance research in the U.S. dealing with direct taxes, there is a dearth of such research in Europe and little compliance research dealing with indirect taxes. This project is designed to be series of experimental studies investigating how economic (detection risk), behavioral factors (gain or loss domains), and personal traits (norms) impact compliance individually and interactively. Taxes investigated will be both direct and indirect taxes. The study will allow me to identify intra-country factors of compliance as well as perform cross-country comparisons. This also helps open up new areas of research, new data sources and provides me with the opportunity to collaborate with new co-authors. The intended outcome of the FDL activity is to produce research that will be presented in international accounting and tax forums and eventually published in highly respected accounting and tax journals. Manuscripts arising from research will be targeted to leading accounting and tax journals such as National Tax Journal, Journal of American Taxation Association, and Accounting Organizations and Society.</p>	<p>This project attempts to model tax compliance as an emotional decision, where economic, psychological and moral factors play a role in an interactive manner. Thus one outcome of this research effort is a greater understanding of tax compliance with direct taxes in the U.S. Research in the area of compliance with indirect taxes is rather sparse, with a notable exception in recent years being Webley et al., 2002. Given that revenue departments in almost all jurisdictions (in the U.S. and abroad) continually face reduced audit budgets, insight into the area of factors that influence indirect tax compliance will greatly assist policymakers and tax departments in designing programs and procedures to encourage and facilitate compliance. Compliance with indirect taxes is specifically more important to individual states (since most of them rely on sales and use taxes as their primary source of revenue) and to the E. U. countries (since the value-added-tax, VAT, is one of the most important sources of revenue). Compliance research on indirect taxes may also reveal the existence of different techniques that are commonly used to evade indirect taxes. The effect of specific intervention programs will also be investigated. Thus, the second outcome of this research is a greater understanding of compliance with indirect taxes in the U.S. and in the E.U. countries. Manuscripts arising from my research effort will be targeted to leading accounting and tax journals such as National Tax Journal, Journal of American Taxation Association, and Accounting Organizations and Society.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Hee Soun	Jang	Associate Professor	Public Administration	<p>This application for Faculty Developmental leave is to request the time necessary to conduct a field study about the nonprofit sector in South Korea during Spring semester 2017. The project examines the role of the nonprofit sector in advancing social change in Korea and primarily focuses on the complex relationship between government policies and nonprofits' political, economic and social status in Korean society. Few scholars have analyzed how the nonprofit sector in Asian countries leverage social mechanisms to advance desired and legitimate change and this proposed FDL will help me examine nonprofit growth and its role in Korea. The research will contribute to government driven nonprofit sectors as a model to be used in civil society research in developing countries and I anticipate that multiple scholarly articles will be published from this project. The proposed project will be conducted by field research in Korea that is in a scope not permitted by a normal workload assignment. This FDL plan anticipates intensive study of Asian civil society literature and in person interview with nonprofit leaders and government officials from field research at Korea. During my FDL semester, I will be a visiting scholar at the Yonsei University (approved by Chair of the hosting department), which is among the top universities in Korea, and I will share my research experiences with scholars in this department and collaborate on joint nonprofit research projects. I believe FDL will give me an opportunity post-tenure to cement my role as a scholar-who-must-be-cited in the field of Asian nonprofit research.</p>	<p>I am a nonprofit scholar and the first primary outcome is to expand my scholarship in the field of nonprofit research and develop my expertise in Asian nonprofit research. I want to build a solid scholarship by producing a series of articles about the Korean nonprofit sector. Thus this is my objective to build my Korean nonprofit specialty by examining growth of nonprofit and exploring dynamic relationship between government policies and the nonprofit sector in Korea. This research will produce two manuscripts by the end of Leave semester and the data that will be collected from FDL will be used to support external funding applications. A second outcome anticipated from this FDL is to help me serve as more effective teacher to my students especially students who are interested in nonprofits in developing countries and international civil society. A graduate seminar course "PADM 5700: Internationalization of the Nonprofit Sector," will be developed for the students of Masters of Public Administration and Ph.D. student in Public Administration.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Jeff	Johnson	Associate Professor	Biological Sciences	<p>Research in my lab is largely focused on applying molecular and genetic methods to active conservation programs, particularly those addressing the management of threatened and endangered bird species. The development leave will allow me to develop the skills necessary to analyze whole genome sequence data for the application to conservation biology. Recent technological advances in DNA sequencing allows us to generate huge amounts of data (e.g., one avian genome is typically 1 billion DNA base pairs long), and the skills required to analyze such data are fairly specific but highly technical and difficult unless one has a background in bioinformatics. The rate for which DNA sequencing technology has increased to generate huge amounts of data has outpaced our ability to analyze it. In fact, a high proportion of recently advertised research-track academic positions in the natural sciences are for bioinformaticians, or researchers that focus specifically on the analysis of genomic data. The Department of Biological Sciences currently has one bioinformatician who largely works on plant RNA transcriptons, i.e., gene expression in plants. I will use the development leave to learn the skills necessary to generate and conduct vertebrate whole genome (DNA) analyses. I will also use the opportunity to generate and analyze a whole genome dataset that will be published in a peer-reviewed journal. My lab must learn and use the methods for conducting whole genome analyses to remain competitive for research funds and to stay current in the field of conservation genetics.</p>	<p>The primary outcomes anticipated from the leave activities will be to obtain the necessary skills to generate and analyze whole genome sequencing data. The activities will also establish and/or further enhance collaborations with existing laboratories that conduct whole genome-based research, including those that extract and analyze ancient DNA (aDNA) from museum specimens. The wealth of tissues that currently exist in museum collections allow us to obtain tissues from rare or extinct species. However, because DNA becomes fragmented or degraded as soon as the organism has died, the skills necessary to extract and analyze aDNA are highly specialized. Only a few labs in the US conduct whole genome sequencing using museum samples, and the leave activity will allow me to develop the skills necessary to extract and analyze aDNA. Ultimately, I do not have the skill set required to conduct genomic research and remain competitive in my research discipline, i.e., conservation genetics due to rapid technological advances in our ability to generate whole genome sequencing data. Methods used for traditional genetic approaches such as targeted sequencing are not sufficient to conduct whole genome analyses. Therefore, the development leave will allow me to focus more attention on learning the necessary skills to conduct whole genome analyses. I will also generate and analyze a whole genome dataset that will be published in a peer-reviewed journal or used as preliminary data for a research proposal depending on funding.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Patricia	Kaminski	Associate Professor	Psychology	<p>The primary activities during leave will be the analysis and write-up of data I have collected. I will be examining a population that was not the focus of my interest in the past. The leave will give me the opportunity to enter a new research area "at the ground floor". A FDL devoted solely to my research will allow me to submit several papers to peer-reviewed journals and re-start my publishing career after a lengthy commitment to administrative tasks. My primary interest in body image has been in men suffering with a phenomenon called "muscle dysmorphic disorder" (MDD). By definition, these men are heavily muscled, but suffer intense distress about a perceived lack of muscularity. My students and I have collected demographic, behavioral, and psychological data from over 1,000 college men in several different waves. The data resulted in publications and theses about college men with body dissatisfaction related to their perceptions of not being muscular enough, however, only 1% of any sample could be classified as having full-blown MDD. This finding mirrors that of other researchers and led me to question the value of studying MDD in college populations. A more prevalent reason for body image concerns is being overweight or obese. Using current medical definitions, more than 30% of my participants would be classified as 'overweight' or 'obese'. While the health risks associated with obesity are well-documented, few researchers in the US have investigated the potential psychological correlates (e.g., self-concept, psychological symptoms, etc.) of being overweight or obese in young adulthood.</p>	<p>There is a critical need to assess the psychological adjustment of overweight and obese college students. Such foundational research is required if we are to understand the psychological risks associated with being overweight and other factors that may contribute to better and worse outcomes. The overarching objective of my proposed developmental leave is to analyze the data and publish the results from datasets I have ready to be examined. Optimally, a FDL devoted solely to my research will allow me to submit several papers to peer-reviewed journals and re-start my publishing career in a nascent area of research with potential applications for millions of Americans.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Kimi	King	Professor	Political Science	<p>Since 2001, Professor Jim Meernik and I have been conducting research on the International Criminal Tribunal for the Former Yugoslavia (ICTY). We were awarded research partner status by the ICTY (2011), and we began developing a survey with the ICTY Victims and Witnesses Services (VWS) unit to systematically evaluate and analyze the witness experience. The administration of the survey, the compilation of the statistical data, and our report to the ICTY will be completed by the summer of 2016. We then move into the completion phase of the project which is to prepare a book length manuscript and to present our findings to ICTY stakeholders at The Hague, Netherlands and within the region of the former Yugoslavia (Bosnia, Croatia, Serbia, and possibly Kosovo) during spring 2017. These presentations seek to cultivate support for undertaking a larger study that will include an additional 700 persons. The leave activity positions us to be at the leading edge of research about war crimes victims and the impact of testifying on witnesses. There has never been a study of this magnitude about war crimes witnesses, in large part because no one has been given this unprecedented access to the ICTY. The outcomes of leave will be 1) completion of the survey report and delivery to the ICTY and United Nations; 2) presentations to the ICTY; 3) presentations to the witnesses and interested persons in the former Yugoslavia; 4) completion of a full length manuscript based on the final report, as well as multiple research articles; and 5) a preliminary report of potential grant providers for the larger survey (dependent upon ICTY approval in summer 2016).</p>	<p>The first objective of the FDL is to finish work on our survey of individuals who have testified before the ICTY. This study is the result of five years of work with the VWS to develop, field test, and implement the survey. The survey evaluates: 1) witness background and reasons for testifying; 2) the socio-economic impact of testifying on witnesses; 3) the security concerns witnesses face before, during, and after testimony; 4) witness physical and psychological well-being; and 5) witness perceptions about the ICTY's legacy of justice. A sixth section asks three open-ended questions which are audio-taped at the conclusion of the written survey. Here witnesses are given an opportunity to express concerns or issues about the testimonial process, their advice for future witnesses, and critical commentary they want to share with the ICTY about their experiences. Final work on the survey (including data entry, cross-checking, translation, analysis, and creation of figure) will be performed in fall 2015 through summer 2016. We will use the leave period to write the book manuscript based on the report along with research articles which incorporate our findings into our discipline's knowledge about the impact of war crimes tribunals on peace, human security, and reconciliation. We will also travel to The Hague, Netherlands for several weeks in spring 2017 to make presentations to ICTY and UN officials. The final report for the pilot survey will become part of the ICTY's legacy project. We will also travel to Bosnia, Croatia, Serbia, and if possible Kosovo with ICTY officials to make presentations on our results to witnesses and other stakeholders.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Joseph	Kung	Professor	Mathematics	<p>My area of research is matroid theory, a distillation of linear algebra and matrix theory. Over the past ten years, there were two significant advances in matroid theory. Internal to the subject is a proof of the matroid minor theorem, a result which allows a complete description of matroids (most of it in computable form) which can occur if certain restrictions are imposed. External to the subject is the discovery that the matroid stratification of the Grassmannian acts as the backbone for many applications. An important practical application is to signal processing, in particular, frames. Frames are cleverly constructed "short fat" matrices which minimizes quantization or other errors or maximize the amount of information retained under data compression. The matroid structure of a frame condenses critical combinatorial properties of a frame. The two advances, internal and external, have proceeded more or less independently. The primary leave activity is to bring these two advances together by collaborating with the group of Professor Geoff Whittle. This group has been instrumental in proving the matroid minor theorem. In so doing, I hope to be able to use the powerful theoretical and computational tools developed by Whittle's group to derive results of interest to other areas of pure and applied mathematics. If successful, this will enhance my academic career in that I will bring together two areas of mathematics and in so doing, enlarge my personal network. The short-term (within a year) outcome will be two or three research papers. The long-term outcome (within two or three years) will be a book aimed at the research community.</p>	<p>In the short term, the tangible primary outcome will be two or three research papers which will be submitted to international refereed journals. The intangible outcome will be closer communication and collaboration with an active group of researchers (led by Professor Geoff Whittle) at Victoria University Wellington, New Zealand. In the long term, I intend to write a book on matroid theory emphasizing its connections with other areas of pure and applied mathematics.</p>	<p>Fall 2016 & Spring 2017</p>

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Brian	Lain	Associate Professor	Communication Studies	<p>I plan to continue archival research in Salt Lake City, Utah and conduct interviews with former debaters in Utah, California, and Illinois, to complete two peer-reviewed article submissions on international debate in the United States from 1960-1990. I will read personal papers, organizational records, and publicity reports at the Marriott Library at the University of Utah. The project continues work I presented at a conference on the role international debate played in changing student cultural consciousness in the 1960s, and will benefit my teaching in the College of Arts and Sciences and enhance my reputation as a leading scholar in argumentation. Students will benefit from my research through the production of articles, book chapters and conference papers, and integrating my findings in events hosted by the university's debate team. This research and peer-reviewed publications would significantly advance my achieving full professorship. Awarded tenure in 2011, my appointment is 50% professor of Communication Studies and 50% Director of Debate, meaning that in addition to my teaching, research, and service obligations, I run the University's nationally competitive debate team, oversee a full schedule of public and international debates on campus, and manage outreach activities such as directing two debate tournaments that UNT hosts as well as the Mean Green Workshop in the summer. This leave project will advance both portions of my faculty position at the University of North Texas.</p>	<p>Leave outcomes will include: 1) Peer-reviewed journal article in Contemporary Argumentation & Debate focusing on the Russian International Debate Tour of the US. I conducted initial archival research to determine the feasibility of this project in summer 2015. My historical approach will contextualize the importance of the Russian-US debate exchange historically given the timing of the tour in the mist of the cold war. 2) Peer-reviewed journal article in Argumentation and Advocacy focusing on the cultural impact of the Japanese international debate tours of the US in the 1960s/1970s. I conducted initial archival research to determine the feasibility of the archival research project and presented my findings at Alta Argumentation Conference and published a portion of my findings in the peer-reviewed proceedings in 2014. The initial pilot project was well received and demonstrates an increasing interest in a broader history of communication movement from scholars in the discipline. As a former international debater and coach of the US National team, I will be able to secure interviews of former international debaters to provide context to the historic and cultural impact of the US/Japanese debate tours.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Natalya	Lindo	Associate Professor	Counseling and Higher Education	<p>Career theory provides a context for understanding the career development of individuals, including the intersection of interests, skills, values, personality, and cultural variables as well as potential barriers to and strategies for navigating career transitions. In CACREP accredited counseling programs, career counseling is a core course that students take relatively early in their programs of study. While students are learning about career theory, in a separate course they are tasked with identifying and developing a theoretical approach to personal counseling. This process often results in a dichotomous situation in which students lack a clear understanding of the relationship between career theory and personal counseling theory. Career counseling practitioners are increasingly recognizing the artificial distinction between career counseling and personal counseling. However, counselor education programs lag behind, and there is a dearth of literature regarding identification and integration of career theory. The purpose of the proposed project is to advance both my own and other counseling professionals' knowledge regarding identification and application of career theory as it applies to the process of integrating career theory and personal counseling theory. During the proposed development leave, I will engage in continuing education regarding career theory and personal counseling theory, interview counseling students to gain an understanding of their learning needs and obstacles to integration, and interview career counseling experts to gain their perspectives. The project will result in three manuscripts for publication.</p>	<p>As a result of engaging in the proposed project, I will: 1) Strengthen my foundation regarding identifying and developing one's career theory as a precursor to developing a teaching and learning model for classroom application. 2) Develop a foundation for integrating career counseling theory and personal counseling theory and conceptualize an integrated model for application to the classroom context. 3) Prepare a conceptual manuscript describing the false distinction between career counseling and personal counseling, the lack of research and pedagogy regarding identification and integration of career theory, and a model for use in classroom settings. 4) Conduct a research study examining students' perceptions of the process of career theory identification and integration, including specific challenges and strategies, and prepare a manuscript for publication. 5) Conduct a research study exploring career experts' views on the process of career theory identification and integration and best practices for teaching and learning, and prepare a related manuscript for publication. 6) Develop an interdisciplinary network for increased attention to career theory identification and integration. 7) Deepen my understanding of exemplary practices in career counselor education, research, and practice.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Yi (Ian)	Liu	Associate Professor	Finance, Insurance, Real Estate, and Law	<p>I plan to work with researchers at GuangFa (GF) Securities to study China's stock market during my leave. As the growth engine of the world's second largest economy, the stock market in China is playing an increasingly important role in China and the world. Recent turmoil in China's stock market had caused one of the biggest fluctuations in the U.S. stock market since the great recession. The Chinese stock market also exhibits unique characteristics like a high level of individual investor participation, strong momentum, government intervention, and speculator manipulation. Particularly, I plan to study two aspects of this market. The first paper will explore how the fluctuation of stock returns can be explained by the growth of fundamental factors in the long run. The second paper will examine momentum in the short term and reversal in the long term under a unified theory of investor under-reaction and over-reaction. GF Securities is one of the first full-service investment banks and integrated security brokerages in China. I have contacted its top management and have met with its director of Equity and Development Research, Dr. Gu Juan. The company is very positive about the opportunity of working with a finance professor from the United States. GF Securities will provide me a research assistant, office, and data to collaborate on my projects. This on-site experience also will provide me in-depth hands-on understanding of the mechanism of the Chinese stock market. My long term goal is to become an authoritative researcher in international investing, and this project is an important step towards that goal.</p>	<p>I have three main objectives: First is publication. I expect two publications in academic journals. One article will explore the relationship between fundamental factors (earnings growth, dividend growth, real interest rates, etc.) and stock return in the long term. China's stock market is often characterized as volatile and unpredictable. However, works by 2013 Nobel Laureate Robert Shiller and others suggest there is some predictability of stock returns in the long-run. Discovering the fundamental forces behind the short term fluctuations is important for the health and efficiency of international capital markets. The other paper will study the initial under-reaction, momentum chasing and eventual over-reaction from individual stock investors. The paper is motivated by recent works on behavioral finance and a high level of participation from individual investors in China's stock market. The second objective is to understand the unique mechanisms of China's stock market by interacting with researchers and traders at GF Securities. I want to understand the roles of institutions and governments; how the index future market feeds back to the spot market; why futures indexes often contain a discount that cannot be explained by classic future-spot equilibrium; how the newly developed options market affects stock trading; and how statistical and fundamental analysis is applied by its equity analysts, compared with technical analysis that is popular with individual investors. Third, I plan to write a book, introducing the scientific empirical research method to equity researchers in China.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Tomas	Mantecon	Associate Professor	Finance, Insurance, Real Estate, and Law	Historically, banks have borrowed more than 90% of the money they use to invest and to lend to consumers and entrepreneurs. High levels of debt generate large returns when the economy performs well; producing big bonuses for employees, but excessive borrowing creates large risks in economic downturns. These risks are passed to taxpayers in different ways, for instance, by governments rescuing banks when they cannot pay their debts. The banking sector is experiencing a dramatic transformation, and academic research on this industry has relevant policy implications. Regulators have introduced measures to increase bank capital (the money that is not borrowed) to limit the effects of contagion from the financial sector to the rest of the economy. The banking industry has lobbied intensely to oppose this regulation arguing that more stringent capital requirements will reduce economic activity. Is this opposition to regulation based on concerns about economic growth, or on the possible negative effects of regulation on banks' performance and managerial remuneration? The primary activity of the leave will be to conduct research to answer this question. This research will offer me a unique opportunity to apply the knowledge on the theory of finance that I have accumulated to the banking industry. The intended outcome of this leave is to become an expert in banking. I am planning to convey my expertise to my students and publish my research in the most reputable journal outlets.	During the last 13 years I have conducted research on mergers and joint ventures. Because of the growing relevance of the banking sector, I have become increasingly interested in applying the theories of finance to banks. The primary goal of my development leave is to conduct research aimed at becoming a leading expert in banking. This primary goal, which will extend beyond the period of the leave, will be beneficial for my professional development and for UNT in at least three ways: First, my expertise in the banking sector can be conveyed to our students in banking courses and seminars. The banking sector is one of our students' main employers. Second, I expect that my work will advance our knowledge in the field of banking. After the financial crisis many scholars have understood the large repercussions on the economy of an ill-functioning banking sector. More academic research is now being conducted aimed at reducing the consequences of the next crisis. I would like to contribute to this consequential body of academic work. Third, I will work to facilitate the signature of a memorandum of understanding between UNT and Business School, the institution where I will carry-out my research. I believe that UNT and students could greatly benefit from a collaboration with the IE Business School.	Fall 2016 & Spring 2017
Paul	Marshall	Regents Professor	Chemistry	Fall 2016 is to be spent in the laboratory of Prof. Hua Guo at the University of New Mexico to learn how to apply quantum scattering theory to investigate reaction dynamics, i.e., the details of chemical bond breaking and formation when two molecules collide, which determines reactivity in various systems of practical importance. New computational techniques will be learned and applied. This will enhance my research capability at UNT by allowing quantitative comparison with and interpretation of the experiments I conduct here. It will provide material to incorporate in my classes, and enable more competitive proposals to be submitted. The immediate outcome will be submitted research papers, but in the longer term I look forward to a continuing collaboration and improved funding outlook for my research.	Expected outcomes of faculty development leave will include: 1) Collaboration on projects of mutual interest with my host. 2) Become trained in state-of-the-art theoretical methods to investigate the details of chemical reactions, notably how to construct potential energy surfaces and analyze them using classical trajectory and quantum scattering methods. 3) Preparation of one or more refereed publications for submission to a major journal. 4) Incorporation of these new techniques to improve the competitiveness of at least two proposals for submission to federal agencies. 5) Implementation of new methods on UNT's research computing resources. 6) Bring home information about state-of-the-art methodologies to include in an existing advanced graduate course.	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
James	Meernik	Professor	Political Science	<p>Professor Kimi King and I have been working with the Victims and Witnesses Services section of the International Criminal Tribunal for the Former Yugoslavia to survey hundreds of witnesses who have testified before the ICTY. The administration of the first 300 surveys, and the associated data entry, coding, cross validation, translation work and final report will be finished by the summer of 2016. We will then move to our final completion projects detailed below. For my faculty development leave I will work with Professor King and VWS to write our book manuscript, present our findings to ICTY personnel in The Hague, Netherlands and make presentations to the witnesses and other stakeholders in the former Yugoslavia. We will make several trips to The Hague, Bosnia, Croatia, Kosovo and Serbia during the spring of 2017.</p> <p>The leave activity will position us as the world's foremost experts on the study of witnesses to atrocities and the impact of the act of testifying on witness mental and physical health, security and personal relationships, as well as their views on international justice. No one before has undertaken such a major survey project, and no one has been given access to the ICTY like Professor King and I have enjoyed in carrying out this survey research. The outcomes of the development leave will be 1) completion of final elements of the survey report for the ICTY and United Nations; 2) presentations to the ICTY; 3) presentations to the witnesses in the former Yugoslavia; and 4) completion of work on a full length book based on the final report, as well as other research articles.</p>	<p>The first objective is to finish work on our survey of individuals who have testified for the International Criminal Tribunal for the Former Yugoslavia (ICTY). Professor King and I have been working with the Victims and Witnesses Section (VWS) since 2010 to develop the survey, pilot it and develop a series of ongoing, preliminary reports on the results. The survey evaluates: 1) witness background and reasons for testifying; 2) socio-economic impact on witnesses; 3) security concerns for witnesses; 4) physical and psychological health and well-being of witnesses; and 5) witness perceptions about justice and the ICTY's legacy. A sixth section asks three open-ended questions which are audio-taped at the conclusion of the written survey. This section provides witnesses with an opportunity to express concerns or issues about the testimonial process and their advice for future witnesses. Final work on the survey (including data entry, cross-checking, translation, analysis and creation of figure) and final report will be performed in the fall 2015 through the summer 2016. We will use the leave period to write the book manuscript version of the report and research articles and finish any remaining work with the ICTY. We will also travel to The Hague, Netherlands for several weeks in spring 2017 to make presentations to ICTY and UN officials. The final report for the pilot survey will become part of the ICTY's legacy project. We will also travel to Bosnia, Croatia, Kosovo and Serbia with ICTY officials to make presentations on our results to witnesses and other stakeholders.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Wendy	Middlemiss	Associate Professor	Educational Psychology	<p>At Queensland University of Technology (QUT), I will conduct research that will build on data analyses of Dr. Thorpe's research group addressing napping during childcare. The data identifies naps for children whose sleep patterns do not require naps as impairing sleep hygiene. Outcomes will include a childcare curriculum and training program introducing alternative rest activities for childcare settings and an R21 grant to support the training and implementation. In establishing McAlpine Publishing with Dr. McAlpine, I enhance my career goals to provide a mechanism to translate research findings to messaging helpful for paraprofessionals and practitioners who work with families. This extends my work as Guest Editor of the special issue of Family Relations and Cry It Out network of academic professionals and parenting site paraprofessionals I established to translate research to practical information. The activity of gathering Editorial Board members to contribute to an outcome of an edited volume addressing the role of responsiveness across child rearing issues, enables me to provide a strong movement forward in this field. The activities of data analyses and program development with Dr. Barber, with outcomes, including a manuscript from our current study on parenting and flexibility and development of a parenting app and related grant proposal, will enhance my career by providing tools to translate information about how to create healthy parent-child caregiving contexts to messages across a diversity of families and cultures.</p>	<p>At Queensland University of Technology (QUT), I will complete data analyses of existing data with Dr. Thorpe on sleep and early childcare addressing the impact of mandatory napping in early childcare settings. We will construct a training program for early childcare workers focusing on developmentally appropriate rest periods for preschoolers whose sleep patterns do not include naps. We will complete an NIH R21 grant proposal evaluating the training program with facilities in Australia and the US. In addition, with Dr. McAlpine, I am establishing a publishing house focused on translating research findings for applied education and family settings. In this role, I will organize the Advisory and Editorial Boards and identify members to contribute to an edited book addressing the role of responsive care. We will complete draft chapters of the book with planned publication through our publishing house in mid-2017. I will complete data analyses of current research project with Dr. Barber at the University of Waikato in Hamilton, New Zealand, looking at flexibility in early care as it contributes to optimal developmental outcomes. We will submit a manuscript of the analyses in Early Human Development. We will establish a parenting app focused on flexibility in responding to children's needs. We will complete a Robert Wood Johnson grant proposal to support a controlled trial implementation of this app. Note: In Sydney, I will collaborate on final data analyses of work in collaboration with M. Koussa [an EPSY doctoral student] and CANTEEN and facilitate Michelle's preparation of a manuscript and NIH Postdoctoral Grant proposal.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Saraju	Mohanty	Professor	Computer Science and Engineering	<p>The objective of my research is to explore device modeling, leakage-power optimization methods, and security-aware system design methods which can lead to development of secure-efficient mobile computing systems. Such activities are: 1) Leakage-optimization methods: For battery driven mobile applications standby power has strong impact on battery life. This research will be in collaboration with IEST, Shibpur, India. 2) Security-aware system design methods: Security of the information that electronic systems process is critical for users. This will be researched in collaboration with IIT, Indore, India. 3) Nanoelectronic device modeling: For low-leakage system design, it is essential to have the right type of device so that systems can be built using such devices. This will be researched in collaboration with the Montpellier Laboratory of Informatics, Robotics & Microelectronics, France. These activities achieve the following objectives: 1) Broadening research to emerging topics in nanoelectronic system design. 2) Quality student recruitment: My research activities will be tightly coupled with outreach activities for quality student recruitment as well as to enhance the visibility of UNT in the Int'l community. 3) Int'l visibility: Research and outreach activities at the Important Institutes will increase Int'l visibility of faculty/UNT in various parts of the globe including India & France. Anticipated outcomes of the development leave include: 1) New leakage power reduction methods. 2) New secure system design methods. 3) New nanoelectronics device models. 4) Joint proposal and publication activity. 5) Quality student recruitment for UNT.</p>	<p>Expected outcomes of a faculty development leave will include: 1) New leakage power reduction methods. 2) New secure system design methods. 3) New nanoelectronics device models. 4) Joint proposal & publication activity: The target faculty at IEST has visited UNT for the year 2013-2014 on a Govt. of India funding. UNT faculty want to strengthen this effort & new connections with IIT to work on joint proposals & publications. Similarly visit to LIRMM, France can lead to joint proposals targeted for the European Union. 5) Quality student recruitment for UNT: The specific Institutes identified, particularly IEST & UT, are Institutes of National Importance in India with a large body of undergraduate students that can be recruited. 6) Int'l visibility for UNT: UNT faculty organized an IEEE meeting, ISVLSI 2015 (http://www.isvlsi.org) at LIRMM, France. It was very successful & well attended by researchers around the globe. UNT faculty wishes to further engage in this direction & become involved in Europe centric meetings such as Design Automation Test in Europe (DATE).</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Marilyn	Morris	Professor	History	<p>I wish to be granted leave in order to hasten the publication of my third book, <i>The Theatre of Matrimony in Georgian Britain</i>, which will be an extension of the research I gathered for my recently published book, <i>Sex, Money and Personal Character in Eighteenth-Century British Politics</i> (Yale, 2014). My original plan had turned out to be too encompassing, and I soon realized that I had material for two separate works. Now that I have established how the ideal of domestic probity that dominated political discourse over the course of the eighteenth century had fallen far short in the actual attitudes and practices of the ruling elite, I wish to address the way that individuals from a range of social classes wrote about their marriages in autobiographies, journals, and letters. This third book will compare lived experience with representations of domestic life in paintings, caricature prints, plays, and press coverage of adultery trials in order to determine why the idea that marriage promoted morality persisted in light of evidence to the contrary. In one anomaly, for example, the popularity of the conversation piece, a painting genre that celebrated fidelity and companionship, coincided with an upsurge in prosecutions for criminal conversation --cuckolded husbands suing wives' lovers for trespass under the common law. Having leave to travel during fall 2016 will allow me to complete my archival research while attending seminars at the Institute of Historical Research in London to reestablish contact with historians in the UK and promote my work.</p>	<p>My main objective is to publish a book within the five-year window designated by my department to maintain my ranking in the top tier. I also intend to work on reestablishing my presence in the historical community in the UK. During several summers I concentrated all my efforts to complete <i>Sex, Money and Personal Character</i>. While I maintained communication with scholars in my field online and established new contacts via Facebook, attending the American Society for Eighteenth-Century Studies conference last spring break reminded me that one can accomplish so much more through face-to-face conversations. It is imperative for me to broaden my network of scholars to share research and have more readers for the first drafts of my book chapters. While in graduate school and during subsequent trips to London, I found that attending evening seminars at the Institute of Historical Research was the best means of staying informed of the current work of other scholars. Additionally, my publisher, the London office of Yale University Press, has expressed interest in helping me to publicize my last book during my next trip to the UK.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Gloria	Olness	Associate Professor	Audiology & Speech-Language Pathology	<p>During leave I will pursue collaborative research activities with colleagues--Dr. Rosalia Dutra (UNT); Dr. Julie Hengst (University of Illinois at Urbana-Champaign); Drs. Roelien Bastiaanse and Rimke Groenewold (University of Groningen, NL); Dr. Jacqueline Stark (Austrian Academy of Sciences, Vienna), inter alia. I will participate and present in one or more national and international conferences, at least one of which will represent participation in a conference venue not previously attended. This will provide research interaction with faculty and students at extra-mural institutions and UNT Linguistics, in the form of discussions, colloquium presentations, and intensive research/writing sessions. This leave will enhance my career by building collaborative base for advancement of my research in discourse aphasiology. Outcomes of the leave will include: one or more manuscripts submitted for publication by January 2017; presentation(s) at national/international conferences; symposium/colloquium presentations at host universities. All contribute to more extensive dissemination of research.</p>	<p>The primary outcomes anticipated from the leave activities are enhanced research collaborations with intra-mural and extra-mural research colleagues (to contribute to collaborative scientific advances) and associated with the following planned products: one or more manuscripts submitted for publication by January 2017; presentation(s) at national/international conferences; presentation of local seminars and colloquia at partner universities. Manuscripts include: (1) submitted manuscript emerging from collaborative research on verbal mimicry in discourse of people with aphasia, with Rosalia Dutra (UNT Linguistics) and Dr. Rimke Groenewold (University of Groningen, NL) based on collaborative work that was begun in Spring Term 2015 and is on-going; submitted manuscript emerging from research on repetition in discourse of people with aphasia with Dr. Julie Hengst (U. Illinois-Urbana-Champaign), based on collaboration that was begun in 2012; submitted manuscript with Dr. Jacqueline Stark (Austrian Academy of Sciences, Vienna) on picture-elicited and interview-elicited discourse of people with aphasia, based on data sets of both researchers (focus TBD in collaboration). Development of new collaborative research (through conference participation and seminar and colloquium presentation) includes: (1) collaborator, Dr. Roelien Bastiaanse (U. Groningen, NL; Director of IDEA LAB international doctoral program) on relationship between morpho-syntax and discourse structure of speakers with aphasia; (2) participation in the Science of Aphasia international meeting, which I have not previously attended.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Felix	Olschofka	Professor	Instrumental Studies	<p>A fairly common medical condition amongst violinists is a nerve pain in the fingertips of the left hand. A sharp pain occurs while touching the strings even if it is done gently, resulting in not being able to play the instrument for days, weeks, or even several months. If untreated, this condition has the potential to become chronic. As a student, I dealt with this pain multiple times, alike several of my colleagues and current UNT students. The commonly recommended treatment in the US is to pause playing the instrument for several days or weeks until the nerve pain has disappeared. In Germany, intensive research has been done on how to medically treat and prevent the worsening of this condition, but it has not been pedagogically applied to violin playing. During my leave, I will document interviews and conduct field experiments with leading physicians in Germany that investigate this phenomenon in order to understand the neurological and psychological causes from a medical point of view. With the insights derived from this research, I have the potential to improve existing teaching practices and to inform the creation of new pedagogical and medically oriented solutions. I can use these insights to become an expert on these topics and thus contribute to new higher education curricula and methods in teaching. As an outcome of my leave, I intend to create specific methodology for my students to prevent the occurrence of the nerve pain and publish the results of my investigation.</p>	<p>The primary outcomes for the faculty development leave include: 1) Creating a new pedagogical methodology including exercises to reduce the finger pressure and prevent the occurrence and re-occurrence of the nerve pain. Publishing the results in an article ("The Strad" and "Strings" as potential magazines) and an online YouTube video. 2) Utilizing online platforms such as "The Violin Channel" and "Violinist.com" that have the highest reputation among string players to increase the distribution of the research results. 3) Enhancing the technical skill set of a violinist and therefore resulting in taking the violinist's musicianship to a higher level. To achieve the above-mentioned outcomes the followings steps are necessary: 1) Research the specific causes for the nerve pain from the medical point of view. 2) Document information on new medical treatments against the pain. 3) Collect preventative medical and physical solutions through interviews and field experiments.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Lou	Pelton	Associate Professor	Marketing & Logistics	<p>My proposed leave is to leverage my role in the Asia-Pacific Economic Cooperation (www.apec.org) to investigate marketing channel development in Vietnam and Indonesia. These member economies are in different stages of privatization. It is particularly timely and relevant given the multinational support of the Trans Pacific Partnership (TPP) that seeks to lower tariffs and increase free trade among APEC member economies. Vietnam has affirmed the TPP; Indonesia is paying attention to the TPP process, but it has expressed no interest in joining the TPP to date. With the assistance of the Vietnam Industry and Trade Information Center and the faculty of the Sekolah Tinggi Manajemen PPM, I will conduct qualitative research with key informants in marketing channels. The qualitative data will be used to identify factors underlying channel development in business-to-business marketing. The results will be submitted for journal publication and facilitate the development and dissemination of a survey research instrument. The research instrument (upon IRB approval) will be distributed in each economy to yield data sets for quantitative analysis. I expect to submit research manuscripts to top-tier academic journals. This data could assist doctoral students with developing their own dissertation research. Universities in each economy want to foster reciprocity agreements with UNT.</p>	<p>I anticipate that my leave will achieve the following objectives: 1) generation of qualitative research data that will be videotaped, translated and used for publication submission; 2) using the face -to-face key informant interviews with government and business leaders, will identify seminal themes and/ or factors that will either help develop measurement scales or adapt extant measurement scales for qualitative analysis, 3) conduct a survey in each market that has been translated and back-translated to ensure correctness, 4) conduct data analytics to produce at least one high-quality manuscript to a leading academic journal. I will also build relationships with each university's faculty toward developing long-term research collaborations. Each university is interested in student and faculty exchange programs, as well. Most of all, it affords a level of cultural and business immersion that will enhance my teaching of global business, culture and consumption, and marketing channels.</p>	Spring 2017
Miroslav	Penkov	Associate Professor	English	<p>I would like to begin the research for my third book, a novel. The narrative will center on the cultural heritage of Sofia, the capital of Bulgaria. An ancient city, over the centuries Sofia was controlled and molded by Celtic tribes, Romans, Slavs, Byzantines, Bulgarians and Ottomans. I would like to write about its many churches and learn more about the way their frescoes were created, preserved and restored. My previous two books were published here in the US by one of the most prestigious American literary houses (Farrar, Straus and Giroux) and abroad in over a dozen countries. My fiction has been translated in seventeen languages. I would like to keep developing as a writer and a third book is the natural next step. Researching and beginning work on this book is the primary intended outcome of my leave.</p>	<p>I'm planning to compile information about Sofia, the capital of Bulgaria, and begin work on a first draft of a novel. My goal is to learn as much as I can about the ancient churches of the city and about the ways in which their frescoes were created and preserved over the centuries. I know from experience (based on several previous research trips funded by UNT) that good research is indispensable; for the kind of book I would like to write such research can only be conducted in person, by visiting the historical sites in question.</p>	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Mark	Phillips	Librarian	Digital Libraries	The field of digital libraries continues to grow in size, scope and maturity. In the past fifteen years digital libraries have moved from initial ideas into fully developed and robust infrastructure that supports research and learning across the world. Even with such a strong uptake in digital library technology and services, there still remains a number of areas that can benefit from further research with a focus on demonstration and large scale implementation. These areas include three specific fields of study: data visualization, machine learning, and data analytics. The purpose of this development leave is to build the skills necessary to lead the development and implementation of new types of interfaces, technologies, and services onto existing digital library infrastructure. It will focus on the three fields of study that include data visualization, machine learning, and data analytics. The result of this development leave will include a white paper exploring these three fields and opportunities for use in digital libraries, as well as an implementation plan outlining how these tools can be integrated into the local digital library environment of the UNT Libraries. The final output will include the initial draft of a research proposal for submission to a federal funding agency that leverages the research and knowledge gained during this faculty development leave.	The primary objective of this faculty development leave is to increase my proficiency with the theories, methods, and technologies of data visualization, machine learning, and data analytics so that I am able to incorporate knowledge of concepts into the software and technology infrastructure of the UNT Libraries, into new grant proposals that leverage these concepts, and finally into my future scholarship and research. My expected outcomes for the development leave are to complete a thorough investigation of the three areas noted and prepare a white paper outlining the resources consulted during the leave period and opportunities for implementation in existing digital library infrastructure. In addition to the white paper, I will prepare a plan for implementation of improvements to the UNT Libraries' local digital library infrastructure based on the findings of this investigation. Finally I will prepare an initial draft of a research proposal for submission to a federal funding agency such as the Institute of Museum and Library Services (IMLS), or the National Endowment for the Humanities (NEH) that leverages the research and knowledge gained during this faculty development leave.	6 months - Sept 16 through February 17
Sanjukta	Pookulangara	Associate Professor	Merchandising & Digital Retailing	The main purpose of this leave is to participate on a funded collaborative international grant: A Multi-Dimensional Approach to Meet 21st Century Retailing Education and Industry Challenges for India and the US. This grant is a collaborative effort between Iowa State University (ISU), Oklahoma State University (OSU) and University of North Texas (UNT) in the US and the National Institute Technology of Fashion (NIFT) in India. The secondary purpose of this leave is research, specifically, complete analyzing data which has been gathered in collaboration with scholars at universities in India, United Kingdom and US, and submit manuscripts to referred journals. Intended outcomes include: 1) Visit India as a member of the US team including faculty from ISU and OSU. The main goal of this visit is to build partnerships with NIFT and explore areas of both graduate education and research; 2) Submit three manuscripts to refereed journals in my area of expertise; 3) Explore collaborations with faculty other than in NIFT such as Narsee Monjee Institute of Management Studies in Mumbai, India; and 4) meet with Retailers Association of India (RAI) - the premier retail organization (http://rai.net.in/) to explore future collaboration - this would be helpful for data collection in the future.	I will be traveling to India as a part of an International team with faculty from ISU and OSU. The objectives of the Indo-U.S. 21st Century Knowledge Initiative grant is to (a) affect change in retail-related education in order, and (b) enhance economic performance of businesses in the retail sector. This entails a partnership among faculty, students, and retailers to share and apply leading-edge knowledge that takes into account cultural perspectives of India and the United States. I am the PI at UNT and will be traveling to India in March of 2017, for a 15 day period as part of the faculty exchange team to NIFT. The main purpose of this visit is analyze the information gathered by the NIFT faculty and graduate students with regards to needs assessments and competitive analyses for small retailers in India. This information will form the foundation for customized recommendations for value-creating business activities developed among faculty, students, and retailers. I will be submitting three manuscripts to refereed journals from cross-national collaborative projects already in progress. I will also be exploring research collaboration, both at NIFT and other universities in India which offer programs in retailing and/or in consumer experience. I will be setting up exploratory meeting with RAI to investigate collaborative efforts both in terms of executive education as well as research in the Indian retail industry.	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Kathryn	Raign	Associate Professor	Technical Communications	<p>Primary Activity of Leave: I began my research of ancient Mesopotamian tokens, cylinder seals, and tablets, this summer when I received access to the JP Morgan Library's extensive collection of Mesopotamian artifacts. Since that visit, I have been continuing my research, and I plan to use my leave to write a book based on this research. Because I have spent the majority of my time at UNT (1997-2014) in administrative work and teaching, I have not been able to maintain the level of scholarship needed for promotion to full professor. Although I have published three text books, one article, and two research blogs since I received tenure, I need to finish my proposed book in order to qualify for promotion to full professor. I intend to complete a manuscript of my book. I have already been asked to submit a full proposal to the Association of Teachers of Technical Writing Book Series. The series' editor, Jo Mackiewicz, asks for writers to have their projects approved by her before they submit full proposals. I discussed my project with her this summer, and she approved me to submit a full proposal. I have now completed the proposal, the book's introduction, and chapter three.</p>	<p>My primary outcome is a published book based on my research of ancient Mesopotamian tokens, cylinder seals, and tablets. My timeline follows: Fall 2015--Submit proposal to Associate of Teachers of Technical Writing Book Series, Spring 2016--Continue research, Summer 2016--Complete draft of book, Fall 2016--Complete manuscript, Spring 2017--Publish manuscript.</p>	Spring 2017
Hendrik	Schulze	Associate Professor	Music History, Theory, and Ethnomusicology	<p>I propose to finish a book project that I have been working on for some time. It is concerned with the Aristotelian foundations of opera at the formative years of the genre, the three decades around the middle of the seventeenth century. During these years, Venetian opera developed in such a fashion that it arguably made the genre of opera sustainable and into the successful artistic genre that it still is. I argue that those aspects in particular that were responsible for making opera a success are founded in principles found Aristotelian philosophy, and consciously applied by composers, poets, and producers of opera in order to make their work appeal to the public. The identification of these aspects, and the discussion of their efficacy, will allow us to better understand not just the development of opera over the centuries, but also fundamental issues of human communication and cultural developments. During my leave I propose to complete the work that I have already done in terms of primary and secondary source research, and to write and edit the final product of this project, a monograph of about 300 pages about the topic. The book will complement and add to other already existing research on Venetian opera by authors such as Tim Carter, Wendy Heller, or Ellen Rosand. It is intended to further strengthen my national and international research profile and to provide a point of departure for further research projects concerning the aesthetic foundations of seventeenth-century European music, as well as more detailed work on specific seventeenth-century operas by composers such as Monteverdi or Cavalli.</p>	<p>The primary outcome is the production of an English-language monograph manuscript on the topic of the Aristotelian foundations of opera, to be submitted for acceptance to a reputable scholarly press in the field of Music History, such as Oxford University Press, University of California Press, or Routledge. It is expected that the primary source base accumulated for the project will also serve for future research projects on aesthetics of seventeenth-century music, and on detailed studies of specific operas, such as Claudio Monteverdi's <i>Il ritorno d'Ulisse in patria</i> (1640), his <i>Incoronazione di Poppea</i> (1643), or the operas of Francesco Cavalli.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Anna	Sidorova	Associate Professor	Information Technology and Decision Sciences	<p>The primary goal of the development leave is to conduct research on organizational benefits of Business Intelligence and Analytics (BI&A), a highly promising IS research area. The proposed research project is a continuation of the work I have done while supervising a doctoral student in 2014-2015, and involves the development of the Information-Centric Theory of BI&A-Enabled Organizational Transformation. To date, I have done significant preparation in terms of literature review and theory development. Therefore, crafting of a conceptual research manuscript for submission to MIS Quarterly, a top IS research journal, will be the main leave activity. Additionally, leave activities will include the design of follow-up empirical studies to test the theory, and the preparation of related NSF grant proposals. Requested development leave will enable timely completion of these activities as it will enable me to devote my undivided attention to the research project, and to travel for research purposes. Expected outcomes of the leave activities include submission of the manuscript to MIS Quarterly, plans for follow-up empirical studies, and submission of an NSF grant proposal. These outcomes will have immediate career benefits such as publication(s) in premier research journals, and, potentially, NSF research funding.</p>	<p>The primary outcomes of the anticipated leave activities are: 1) Completed conceptual research article presenting the Information-Centric Theory of BI&A-Enabled Organizational Transformation. It is anticipated that the proposed article will be submitted to the Theory and Review Section of MIS Quarterly, a top research journal in IS. It will integrate the dynamic capabilities theory of strategic management with the taxonomy of information views, thus highlighting the role of information in connecting the seizing, sensing and transformational components of dynamic capabilities and explicating the mechanisms by which investments in BI&A can lead to improved organizational performance. The completed conceptual research article is anticipated to make significant contribution to both the IS and strategic management literature. The theory is also expected to have important practical implications as it explains the organizational performance. 2) Detailed designs/plans for conducting one or more empirical studies for testing/refining the propositions of the theory. Following the development of the theory, specific empirical studies will be designed to refine and test components of the theory. The plans are expected to include potential research sites, data collection approaches, and/ or problem specifications for analytical modeling. 3) An NSF grant proposal (to be submitted to Science of Organizations Program no later than Sept 3, 2017) to provide funding for data collection related to testing propositions of the Information-Centric Theory of BI&A-Enabled Organizational Transformation.</p>	Spring 2017
James	Thurman	Associate Professor	Studio Art	<p>The focus of activity during the Fall 2016 semester leave will be on the development and production of a new body of collaborative artworks to be initially exhibited at UNT on the Square, March 4-26, 2017. Since January 2013, I have been producing artworks as part of a four-person collaborative group, Collaborate4, based primarily in Istanbul, Turkey (two of the other members live there). We have exhibited these artworks at numerous venues in Turkey and this upcoming exhibit at UNT on the Square will be our first exhibition in USA. This leave will facilitate significantly more time to work together in Istanbul. Although not all of my studio production is collaborative, my greatest innovations have resulted from partnering with others. Just as working in the studio is a dialog with tools, materials, and processes, creative exploration with others presents endless new possibilities. Collaborate4 is comprised of two metalsmiths, a jeweler, and a painter. The variety of our perspectives and aesthetics combined with our trusting and open dialog has yielded innovative and successful works that have been regularly exhibited and purchased over the past several years.</p>	<p>The primary outcome of activities during the leave will be artworks to be exhibited at UNT on the Square gallery, March 4-26, 2017. Not only is the UNT on the Square gallery an important exhibition space for the UNT community, it is the largest exhibition space I have ever exhibited in with Collaborate4. Most of the artworks made by Collaborate4 are wearable and small-scale. Some of the pieces have resulted in framed and wall-mounted panels. All of our work is very time-intensive due the materials and processes that we use. Our shared sensibility results in an integrated aesthetic where individual contributions are often difficult to distinguish. Despite our disparate backgrounds and training, we are unified in our approach to creating artworks that invite the audience to participate, either through handling and wearing the jewelry or by creating their own narrative to the wall-mounted panels. Our conversations during the design and creation of the artworks transform into an ongoing conversation with the audience of the works. Following the UNT on the Square gallery, Collaborate4 will have generated a large body of work ready for additional public exhibitions. All members of the group will pursue other opportunities to share this work with the public, both in USA and internationally.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Margie	Tieslau	Associate Professor	Economics	The purpose of this project is to analyze and assess the issue of long-run convergence in economic data. Variables that are converging are moving together through time along the same trend, or, are moving toward one specific value. My analysis will utilize a new and cutting edge test of convergence that allows for structural breaks in the data. This is important since all existing tests of convergence are invalid in the presence of breaks in the trend of the series. There are two primary activities that I will undertake during my leave: 1) collecting a large amount of publicly available data (from the web sites of the Bureau of Labor Statistics, the Board of Governors, the Federal Reserve Banks of Dallas, New York and St. Louis, the National Bureau of Economic Research, and the International Monetary Fund), and 2) running computer simulations that implement the test for convergence. The intended outcome of this project is several high-quality research papers that will be submitted for publication to top tier journals in economics. This will enhance my academic career by bolstering my publication record, possibly making me a strong candidate for promotion to full professor, and helping me to establish a reputation as an internationally recognized expert in the field of structural breaks and convergence.	The long-run goal of this project is to further my research in the area of time series analysis by producing several high-quality research papers that will be submitted for publication to top-tier economics journals. In so doing, I seek to establish an international reputation as one of the leading experts in the field of structural change and convergence. In addition, the information that my work will provide can be used by economists, policy makers, and government officials to affect the behavior of economic activity and achieve various economic goals. In addition, the information provided by my analysis about whether certain economic variables are converging (or not converging) can be used by economists and government officials to move variables to a common path or specific value, thereby achieving various policy goals.	Fall 2016
Justin	Trudeau	Associate Professor	Communication Studies	My research program is based upon producing traditional expository essays and upon creative research in the form of public performances. A peer-reviewed article and performance are the equivalent of two publications and fits within my department's tenure and promotion guidelines for a scholar within the performance studies area of the department of communication studies. Two publications would further me along my goal of going up for full professor. In addition to the peer-reviewed article and show that I will be working on during leave, I will travel and present at two conferences to receive feedback on the research I will be producing. Three primary outcomes: 1) I will complete a paper titled "Big Tex is Burning" about a show of the same name that I co-directed at UNT in the Spring of 2014. The paper will discuss the production concept and its theoretical and methodological aims and will be submitted to Text and Performance Quarterly, the flagship journal of our discipline. 2) I will research, write, adapt, and stage a complete creative research project in the form of a script on the subject of newly passed campus-carry legislation that I will put up in my department's Black Box Theatre in the Fall of 2017. 3) I will travel to a conference and attend an annual artist's retreat to work out my ideas and present my findings for the show I will be developing. I know that these goals are achievable, as I have already presented a spotlight panel on my direction of "Big Tex is Burning" and have been contacted by the editor of TPQ about her wanting me to finalize the paper and to send it to her for consideration for publication.	Three Primary Outcomes From Leave Activities: 1) I will complete a paper titled "Big Tex is Burning" about a show of the same name that I co-directed at UNT in the Spring of 2014. The paper will discuss the production concept and its theoretical and methodological aims and will be submitted to Text and Performance Quarterly, the flagship journal of our discipline. 2) I will research, write, adapt, and stage a complete creative research project in the form of a script on the subject of newly passed campus-carry legislation that I will put up in my department's Black Box Theatre in the Fall of 2017. 3) I will travel to a conference and attend an annual artist's retreat to work out my ideas and present my findings for the show I will be developing. I have directed five shows at UNT and know that the time allotted to me, including the summer months, would allow for a fully-fledged script that would be ready to go to rehearsal once students arrive back in the Fall. The two conferences I attend are part of my annual travel schedule, and will further promote the shaping and direction of my creative research.	Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Christoph	Weber	Associate Professor	World Languages, Literatures, and Cultures	<p>The publication of W. G. Sebald's seminal essay "Luftkrieg und Literatur" ["Air War and Literature"] (1997) and Jorg Friedrich's bestselling monograph Der Brand [The Fire] (2001) triggered a renewed debate in Germany, Great Britain, and the United States about the politically appropriate representation of the World War II aerial bombardments. Whereas historians have discussed the Allied bombing campaign against Germany at great length, the related scholarship in the field of literary studies has remained limited. My research project aims to dispel the commonly posited hypothesis that the bombings were a taboo subject during Germany's postwar reconstruction period. A closer look at publications from 1945 to 1961 points to a broad interest of the German public in revisiting the horrors of the city bombardments. I need to conduct necessary archival research in Germany in order to access eyewitness accounts published in magazines and newspapers. This investigation builds and expands on my published research on disaster narratives from the early-modern period to the 20th century. I focus on the following questions: Which narrative conventions have authors utilized in depicting the traumatic bombing experience? Did they appropriate or break with the language of National Socialist wartime propaganda? The reexamination of these nearly forgotten texts is especially relevant because they were instrumental in shaping the debate about "German victimhood" and "German guilt" that continues to this day. The outcomes of my research project will be published in peer-reviewed journals and will form the basis for a book-length monograph.</p>	<p>Literary scholars who study the bombing war, have focused mainly on texts discussed in W. G. Sebald's essay. Other than Hans Nossack's eyewitness account Der Untergang [Downfall] (1948) & Gert Ledig's novel Vergeltung [Payback] (1956), the scholarly analysis of other comparable German texts published during the same period has been sparse; this oversight seemingly substantiates the claim that Germans were not interested in the topic. On the contrary, my preliminary research has uncovered a wealth of overlooked materials dating from the 1940s and 1950s. Multiple editions of publications show that depictions of German wartime suffering resonated widely among the reading public. I plan to present the initial results of my research at the annual meeting of the German Studies Association as well as at the Modern Language Association conference in 2017. While the first is the largest gathering of scholars of German literature, culture, & history in the US, the second brings together leading literary scholars of languages & literatures from all over the world. Furthermore, I will publish my research findings in reputable peer-reviewed journals such as German Studies Review, Deutsche Vierteljahrsschrift für Literaturwissenschaft und Geistesgeschichte, and Monatshefte. In the long term, I intend to turn this investigation into a book-length monograph. Beyond scholars of German literature, I expect my research to be of interest to experts in the fields of history & sociology.</p>	Fall 2016 & Spring 2017

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Yu "Andy"	Wu	Associate Professor	Information Technology and Decision Sciences	<p>A critical issue that plagues the governance of security programs is the lack of easy-to-use measurement metrics for program evaluation. Meanwhile, a number of massive databases exist on system and software vulnerabilities and security breaches that capitalized on those vulnerabilities. Examples include the Common Vulnerabilities and Exposures (CVE) collected by mitre.org, the Exploit Database maintained by offensive-security.com, and the Cyber Reports distributed by the Secret Service. They constitute a wealth of data from which security metrics and patterns can be identified to guide individuals' actions on information protection or organizations' governance of their security efforts. To the best of my knowledge, however, insufficient academic effort has been spent to mine this valuable and rich source of data for these purposes. The development leave will allow me to commence an effort to identify interesting research questions in this respect, thus expanding my research into an area that I have been interested in for some time but not been able to explore due to time constraints. The primary activities during the leave will include a closer survey and analysis of the data in the vulnerability databases, a more comprehensive review of prior studies, if any, that may have been conducted in the same or similar line of thoughts, identifying potential research questions, and educating myself in data-mining and data-visualization tools that may be necessary. The intended outcome will be the preparation work that will lay the ground for publishing in a quality journal in the information systems (IS) discipline.</p>	<p>With the leave activities, I expect to gain a clear understanding of potential theoretical contributions that I can make to the information systems (IS) discipline by taking advantage of the rich data on system and software vulnerabilities and the related exploits. I also expect to acquire practical knowledge in the tools and techniques commonly used to mine and/or visualize information security data for generating and visually presenting insights. Another anticipated outcome is a preliminary blueprint on further theory development that will lead to research hypotheses and implications my proposed study may have for academic research and managerial practice. Together, I should be able to build the foundational work for a study that will be publishable in a quality journal in the IS discipline.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Kiseol	Yang	Associate Professor	Merchandising & Digital Retailing	<p>As digital technology has fundamentally transformed business models and the ways in which people interact each other, digital technology has become a force driving rapid consumer market change. Redefining how consumer markets are shaping the future retail landscape is the primary focus of my activity during faculty development leave. A funded research project sponsored by a Korean food company regarding consumer mobile food shopping behavior will be a part of the research project to redefine consumer markets with mobile technologies. As Co-PI, I will examine Korean consumer mobile food shopping behavior with a plan to extend the research project to an American consumer sample. During my leave at Chungbuk National University in South Korea, I will cultivate and acquire different research approaches, methods, and statistical programs to deepen my research skills and enhance my research productivity. Through workshop and conference participation, I will extend my scholarly network through international collaborations with universities and companies in Korea. Further, federal grant opportunities will be sought and proposals will be developed based on the leave activities. My leave activities will expand my research competencies and build my reputation as an international scholar through innovative research related to mobile shopping in the food category.</p>	<p>While the research project regarding mobile food shopping behavior may sound far-fetched, it is expected in the near future. The research project will enable my scholarly activities to advance innovative research and practice in the area of the research. While I work on the research project with Korean scholars, I will continue to work with retail industries both in Korea and U.S. in forecasting consumer interactions with digital retail encounters. A secondary activity is to continue an investigation of local farmers/retailers' use of digital marketing strategies to develop a federal grant proposal regarding local farmers market promotion program. I will investigate how digital platforms can facilitate consumer shopping in local markets, resulting in improving local economies. My leave will be a prime time for developing journal manuscripts and a grant proposal. I will additionally focus on learning new analytical methods such as analytical hierarchical methods and conjoint analysis and incorporate this new knowledge of the research method and data interpretation into revising my graduate courses. Thus, my leave time will enhance my scholarly competencies in developing journal articles and grant proposals. My understanding and knowledge of the research and data implementation will be incorporated into the classroom teaching to equip students with data implementation skills and knowledge, which industries seek from prospective employees.</p>	Fall 2016

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Tao	Zhang	Associate Professor	Kinesiology, Health Promotion and Recreation	<p>Through the Faculty Development Leave (FDL) in the Spring 2017 at UNT, I will enhance my research on physical activity and health promotion in school settings, targeting, in particular, health and physical activity intervention programs for minority and underserved children in preschool settings. This FDL will enable me to achieve three objectives: 1) To complete a research grant proposal investigating the effects of supportive physical activity interventions on underserved Hispanic children's physical and cognitive health outcomes. I will submit a grant proposal to the National Institutes of Health (NIH) for review. 2) To wrap up research that I have been conducting and to submit four papers to top-tier journals in my field. These papers will significantly update and add to the body of knowledge in school physical activity and health promotion. 3) To complete a 5-year research plan that will enable me to mature into an expert and leader in youth physical activity and health promotion on a national and international level. These three inter-connected objectives can only be achieved with the FDL, which will release me from teaching and service responsibilities, and will offer me the concentrated time and effort to enhance my scholarly achievements and reputations. It will also allow me to synthesize current research and develop new research topics and directions, to bring external funding to UNT, to attract outstanding graduate students to my department and college, and to contribute to UNT in its goal to achieve status among the nation's tier-one research institutions.</p>	<p>The goal of my FDL is to promote my research in school physical activity and health promotion, addressing physical inactivity and childhood obesity issues and using effective interventions to promote physical activity and better health outcomes among minority and underserved children in preschool and school settings. This is an important area of research that has not been adequately investigated. The FDL will enable me to focus on research and achieve three objectives: 1) To complete a research grant proposal investigating the effects of supportive physical activity interventions on underserved Hispanic children's physical and cognitive health outcomes. I will submit a grant proposal to the NIH for review by the end of Spring 2017. 2) To wrap up research that I have been conducting and to submit four papers to top-tier journals in my field, including Journal of Physical Activity and Health, Journal of School Health, Journal of Teaching in Physical Education, and Preventive Medicine. These papers will provide systematic knowledge on the relationship between school physical activity interventions and health outcomes, and will significantly contribute to the literature in youth physical activity and health promotion. 3) To complete a 5-year research plan that will enable me to mature into an expert in the field of youth physical activity and health promotion on a national and international level. To achieve these objectives, I will synthesize my own research as well as communicating and establishing collaborative projects with prominent researchers, including, in particular, Dr. Darla Castelli at the University of Texas - Austin.</p>	Spring 2017



Board Briefing

Committee: Consent

Date Filed: January 11, 2016

Title: Approval of Tenure for New UNT Faculty Appointee

Background:

In accordance with UNT Policy 15.0.1.00000, *Faculty Appointment and the Granting of Tenure and Promotion*,

15.0.2.32000 Maximum Probationary Period

“The maximum probationary period is defined as the maximum amount of time a faculty member may be appointed in probationary ranks in the university. **This period shall be specified for each individual at the time of his or her initial appointment.** Except as otherwise stated in this and related sections of policy, the maximum probationary period is the equivalent of six years of full-time service in the university at the rank of assistant professor, or three years of full-time service in the university at the rank of associate or full professor.”

“These provisions do not preclude a recommendation for the granting of tenure or a non-retention decision at any time prior to the expiration of the maximum probationary period.”

15.0.6.31300 Review of Dossier by Provost

“Recommendations for tenure are sent to the President. The President then transmits his or her recommendations for tenure to the Board of Regents.”

John Nauright will join the College of Education, Department of Kinesiology, Health Promotion, and Recreation as Department Chair and Professor in June 2016. Dr. Nauright received a Bachelor’s degree (1985) and Master’s degree (1988) from the University of South Carolina. He received his Ph.D. from Queen’s University in Ontario, Canada in 1992. Dr. Nauright currently serves as Director of the Research and Graduate Institute in the School of Sport and Service Management as well as Professor of Sport and Leisure Management at the University of Brighton in the UK (2013-present). Prior to his work in Brighton, Dr. Nauright served as Professor on the faculty of George Mason University (2007-2013), where he was appointed full Professor with tenure in 2007. Prior permanent appointments as a full Professor also include Georgia Southern University (2003-2007) and the University of Abertay located in Dundee, Scotland (2001-2003). Dr. Nauright has also held positions at several other universities including the University of Queensland (Australia), the University of Otago (New Zealand) and Queen's University (Canada). As a consultant or visiting professor, he has worked with the University of Ghana, the government of Barbados, Shanghai University of Sport, Al-Faisal University in Saudi Arabia, and JAMK University in Finland. His scholarly work is extensive with numerous books and publications in noted national and international outlets, with three of his books winning awards. In addition to his scholarly record, he has secured

almost half a million dollars in grant funding. He is noted for his mentorship of undergraduate and graduate students. Dr. Nauright has taught and developed courses in Sports Business Management, Sport and Recreation, Sport Science, Sport Management and Sport and Youth Development.

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.

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Institution Chief Financial Officer

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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

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Vice Chancellor/General Counsel

Schedule:

Tenure will be awarded for John Nauright upon the approval of the Board of Regents on his first day of employment at the University of North Texas.

Recommendation:

The President recommends that the Board of Regents authorize and approve the award of tenure for John Nauright.

Recommended By:

O. Finley Graves

Provost and VPAA

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President

Rosemary
R. Haggett

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Vice Chancellor

Lee
Jackson

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Chancellor



Board Order

Title: Approval of Tenure for New Faculty Apointee

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent and seconded by Regent , the Board approved the motion presented below:

Whereas, in accordance with UNT Policy 15.0.1.00000, *Faculty Appointment and the Granting of Tenure and Promotion*,

“The maximum probationary period is defined as the maximum amount of time a faculty member may be appointed in probationary ranks in the university,” and

Whereas, this period shall be specified for each individual at the time of his or her initial appointment,” and

Whereas, “these provisions do not preclude a recommendation for the granting of tenure at any time prior to the expiration of the maximum probationary period,” and

Whereas, John Nauright was awarded tenure at his previous institution, and

Whereas, John Nauright has the credentials and experience to be awarded tenure as confirmed by the department, college and provost, and

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

- 1. Confer tenure for John Nauright, upon approval by the Board of Regents effective on his first day of employment at UNT.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Briefing

Committee: Consent

Date Filed: January 15, 2016

Title: Award of Honorary Degree

Background:

From time to time the University awards honorary doctoral degrees to recognize individuals who "have made meritorious contributions to society that have enlarged human understanding and enriched human life" (UNT Policy 15.1.16). An honorary Doctor of Humane Letters degree is recommended for Mr. Paul Voertman.

Paul Voertman is the former owner of Voertman's Bookstore, an iconic local landmark in Denton, which was started by his father, Roy, in 1925 as a general store. After his father's death, Paul ran the store until his retirement in 1990. Paul earned his BS in Economics from University of Texas - Austin and served briefly in the military from 1950 to 1952.

Paul's relationship with UNT goes back to kindergarten when he attended the Demonstration School. He stayed through his sophomore year of college in 1947 before transferring to complete his degree. In the 1960s, he began the Voertman Art Competition, which continues today through UNT's College of Visual Arts and Design. Winners of the competition receive cash prizes. Paul supported the \$1.5M installation of the Richard Ardoin-Paul Voertman Concert Organ in memory of his late partner, Richard Ardoin. UNT's College of Music named their remodeled concert hall in Paul's honor. He currently serves on the College of Visual Arts and Design advisory board and in 2009, he received the Outstanding Alumni Service Award. Recognized philanthropists both Paul and Richard were especially supportive of the arts in Denton, which Paul continues today.

A generous UNT supporter, Paul has committed more than \$9.2M to the university. In 2011, he announced his plan to leave an estate gift to UNT, split among the College of Arts and Science, the College of Music, and the College of Visual Arts and Design. His giving is primarily designated to various scholarships in the College of Music and the College of Visual Arts and Design. Paul is a member of the McConnell Society, the 1890 Society, and is a life member of the UNT Alumni Association.

Financial Analysis/History:

There are no fiscal implications.

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Institution Chief Financial Officer

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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

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Vice Chancellor/General Counsel

Schedule:

The Honorary Doctor of Humane Letters degree will be awarded to Mr. Paul Voertman in association with Spring 2016 Commencement.

Recommendation:

The President recommends, with the concurrence of the Chancellor, that the Board of Regents approve the award of this University of North Texas honorary degree, Doctor of Humane Letters, to Mr. Paul Voertman.

Recommended By:

Neal J. Smatresk

President

Neal
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President

Rosemary R.
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Vice Chancellor

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Chancellor



Board Order

Title: Award of Honorary Degree

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 25-26, 2015, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, from time to time the University awards honorary doctoral degrees to recognize individuals who “have made meritorious contributions to society that have enlarged human understanding and enriched human life”, and

Whereas, Mr. Paul Voertman is a generous donor to the university and has continually provided support as well as service to the university, and

Whereas, Mr. Paul Voertman will be recognized at Spring 2016 Commencement,

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

1. That Mr. Paul Voertman be awarded an Honorary Doctor of Human Letters degree from the University of North Texas
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Briefing

Committee: Academic Affairs & Student Success

Date Filed: January 28, 2016

Title: Approval of Tenure Recommendation for the 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. "

Reynaldo Anaya Valencia, J.D., was hired on September 1, 2015 by UNT Dallas College of Law as Visiting Professor of Law and Interim Dean of Operations, and his appointment as Professor of Law will commence June 1, 2016. Mr. Valencia comes to UNT Dallas College of Law from St. Mary's University School of Law in San Antonio, TX where he served as Associate Dean for Administration and Finance as well as the Ernest W. Clemens Professor for Corporate and Securities Law, the Director of the Summer Skills Enhancement Program, and as the Founding Director of the Center for Latina/Latino Legal Studies. He was promoted to full Professor of Law and granted tenure at St. Mary's University in June, 1998. Mr. Valencia also served as a White House Fellow, appointed by President Clinton in the White House Office of the Chief of Staff, and as an Associate at Jones, Day, Reavis and Pogue in Dallas, TX.

Valencia has a long history in education having served as a Visiting Associate Professor Law at Texas Wesleyan University School of Law, Adjunct Professor of Law at Texas Tech University School of Law and as a Teaching Fellow at Harvard University, Department of Sociology.

Mr. Valencia earned his J.D. from Harvard Law School and his M.A. and B.A. from Stanford University. His honors and outside service include 2011 Equality Texas Becky Cross Anchor Award; Harvard Alumni Association; 2008 Distinguished Faculty Award from St. Mary's University; and Outstanding Legal Achievement Award from the Mexican Bar Association of San Antonio, TX. Valencia is a member of the Board of Directors of the American Board of Certification; Council on Legal Education Opportunity; Ethics Committee, Christus Santa Rosa

Hospital; Supreme Court of Texas Task Force for Gender Fairness; and the Law School Admissions Council in Allentown, PA. Mr. Valencia has also published refereed journal articles, refereed proceedings articles and many other professional publications. Courses taught by Valencia include Advanced Bankruptcy, Business Associations, Gender Discrimination, Race and Racism in American Law. He also served for many years as coach of the Hispanic National Bar Association Moot Court Team.

After review of his qualifications, the UNT Dallas Tenure and Promotion committee, made up of tenured faculty, unanimously recommended that tenure be granted to Mr. Reynaldo Valencia. The recommendation was presented to the president from the provost. 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.

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Institution Chief Financial Officer

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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Vice Chancellor/General Counsel

Schedule:

Tenure will be effective June 1, 2016 upon Board approval.

Recommendation:

The President recommends, with the concurrence of the Chancellor, that the Board of Regents authorize and approve the award of tenure for Mr. Reynaldo Valencia.

Recommended By:

Lois Becker

Provost

Bob Mong Digitally signed by Bob Mong
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President

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Vice Chancellor

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Chancellor



Board Order

Title: Approval of Tenure Recommendation for the 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 February 25-26, 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, Mr. Reynaldo Valencia came to UNT Dallas College of Law September 1, 2015 from St. Mary's University as an administrator and tenured Professor of Law in the School of Law, and

Whereas, Mr. Reynaldo Valencia previously held tenure at St. Mary's University, and

Whereas, Mr. Reynaldo Valencia has a proven record as an administrator and law and teacher educator.

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

- 1. The conferring of tenure to Mr. Reynaldo Valencia effective June 1, 2016.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Hagggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents