



University of North Texas System

Board of Regents

Schedule of Events for Board of Regents Meeting

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

May 18-19, 2017

The University of North Texas System Board of Regents will meet on May 18 from 9:00 a.m. until approximately 5:00 p.m. and on May 19 from 9:00 a.m. until approximately 12 p.m.

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 the UNT System Building. Please contact the Office of the Board Secretary with any questions at 214.752.5545.

Thursday, May 18, 2017

9:00 am CONVENE FULL BOARD

CHANCELLOR'S REMARKS

- Better Data
- Accreditation Progress
- Board Schedule and Briefings

PRESENTATION OF CERTIFICATE OF APPRECIATION

- UNT System Board of Regents: Presentation of Certificate of Appreciation to Student Regent Christopher Lee

Recess Full Board to Strategic and Operational Excellence Committee.

9:15 am STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE

Call to Order

- Approval of minutes of February 23, 2017 meeting

Briefing:

UNT System Administration and Institutional Strategic Plans Review

- Lee Jackson, UNT System, Chancellor
- Neal Smatresk, UNT, President
- Greg Anderson, UNTHSC, Chief Financial Officer
- Bob Mong, UNT Dallas, President

BACKGROUND MATERIAL

- Quarterly Operations Report
- UNTS Administration and Institutional Strategic Planning Documentation

Adjourn Strategic & Operational Excellence Committee.

10:00 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Call to Order

- Approval of minutes February 23-24, 2017 meeting

Briefings:

Assessment of Student Learning Outcomes

- Rosemary Haggett, UNTS, Vice Chancellor for Academic Affairs & Student Success
- Finley Graves, UNT, Provost
- Claire Peel, UNTHSC, Interim Provost
- Betty Stewart, UNT Dallas, Provost

Quarterly Academic Measures Report

- Rosemary Haggett, UNTS, Vice Chancellor for Academic Affairs & Student Success

11:00 am FINANCE AND FACILITIES COMMITTEE

Call to Order

- Approval of minutes of February 23-24, 2017 and May 1, 2017 meeting

Briefings:

UNTHSC Campus Master Plan Update

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

Emergency Planning, Readiness, and Continuity of Operations

- Brad Scott, UNT, Director, Emergency Preparedness & Insurance Management
- Scotie Selman, UNT, Director, Risk Management Services
- Matthew Moncus, UNT, Safety Director

FY16 Consolidated Annual Financial Report Highlights

- Aaron LeMay, UNTS, Associate Vice Chancellor and Controller

Quarterly Operations Report

- Budget to Actual: Janet Waldron, UNTS, Vice Chancellor for Finance

Recess Finance and Facilities Committee.

12:30 pm LUNCH

1:30 pm CONVENE FULL BOARD AND RECESS TO EXECUTIVE SESSION

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

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 audits and any findings, conclusions or recommendations related to those audits

2:00 pm AUDIT COMMITTEE

Call to Order

- Approval of minutes of February 23, 2017, and May 1, 2017 meeting

Action Item:

7. UNTS Acceptance of the Externally Audited UNT System FY16 Consolidated Annual Financial Report

Briefings:

Report of Audit Activities

- Tracy Grunig, UNT System, Chief Audit Executive

UNT System Enterprise Audit Report Inventory

- Tracy Grunig, UNT System, Chief Audit Executive

BACKGROUND MATERIAL

- UNT System Consolidated Quarterly Compliance Report, December 2016 through February 2017

Adjourn Audit Committee.

3:30 pm CONVENE FULL BOARD AND RECESS TO EXECUTIVE SESSION

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

- Consideration of the lease and value of certain real property and improvements located at 975 Haskell Street, Fort Worth, Tarrant County, Texas, 76107, 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 items related to Action Items 2,3,4,9,15,16
- Consideration of individual personnel matters related to the compensation of and employment agreement with the UNT Dallas 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 regarding audits and any findings, conclusions or recommendations related to those audits
- 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 ethics, conflicts of interest, and contracting policies
- Consultation with counsel regarding legal issues related to medical and law school accreditation
- Consultation with counsel regarding legal duties and responsibilities of members of the Board of Regents, and System and University officers and employees

5:00 pm CONVENE FULL BOARD AND RECESS

Friday, May 19, 2017

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.

9:05 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Action Item:

- 8. UNTS Approval and Ratification of 2017-2018 Admission Standards for UNT System Institutions
- 9. UNT Approval of UNT Tenure Recommendations
- 10. UNT Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Latino and Mexican American Studies
- 11. UNT Approval to Add the UNT Bachelor of Science Degree Program with a Major in Consumer Experience Management
- 12. UNT Approval to Add the UNT Master of Science Degree Program with a Major in Digital Communication Analytics
- 13. UNT Approval to Add Master of Science Degree Program with a Major in Data Science
- 14. UNT Approval to Add the UNT Master of Science Degree Program with a Major in Advanced Data Analytics
- 15. UNTHSC Approval of UNTHSC Tenure Recommendations
- 16. UNTD Approval of UNT Dallas Tenure Recommendations
- 17. UNTD Approval to Add the UNT Dallas Bachelor of Business Administration Degree with a Major in Business Analytics

Adjourn Academic Affairs & Student Success Committee.

9:45 am FINANCE AND FACILITIES COMMITTEE

Action Items:

- 18. UNTS Approval of Broker/Dealer List for Fiscal Year 2018
- 19. UNTS Amendment to Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B
- 20. UNTS Approval of Amended Regulation 08.2000, Investment of System Funds
- 21. UNTS Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Project Scope of the Interdisciplinary Research Building at HSC
- 22. UNTS Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Scope and Budget for Sycamore Hall 2nd Floor Renovation at UNT
- 23. UNT Approval of a Letter of Agreement and Delegation of Authority to Negotiate and Execute a Long-Form Agreement with Learfield Communications, LLC to administer UNT Athletics Multi-Media Rights

- 24. UNTHSC Delegation of Authority to Extend Agreement with Improving Enterprises
- 25. UNTHSC Authorization to Serve on Outside Board

Adjourn Finance and Facilities Committee.

10:30 am CONVENE THE FULL BOARD

CONSENT AGENDA

- 1. UNTS Approval of the Minutes of the February 23-24, 2017 Board Meeting, March 22, 2017 Special Called Meeting by Teleconference and March 24-25, 2017 Special Called Board Meeting
- 2. UNT Approval of Tenure for New UNT Faculty Appointees
- 3. UNT Approval of UNT Recommendations for New and Continued Regents Professor Designation
- 4. UNTHSC Approval of Tenure for New UNTHSC Faculty Appointee
- 5. UNTHSC Approval of Sub-award to Tarrant County under CDC Agreement 200-2011-41271
- 6. UNTHSC Authorization to Execute an Agreement Between UNTHSC and Tarrant County to Provide Limited Dermatologic Services to Patients Referred by the Tarrant County Public Health Department

ACTION ITEMS:

- 7. UNTS Acceptance of the Externally Audited UNT System FY16 Consolidated Annual Financial Report
- 8. UNTS Approval and Ratification of 2017-2018 Admission Standards for UNT System Institutions
- 9. UNT Approval of UNT Tenure Recommendations
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- 23. UNT Approval of a Letter of Agreement and Delegation of Authority to Negotiate and Execute a Long-Form Agreement with Learfield Communications, LLC to administer UNT Athletics Multi-Media Rights
- 24. UNTHSC Delegation of Authority to Extend Agreement with Improving Enterprises
- 25. UNTHSC Authorization to Serve on Outside Board

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

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

- Consideration of the lease and value of certain real property and improvements located at 975 Haskell Street, Fort Worth, Tarrant County, Texas, 76107, and possible action

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

- Consideration of individual personnel matters related to the appointment, employment, evaluation, reassignment, discipline and dismissal of System and Institution officers or employees
- Consideration of individual personnel matters related to the compensation of and employment agreement with the UNT Dallas President, and possible action
- Discussion of matters related to the search to fill the position of Chancellor, UNT System

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 regarding audits and any findings, conclusions or recommendations related to those audits
- 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 ethics, conflicts of interest, and contracting policies
- Consultation with counsel regarding legal issues related to medical and law school accreditation
- Consultation with counsel regarding legal duties and responsibilities of members of the Board of Regents, and System and University officers and employees

12:30 pm Reconvene the Board in Open Session (Room #712) to consider action on Executive Session items, if any

12:35 pm ADJOURNMENT



MINUTES

BOARD OF REGENTS Strategic and Operational Excellence Committee February 23, 2017

The Strategic and Operational Excellence Committee of the Board of Regents of the University of North Texas System convened on Thursday, February 23, 2017 in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas, with the following members in attendance: Regents Milton Lee, A.K. Mago, and Al Silva.

There being a quorum present the meeting was called to order by Committee Chairman Lee at 10:45 a.m. Pursuant to a motion by Regent A.K. Mago seconded by Regent Al Silva, the Committee approved the minutes of the November 17, 2016, meeting of the Strategic and Operational Excellence Committee on a 3-0 vote.

Committee Chair Lee noted that the Committee's charter and calendar of topics is reviewed annually and asked the Committee if there were any comments, questions, or amendments to offer to the material presented to the Committee. Hearing none, the charter and schedule of topics stood as presented.

The Committee had two briefings. For the first briefing, UNT System Chancellor Lee Jackson, UNT Dallas President Bob Mong, UNT President Neal Smatresk, and UNT Health Science Center President Michael Williams provided the **UNT System Administration and Institutional Strategic Plans Review**.

The second briefing, **IT Strategic Plans and Excellence Measures**, was presented by Rama Dhuwaraha, UNT System Chief Information Officer.

There being no further business, the Committee meeting adjourned at 12:00 p.m.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: March 9, 2017

UNT System Strategic Planning Update

PLAN PRIORITIES: UNT System Administration Strategic Goals

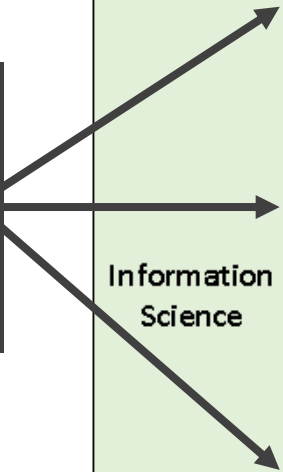
UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS
LEARNING & DISCOVERY:	1. Ensure quality academic program offerings	% of Academic Programs with Endorsed Priorities and Goals	100% TARGET 100% BASELINE 0
		Total No. of Degrees Awarded	10,192 TARGET 10,192 ★ 2016 9,857 BASELINE 9,243
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service	80% TARGET 80% BASELINE 72%
		% of Statewide Average Private Contributions Per FTSE	100% TARGET 100% BASELINE 32%
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	% of Students Who Would Recommend Their Program	100% TARGET 100% BASELINE 0
		% Graduates with Institutionally Approved High Impact Career Experience	100% TARGET 100% BASELINE 34%
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers	100% TARGET 100% BASELINE
		% of engaged employees	100% TARGET 100% ★ BASELINE 35%

UNT Examples – Program Goals

UNT Planning Priorities – College of Information (*excerpt*)

Goal Owner	Theme	Key Objective	Measure	2020 Target	FY 2017	FY 2018	FY 2019	FY 2020	Plan for Measure Achievement
Information Science	Learning and Discovery	Increase total research expenditures and elevate national prominence	Increase research funding	\$5M	15%				Encourage faculty to pursue external funding that promotes their research and enhances students success. Provide college/dept internal summer research grants for faculty seed funding. Adjust T/TT faculty workload to allow faculty to focus on research/external funding opportunities.
	Sustainable Growth, Finance, and Resources	Increase revenues and value	Increase # students in the BSIS Undergraduate program	300	33%				Create an UG cohort at Frisco for the BSIS-data science concentration. Grow the program online targeting paraprofessionals working in libraries/information centers. Use the GradTrack option to recruit additional GD students nationally.
	People and Teamwork	Create a data driven culture that focuses on continuous improvement	Increase # multi-authored publications	70%	30%				Make it mandatory for PhD students to publish at least 2 publications as a condition to graduate. Provide faculty/student research grants with the condition that the faculty must work with at least one PhD student to secure the department internal funding. The funding amount increases as the number of PhD students working on the project increase.

Program goals correlate to strategic planning themes



UNT Examples, Program Goals – Cont.

UNT Planning Priorities – College of Liberal Arts & Sciences (*excerpt*)

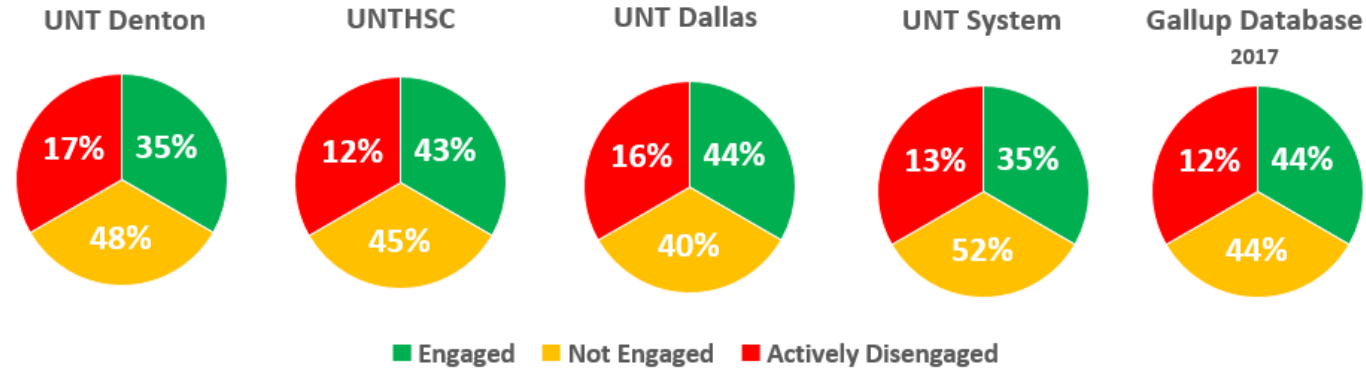
Goal Owner	Theme	Key Objective	Measure	2020 Target	FY 2017	FY 2018	FY 2019	FY 2020	Plan for Measure Achievement
Technical Communication	Sustainable Growth, Finance, and Resources	Increase revenue and value	Increase # graduate students	50	20				Use Innovative Enrollment Growth Grant to move campus certificate courses online. Market to under-employed individuals in Texas with English MA four 8-week courses running every term so individuals can finish within 32 weeks.
		Increase total research expenditures and elevate national prominence	Establish a user experience research lab to facilitate faculty research, expand outreach to industry, and train our undergraduate and graduate students for industry jobs	5	0				Work with CLASS Advisory Board to obtain private funding to lease and equip a facility in Denton. A Dept Advisory Board member, a national leader in user experience in industry, will advise Dept.
	Quality Experiences for Lifetime Success	Prepare all graduates to be competitive in the marketplace	Increase professional development opportunities for our BA majors (ETC networking/workshop events & internships)	100%	15%				Require new course, TECM 2800, for majors. Students will attend career fair, attend local professional group meeting, participate in dept resume book, and receive industry feedback.

UNT Examples, Program Goals – Cont.

UNT Planning Priorities – College of Engineering (*excerpt*)

Goal Owner	Theme	Key Objective	Measure	2020 Target	FY 2017	FY 2018	FY 2019	FY 2020	Plan for Measure Achievement
Biomedical Engineering	Learning and Discovery	Increase total research expenditures and elevate national prominence	Increase restricted research expenditures	\$0.5M	20%				Hire senior faculty with a proven record in competitive funding. Hire junior faculty with excellent research credentials and good prospects for funded research. Encourage faculty to work in inter-disciplinary teams on large grants.
	Sustainable Growth, Finance, and Resources	Increase revenues and value	Increase # GD students	50	0%				Recruit high quality domestic and international students by organizing visits to universities in the US and abroad. Offer assistantships/scholarships to outstanding students.
	Quality Experiences for Lifetime Success	Prepare all graduates to be competitive in the marketplace	Increase # UG degrees awarded	125	0%				Recruit high quality high school students with good SAT/ACT scores and classrank. Recruit from technical schools such as PLTW and Texas Academy of Biomedical Sciences. Work with college advisors to ensure that students take classes on time and in the right sequence. Ensure that support services such as tutoring are in place for students, in addition to outstanding teaching faculty providing state of the art education.

Employee Engagement Groups



Gallup: Three Types of Employees

ENGAGED: These employees are loyal and psychologically committed to the organization. They are more productive and more likely to stay with their institution.

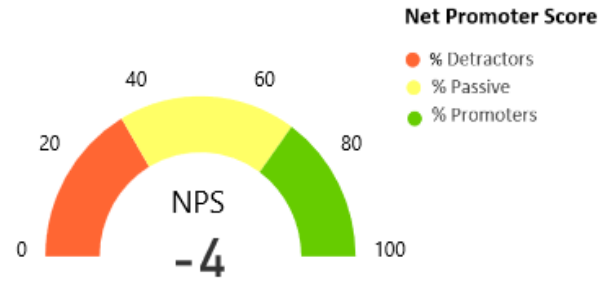
NOT ENGAGED: These employees may be productive, but they are not psychologically connected to their institution. They are more likely to miss workdays and leave the organization.

ACTIVELY DISENGAGED: These employees are physically present but psychologically absent. They are unhappy with their work situation and insist on sharing this unhappiness with their colleagues.

Gallup Engagement Survey 2017 Level 1

Level 1

■ UNT System Overall



422

Respondents

This is the greatest number of respondents on any one question

3.81

Grand Mean

This represents the unit's overall engagement on a scale of 1-5

QuestionID	Question Short	Mean	Size	Gallup percentile	Frequency Distribution	% responded-
Q01	Know what's expected	4.21	422	28	Q01	
Q02	Materials and equipment	3.91	422	36	Q02	● 1-Strongly Disagree
Q03	Opportunity to do best	3.85	422	32	Q03	● 2-Disagree
Q04	Recognition	3.49	419	37	Q04	● 3-Neutral
Q05	Cares about me	4.24	421	49	Q05	● 4-Agree
Q06	Development	3.75	419	35	Q06	● 5-Strongly Agree
Q07	Opinions Count	3.66	421	37	Q07	
Q08	Mission/Purpose	3.91	420	34	Q08	
Q09	Committed to quality	3.96	421	34	Q09	
Q10	Best friend	3.11	400	15	Q10	
Q11	Progress	3.67	415	30	Q11	
Q12	Learn and Grow	3.92	416	36	Q12	

Q1. I know what's expected at work.

RESPONDENTS

423

	Total N	Current Mean	Frequency Distribution ■ 1 ■ 2 ■ 3 ■ 4 ■ 5	Mean Percentile Rank - Gallup Overall	Gallup Overall Mean 50	Gallup Overall Mean 75
Q01: I know what is expected of me at work.	423	4.21	1:1% 2:5% 3:10% 4:39% 5:45%	28	4.48	4.74

Q5. My supervisor, or someone at work, seems to care about me as a person.

RESPONDENTS

422

	Total N	Current Mean	Frequency Distribution 1 2 3 4 5	Mean Percentile Rank - Gallup Overall	Gallup Overall Mean 50	Gallup Overall Mean 75
Q05: My supervisor, or someone at work, seems to care about me as a person.	422	4.23	1:4% 2:4% 3:12% 4:26% 5:54%	49	4.25	4.62

Q12. This last year, I have had opportunities at work to learn and grow.

RESPONDENTS

417

	Total N	Current Mean	Frequency Distribution ■ 1 ■ 2 ■ 3 ■ 4 ■ 5	Mean Percentile Rank - Gallup Overall	Gallup Overall Mean 50	Gallup Overall Mean 75
Q12: This last year, I have had opportunities at work to learn and grow.	417	3.92	1:4% 2:7% 3:20% 4:33% 5:36% 	36	4.17	4.56



UNT Strategic Goals

PLAN PRIORITIES: UNT Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS						
LEARNING & DISCOVERY:	1. Increase total research expenditures and elevate national prominence	Increase restricted research expenditures	<table border="1"> <tr> <td>TARGET</td> <td>\$31.5</td> </tr> <tr> <td>2016</td> <td>\$12.9</td> </tr> <tr> <td>BASELINE</td> <td>\$16.1</td> </tr> </table>	TARGET	\$31.5	2016	\$12.9	BASELINE	\$16.1
		TARGET	\$31.5						
2016	\$12.9								
BASELINE	\$16.1								
	Increase # of programs ranked nationally in the top 100	70	<table border="1"> <tr> <td>TARGET</td> <td>70</td> </tr> <tr> <td>BASELINE</td> <td>62</td> </tr> </table>	TARGET	70	BASELINE	62		
TARGET	70								
BASELINE	62								
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase revenues and values	Increase cash donations received	<table border="1"> <tr> <td>TARGET</td> <td>\$23.3</td> </tr> <tr> <td>2016</td> <td>\$16.7</td> </tr> <tr> <td>BASELINE</td> <td>\$13.2</td> </tr> </table>	TARGET	\$23.3	2016	\$16.7	BASELINE	\$13.2
		TARGET	\$23.3						
2016	\$16.7								
BASELINE	\$13.2								
	Increase # of graduate students	8,042	<table border="1"> <tr> <td>TARGET</td> <td>8,042</td> </tr> <tr> <td>2016</td> <td>6,782</td> </tr> <tr> <td>BASELINE</td> <td>6,672</td> </tr> </table>	TARGET	8,042	2016	6,782	BASELINE	6,672
TARGET	8,042								
2016	6,782								
BASELINE	6,672								
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Prepare all graduates to be competitive in the marketplace	Increase # of degrees awarded	<table border="1"> <tr> <td>TARGET</td> <td>9,051</td> </tr> <tr> <td>2016</td> <td>8,552</td> </tr> <tr> <td>BASELINE</td> <td>8,432</td> </tr> </table>	TARGET	9,051	2016	8,552	BASELINE	8,432
		TARGET	9,051						
2016	8,552								
BASELINE	8,432								
	Increase % of UG graduating students receiving significant career development through university programs	50%	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>29%</td> </tr> </table>	TARGET	50%	BASELINE	29%		
TARGET	50%								
BASELINE	29%								
PEOPLE & TEAMWORK:	4. Create a data-driven culture that focuses on continuous improvement	Increase % of engaged employees	<table border="1"> <tr> <td>TARGET</td> <td>100%</td> </tr> <tr> <td>2016</td> <td>35%</td> </tr> <tr> <td>BASELINE</td> <td>35%</td> </tr> </table>	TARGET	100%	2016	35%	BASELINE	35%
		TARGET	100%						
2016	35%								
BASELINE	35%								
	Increase % of faculty and staff who have participated in culture change training	50%	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>2016</td> <td>20.3%</td> </tr> <tr> <td>BASELINE</td> <td>20.3%</td> </tr> </table>	TARGET	50%	2016	20.3%	BASELINE	20.3%
TARGET	50%								
2016	20.3%								
BASELINE	20.3%								

New Faculty Onboarding Process Improvement Update

Joint effort with Toyota to apply the Toyota Production System to:

- Streamline new faculty onboarding experience to provide seamless transition
- Reduce issues with onboarding new faculty
- Reduce research delays
- Provide a customer friendly approach to new faculty onboarding

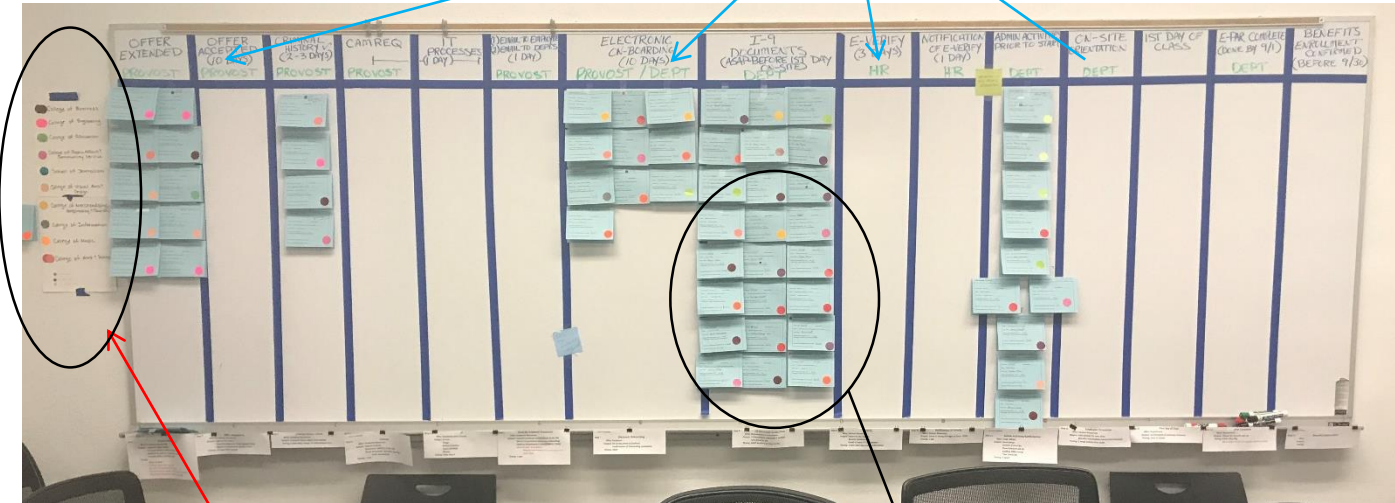
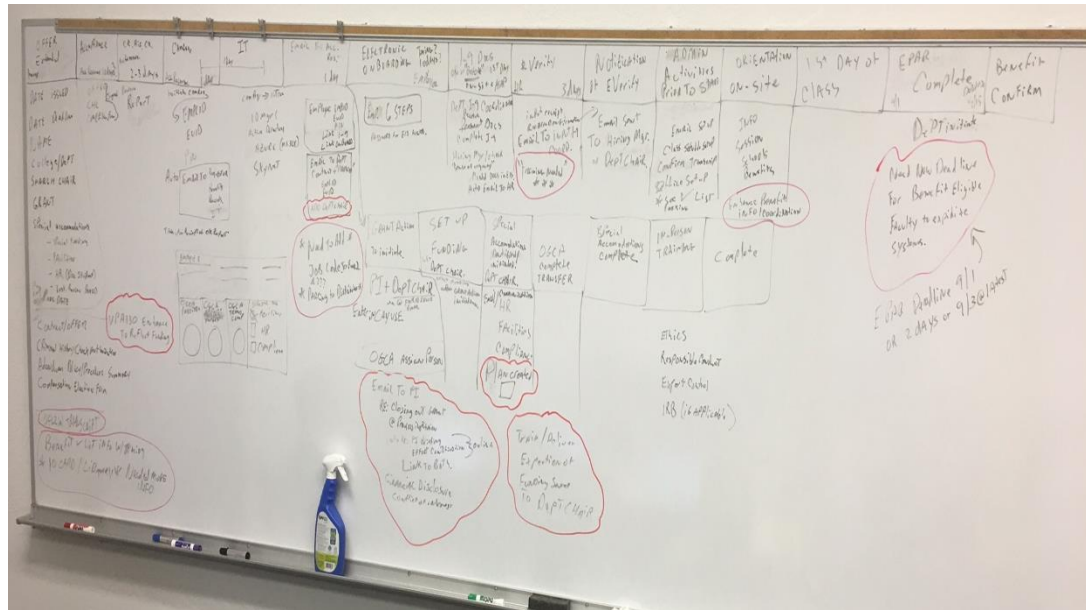
Dr. Terry Pohlen, Associate Dean, College of Business, UNT

Brandi Renton, Assistant Vice President Organizational Behavior, UNT

Scott Porter, Senior Manager, Toyota Motor North America

Faculty on-boarding process

Process "Owners" identified by step



New members identified by college

Stagnation points quickly identified

Kaizen Strategy

1. Map process detail – step by step
2. Develop a tool to see “status at a glance”—a visual board of process, defined process lead-times, candidate status
3. Identify problems that create struggles for new faculty: onboarding portal, benefits, EIS access, grant transfer, etc.
4. Solve problems 1 X 1
5. Standardize new Process

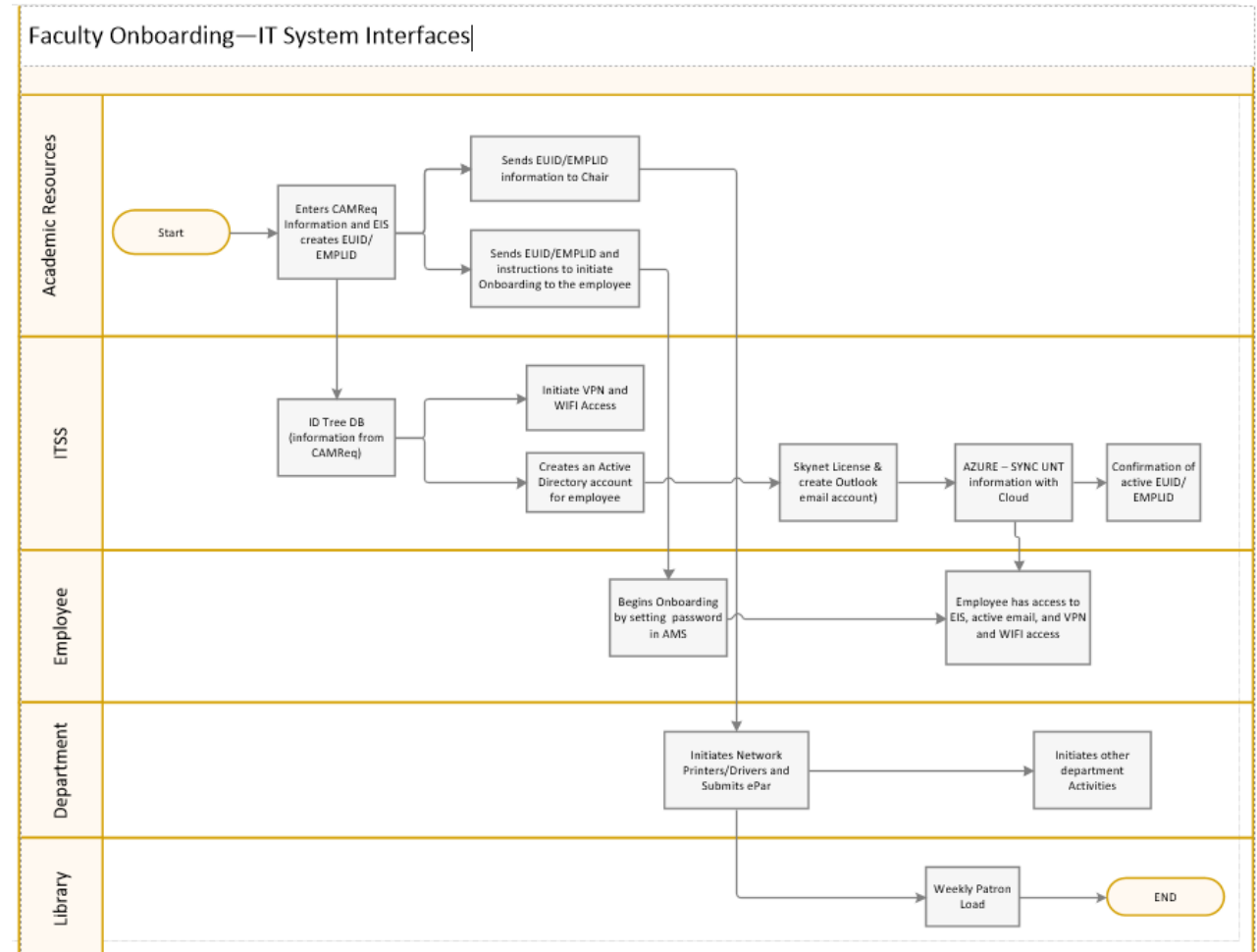
Immediate actions and improvements

Before										After											
Jan	Feb	Mar	Apr	May	Jun	Jul	Aug		Sept	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug		Sept		
1	1	1	1	1	1	1	1	15	26	1	1	1	1	1	1	1	1	1	15	26	1

- Offer letters accepted within ten days of being extended
- Electronic on-boarding portal access made available upon creation of employee university ID (EUID/EMPLID) with faculty completing within ten days with any exceptions noted and addressed
- I-9 processing occurring when new faculty on-campus for house-hunting or arriving early
- Email access, Onedrive storage, and on-line library access provided within 24 hours of EUID/EMPLID generation
- Parking and benefits directly contacting new faculty hires with key information
- Faculty mentors being assigned prior to on-boarded faculty members' arrival
- Incoming faculty loaded into the Employee Retirement System (ERS) after completing the on-boarding portal to enable benefits selection to commence on September 1st
- Decoupling of UNT department budget tables from other units to enable ePARs to begin processing immediately following budget approval by Board of Regents

Other processes impacted

- Research and grants
- Facilities and space
- VISA and immigration
- I-9 & e-Verify
- Technology acquisition for new hires
- Benefits
- Parking
- Communications



UNT Dallas Strategic Plan

Plan Priorities: UNT Dallas Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS								
LEARNING & DISCOVERY:	1. Establish academic programs of excellence that address regional and student needs	No. of Programs of Excellence compared to national peers	<table border="1"> <tr><td>TARGET</td><td>5</td></tr> <tr><td>BASELINE</td><td></td></tr> </table>	TARGET	5	BASELINE					
		TARGET	5								
BASELINE											
Priority Programs Aligned to Workforce Needs	<table border="1"> <tr><td>TARGET</td><td>10</td></tr> <tr><td>2017</td><td>5</td></tr> <tr><td>BASELINE</td><td>3</td></tr> </table>	TARGET	10	2017	5	BASELINE	3				
TARGET	10										
2017	5										
BASELINE	3										
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase annual fundraising and enrollment to achieve sustainable size	Total Cash Received	<table border="1"> <tr><td>TARGET</td><td>\$5,000,000</td></tr> <tr><td>★ 2017</td><td>\$886,541</td></tr> <tr><td>2016</td><td>\$662,600</td></tr> <tr><td>BASELINE</td><td>\$592,173</td></tr> </table>	TARGET	\$5,000,000	★ 2017	\$886,541	2016	\$662,600	BASELINE	\$592,173
		TARGET	\$5,000,000								
★ 2017	\$886,541										
2016	\$662,600										
BASELINE	\$592,173										
% of Headcount Total Enrollment Goal	<table border="1"> <tr><td>TARGET</td><td>8,042</td></tr> <tr><td>★ 2017</td><td>3,030</td></tr> <tr><td>2016</td><td>2,488</td></tr> <tr><td>BASELINE</td><td>2,575</td></tr> </table>	TARGET	8,042	★ 2017	3,030	2016	2,488	BASELINE	2,575		
TARGET	8,042										
★ 2017	3,030										
2016	2,488										
BASELINE	2,575										
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase graduates with quality learning outcomes and career experiences	% of Graduates with University- sponsored high impact internships/career experiences	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>★ 2017</td><td>27.4%</td></tr> <tr><td>2016</td><td>29%</td></tr> <tr><td>BASELINE</td><td>35%</td></tr> </table>	TARGET	100%	★ 2017	27.4%	2016	29%	BASELINE	35%
		TARGET	100%								
★ 2017	27.4%										
2016	29%										
BASELINE	35%										
% of Graduates with Outstanding Communications Skills	<table border="1"> <tr><td>TARGET</td><td>85%</td></tr> <tr><td>BASELINE</td><td></td></tr> </table>	TARGET	85%	BASELINE							
TARGET	85%										
BASELINE											
PEOPLE & TEAMWORK:	4. Build a strong culture of shared values	Net Promoter Score for Students Who Would Recommend Their Program	<table border="1"> <tr><td>TARGET</td><td>50</td></tr> <tr><td>★ 2017</td><td>40.3</td></tr> <tr><td>BASELINE</td><td>40.3</td></tr> </table>	TARGET	50	★ 2017	40.3	BASELINE	40.3		
		TARGET	50								
★ 2017	40.3										
BASELINE	40.3										
% of Engaged Employees	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>★ BASELINE</td><td>44.0%</td></tr> </table>	TARGET	100%	★ BASELINE	44.0%						
TARGET	100%										
★ BASELINE	44.0%										

Establish academic programs of excellence that address regional and student needs

Measure: Number of programs of excellence compared to national peers (T: 5; R: planning phase)

Measure: Priority programs aligned to workforce needs (T: 10; R: 5)

- School of Business – Logistics
- School of Counseling & Human Services – Mental Health
- School of Education – Bilingual Education
- School of Liberal Art & Sciences – Public Health
- College of Law – Juris Doctorate

Increase annual fundraising and enrollment to achieve sustainable size

Measure: Total cash received (T: \$5M; R: FY17-\$886,541)

- FY 2017 to date = \$294,368.64
- 17.7% of 5 year target

Measure: Total enrollment - Headcount (T: 5,000; R: FY17 – 3,030)

- Data updated each fall semester – certified enrollment
- Fall 2016 headcount – 3,030
 - Up 21.8% year over year certified numbers
- Spring 2017 headcount – 2,979
 - Up 22% year over year certified numbers
- Summer 2017 is up 16% year over year as of 5/1/2017

Increase graduates with quality learning outcomes and career experiences

Measure: Percentage of graduates with University sponsored high impact internships/career experiences (T: 100%; R: Fall 2016– 30.2%)

- Degrees expected to be awarded in Spring 2017:
 - School of Education - 55 (45 Undergraduates & 10 Graduates)
 - HSML - 15
 - Master's in Counseling - 13
 - Logistics and Supply Chain Management – 4
 - Total expected degrees awarded – 338 (287 Undergraduate & 51 Graduate)
 - Currently labelling additional courses with an official experiential learning designation

Measure: Percentage of graduates with outstanding communication skills (T:85%; R: start-up phase)

- Speaking Center on campus now open; will roll out demonstrated speaking competencies Fall 2017
 - Currently researching options for ePortfolios

Build a strong culture of shared values

**Measure: Percentage of students who would recommend their program
(T: 100%; R: start-up phase)**

- NPS for Spring 2017 graduating students is 40.3 (-100 to 100 scale)
- 67 out of 119 students completed the Spring 2017 survey (56%)
- Graduating seniors will be surveyed at the end of every fall semester
- All freshman, sophomore, junior, and seniors will be surveyed at the end of every spring semester (currently in progress)

Measure: Percentage of engaged employees (T: 100%; R: FY17 –44%)

- FY 17 – Gallup
 - Survey completed Spring 2017
 - 192 respondents; 60% participation

UNTHSC Strategy Update

PLAN PRIORITIES: UNT Health Science Center Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS								
LEARNING & DISCOVERY:	1. Transform to a high performing center	% of schools and institutes meeting high performance criteria	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>2016</td><td>22%</td></tr> <tr><td>BASELINE</td><td></td></tr> </table>	TARGET	100%	2016	22%	BASELINE			
		TARGET	100%								
2016	22%										
BASELINE											
Research award dollars increased	<table border="1"> <tr><td>TARGET</td><td>\$55</td></tr> <tr><td>2016</td><td>\$47.2</td></tr> <tr><td>BASELINE</td><td>\$42.7</td></tr> </table>	TARGET	\$55	2016	\$47.2	BASELINE	\$42.7				
TARGET	\$55										
2016	\$47.2										
BASELINE	\$42.7										
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	Total donor funds received	<table border="1"> <tr><td>TARGET</td><td>\$50</td></tr> <tr><td>★ 2017</td><td>\$11.3</td></tr> <tr><td>2016</td><td>\$5.3</td></tr> <tr><td>BASELINE</td><td>\$3.4</td></tr> </table>	TARGET	\$50	★ 2017	\$11.3	2016	\$5.3	BASELINE	\$3.4
		TARGET	\$50								
★ 2017	\$11.3										
2016	\$5.3										
BASELINE	\$3.4										
# of total GME slots	<table border="1"> <tr><td>TARGET</td><td>550</td></tr> <tr><td>2017</td><td>455</td></tr> <tr><td>2016</td><td>390</td></tr> <tr><td>BASELINE</td><td>360</td></tr> </table>	TARGET	550	2017	455	2016	390	BASELINE	360		
TARGET	550										
2017	455										
2016	390										
BASELINE	360										
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	% of programs with >90% satisfaction with quality of teaching	% of programs with >90% satisfaction with quality of teaching	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>2016</td><td>36%</td></tr> <tr><td>BASELINE</td><td>45%</td></tr> </table>	TARGET	100%	2016	36%	BASELINE	45%		
		TARGET	100%								
2016	36%										
BASELINE	45%										
% of programs with >90% satisfaction with quality of education	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>2016</td><td>27%</td></tr> <tr><td>BASELINE</td><td>36%</td></tr> </table>	TARGET	100%	2016	27%	BASELINE	36%				
TARGET	100%										
2016	27%										
BASELINE	36%										
PEOPLE & TEAMWORK:	4. Build culture based on values	% of engaged employees	<table border="1"> <tr><td>★ TARGET</td><td>100%</td></tr> <tr><td>BASELINE</td><td>43%</td></tr> </table>	★ TARGET	100%	BASELINE	43%				
		★ TARGET	100%								
BASELINE	43%										
% of New Hires hired for Values and Competencies	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>2017</td><td>45.0%</td></tr> <tr><td>2016</td><td>21.3%</td></tr> <tr><td>BASELINE</td><td></td></tr> </table>	TARGET	100%	2017	45.0%	2016	21.3%	BASELINE			
TARGET	100%										
2017	45.0%										
2016	21.3%										
BASELINE											

PLAN PRIORITIES: UNT System Administration Strategic Goals



UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS
LEARNING & DISCOVERY:	1. Ensure quality academic program offerings	% of Academic Programs with Endorsed Priorities and Goals	100%
		Total No. of Degrees Awarded	10,192
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service	80%
		% of Statewide Average Private Contributions Per FTSE	100%
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	% of Students Who Would Recommend Their Program	100%
		% Graduates with Institutionally Approved High Impact Career Experience	100%
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers	100%
		% of engaged employees	100%

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

UNT System Administration Strategic Plan At-a-Glance

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

PLAN PRIORITIES: UNT Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS						
LEARNING & DISCOVERY:	1. Increase total research expenditures and elevate national prominence	Increase restricted research expenditures	<table border="1"> <tr> <td>TARGET</td> <td>\$31.5</td> </tr> <tr> <td>2016</td> <td>\$12.9</td> </tr> <tr> <td>BASELINE</td> <td>\$16.1</td> </tr> </table>	TARGET	\$31.5	2016	\$12.9	BASELINE	\$16.1
		TARGET	\$31.5						
2016	\$12.9								
BASELINE	\$16.1								
		Increase # of programs ranked nationally in the top 100	<table border="1"> <tr> <td>TARGET</td> <td>70</td> </tr> <tr> <td>BASELINE</td> <td>62</td> </tr> </table>	TARGET	70	BASELINE	62		
TARGET	70								
BASELINE	62								
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase revenues and values	Increase cash donations received	<table border="1"> <tr> <td>TARGET</td> <td>\$23.3</td> </tr> <tr> <td>2016</td> <td>\$16.7</td> </tr> <tr> <td>BASELINE</td> <td>\$13.2</td> </tr> </table>	TARGET	\$23.3	2016	\$16.7	BASELINE	\$13.2
		TARGET	\$23.3						
2016	\$16.7								
BASELINE	\$13.2								
		Increase # of graduate students	<table border="1"> <tr> <td>TARGET</td> <td>8,042</td> </tr> <tr> <td>2016</td> <td>6,782</td> </tr> <tr> <td>BASELINE</td> <td>6,672</td> </tr> </table>	TARGET	8,042	2016	6,782	BASELINE	6,672
TARGET	8,042								
2016	6,782								
BASELINE	6,672								
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Prepare all graduates to be competitive in the marketplace	Increase # of degrees awarded	<table border="1"> <tr> <td>TARGET</td> <td>9,051</td> </tr> <tr> <td>2016</td> <td>8,552</td> </tr> <tr> <td>BASELINE</td> <td>8,432</td> </tr> </table>	TARGET	9,051	2016	8,552	BASELINE	8,432
		TARGET	9,051						
2016	8,552								
BASELINE	8,432								
		Increase % of UG graduating students receiving significant career development through university programs	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>29%</td> </tr> </table>	TARGET	50%	BASELINE	29%		
TARGET	50%								
BASELINE	29%								
PEOPLE & TEAMWORK:	4. Create a data-driven culture that focuses on continuous improvement	Increase % of engaged employees	<table border="1"> <tr> <td>TARGET</td> <td>100%</td> </tr> <tr> <td>BASELINE</td> <td>35%</td> </tr> </table>	TARGET	100%	BASELINE	35%		
		TARGET	100%						
BASELINE	35%								
		Increase % of faculty and staff who have participated in culture change training	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>20.3%</td> </tr> </table>	TARGET	50%	BASELINE	20.3%		
TARGET	50%								
BASELINE	20.3%								

Last Edited - 05.10.17

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

UNT - Institutional Strategic Plan At A Glance

					Sep-Aug 2015-2016	Sep-Aug 2017-2018	Sep-Aug 2020-2021	Sep-Aug 2025-2026	Sep-Aug 2030-2031
UNTS Theme	UNT Key Objectives	UNT Initiatives	UNT Measures		FY'16	FY'18	FY'21	FY'26	FY'31
LEARNING & DISCOVERY: 1. Create and continuously improve vibrant and innovative academic communities	1. UNT: Strengthen the quality, numbers and accessibility of academic offerings to address evolving student and regional economic and workforce needs.	1.1 Establish off-site instructional facilities - Finley Graves (8/31/21)	M: total # of off-site instructional facilities		2	4	5	5	5
		1.2 Increase SCH through distance education offerings - Finley Graves (8/31/21)	M: total # distance education SCH		157,481	173,458	198,165	239,889	271,674
		1.3 Achieve re-accreditation through the Southern Association of Colleges and Schools Commission on College - Bob Brown (12/31/17)	M: % of reaccreditation process complete		97%	-	-	-	-
		1.4 Review and improve comparative status and rankings of academic programs - Finley Graves (8/31/31)	M: # of programs nationally ranked in top 100 in their field		49	64	70	75	80
		1.5 Evaluate and adjust academic programs within colleges and schools to address emerging needs - Finley Graves (08/31/21)	M: % of programs reviewing curricula on a 3-year cycle		0%	50%	100%	100%	100%
	2. UNT: Enhance research activities in key established and emerging areas of strength to promote innovation, entrepreneurialism and increase research funding.	2.1 Initiate Institutes of Research Excellence and establish functional governance model - Tom McCoy (08/31/31)	M: \$ grant revenue received annually		0	\$4M	\$8M	\$13M	\$25M
		2.2 Strengthen faculty in key established and emerging areas - Tom McCoy (08/21/2021)	M: net increase in total # of additional new faculty hired in identified key areas		1	5	12	20	50
		2.3 Increase private sponsored research agreements (SRAs) - Tom McCoy (08/31/21)	M: total # of new SRAs executed annually		2	6	12	17	25
		2.4 Build intellectual property portfolio - Tom McCoy (08/31/31)	M: total # of new licenses executed annually		1	2	4	5	7
		2.5 Optimize and expand research space - Tom McCoy (08/31/21)	M: # of square feet of research space		280,691 SF	300,000 SF	315,000 SF	320,000 SF	400,000 SF
	2.6 Establish plan and schedule for participation in Texas National Research University Fund - Tom McCoy (08/31/21)	M: total annual restricted research expenditures as a % of \$45M		40%	44%	67%	111%	178%	
	2.7 Increase graduate student funding - Finley Graves (08/31/21)	M: average UNT graduate stipends compared to average in OSU Graduate Stipend Study		109%	110%	112%	113%	115%	
	2.8 Align promotion and tenure standards to our national prominence goal - Finley Graves (08/31/16)	M: % of department P&T standards reviewed and improved to aspirant standards on 5-year cycle		100%	-	-	-	-	
SUSTAINABLE GROWTH, FINANCE & RESOURCES: 2. Achieve exceptional service and value for all customers including students	3. UNT: Improve management of fiscal and physical resources to enhance efficiencies and cost savings.	3.1 Improve financial net position - Bob Brown (08/31/21)	M: # of weeks of operating funds in reserves		15	16	17	20	22
		3.2 Establish user friendly financial dashboards - Bob Brown (08/31/21)	M: # of interactive dashboards		2	5	7	9	15
		3.3 Improve and expand campus physical infrastructure - Bob Brown (08/31/21)	M: % of facilities with renovation age greater than 25 years		69%	67%	65%	58%	50%
	4. UNT: Increase key measures of engagement and fundraising.	4.1 Increase philanthropic support - David Wolf (08/31/21)	M: total \$ annual cash received		\$14.9M	\$19.1M	\$25.4M	\$35.9M	\$46.4M
		4.2 Increase number of donors - David Wolf (08/31/21)	M: increase the total # of donors		10,000	10,500	11,250	12,500	13,750
		4.3 Expand alumni network and engagement - David Wolf (08/31/21)	M: increase total # UNT Alumni Association members		9,000	10,500	12,000	14,000	16,000
		4.4 Increase new investment into UNT Foundation and University Endowments (permanent and quasi) - David Wolf (08/31/21)	M: new gift \$ additions to endowments and quasi-endowments per year		\$3.0M	\$4.0M	\$5.5M	\$7.5M	\$10M
	5. UNT: Improve student and administrative customer service.	5.1 Implement mobile application that provides enterprise solution for most valued functions and information to current and prospective students - Shannon Goodman (08/31/18)	M: % of process complete		8%	100%	-	-	-
		5.2 Work with UNT System to improve shared and campus administrative functions to develop high quality services and data systems - Bob Brown (08/31/21)	M: % of service level targets met		90%	92%	96%	98%	98%
	6. UNT: Adopt focused strategies to improve the quality and diversity of the student population.	6.1 Increase enrollment by developing and implementing a robust student enrollment plan - Shannon Goodman (08/31/21)	M: total # of headcount enrollment (Denton & off-site instructional facilities)		37,175	38,557	40,665	43,010	45,263
		6.2 Implement robust CRM and marketing automation software - Shannon Goodman (08/31/18)	M: % of process complete		50%	100%	-	-	-
		6.3 Achieve minority-serving institution (MSI) status - Joanne Woodard (08/31/18)	M: % complete		50%	100%	-	-	-
		6.4 Achieve Hispanic-serving institution (HSI) status - Joanne Woodard (08/31/21)	M: % complete		60%	80%	100%	-	-
6.5 Increase the number of National Merit Scholars - Shannon Goodman (08/31/21)		M: # of new National Merit Scholars annually		15	17	20	25	30	
	6.6 Improve the overall quality of the entering class (FTIC) - Shannon Goodman (08/31/21)	M: % of entering FTIC students in top 25% of high school class		55%	56.10%	58.60%	62.60%	66.50%	
QUALITY EXPERIENCES FOR LIFETIME SUCCESS: 3. Provide quality experiences for lifetime success for all students	7. UNT: Foster and support student persistence and success.	7.1 Increase retention numbers by creating a comprehensive retention program designed to identify and address students' academic and well-being needs- Elizabeth With (08/31/21)	M: % first year (fall-to-fall) FTIC retention		79.17%	79.71%	80.61%	83.16%	85.42%
		7.2 Improve 6-year graduation rate (UNT Only; cohort based) - Shannon Goodman (08/31/21)	M: % six year graduation rate		51.30%	52.80%	53.40%	54.40%	55.40%
		7.3 Increase degrees awarded - Shannon Goodman (08/31/21)	M: total # degrees awarded		8,803	8,853	9,140	9,526	9,958
	8. UNT: Prepare all students to be competitive in the marketplace.	8.1 Expand professional development and internship opportunities available to students - Finley Graves (08/31/21)	M: # of programs included in QEP		0	20	50	100	125
		8.2 Establish new and expand current programs to improve student career preparedness - Elizabeth With (08/31/21)	M: % of students participating in professional development and internship opportunities		25%	33%	50%	55%	60%
PEOPLE & TEAMWORK: 4. Develop the fullest potential of every team member	9. UNT: Recruit, retain, develop and support an outstanding team of faculty and staff.	9.1 Establish a program to improve mentoring, training and career development support for staff - Bob Brown (12/31/21)	M: % of staff participation		50%	60%	80%	85%	90%
		9.2 Increase participation of staff mid-level managers receiving training for upper-level responsibility - Bob Brown (08/31/21)	M: % of staff mid-level manager participation		10%	20%	30%	35%	35%
		9.3 Expand mentoring and career development for new full-time faculty - Finley Graves (08/31/18)	M: % new full-time faculty participating in mentoring programs		50%	100%	-	-	-
		9.4 Ensure robust academic leadership development- Finley Graves (08/31/21)	M: # of faculty participating in leadership development programs		82	95	110	120	120
		10. UNT: Develop a common sense of purpose based on best practices	10.1 Develop and implement a campus climate assessment process - Joanne Woodard (08/31/21)	M: % of employee engagement and satisfaction		25%	50%	100%	100%

PLAN PRIORITIES: UNT Health Science Center Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS		STATUS	
LEARNING & DISCOVERY:	1. Transform to a high performing center	% of schools and institutes meeting high performance criteria	100%	TARGET	100%
		2016	22%	2016	22%
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	Research award dollars increased	\$55M	TARGET	\$55
		2016	\$47.2	2016	\$47.2
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	Total donor funds received	\$50M	TARGET	\$50
		2017	\$11.3	2017	\$11.3
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	2016	\$5.3	2016	\$5.3
		# of total GME slots	550	BASELINE	\$3.4
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	2016	390	2016	390
		BASELINE	360	BASELINE	360
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	% of programs with >90% satisfaction with quality of teaching	% of programs with >90% satisfaction with quality of teaching	100%	TARGET	100%
		2016	36%	2016	36%
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	% of programs with >90% satisfaction with quality of teaching	% of programs with >90% satisfaction with quality of education	100%	TARGET	100%
		2016	27%	2016	27%
PEOPLE & TEAMWORK:	4. Build culture based on values	% of engaged employees	100%	TARGET	100%
		2016	43%	2016	43%
PEOPLE & TEAMWORK:	4. Build culture based on values	% of New Hires hired for Values and Competencies	100%	TARGET	100%
		2017	45.0%	2017	45.0%
PEOPLE & TEAMWORK:	4. Build culture based on values	2016	21.3%	2016	21.3%
		BASELINE	21.3%	BASELINE	21.3%

Last Edited - 05.03.17

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

UNTHSC Strategic Plan At-a-Glance

UNTS Theme	Key Objectives	Initiatives	Measures	Baseline	2016	Targets		
						YEAR	YEAR	YEAR
						2 Year (2017)	3 Year (2018)	5 Year
LEARNING & DISCOVERY	1. Transform to high-performing health science center	1.1 Restructure to high-performing schools and institutes (Claire Peel) (08/31/20)	M: Number of schools and institutes recognized as a high performing school or institute	2	2	5	6	7
		1.2 Expand educational, clinical and research programs with external partners (Claire Peel) (08/31/20)	M: # of new signed partnership agreements	0	4	5	5	7
		1.3 Develop high-performing Patient Safety Institute (Michael Hicks) (08/31/20)	M: # of clinical academic programs for which core curriculum is implemented	0	1	2	3	4
SUSTAINABLE GROWTH, FINANCE & RESOURCES	2. Strengthen HSC long-term viability	2.1 Develop successful, financially-sustainable practice plan that aligns with the mission of HSC (Michael Hicks) (08/31/20)	M: % of clinics that are financially sustainable	25%	80%	90%	100%	100%
		2.2 Increase number of GME slots by adding new GME programs (Claire Peel) (08/31/20)	M: # of total GME slots	360	391	420	475	550
		2.3 Create a culture of continuous improvement (Steve Sosland) (08/31/20)	M: # of process improvement projects completed	0	3	10 total	12 total	15 total
		2.4 Improve net financial position (Greg Anderson) (08/31/20)	M: # of weeks of operating cash reserves	19.1	16.5	17	18	22
		2.5 Increase philanthropy (Doug White) (08/31/20)	M: Total donor funds received 2016-2020	\$3,428,423	\$5,300,000	\$ 12,100,000	\$ 25,000,000	\$ 50,000,000
QUALITY EXPERIENCES FOR LIFETIME SUCCESS	3. Create student outcomes and experiences that deliver value and extraordinary service to others	3.1 Enhance student services for career counseling (based on UNTHSC Student Satisfaction Survey) (Claire Peel) (08/31/20)	M: Percent of graduating students during academic year who receive career services	41.38%	41.38%	50%	60%	75%
		3.2 Improve quality of teaching (based on UNTHSC Student Satisfaction Survey) (Claire Peel) (08/31/20)	M: Number of programs with >90% student satisfaction with quality of teaching	4	4	6	8	11
		3.3 Improve quality of education (based on UNTHSC Student Satisfaction Survey) (Claire Peel) (08/31/20)	M: Number of programs with >90% student satisfaction with quality of education	1	1	6	8	11
PEOPLE & TEAMWORK	4. Build culture based on values	4.1 Create a nationally recognized best places to work environment (Steve Sosland) (08/31/20)	M: # of Best Place to Work campus initiatives	0	2	4	5	7
		4.2 Create Leadership Institute (Steve Sosland) (08/31/20)	M: # of external clients	0	3	4	6	8
		4.3 Create a customer service culture (Steve Sosland) (08/31/20)	M: Customer satisfaction with quality of service	0	0%	100%	100%	100%

PLAN PRIORITIES: UNT Dallas Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS		STATUS	
LEARNING & DISCOVERY:	1. Establish academic programs of excellence that address regional and student needs	No. of Programs of Excellence compared to national peers	5	TARGET	5
		Priority Programs Aligned to Workforce Needs	10	TARGET	10
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase annual fundraising and enrollment to achieve sustainable size	Total Cash Received	\$5 Million	TARGET	\$5,000,000
		% of Headcount Total Enrollment Goal	5,000	TARGET	8,042
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase graduates with quality learning outcomes and career experiences	% of Graduates with University- sponsored high impact internships/career experiences	100%	TARGET	100%
		% of Graduates with Outstanding Communications Skills	85%	TARGET	85%
PEOPLE & TEAMWORK:	4. Build a strong culture of shared values	Net Promoter Score for Students Who Would Recommend Their Program	50	TARGET	50
		% of Engaged Employees	100%	TARGET	100%

Last Edited - 04.12.17

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

UNT Dallas Strategic Plan At-a-Glance

		Targets							
		2018	2021	2026					
UNTS Theme	Key Objectives	Initiatives	Measures	Baseline	2016	2 Year	5 Year	10 Year	
LEARNING & DISCOVERY: 1. Create and continuously improve vibrant and innovative academic communities	1. Align our work to our market's greatest needs (UNT Dallas) (08/31/21)	1.1 Reduce the gap between UNT Dallas program offerings and the market needs (Shumway) (08/31/21)	# of priority programs identified		5	6	10	-----	
	2. Identify priority programs that are relevant, distinctive, and differentiated, including one that will be the best in North Texas (UNT Dallas) (08/31/21)	2.1 Establish hallmark programs in each academic school (Shumway) (08/31/21)	# of hallmark programs identified		1	3	5	-----	
	3. Recruit and retain outstanding faculty (UNT Dallas) (08/31/21)	3.1 Align UNT Dallas mission/vision to recruit outstanding teacher-scholars in terms of teaching, teaching service, university service, service to profession, and research. (Muniz) (08/31/21) 3.2 Retain outstanding teacher-scholars to include teaching, teaching service, university service, service to profession, and research. (Muniz) (08/31/21) 3.3 Recruit outstanding master-teachers to include teaching, teaching service, university service, and service to profession. (Casa de Calvo) 3.4 Retain outstanding master-teachers to include teaching, teaching service, university service, and service to profession. (Casa de Calvo)	% of faculty hires that qualify as outstanding teacher-scholars % of faculty identified as outstanding teacher-scholars % of faculty hires that qualify as outstanding master-teachers % of faculty identified as outstanding master-teachers		0%	15%	20%	-----	
	4. Benchmark with similar aspirational universities regionally, nationally, and best in class (UNT Dallas) (08/31/21)	4.1 Identify areas of excellence compared to regional peers (Shi) (08/31/21) 4.2 Identify areas of excellence compared to national peers (Shi) (08/31/21) 4.3 Identify areas of excellence compared to best in class peers (Shi) (08/31/21) 4.4 Identify areas of excellence compared to AACSCU peers (Shi) (08/31/21)	# of regional peers # of national peers # of best in class peers # of AACSCU peers		5 3 3 44	5 3 3 44	5 3 3 44	-----	
SUSTAINABLE GROWTH, FINANCE & RESOURCES: 2. Achieve exceptional service and value for all customers including students	5. Use data strategically to guide better decision making (UNT Dallas) (08/31/21)	5.1 Commit to Proactive, Informed Data-Driven Decision-Making Via Data Improvement (Edelman) (08/31/21)	Retrievable and accurate data is housed in the data warehouse		-	75%	100%	-----	
	6. Increase philanthropic support (UNT Dallas) (08/31/21)	5.2 Improve the Availability and Visibility of Data Among Functional Units (Edelman) (08/31/21)	% of constituents have access to reliable data to make informed decisions		75%	90%	100%	-----	
		5.3 Implement New and Enhanced Visualization Tools and Techniques for Planning and Forecasting (Edelman) (08/31/21)	% completion of Data Warehouse to enhance planning and forecasting.		-	75%	100%	-----	
		6.1 Commit to ambitious fundraising goals (Williams) (08/31/21)	Total Cash Received 2016-2021		800,000	2,000,000	5,000,000	-----	
	7. Increase enrollment, retention, and completion rates (UNT Dallas) (08/31/21)	6.2 Develop goal and strategy for first capital campaign (Williams) (08/31/21)	Capital campaign plan completion		0%	40%	100%	-----	
		6.3 Increase value of endowments (permanent and quasi) (Williams) (08/31/21)	New gift dollar additions to endowments and quasi-endowments		25,000	100,000	3,000,000	-----	
		7.1 Grow student enrollment (Edelman) (08/31/21)	Increase student headcount		2,575	2,488	3,480	5,000	-----
	8. Improve student and administrative customer service	7.2 Exceed FTIC state retention rate (Edelman) (08/31/21)	% above state retention rate		-5.3%	3%	6.5%	10%	-----
		7.3 Improve 4-year graduation rate (Edelman) (08/31/21)	Four year graduation rate		7.6%	15%	20%	25%	-----
		7.4 Improve 6-year graduation rate (Edelman) (08/31/21)	Six-year graduation rate		NA	0%	-----	50%	-----
	9. Keep tuition and fees affordable (UNT Dallas) (08/31/21)	8.1 Create a customer-oriented culture (Robertson) (08/31/26)	Net Promoter Score		40.3	-----	40	50	-----
	10. Build active residential life and additional facilities to make UNTD more vibrant (UNT Dallas) (08/31/21)	9.1 Remain among the most affordable 4-year university within the North Texas region (Fashina) (08/31/21)	Remain in the lowest quartile of cost of tuition and fees within the region		100%	100%	100%	-----	
11. Develop more meaningful private-public partnerships (UNT Dallas) (08/31/21)	10.1 Tie pending construction to increased academic and student activities along with implementation of 1st year experience programing (Chapple) (08/31/21)	# of programs developed		0	2	6	-----		
12. Improvement management of fiscal resources (UNT Dallas) (08/31/21)	11.1 Build the number of private-public partnerships (Lumzy) (08/31/21)	# of partnerships		1	7	20	-----		
	12.1 Improve financial net position through growth in reserves. (Fashina) (08/31/21)	# of weeks of operating funds in reserve		9	-----	12	-----		
QUALITY EXPERIENCES FOR LIFETIME SUCCESS: 3. Provide quality experiences for lifetime success for all students	13. Active Learning: every student graduates with one of more of these experiential credentials: a paid internship; a demanding research effort; a scholarly work-related project; extensive service learning participation (UNT Dallas) (08/31/21)	13.1 Demonstrated Competencies: All graduates demonstrate outstanding oral and written communication skills (Balas) (08/31/21)	Score of 90% for the "Communication" rubric		0	40%	85%	-----	
		13.2 Demonstrated Competencies: All graduates demonstrate strong critical thinking and analytical abilities (Balas) (08/31/21)	Score of 85% for the "Initiative/Problem Solving" rubric		0	40%	78%	-----	
		13.3 Demonstrated Competencies: All graduates demonstrate ethical decision making (Balas) (08/31/21)	Score of 90% for the "Leadership and Ethics" rubric		0	50%	80%	-----	
		13.4 Demonstrated Competencies: All graduates demonstrate ability to work well with others (Balas) (08/31/21)	Score of 95% for the "Teamwork" rubric		0	50%	90%	-----	
	14. Develop expertise serving under-resourced college students (UNT Dallas) (08/31/21)	13.5 Pathway to Social and Economic Mobility: Become a national leader in producing graduates who make better than expected earning after graduation (Edelman) (08/31/25) 13.6 Enhance and expand Experiential Learning Experiences (Lacy) (08/31/21) 13.7 Be known for conducting service learning projects in the community (Lacy) (08/31/21)	% of Alumni that will earn more than the prevailing entry wages after one year % of Graduates with Univers. Sponsored high impact internship/career experiences % of participating community partners that report levels of satisfaction		0% 34% 10%	0% 29% 40%	0% 100% 70%	75% ----- -----	
	14.1 Benchmark with Best-In-Class Institutions that have expertise in serving under-resourced college students (Chapple) (08/31/21) 14.2 Expand Mentorship Programs (Chapple) (08/31/21) 14.3 Obtain Title III Grants for developing universities (Williams) (08/31/21)	# of Best-In-Class Institutions # of mentorship programs # of grants obtained		5 0 0	5 2 1	5 3 4	-----		
PEOPLE & TEAMWORK: 4. Develop the fullest potential of every team member	15. Build a strong culture based on our shared values (UNT Dallas) (08/31/21)	15.1 Practice inter-professional cooperation and respect (Finney) (08/31/21)	% of engaged employees		44%	60%	100%	-----	
		15.2 G.R.E.A.T Communications - Genuine Relevant Effective and Timely Communication (Jolly) (08/31/21)	% of primary audiences who articulate the university's institutional mission		10%	40%	80%	-----	
		15.3 Establish traditions (Chapple) (08/31/21)	# of traditions		2	4	6	-----	



UNT | SYSTEM™

MINUTES

BOARD OF REGENTS Academic Affairs and Student Success Committee February 23-24, 2017

Thursday, February 23, 2017

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System convened on Thursday, February 23, 2017, in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas with the following members in attendance: Regents Al Silva, Milton Lee, and A.K. Mago.

There being a quorum present, the meeting was called to order by Committee Chairman Silva at 9:39 a.m. Pursuant to a motion by Regent A.K. Mago seconded by Regent Milton Lee, the Committee approved the minutes of the November 17-18, 2016, meeting of the Academic Affairs and Student Success Committee on a 3-0 vote.

Committee Chair Silva noted that the Committee's charter and calendar of topics is reviewed annually and asked the Committee if there were any comments, questions or amendments to offer to the material presented to the Committee. Hearing none, the charter and schedule of topics stood as presented.

The Committee had two briefings. For the first briefing, Regent Silva explained to the Committee why he invited Dr. Ray Keck, Interim President, Texas A&M University-Commerce, to talk to the Committee about **Student Success: What Works**, and he asked President Mong to introduce President Keck. Discussion followed after President Keck's presentation.

The second briefing, **UNT System Provosts: Academic Highlights**, was presented by UNT Provost Finley Graves, UNT Health Science Center Interim Provost Claire Peel, and UNT Dallas Provost Betty Stewart.

Committee Chairman Silva noted that the Committee had two background reports. There were no questions about them.

There being no further business, the Committee meeting recessed at 10:45 a.m. until Friday, February 24, 2017, at approximately 9:05 a.m. at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas.

Friday, February 24, 2017

The University of North Texas System Board of Regents convened on Friday, February 24, 2017, at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas with the following members in attendance: Regents Al Silva, Milton Lee, and A.K. Mago.

There being a quorum present the meeting was called to order by Committee Chairman Silva at 9:02 a.m. The Committee had one action item to consider.

2017-10 UNTHSC Approval of UNTHSC Request for New Master of Science Degree in Public Health Sciences

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

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

Submitted By:

Rosemary R. Haggett

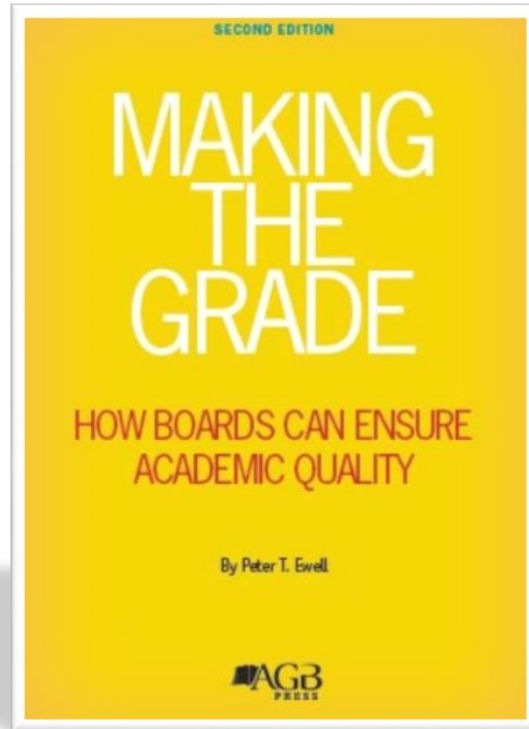
Rosemary R. Haggett
Board Secretary

Date: March 9, 2017

Assessment of Student Learning Outcomes

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

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



- Do we say what and how much students should learn? Where do we say it?
- What kinds of evidence do we collect about learning?
- Are we benchmarking performance against external standards?
- Who is responsible for assessment and how is it accomplished?
- How do we use assessment results?



UNT Assessment Examples

AACSB Accounting Accreditation Assurance of Learning – Closing the Loop 2014

Noted Program Weakness:

Lack of adequate practice for undergraduate and graduate students to develop spreadsheet skills.

Reviewer's Recommendation:

Faculty should review the opportunities students have to develop and practice spreadsheet skills within the curriculum.



Department's Response to Recommendation:

The department will develop a plan to increase spreadsheet skills for students enrolled in its accounting program. Potential methods to enhance spreadsheet skills include: (a) using an existing course within the college, (b) developing a new course within the college or department, or (c) integrating the use of spreadsheet assignments within current courses.

Accounting Department's Action Plan

To better prepare both undergraduate and graduate students, the following course-level changes were made:

ACCT 4100 – Accounting Systems:

Microsoft certification at the intermediate level is now required of all undergraduate accounting students.

- Current pass rate is 85% on first try and 90% on second attempt.

ACCT 5120 – Using Information Systems in Accounting:

Advanced Excel functions are assigned in two projects to enhance previously acquired skills and advance current proficiency. Skills include the usage of:

- 1) Pivot tables and their associated charting/tabling proficiency
 - 2) Vlookups, Sumifs, Nested If functions (for data analytics), Arrays (for data analytics), and the use of Trace Precedents (a worksheet auditing function).
- Current pass rate is 92% for both projects.



Rubric for Advanced Excel Skills

ACCT 5120 Pass/Fail Rubric for Advanced Excel Skills		
Total Points - 100		
Content Area	Ability Tested	Points
Pivot Table 1	Managing data vertically for data analytics	25
Pivot Table 2	Managing data horizontally for data analytics	25
Arrays	Creating products and sums for data analysis	10
TRACE PRECEDENTS command	Using Excel's formula audit function	10
ISNUMBER command	Creating products and sums for data analysis	10
VLOOKUP command	Pulling information from large datasets for data analysis	10
HLOOKUP command	Pulling information from large datasets for data analysis	10

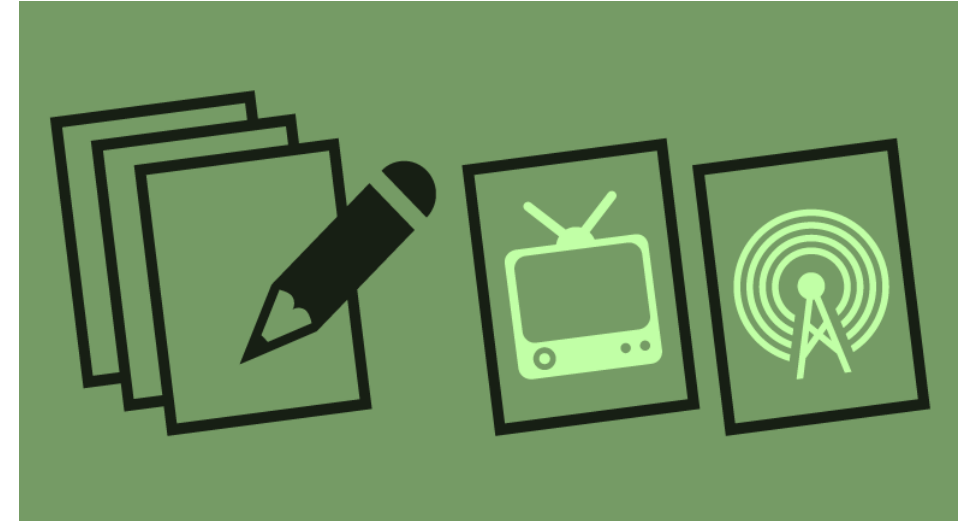
Accrediting Council on Education in Journalism and Mass Communications (ACEJMC) 2016

Noted Program Weakness:

A lack of programmatic focus and shortage of graduate courses beyond narrative journalism in curricular areas of student academic and professional interest.

Reviewer's Recommendation:

Increase programmatic focus and create/better define graduate courses in additional specializations.



Action Plan:

- Launch an accelerated online Master's in Digital Communication Analytics (a collaboration with Journalism and the Colleges of Business and Information) in fall 2017.
- Launch a Grad Track Pathway Program to target high-achieving undergraduate students in fall 2017.
- Better promote graduate offerings, including the Public Relations certificate and social media classes.

UNTHSC Assessment Examples

Osteopathic Medicine: D.O. Degree

Student Learning Outcome:

By the end of their first year, students are able to apply basic science knowledge to clinical decision making.



Measurement: Performance in first year courses.

Target: 100% of students successfully complete first year academic requirements.



Results: In 2009, 11% of first year students did not successfully complete first year courses.

Interpretation of Results:

The increased class size resulted in students not receiving academic resources.

Continued Assessment

In years 2011-2016, the first year retention rate was 94% to 97%

Actions:

1. Creation of Advisory Colleges with 40 students assigned to each college.
2. Use of small group learning activities (“flipped classroom” concept)

Assessment of Actions

In 2010, first year completion rate rose from 89% to 95%

Pharmacy: PharmD Degree

Student Learning Outcome:

Students will provide patient-centered care as experts on medications.



Measurement: Preparation of problem lists and management plans for commonly encountered primary care issues.

Target: 85% on Objective Structured Clinical Examinations (OSCE) sections.



Results: For 2014-15, in OSCE stations that assess developing problem lists and management plans, students scored 78% and 84%.



Interpretation of Results:

Coursework did not provide enough clinical case scenarios, or demonstrate to students how to “work up” a patient.

Continued Assessment:

Reassess in 2016-17



Additional Actions:

Development of a standardized format for documenting problem lists and management plans.



Actions:

Modification of course content



Assessment of Actions

In 2015-16, students' scored 82% and 87% on OSCE sections.

UNT Dallas Assessment Examples

Clinical Mental Health Counseling: MS Degree

Student Learning Outcome:

By the end of their first internship course, students will complete the Counselor Preparation Comprehensive Exam (CPCE) as an assessment of student learning and performance on professional identity and professional competence standards.



Measurement: Performance on the CPCE Exam.

Target: 100% of students successfully complete the CPCE exam requirements.



Results: Between Spring 2014 and Spring 2016, 88% of students in Internship I successfully passed the CPCE Exam.

Clinical Mental Health Counseling: MS Degree

Interpretation of Results:

The CPCE exam has eight content areas, which are graded separately. Students must pass seven of eight content areas to pass the CPCE Exam



Actions:

Students who fail to pass more than two content areas are required to retake the CPCE Exam the last semester before graduation



Assessment of Actions

In 2014-16, 9 students needed to retake the CPCE exam



Additional Actions:

Nine students who failed one section of the CPCE were allowed to write a remediation paper.



Continued Assessment:

Assess New Cohorts in 2016-17

CPCE Pass Rates 2014 - 2016

Date CPCE Taken	# Students	Pass Overall Exam	Pass with 1 section missed (write paper on topic)	Did not pass (needed to retake exam)	Pass Rate
Spring 2014	13	12	0	1	92%
Summer 2014	9	5	3 (Ethics, Helping Rel, Group)	1	89%
Fall 2014	6	6	0	0	100%
Spring 2015	6	5	0	1	83%
Summer 2015	16	8	5 (Ethics x 3; Career x 2)	3	81%
Fall 2015 - offsite	1	1	0	0	100%
Fall 2015	9	8	0	1	89%
Spring 2016	8	5	1 (Assessment)	2	75%
OVERALL	67	50	9	9	88%

Counseling Program Faculty have utilized CPCE results in determining ways and means of enhancing Counseling Curricula, including adding an Ethics course as a required course and instituting standardized generic syllabi for Core Courses.

Organizational Behavior/Human Resource Management: BBA Degree

Student Learning Outcome:

By the midpoint of the HR Capstone course, students will be prepared to successfully pass the professional Society of Human Resource Management (SHRM) Assurance of Learning assessment.

Measurement:

Percentage of students who choose to take the SHRM assessment and pass it.

Target:

40% of the students enrolled in the capstone will choose to take the assessment.

At least 62% pass the assessment on the first attempt, which matches the currently published national pass rate.

Results:

In 2016 and 2017, no students took the assessment

-40% of the students enrolled in the HR capstone expressed interest in taking the assessment in 2017.

In 2015, 9 students out of approximately 19 (47%) participated and 2 passed (22%), when the university covered the cost.

Closing the Loop: Organizational Behavior/Human Resource Management

Results Explained:

Lack of funding and specific preparation resulted in a low pass rate.



Actions:

Provide scholarships or loans with incentives to support students taking the assessment.

Better structure the syllabus and embed SHRM content throughout curriculum.



Assessment of Actions:

Report on progress made for participation and pass rate.



Continued Assessment:

From 2018-2022, modify curriculum and provide financial support as needed.



Title: Approval and Ratification of 2017-2018 Admission Standards for UNT System Institutions

Background:

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

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

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

UNT:

- SAT scores were updated to reflect new SAT scoring.

UNT Dallas:

- New SAT test score equivalents have been added to the requirements for freshman admission, to reflect new SAT scoring.
- Transfer admission for students with less than 30 semester credit hours now requires a minimum 2.5 college GPA.
- Criminal Justice graduate admission now requires letters of recommendation and a writing sample/personal statement, similar to other graduate programs.
- Letters of Recommendation are now required for College of Law admission, and the LSAC fee was updated from \$170 to \$175.

UNT Health Science Center:

- Graduate School of Biomedical Science now requires a resume/CV for traditional and specialized M.S. programs.

- The application fee for the MPH, MHA & Dual Degree Programs has been increased from \$40 to \$50.
- The DrPH program has been removed from admissions standards. UNTHSC is no longer accepting students into that program.
- A master's degree is now recommended rather than required for the PhD program.
- The UNT System College of Pharmacy now prefers a minimum of a 40 composite percentile on the PCAT rather than requiring a minimum of a 40 composite percentile.

Financial Analysis/History:

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

**Janet
Waldron**

Digitally signed by Janet Waldron
 DN: cn=Janet Waldron, o=UNT System,
 ou=Vice Chancellor for Finance,
 email=janet.waldron@untsystem.edu,
 c=US
 Date: 2017.05.09 09:29:25 -05'00'
 Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
 DN: cn=Nancy S. Footer, o=University of North
 Texas System, ou=Office of General Counsel,
 email=nancy.footer@untsystem.edu, c=US
 Date: 2017.05.09 16:01:58 -05'00'

Vice Chancellor/General Counsel

Schedule:

2017-2018 Academic Year

Recommendation:

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

Recommended By:

Rosemary Haggett

Vice Chancellor for Academic Affairs
 and Student Success

**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: 2017.05.08 17:07:53 -05'00'

Vice Chancellor

Attachments Filed Electronically:

- 2017-2018 Admission Standards for UNT System Institutions



Board Order

Title: Approval and Ratification of 2017-2018 Admission Standards for UNT System Institutions

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

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

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

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

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

1. The FY 2017-2018 Admission Standards for UNT, UNT Health Science Center and UNT Dallas.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

The University of North Texas System Universities: Freshman Admission Requirements, Year 2017-2018

Campus/ Program	Application Fee	Admission Under Uniform Admission Policy	Standards for Full Admission	Conditional Admission and Requirements for Full Admission	TOEFL	Other Requirements
UNT	<p>\$75 non-refundable fee</p> <p>International students: \$85 non-refundable fee</p> <p><i>\$90 Late application fee</i></p>	<p>Top 10% with submitted SAT or ACT score</p>	<p>Next 15% and have a min 1030 SAT Reasoning Test (Evidence Based Reading & Writing (EBRW) + Math) or 20 ACT.</p> <p>Rank in 2nd quarter and have a min 1130 SAT Reasoning Test or 23 ACT.</p> <p>Rank in 3rd quarter and have a min 1250 SAT Reasoning Test or 26 ACT.</p>	<p>Individual review— Applicants who do not meet the standards for full admission or who rank in the fourth quarter may be admitted only by individual review.</p> <p>Conditional Admission without meeting English language proficiency (International Students): Study English at UNT IELI and finish final level - Level 6.</p>	<p>Min scores are: 550 International Paper; 79 IBT</p> <p>Score must be less than 2 years old unless the student has been continuously studying at a U.S. college/university</p> <p>6.5 IELTS</p>	<p>Recommended: completion of ApplyTexas essay</p> <p>Optional: Personal statement & 3 letters of recommendation from academic sources</p> <p>Various colleges may have additional requirements including, but not limited to, interviews, auditions, additional paperwork, higher minimum entrance exam requirements, etc.</p> <p>Adult admission (earned HS diploma or GED 5 or more years ago & never enrolled in college) requires a personal statement, and THECB form (required by law)</p>

The University of North Texas System Universities: Freshman Admission Requirements, Year 2017-2018

Campus/ Program	Application Fee	Admission Under Uniform Admission Policy	Standards for Full Admission	Conditional Admission and Requirements for Full Admission	TOEFL	Other Requirements
UNT Dallas	\$40 non-refundable fee	Top 10% with submitted SAT or ACT score	<p>Next 15% and have a min 950 SAT (old) or 1030 SAT (new) Reasoning Test or 20 ACT.</p> <p>Rank in 2nd quarter and have a min. 1050 SAT (old) or 1125 (new) Reasoning Test or 23 ACT.</p> <p>Rank in 3rd quarter and have a min. 1180 SAT (old) or 1250 (new) Reasoning Test or 26 ACT.</p> <p>4.0- 3.50 GPA and min 850 SAT (old) or 930 SAT (new) Reasoning Test or 17 ACT.</p> <p>3.49 -3.00 GPA and min 930 SAT (old) or 1010 SAT (new) Reasoning Test or 19 ACT.</p> <p>2.99 – 2.50 GPA and min 1050 SAT (old) or 1125 SAT (new) or 22 ACT.</p>	Individual review— Applicants who do not meet the standards for full admission or who rank in the fourth quarter may be admitted only by individual review.		<p>Optional, but recommended: personal statement & two letters of recommendation.</p> <p>Adult admission (earned HS diploma or GED 5 or more years ago & never enrolled in college) requires a personal statement, THECB form (required by law) and may require a personal interview.</p> <p>Jaguar Gateway Program (JGP) – Denied student, on the cusp of admission, can attend 6-week college readiness summer boot camp and enroll in 6 hours (ENGL 1313 and MATH 1314). With successful completion in 6 hours with cumulative GPA of 2.5 or higher, conditionally admitted for upcoming fall semester with required supportive resources.</p>

The University of North Texas System Campuses: Transfer Admission Requirements, Year 2017-2018

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

The University of North Texas System Campuses: Graduate & Professional Admission Requirements, Year 2017-2018

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

The University of North Texas System Campuses: Graduate & Professional Admission Requirements, Year 2017-2018

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

The University of North Texas System Campuses: Graduate & Professional Admission Requirements, Year 2017-2018

Campus/ Program	Application Fee	Previous Degree	Undergraduate Cumulative GPA	Standardized Test Scores	GMAT Business	International Requirements	Letters of Recommendation (LOR)/Other
<p align="center">UNT Dallas College of Law</p>	<p>\$0 – no application fee</p>	<p>Bachelor's degree from a regionally accredited school. Official transcripts from all previously attended colleges and universities required.</p>	<p>No minimum GPA requirement</p>	<p>Official LSAT test scores required</p>			<p>LORs are required. Applicants must utilize Credential Assembly Service (CAS) to submit current LSAT score, official transcripts and letters of recommendation (LORs). The LSAC charges \$175 fee to applicant for CAS service. Two (2) letters of recommendation required electronically through CAS. Must submit a professional resume and personal statement. Applicants may be required to submit specific addendum statements, such as prior law experience or character responses. Applicants encouraged to request optional interview with member of admissions committee.</p>

The University of North Texas System Health Science Center: Admission Standards, Year 2017-2018

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

The University of North Texas System Health Science Center: Admission Standards, Year 2017-2018

<p align="center">UNTHSC Graduate School of Biomedical Science</p> <p align="center">Traditional & Specialized M.S. Programs</p>	<p>A non-refundable application fee applies.</p> <p><i>Note: Waived for McNair scholars with documentation of participation.</i></p>	<p>Bachelor's degree from regionally accredited institution required. Competitive applicant typically has a background in biology, biochemistry, chemistry or related field.</p>	<p>Official transcripts from all universities and colleges attended must be sent.</p>	<p>At least a 3.0 GPA on a 4.0 scale on the last 60 undergraduate SCH prior to receiving bachelor's degree or on all undergraduate work. Applicants holding a master's degree must have a 3.0 GPA in master's work or meet the undergraduate requirements for unconditional admission.</p>	<p>Submit official test scores, depending on the program of interest: GRE, MCAT or DAT</p>	<p>Official TOEFL or IELTS score is required for applicants who are not U.S. citizens or permanent residents, unless applicant has completed a degree program within the U.S. For credits earned outside the U.S., applicant must submit an official WES or ECE course-by-course evaluation as well as the individual transcript.</p>	<p>Two letters of recommendation signed on letterhead and sent directly from recommenders; Resume/CV required.</p>
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The University of North Texas System Health Science Center: Admission Standards, Year 2017-2018

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

The University of North Texas System Health Science Center: Admission Standards, Year 2017-2018

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

The University of North Texas System Health Science Center: Admission Standards, Year 2017-2018

Campus/ Program	Application Fee	Bachelor's Degree	Official College Transcripts	Undergraduate Cumulative GPA	Standardized Test Requirements	International Requirements	Letters of Recommendation (LOR) /Other
<p style="text-align: center;">UNTHSC School of Public Health</p> <p>MPH, MHA, & Dual Degree Programs</p>	<p>Applications to the MPH, MHA, MS, PhD, and dual degree programs must be made through the Schools of Public Health Application Service (SOPHAS) with min. app. fee of \$135. MHA students may also apply through the Healthcare Administration, Management & Policy CAS (HAMPCAS) with min. app. fee set by service. TCOM students applying for the dual MPH program must apply through SOPHAS Express. There is a non-refundable application fee of \$50.</p>	<p>Bachelor's degree or equivalent from a recognized institution. A master's degree is recommended for the PhD Program.</p>	<p>Official transcripts from all universities and colleges attended must be sent.</p>	<p>3.2 graduate GPA for PhD Programs</p>	<p>Submit official scores from: GRE, GMAT, MCAT, LSAT, PCAT, or DAT.</p> <p><i>Note: the exam req. is waived for applicants possessing a professional degree with license to practice in the U.S.</i></p>	<p>Applicants with foreign transcripts must include an official WES or ECE transcript evaluation report listing course-by-course U.S. grade point equivalencies. Min. TOEFL: Internet-based = 85.</p>	<p>Three letters of recommendation, statement of purpose, current resume or curriculum vita, and possible on-campus interview or technology-assisted interview.</p>

The University of North Texas System Health Science Center: Admission Standards, Year 2017-2018

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

The University of North Texas System Health Science Center: Admission Standards, Year 2017-2018

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

Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: March 24, 2017

Title: Approval of UNT Tenure Recommendations

Background:

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

Financial Analysis/History:

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

Bob Brown
Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas, ou=VP for Finance and Administration, email=bob.brown@unt.edu, c=US
Date: 2017.05.04 16:39:14 -05'00'

Institution Chief Financial Officer

Janet Waldron
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Date: 2017.05.08 09:25:20 -05'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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Date: 2017.05.09 16:02:34 -05'00'

Vice Chancellor/General Counsel

Schedule:

Tenure will be effective on September 1, 2017.

Recommendation:

The President recommends that the Board of Regents approve the faculty on the attached list for tenure effective September 1, 2017.

Recommended By:

O. Finley Graves

Provost and Vice President for
Academic Affairs

Neal
Smatresk

Digitally signed by Neal Smatresk
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of North Texas, ou=President,
email=neal.smatresk@unt.edu, c=US
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President

Rosemary R.
Haggett

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Date: 2017.05.08 16:02:21 -05'00'

Vice Chancellor

Lee Jackson

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c=US
Date: 2017.05.09 17:03:15 -05'00'

Chancellor

Attachments Filed Electronically:

- Tenure Recommendations Attachment May 2017



Board Order

Title: Approval of UNT Tenure Recommendations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

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

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

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

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

1. The award of tenure to the faculty identified in the attachment to this order effective September 1, 2017.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Name	Current Rank	College	Department	Advanced Degree & Specialty	Notable Accomplishments
Dr. Jordan Frith	Assistant Professor	College of Liberal Arts and Social Sciences	Technical Communication	PhD, North Carolina State University, Communication, Rhetoric, and Digital Media	<p>Jordan Frith's research focuses on location-aware technologies with a specific focus on smartphones. He has published 2 books, 6 book chapters, and 16 articles (one in the Journal of Business and Technical Communication and one in the Journal of Computer-Mediated Communication). He currently has a grant under review with the NSF, and has received more than \$10,000 in internal funding. He was hired with an interdisciplinary cluster of digital media scholars and has created 5 new courses in his effort to launch the interdisciplinary Digital Media Studies certificate. His teaching evaluation scores consistently rank him among the highest in the department, and student comments at both the undergraduate and graduate levels are positive. He has served on a thesis committee for the Department of Anthropology. He has served his department as director of graduate studies, has chaired 4 lecturer search committees, and has also served on the Department's Executive Committee. He is the only assistant professor to serve on the planning committee for UNT's New College at Frisco. He has served on the editorial board of the journal Mobile Media & Communication, and is a frequent reviewer of manuscripts for publishers including Routledge, Palgrave Books, Polity, and 12 different scholarly journals. He co-organized an all-day workshop on "Sonic Pedagogies" at the Conference on College Composition and Communication (CCCC).</p>

Dr. Christopher Lam	Assistant Professor	College of Liberal Arts and Social Sciences	Technical Communication	PhD, Illinois Institute of Technology, Technical Communication	<p>Christopher Lam's research focuses on three areas of Technical Communication: collaboration and communication technologies, the professionalization of technical and professional communication, and the application of social media data for practical or pedagogical purposes. He has published 13 peer-reviewed journal articles and 5 peer-reviewed conference proceedings papers. The majority of his publications are first authored. He has published in journals including the Journal of Business and Technical Communication, Institute of Electrical and Electronics Engineers (IEEE) Transactions on Professional Communication, and International Journal of Business Communication. He has received internal UNT grants and has been part of two external proposals, both to NSF. His teaching evaluations are among the highest in the department. He has mentored two students, one on a year-long and one on a semester-long independent study. He has served on the department's Personal Affairs Committee, Executive Committee and on the college Computing Committee. He has chaired the department's hiring committee for a lecturer and is currently chairing a search for an assistant professor. He has served on the Faculty Senate Writing Committee and as a mentor for the ACCESS mentoring program through UNT Division of Student Affairs. He works as an ad hoc reviewer for top tier journals and was recently appointed as Associate Editor on IEEE.</p>
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Dr. Alexandra Ponette-González	Assistant Professor	College of Science	Geography and the Environment	PhD, Yale University, Forest Ecology	<p>Alexandra Ponette-González specializes in ecosystems geography, global environmental change, and terrestrial ecosystems. Her academic background enables her to work with scientists from geography, chemistry, ecology, and economics. She has published 12 peer-reviewed journal articles, of which she has been the lead author on six. Her articles have been published in journals such as BioScience, Ecological Applications, Environmental Science and Technology, and Global Change Biology. She has received funding from NSF, National Aeronautics and Space Administration, and National Geographic Society. She is one of only a few UNT faculty members in UNT's history to receive a NSF Faculty Early Career Development (CAREER) Award. She is the PI on this grant of \$459,368, bringing her total funding to over \$688,000. She has presented her research at conferences and has given invited presentations, both nationally and internationally. As an educator she is rated highly effective and has served on geography Master's committees. She organized a departmental orientation program for new graduate students to help them develop as teaching assistants and scholars. She has been recognized as the department's Most Appreciated Professor by the student-led geography club. She has developed graduate recruiting materials and attends recruiting events, such as Preview Day and the Society for Advancement of Chicanos/Hispanics and Native Americans in Science national conference. She is a board member of the Conference of Latin Americanist Geographers and has served on NSF panels, reviewed funding proposals, and reviewed articles submitted to journals.</p>
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Dr. Rajeev Azad	Assistant Professor	College of Science	Biological Sciences and Mathematics	PhD, Jawaharlal Nehru University, Mathematical Modeling of Nonlinear Biological and Physical Systems	<p>Rajeev Azad is a computational biologist with interdisciplinary research focusing on gene discovery, gene regulation, and genome evaluation. He has been a principal investigator (PI) or co-PI on 5 extramural grants. He is PI on a National Institutes of Health (NIH) grant with a budget of \$455,000 and is co-PI on three National Science Foundation (NSF) awards totaling over \$2 million. He was PI on a grant from the Mathematical Bioscience Institute that he received as an Early Career Award. Of the 13 peer-reviewed papers he has authored, he is corresponding author on six. He has authored a book chapter and has 4 manuscripts written and submitted for review. Six of his most recent publications have one of his students as a co-author. He has delivered 13 oral research presentations at conferences, given 20 invited seminars, and has co-authored 25 oral or poster presentations given by his graduate students. He teaches graduate level courses that attract students from Biological Sciences, Computer Science and Engineering, and Mathematics. His student evaluation scores are all at the highly effective level. Currently, he has 7 PhD students, 2 Master's students, and 2 undergraduate students in his laboratory. He has graduated a PhD student and 2 Master's students. His service includes 19 graduate committees, and he participates in seminar programs of Biology and Mathematics. He is an ad hoc reviewer for NIH, NSF, and the Czech Science Foundation. He has participated in 2 NIH panels and 1 NSF panel. He peer reviews submitted articles for 19 different professional journals.</p>
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Dr. Lior Fishman	Assistant Professor	College of Science	Mathematics	PhD, Ben Gurion University, Mathematics	<p>Lior Fishman's research relates to connecting diophantine approximation to dynamics and measure theory. He was the first to make a connection between geometric measure theory and a number theoretical technique known as Schmidt's game. He currently has a 5-year grant from the Simons Foundation and has received 2 internal grants from UNT. He has submitted 5 NSF proposals and 2 National Security Agency proposals. He has published 15 peer-reviewed publications, has 2 others that are accepted, and 8 under review. His papers have been published in the Journal de Mathematiques Pures et Appliquees and the Proceedings of the London Mathematical Society. He has been an active member of the Research Training Group (RTG) in Logic and Dynamics, an NSF funded program for training postdocs, graduate students, and undergraduate students. He participated in the selection and mentoring of the RTG postdoctoral scholars. He has prepared 11 new courses, and is found to be a highly effective teacher. He has graduated a PhD student and a Master's student. He is currently advising 2 PhD students. He has served as faculty mentor for undergraduate research projects, and has coordinated the Summer Undergraduate Mathematics Scholars program. He has also served on his departmental hiring committees, the department's strategic planning committee, and helped organize UNT Mathematics conferences. He regularly serves as a referee for scholarly journals.</p>
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Dr. Hakan Tarakci	Assistant Professor	College of Business	Information Technology and Decision Sciences	PhD, Purdue University, Quantitative Methods	<p>Hakan Tarakci's research focuses on reliability and maintenance outsourcing, inventory management models, and the concept of learning/forgetting in operations. He has published pedagogical work in the International Journal of Information and Operations Education and published articles in Institute of Industrial and Systems Engineers Transactions. He is sole author on one of these articles and lead author on six. He has presented at 9 conferences. He is consistently rated excellent by students in all categories of teaching effectiveness. He has served as a member of a dissertation committee and he is founder of the first Institute for Operations Research and Management Science (INFORMS) student chapter at UNT. He has supervised the INFORMS chapter as faculty sponsor, and has served as a faculty resource for students who attend the national annual conference. Departmentally, he has served as departmental secretary, member of the Information Technology and Decision Sciences (ITDS) Curriculum Committee, ITDS PhD exam pool, and ITDS Executive Committee. He has served as a session chair at the 2014 INFORMS conference and has served 5 times at the Production and Operations Management Society annual conference.</p>
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Dr. Miriam Boesch	Assistant Professor	College of Education	Educational Psychology	PhD, Purdue University, Special Education	<p>Miriam Boesch's research is in augmentative and alternative communication, a discipline that uses strategies to improve the communication skills of individuals who cannot use natural speech. She has published 11 refereed papers, being the lead author on four. Her 2 papers with the highest number of citations were both published with her as the lead author. She is Co-PI on a United States Department of Education personal preparation grant totaling over \$1 million and has been PI on 4 internal grants. She was selected as the College of Education Junior Research Award recipient in 2014. She is rated an effective instructor and has taught classes at both the graduate and undergraduate levels. She serves as a committee member on 11 dissertation committees. She has served on the department's Master's Policies Committee and is advisor for the Master's concentration in Autism Spectrum Disorders. She is a member of Editorial Board for Teaching Exceptional Children, the Communication Disorders Quarterly, and is an ad-hoc reviewer for journals and grant proposals.</p>
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Dr. Mei Chang	Assistant Professor	College of Education	Educational Psychology	PhD, Ball State University, Educational Psychology	<p>Mei Chang's research focuses on bridging school psychology with the research, measurement, and statistics field. She has published 5 articles of which she is first author on one. She has 3 manuscripts under review, of which she is lead author on 2, and has 5 papers in progress for which she is lead author. She has made 24 conference presentations and is the recipient of 2 external grants and 2 internal grants totaling \$8,000. She has taught 6 different courses across 2 program areas, and her students rate her as effective to highly effective. She has co-chaired a dissertation committee and served on 3 dissertation committees of students who have completed their studies. She is currently serving on 7 doctoral student committees. She has served as faculty advisor for the Office of Research Consulting, as a committee member of the department's Master's Policies Committee, and has been instrumental in organizing The Advances in Research Design Symposium. She serves on the Frontiers in Psychology Editorial Board, reviews for other journals and conferences, and has been an officer for the National Association of School Psychologists.</p>
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Dr. Elizabeth Prosek	Assistant Professor	College of Education	Counseling and Higher Education	PhD, Old Dominion University, Counseling	<p>Elizabeth Prosek's research focus is in the area of interventions for clients with co-occurring disorders. She has produced 19 in-press or published refereed journal articles, 3 book chapters, and has presented at over 20 professional meetings. She has secured 2 grants as PI totaling over \$550,000, one from U.S. Department of Justice and one from Texas Veterans Commission. She has also secured 2 internal grants totaling over \$10,000. In 2015, she was awarded the Southern Association for Counselor Education and Supervision's Outstanding Pre-Tenure Faculty Award and the Outstanding Faculty Member Award from the local chapter of Chi Sigma Iota. She has initiated a research team composed of Master's and PhD students whom she mentors on projects of mutual interest. From this research team, she has co-authored with students a total of 17 articles. Her teaching evaluations are consistently high. She has served on committees for 5 defended dissertations, and is now chairing 2 dissertation committees. She is currently serving as a member or chair of 7 program committees. She has served on the Faculty Senate and its Executive Committee. She is currently serving as Executive Board Secretary for the Association for Assessment and Research in Counseling and as reviewer on 4 organizations including the Texas Association for Counselor Education and Supervision and American Counseling Association Annual Conference. She also serves as a program evaluator for the Denton County Veterans Court.</p>
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Dr. Jamaal Young	Assistant Professor	College of Education	Teacher Education and Administration	PhD, Texas A&M University, Curriculum and Instruction	<p>Jamaal Young’s research focuses on urban student mathematics achievement, teacher technology instruction, and culturally responsive pedagogy. Of his 9 published articles in peer-reviewed journals he is first author on six. He has 3 articles in press, 2 articles in conference proceedings, 2 book chapters, and 2 more chapters in press. He has secured over \$30,000 in external and internal grant funding. He has been recognized with 2 awards from the American Educational Research Association (AERA): the 2016 Outstanding Reviewer Award – Review of Educational Research, by the AERA Journal Publications Committee, and the 2016 AERA Institute on Statistical Analysis for Education Policy by the NSF. He has taught graduate and undergraduate courses, and his student ratings range from effective to highly effective. He has chaired a completed doctoral dissertation committee, served on 6 doctoral committees, and currently serves as a committee member on 7 dissertations in progress. He has been instrumental in establishing a support program for junior faculty in the College of Education named Publication Oriented Writing Essential Resources (POWER). He served as Chair of the Teacher Education & Administration (TE&A) Diversity and Equity Committee. He developed and implemented a semester-long book study on culturally responsive instruction, which ended with an all-day workshop for all TE&A faculty members. He was co-program chair of the Texas Chapter of National Association for Multicultural Education conference. He has served as editor for Journal of Educational Research and Studies and currently serves on the editorial review board for Journal of Multicultural Affairs. He serves as reviewer for 9 other journals.</p>
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Dr. Rodney Nielsen	Associate Professor	College of Engineering	Computer Science and Engineering	PhD, University of Colorado at Boulder, Computer Science and Cognitive Science	<p>Rodney Nielsen's research spans a broad spectrum of Natural Language Processing, Machine Learning, and Cognitive Science. It has an emphasis on Educational Technology, Health and Clinical Informatics, and their confluence – Educational Health and Wellbeing Companion Robots. He has published 4 journal articles, 2 book chapters, 1 encyclopedia article, 19 peer-reviewed conference papers, and 3 workshop papers. He has presented papers at the Association for Computational Linguistics, International Conference on Intelligent Tutoring Systems, Conference of the North American Chapter of the Association for Computational Linguistics: Human Language Technologies, and the International Conference on Artificial Intelligence in Education. He has transferred two grants to UNT, one from NSF and one from the Institute of Education Sciences totaling over \$2.5 million. He was awarded the UNT Competitive Funding Award in 2014. His students have earned first place in 3 poster/report competitions. He has developed technology to improve classroom instruction, which was piloted in 58 middle school science classes. He is currently major advisor for 6 PhD students and 2 Master's thesis students. His work with a PhD student has earned the student an NSF Graduate Research Fellowship in the Computer Science and Engineering Department. He has served on 3 university committees, 4 departmental committees, and a faculty search committee. He has served as host site organizer for the North American Computational Linguistics Olympiad open round and invitational round, and as a Board of Advisors member for The Road Ahead for Educational Technology/Intelligent Tutoring Systems. He is currently serving on the Board of Advisors for NSF Cyberlearning and Future Learning Technologies and NSF Community Research Infrastructure.</p>
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Mr. Clinton Carlson	Assistant Professor	College of Visual Arts and Design	Design	BFA, University of Nebraska, Visual Communication Design MFA, University of Alberta	<p>Clinton Carlson's scholarship, both as a researcher and a designer, focuses on how an empathic understanding of human problems can influence graphic solutions. He has published a book, 2 book chapters, and 3 peer-reviewed journal articles. He has 9 scholarly presentations with 6 invited talks both nationally and internationally. He also generates client-based work specializing in branding, advertising, and identity. His clients include Florida Keys Mosquito Control District, Toyota Racing, Chief Industries, Tekzenit, Veteran Works, Colorado Meth Project, and Centers for Disease Control. He has received \$18,250 in grant funding with \$2,500 coming from the American Institute of Graphic Arts (AIGA). He has recently worked with Tekzenit on a yearlong position as a principal for the Tekzenit Innovation and Research Lab to establish the xD program, an apprenticeship program that aligns recent graduates from related fields into user experience design. His students have won awards at the Dallas Society of Visual Communications, National Student Show. He collaborates with students on intersecting client-based social practice design with design pedagogy to write and publish projects as peer-reviewed publications. He is rated as a highly effective to excellent educator. He has served as his department's Communication Design Association advisor and Interior Design Studio Portfolio Lecture and Critique reviewer. He has served his college and UNT on 3 search committees, chaired a search committee, and participated as a panel member for new faculty orientation. He serves his profession as a member of the UX Graduate Certificate Advisory Council of St. Lawrence College, an article proposal reviewer with the International Professional Communications Journal, and a grant reviewer for AIGA Design Educators Community.</p>
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Mr. Jude Landry	Assistant Professor	College of Visual Arts and Design	Design	MFA, Louisiana Tech University, Graphic Design	<p>Jude Landry engages his client-based studio practice at UNT with expertise in a wide variety of media. His work has appeared in the Print Magazine Regional Design Annual, Communication Arts Typography Annual, Creative Quarterly, and in LogoLounge, all journals in the fields of communication and graphic design. His work has been exhibited at national and international juried exhibitions including Good 50x70 International Poster Competition and Project Passion Exhibition. His curated exhibitions include Graphic Advocacy and For The Love of Type. He has received commissions for artwork from national and international companies including Bender Bound, Bayer Aspirin, Bernard Malamud Library, Crate & Barrel Products, and Urban Graphic. He is the recipient of international juried awards including Art Director's Club Young Guns Award and the HOW Poster Design Award, and national juried awards including FPO: For Print Only Awards-Judge's Choice and Best of Category, TedX Oil Spill Poster Competition, and French Paper Sample Room Contest. His students have received recognition at national professional and student competitions and exhibitions for their projects. He developed a new Design Entrepreneurship course which teaches business and marketing strategies for the sale of designed artifacts. His service to UNT includes being a member of the College Academic Committee, College Bound recruiting event, and Art Technology Center proposal committee. He served as a search committee chair and search committee member. He has served his profession as Juror at the Poster For Tomorrow International Poster Competition, Juror for Indie Craft Parade, and has exhibited his work at UNT on the Square gallery.</p>
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Dr. Barrett J. Taylor	Assistant Professor	College of Education	Counseling and Higher Education	PhD, University of Georgia, Higher Education	<p>Barrett Taylor's scholarship focuses on status and inequality, resources, strategy, practice, and production in education. His teaching interests include higher education organization, finance, and policy. Prior to coming to UNT, Dr. Taylor held positions as the Mentoring and Recruitment Coordinator for the University of Alabama, College of Nursing; Associate Director for Admissions for Schreiner University; and Assistant Director of Admissions for the University of Maine. Dr. Taylor is the author or coauthor of 13 peer-reviewed manuscripts, many in the most influential journals in higher education studies, as well as author for six, editor-reviewed book chapters including one in <i>Critical Approaches to the Study of Higher Education</i>, the American Education Research Association (AERA) Division J (Higher Education) "book of the year" for 2015. His scholarly impact extends beyond the field of higher education, as indicated by two single-authored publications in disciplinary journals (sociology), additional publications in education studies, policy studies, and a forthcoming book chapter in economics. Dr. Taylor has more than \$400,000 in externally sponsored research projects and serves on the Editorial Board for <i>The Journal of Higher Education</i>.</p>
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Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: March 24, 2017

Title: Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Latino and Mexican American Studies

Background:

The University of North Texas (UNT) is requesting to add a Bachelor of Arts (BA) degree program with a major in Latino and Mexican American Studies, effective August 28, 2017.

The BA degree program with major in Latino and Mexican American Studies examines the politics, history, language, culture, literature, sociology, anthropology, economics, and creative accomplishments of Latinos in the United States. This rapidly growing population includes people who trace their heritage to Mexico, Cuba, Puerto Rico, El Salvador, Guatemala, Nicaragua, and many other Latin American and Caribbean nations.

The rapidly growing Latino population is reshaping Texas and beyond, as well as transforming the landscape of higher education. Based on 2014 Census Bureau projections, Latinos will be the largest racial-ethnic group in Texas by 2020 and will constitute the majority of Texas residents by 2044. Latinos are currently the largest minority group in the United States and by 2044, when the country is "majority minority," they will be 25% of the national population. Meanwhile, newly released statistics by the Texas Education Agency show Latinos are already more than 50% of the students in Texas public schools with growing numbers enrolling in colleges and universities across the state.

With these demographics in mind, it has become a matter of high urgency to formulate curricula and other initiatives to address the higher education needs of Latino students and to better educate all students about the history and culture of a population group that is profoundly important for the continuing development and success of Texas and the United States.

The Texas Workforce Commission Report on Texas Growth Occupations 2015 makes clear that the greatest demand for workers in the future of our state will be in education, management, professional and technical services, health care and social services, and energy production. Of these, only energy production does not have immediate ties to Latino and Mexican American studies. UNT students who go into growth occupations will have an advantage if they can show knowledge and understanding about the state's rapidly increasing Latino population. Future Texas teachers, business leaders, doctors, nurses, social workers, and other professionals must be prepared to understand the history, culture, and particular issues of the state's Latino community which they will increasingly serve in coming decades. The Latino and Mexican American Studies program will prepare students to be more competitive in the increasingly challenging and diverse workforce environment.

Latino and Mexican American Studies is a 120-hour BA program residing in the College of Liberal Arts and Social Sciences, department of Political Science. Students take four (4) required substantive classes (12 hours), four (4) classes (12 hours) across three (3) elective areas - in no

more than two (2) areas, and complete either an internship and/or senior research paper (6 hours).

Financial Analysis/History:

The costs and funding needed for the BA in Latino and Mexican American Studies meets the Standards for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for new Baccalaureate and master's Degree Programs.

The program will use existing faculty and courses. Resources were already acquired by the UNT Library. This degree program is cost neutral.

Bob Brown
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Date: 2017.05.04 16:48:23 -05'00'
Institution Chief Financial Officer

Janet Waldron
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Date: 2017.05.08 09:26:30 -05'00'
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:

Fall 2017

Recommendation:

The President recommends that the Board of Regents approve adding the BA degree program with a major in Latino and Mexican American Studies to the UNT degree program inventory.

Recommended By:

O. Finley Graves
Provost and VPAA

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Date: 2017.05.05 08:42:47 -05'00'
President

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

Lee Jackson Digitally signed by Lee Jackson
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ou=Office of the Chancellor,
email=lee.jackson@untssystem.edu,
c=US
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Chancellor

Attachments Filed Electronically:

- THECB Certification Form for New Degree Programs



Board Order

Title: Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Latino and Mexican American Studies

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT is uniquely positioned to offer an exceptional baccalaureate program in Latino and Mexican American Studies, and

Whereas, UNT will be able to produce graduates with the breadth and depth of talent needed for future success in their chosen field, and

Whereas, costs and funding needed for the BA with a major in Latino and Mexican American Studies meets the Standards for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for New Baccalaureate and Master's Degree Program,

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

1. The addition of the UNT BA degree program with a major in Latino and Mexican American Studies.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Certification Form for New Bachelor's and Master's Programs Texas Higher Education Coordinating Board

Directions: An institution shall use this form to request a new bachelor's or master's degree program that meets all criteria for approval in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval; (b) the program complies with the *Standards for Bachelor's and Master's Programs*; (c) adequate funds are available to cover the costs of the new program; (d) new costs during the first five years of the program will not exceed \$2 million; (e) the program is a non-engineering program (i.e., not classified under CIP code 14); and (f) the program will be offered by a university or health-related institution.

If a new bachelor's or master's program does not meet the criteria above, an institution must submit a request using the *Form for Requesting a New Bachelor's and Master's Degree Program*.

Information: Contact the Division of Academic Quality and Workforce at 512/427-6200 for more information.

Administrative Information

1. **Institution:** University of North Texas
2. **Program Name:** Bachelor of Arts Degree Program with a Major in Latino and Mexican American Studies

3. **Proposed CIP Code:** 45.0101.00

4. **Number of Required Semester Credit Hours (SCHs)¹:**

A minimum of 120 hours including 30 hours at UNT are required for the degree. A minimum of 42 advanced hours including 24 advanced hours earned at UNT are required for the degree.

5. **Administrative Unit:**

The Department of Political Science within the College of Liberal Arts and Social Sciences

6. **Delivery Mode:** On campus instruction

7. **Implementation Date:** August 28, 2017

8. **Contact Person:**

Name: Valerie Martinez-Ebers

Title: University Distinguished Research Professor

E-mail: valerie.martinez-ebers@unt.edu

Phone: 940-390-2304

¹ Bachelor's degrees should not exceed 120 SCH per Board rule 5.44 (a) (3). Those that exceed 120 SCH must provide detailed documentation describing the compelling academic reason for the number of required hours, such as programmatic accreditation requirements, statutory requirements, or licensure/certification requirements that cannot be met without exceeding the 120-hour limit.

Signature Page

I hereby certify that all of the following criteria have been met in accordance with the procedures outlined in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval.
- (b) The program complies with the *Standard's for New Bachelor's and Master's Programs*.
- (c) Adequate funds are available to cover the costs of the new program.
- (d) New costs during the first five years of the program will not exceed \$2 million.
- (e) The program is a non-engineering program (i.e., not classified under CIP code 14).
- (f) The program will be offered by a university or health-related institution.

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

Chief Executive Officer

Date

I hereby certify that the Board of Regents has approved this program.

Date of Board of Regents approval: _____

Board of Regents (or Designee)

Date

Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: March 24, 2017

Title: Approval to Add the UNT Bachelor of Science Degree Program with a Major in Consumer Experience Management

Background:

The University of North Texas (UNT) is requesting to add a Bachelor of Science (BS) degree program with a major in Consumer Experience Management, effective August 28, 2017.

This degree program will be housed in the Department of Merchandising and Digital Retailing under the College of Merchandising, Hospitality Management, and Tourism (CMHT).

The BS degree program with a major in Consumer Experience Management is designed to prepare graduates to meet current and future needs of Texas consumer services industries that include retail, travel and leisure, and media. A digital explosion has empowered how 21st century consumers seek and engage with products, services, and brands. Traditional business-to-consumer (B2C) models are being supplanted by a new paradigm of consumer engagement built on a customer's journey that is driven by 24/7/365 digital access to products, services and information and expectations for personalization and customization in the marketplace.

UNT is positioned to be the first university to offer this unique program using a collaborative and interdisciplinary approach and CMHT's comprehensive inventory of retail, hospitality, and tourism consumer-focused courses. This program will prepare graduates to understand consumers' expectations for a seamless, personal experience that occurs through end-to-end commerce and omni-channel encounters – from customer engagement and experience to operations and analytics.

Job market research for positions requiring a bachelor's degree in combination with knowledge and skills aligned with the Consumer Experience Management degree show a strong work force need in this area with thousands of positions available across the United States. A nation-wide online search was conducted to identify academic programs focused on consumer experience management. Three universities offered Consumer Experience Management as a certificate program or executive education program, but none were offering it as a degree program.

The proposed BS degree program with a major in Consumer Experience Management will require a minimum of 120 hours. Of these 120 hours, 39 hours are required courses, 6 hours are prescribed electives, and 33 hours are for a minor or concentration area.

Financial Analysis/History:

The costs and funding needed for the BS in Consumer Experience Management meets the Standards for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for new Baccalaureate and Master's Degree Programs.

The total funding over five years is \$407,500. The funding total includes salaries for two (2) faculty members (one (1) new hire in year three and a second hired in year four, depending on program growth) and funds for maintenance and operations. The program will draw on existing faculty and coursework, some of which is offered online.

UNT's total anticipated revenue over five (5) years is \$1,568,410. The program will reallocate funds to cover costs for the first two (2) years. By year three, UNT will recognize a positive revenue source.

Bob Brown
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Institution 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:

Fall 2017

Recommendation:

The Provost recommends that the Board of Regents approve adding the BS degree program with a major in Consumer Experience Management to the UNT degree program inventory.

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,
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Chancellor

Attachments Filed Electronically:

- THECB Certification Form for New Degree Programs



Board Order

Title: Approval to Add the UNT Bachelor of Science Degree Program with a Major in Consumer Experience Management

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the University of North Texas is positioned to be the first to offer the BS degree in Consumer Experience Management, and

Whereas, business paradigm shift for consumer engagement has created a strong job market for graduates in this field, and

Whereas, costs and funding needed for the BS degree in Consumer Experience Management meets the Standards for Bachelor's and Master' Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for New Baccalaureate and Master's Degree Program,

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

1. The addition of the UNT BS degree program with a major in Consumer Experience Management.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**Certification Form for New Bachelor's and Master's Programs
Texas Higher Education Coordinating Board**

Directions: An institution shall use this form to request a new bachelor's or master's degree program that meets all criteria for approval in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval; (b) the program complies with the *Standards for Bachelor's and Master's Programs*; (c) adequate funds are available to cover the costs of the new program; (d) new costs during the first five years of the program will not exceed \$2 million; (e) the program is a non-engineering program (i.e., not classified under CIP code 14); and (f) the program will be offered by a university or health-related institution.

If a new bachelor's or master's program does not meet the criteria above, an institution must submit a request using the *Form for Requesting a New Bachelor's and Master's Degree Program*.

Information: Contact the Division of Academic Quality and Workforce at 512/427-6200 for more information.

Administrative Information

1. Institution: University of North Texas
2. Program Name: Bachelor of Science Degree Program with a Major in Consumer Experience Management
3. Proposed CIP Code: 52.0207 Customer Service Management
4. Number of Required Semester Credit Hours (SCHs)¹: 120
5. Administrative Unit: Department of Merchandising and Digital Retailing within the College of Merchandising, Hospitality and Tourism
6. Delivery Mode: Face to Face and Online
7. Implementation Date: August 28, 2017
8. Contact Person:
 - Name: Judith Forney
 - Title: Dean
 - E-mail: JForney@unt.edu
 - Phone: 940.565.2448 (direct) or 940-565-2925 (Terri Yip, Assistant to the Dean)

¹ Bachelor's degrees should not exceed 120 SCH per Board rule 5.44 (a) (3). Those that exceed 120 SCH must provide detailed documentation describing the compelling academic reason for the number of required hours, such as programmatic accreditation requirements, statutory requirements, or licensure/certification requirements that cannot be met without exceeding the 120-hour limit.

Signature Page

I hereby certify that all of the following criteria have been met in accordance with the procedures outlined in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval.
- (b) The program complies with the *Standard's for New Bachelor's and Master's Programs*.
- (c) Adequate funds are available to cover the costs of the new program.
- (d) New costs during the first five years of the program will not exceed \$2 million.
- (e) The program is a non-engineering program (i.e., not classified under CIP code 14).
- (f) The program will be offered by a university or health-related institution.

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

Chief Executive Officer

Date

I hereby certify that the Board of Regents has approved this program.

Date of Board of Regents approval: _____

Board of Regents (or Designee)

Date

Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: March 24, 2017

Title: Approval to Add the UNT Master of Science Degree Program with a Major in Digital Communication Analytics

Background:

The University of North Texas (UNT) is requesting to add a Master of Science (MS) degree program with a major in Digital Communication Analytics, effective August 28, 2017.

Public relations (PR) and advertising as professions are in the midst of drastic transformation and movement toward quantification. The industry of PR has seen exponential growth of social media platforms and communications, whose metrics have been a hot topic for many years. Despite the PR and advertising industries' strong demand for more numerically savvy communications professionals, college graduates from traditional programs are ill-prepared for the challenge. The proposed program will take a guided, transdisciplinary approach to preparing graduate students and acclimating current professionals to the growing demands of a data-driven market. Current programs have been analyzed. This degree will connect industry and existing programs to create new career pathways in fields related to journalism, advertising, public relations, and marketing.

There is a need in the workforce for graduates with analytic skills. The Bureau of Labor Statistics has predicted that market research analyst employment opportunities will grow by 19%, or more than 92,000 jobs. The need for advertising, promotion, and marketing managers will grow by 9%, or 19,700 jobs during the same timeframe.

The Digital Communication Analytics program will build on existing faculty expertise in Journalism, Learning Technology, Information Science, and Marketing. In addition to six (6) Journalism courses, required courses will include one (1) existing Marketing course and one (1) existing Learning Technology course. Electives include courses from Journalism, Business, and Learning Technology.

The MS degree program with a major in Digital Communication Analytics requires 36 hours.

Financial Analysis/History:

The costs and funding needed for the MS degree with a major in Digital Communication Analytics meets the Standards for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for new Baccalaureate and Master's Degree Programs.

The total funding over five (5) years is \$1,284,317. The funding total includes salaries for two (2) full-time faculty members (assistant professor and lecturer), adjunct salaries, and funds for maintenance and operations.

UNT's total anticipated revenue over five (5) years is \$2,236,632. The program will be funded through the use of UNT incentive funds that were set aside for initiatives that have the potential to increase university enrollment.

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: 2017.05.04 16:50:50 -05'00'

Institution Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2017.05.08 09:30:11 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2017.05.09 16:04:31 -05'00'

Vice Chancellor/General Counsel

Schedule:

Fall 2017

Recommendation:

The President recommends that the Board of Regents approve adding the MS degree program with a major in Digital Communication Analytics to the UNT degree program inventory.

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: 2017.05.05 08:45:42 -05'00'

President

Rosemary R. Haggett
Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North Texas System, ou=Vice Chancellor for Academic Affairs and Student Success, email=rosemary.haggett@untsystem.edu, c=US
Date: 2017.05.08 16:04:43 -05'00'

Vice Chancellor

Lee Jackson
Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System, ou=Office of the Chancellor, email=lee.jackson@untsystem.edu, c=US
Date: 2017.05.09 17:08:40 -05'00'

Chancellor

Attachments Filed Electronically:

- THECB Certification Form for New Degree Programs



Board Order

Title: Approval to Add the UNT Master of Science Degree Program with a Major in Digital Communication Analytics

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 17-18, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the MS in Digital Communication Analytics degree program is designed to prepare students for an evolving workforce by providing marketable skills and to meet the needs created by the growth in data analytics, and

Whereas, the MS in Digital Communication Analytics degree program will build on course offerings already in place in Information Science and Business, and

Whereas, costs and funding needed for the MS degree in Digital Communication Analytics meets the Standards for Bachelor's and Master' Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for New Baccalaureate and Master's Degree Programs,

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

1. The addition of the UNT MS degree program with a major in Digital Communication Analytics.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Certification Form for New Bachelor's and Master's Programs Texas Higher Education Coordinating Board

Directions: An institution shall use this form to request a new bachelor's or master's degree program that meets all criteria for approval in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval; (b) the program complies with the *Standards for Bachelor's and Master's Programs*; (c) adequate funds are available to cover the costs of the new program; (d) new costs during the first five years of the program will not exceed \$2 million; (e) the program is a non-engineering program (i.e., not classified under CIP code 14); and (f) the program will be offered by a university or health-related institution.

If a new bachelor's or master's program does not meet the criteria above, an institution must submit a request using the *Form for Requesting a New Bachelor's and Master's Degree Program*.

Information: Contact the Division of Academic Quality and Workforce at 512/427-6200 for more information.

Administrative Information

1. **Institution:** University of North Texas
2. **Program Name:** Master of Science with a Major in Digital Communications Analytics
3. **Proposed CIP Code:** 11.0401.00 Information Science/Studies
4. **Number of Required Semester Credit Hours (SCHs)¹:** 36
5. **Administrative Unit:** Mayborn School of Journalism
6. **Delivery Mode:** Both online and face to face
7. **Implementation Date:** August 28, 2017
8. **Contact Person:**
Name: Dorothy Bland
Title: Dean, Mayborn School of Journalism
E-mail: Dorothy.Bland@UNT.EDU
Phone: 940-565-4917

¹ Bachelor's degrees should not exceed 120 SCH per Board rule 5.44 (a) (3). Those that exceed 120 SCH must provide detailed documentation describing the compelling academic reason for the number of required hours, such as programmatic accreditation requirements, statutory requirements, or licensure/certification requirements that cannot be met without exceeding the 120-hour limit.

Signature Page

I hereby certify that all of the following criteria have been met in accordance with the procedures outlined in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval.
- (b) The program complies with the *Standard's for New Bachelor's and Master's Programs*.
- (c) Adequate funds are available to cover the costs of the new program.
- (d) New costs during the first five years of the program will not exceed \$2 million.
- (e) The program is a non-engineering program (i.e., not classified under CIP code 14).
- (f) The program will be offered by a university or health-related institution.

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

Chief Executive Officer

Date

I hereby certify that the Board of Regents has approved this program.

Date of Board of Regents approval: _____

Board of Regents (or Designee)

Date



Title: Approval to Add the UNT Master of Science Degree Program with a Major in Data Science

Background:

The University of North Texas (UNT) is requesting to add a Master of Science (MS) degree program with a major in Data Science, effective August 28, 2017.

The MS degree program with a major in Data Science is designed to address the current market needs for highly skilled data science professionals. Continued technological advances and the exponential growth of data/information are creating new types of jobs that did not exist before. There has been a significant increase in the number of data-related employment positions such as data scientist, data science manager, data science application developer, data science engineer, big data analyst, data science consultant, data science architect, and data manager. As data accumulates, organizations are increasingly hiring individuals with the expertise to find meaning in the numbers and drive positive business decisions based on what they learn.

The MS degree program with a major in Data Science will prepare students for careers in data science with a broad knowledge of the tools, techniques, and methods. Some of the areas this program is concerned with include statistical analysis, natural language processing, computational linguistics, information retrieval, information visualization, social network analysis, text analytics, and data mining. The program helps graduates to acquire the type of skills and competencies needed in designing, implementing, and transforming data sets and large volumes of information into actionable knowledge. It provides students with the knowledge they need to manage data science projects and work with analytic tools and technologies. The program will educate a new generation of information professionals capable of taking the leadership role through connecting the dots and using data to support information and knowledge management initiatives within the organization.

The Department of Information Science currently offers an MS in Information Science with a concentration in Data Science. There are enough existing courses to support the core of this stand-alone degree program. Student demand for data science courses has required the department to add additional sections in recent years.

Thirty-six (36) credit hours are required for this Master's degree. All students are required to complete three (3) foundation (core) courses: INFO 5501 - Fundamentals of Data Science and Data Analytics; INFO 5502 - Analytic Tools, Techniques, and Methods; and INFO 5709 - Data Visualization and Communication. Students also must complete a research project through INFO 5082 (3 hours) – Seminar in Research and Research Methodology.

Elective courses are comprised of existing courses from Business, Linguistics and Engineering in addition to Information Science. The curriculum of this degree program will provide additional depth of knowledge and allow students expanded flexibility on the world market.

Financial Analysis/History:

The costs and funding needed for the MS degree with a major in Data Science meets the Standards for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for new Baccalaureate and Master's Degree Programs.

The total funding over five (5) years is \$1,118,159. The funding total includes salaries for two (2) full-time faculty members, adjunct salaries, and funds for maintenance and operations. UNT's total anticipated revenue over five (5) years is \$2,772,789. The Department of Information Sciences will cover program costs until formula funding begins.

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: 2017.05.04 17:11:14 -05'00'

Institution Chief Financial Officer

Janet Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2017.05.08 09:31:22 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2017.05.09 16:05:06 -05'00'

Vice Chancellor/General Counsel

Schedule:

Fall 2017

Recommendation:

The President recommends that the Board of Regents approve adding the MS degree program with a major in Data Science to the UNT degree program inventory.

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: 2017.05.05 08:47:10 -05'00'

President

**Rosemary R.
Haggett** Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of
North Texas System, ou=Vice Chancellor for
Academic Affairs and Student Success,
email=rosemary.haggett@untsystem.edu,
c=US
Date: 2017.05.08 16:05:41 -05'00'

Vice Chancellor

Lee Jackson Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.05.09 17:09:56 -05'00'

Chancellor

Attachments Filed Electronically:

- THECB Certification Form for New Degree Programs



Board Order

Title: Approval to Add the UNT Master of Science Degree Program with a Major in Data Science

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the proposed MS with a major in Data Science degree program is designed to educate a new generation of information professionals, and

Whereas, there are growing employment opportunities and a shortage of educated professionals in the field, and

Whereas, costs and funding needed for the MS degree with a major in Data Science meets the Standards for Bachelor's and Master' Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for New Baccalaureate and Master's Degree Programs,

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

1. The addition of the UNT MS degree program with a major in Data Science.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**Certification Form for New Bachelor's and Master's Programs
Texas Higher Education Coordinating Board**

Directions: An institution shall use this form to request a new bachelor's or master's degree program that meets all criteria for approval in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval; (b) the program complies with the *Standards for Bachelor's and Master's Programs*; (c) adequate funds are available to cover the costs of the new program; (d) new costs during the first five years of the program will not exceed \$2 million; (e) the program is a non-engineering program (i.e., not classified under CIP code 14); and (f) the program will be offered by a university or health-related institution.

If a new bachelor's or master's program does not meet the criteria above, an institution must submit a request using the *Form for Requesting a New Bachelor's and Master's Degree Program*.

Information: Contact the Division of Academic Quality and Workforce at 512/427-6200 for more information.

Administrative Information

1. Institution: University of North Texas
2. Program Name: Master of Science Degree Program with a Major in Data Science
3. Proposed CIP Code: 11.0401.00 Information Science/Studies
4. Number of Required Semester Credit Hours (SCHs)¹: 36
5. Administrative Unit: Department of Information Science within the College of Information
6. Delivery Mode: Both online and face to face
7. Implementation Date: August 28, 2017
8. Contact Person:
 - Name: Suliman Hawamdeh
 - Title: Professor and Department Chair
 - E-mail: suliman.hawadeh@unt.edu
 - Phone: 940-565-3690

¹ Bachelor's degrees should not exceed 120 SCH per Board rule 5.44 (a) (3). Those that exceed 120 SCH must provide detailed documentation describing the compelling academic reason for the number of required hours, such as programmatic accreditation requirements, statutory requirements, or licensure/certification requirements that cannot be met without exceeding the 120-hour limit.

Signature Page

I hereby certify that all of the following criteria have been met in accordance with the procedures outlined in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval.
- (b) The program complies with the *Standard's for New Bachelor's and Master's Programs*.
- (c) Adequate funds are available to cover the costs of the new program.
- (d) New costs during the first five years of the program will not exceed \$2 million.
- (e) The program is a non-engineering program (i.e., not classified under CIP code 14).
- (f) The program will be offered by a university or health-related institution.

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

Chief Executive Officer _____ Date _____

I hereby certify that the Board of Regents has approved this program.

Date of Board of Regents approval: _____

Board of Regents (or Designee) _____ Date _____

Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: March 17, 2017

Title: Approval to Add the UNT Master of Science Degree Program with a Major in Advanced Data Analytics

Background:

The University of North Texas (UNT) is requesting to add a Master of Science (MS) degree program with a major in Advanced Data Analytics, effective August 28, 2017.

The MS in Advanced Data Analytics is a focused interdisciplinary degree designed to provide students with the academic and practical preparation necessary to meet a growing research field, and a rapidly expanding need of business and industry. The program centers on developing deep analytic competencies in statistics and data analysis, coupled with a strong knowledge of contemporary data structures, to prepare students to conduct sophisticated analysis in business, industry, and science. Graduates are expected to pursue careers as senior statisticians/data analysts in industry and/or go onto PhD programs in quantitative fields. Students completing the MS in Advanced Data Analytics are expected to be academically prepared for the PStat/GStat statistician accreditation through the American Statistical Association. The quantitative and statistical analysis focus of the program blends academic research with industry trends by addressing the seven (7) domains identified by the Certified Analytics Professional certification program. The MS in Advanced Data Analytics also employs a case study approach by collaborating with regional businesses, to provide pertinent classroom experiences to complement the rigorous quantitative preparation. This approach ensures that graduates in a research and quantitative degree program are highly competitive in the job market and are successful in obtaining relevant industry certifications (e.g., the Certified Analytics Professional credential from the Institute for Operations Research and Management Science).

The Dallas-Fort Worth region is ranked among the top 10 metropolitan areas in the U.S. for technology-oriented business based on the number of jobs, sector growth, and compensation. Regional employment growth in the technology services sector, which includes data analytics related jobs, was greater than 11% over 2016. A recent McKinsey report estimates that there will be 140,000 to 190,000 unfilled data analytics positions in the U.S. by 2018. The proposed MS in Advanced Data Analytics program will help meet the demand for data analysts across diverse industry sectors and provide opportunities for graduates to enter high-paying careers.

The MS with a major in Advanced Data Analytics is a 30-hour degree program. Students are required to complete 21 semester credit hours in Data Analytics; Large Data Visualization; Harvesting, Storing, and Retrieving Data; Discovery and Learning with Big Data; and an interdisciplinary capstone course. Elective courses range from database management to information and cyber security.

Financial Analysis/History:

The costs and funding needed for the MS with a major in Advanced Data Analytics meets the Standards for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for new Baccalaureate and Master's Degree Programs.

The total funding over five (5) years is \$1,235,240. The funding total includes salaries for two (2) full-time faculty members, adjunct salaries, and funds for maintenance and operations. UNT's total anticipated revenue over five (5) years is \$3,149,887. The program will be funded through the use of UNT incentive funds that were set aside for initiatives that have the potential to increase university enrollment.

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: 2017.05.04 17:11:54 -05'00'

Institution Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2017.05.04 16:22:26 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2017.05.09 16:05:44 -05'00'

Vice Chancellor/General Counsel

Schedule:

Fall 2017

Recommendation:

The President recommends that the Board of Regents approve adding the MS degree program with a major in Advanced Data Analytics to the UNT degree program inventory.

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: 2017.05.05 08:48:10 -05'00'

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, ou=University of
North Texas System, o=Vice Chancellor for
Academic Affairs and Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2017.05.08 16:06:43 -05'00'

Vice Chancellor

Lee
Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.05.09 17:11:49 -05'00'

Chancellor

Attachments Filed Electronically:

- THECB Certification Form for New Degree Programs



Board Order

Title: Approval to Add the UNT Master of Science Degree Program with a Major in Advanced Data Analytics

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, there is an increasing demand for graduates trained in data analytics for business and industry fields, and

Whereas, UNT is strategically positioned in the Dallas-Fort Worth region to offer the MS with a major in Advanced Data Analytics both face-to-face and online in order to meet varying needs of students, and

Whereas, costs and funding needed for the MS with a major in Advanced Data Analytics meets the Standards for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5.45, Criteria for New Baccalaureate and Master's Degree Program,

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

1. The addition of the UNT MS degree program with a major in Advanced Data Analytics.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Certification Form for New Bachelor's and Master's Programs Texas Higher Education Coordinating Board

Directions: An institution shall use this form to request a new bachelor's or master's degree program that meets all criteria for approval in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval; (b) the program complies with the *Standards for Bachelor's and Master's Programs*; (c) adequate funds are available to cover the costs of the new program; (d) new costs during the first five years of the program will not exceed \$2 million; (e) the program is a non-engineering program (i.e., not classified under CIP code 14); and (f) the program will be offered by a university or health-related institution.

If a new bachelor's or master's program does not meet the criteria above, an institution must submit a request using the *Form for Requesting a New Bachelor's and Master's Degree Program*.

Information: Contact the Division of Academic Quality and Workforce at 512/427-6200 for more information.

Administrative Information

1. **Institution:** University of North Texas

2. **Program Name:** Master of Science Degree Program with a Major in Advanced Data Analytics

3. **Proposed CIP Code:** 27.0599

4. **Number of Required Semester Credit Hours (SCHs)¹:** 30 SCH

5. **Administrative Unit:** Toulouse Graduate School

¹ Bachelor's degrees should not exceed 120 SCH per Board rule 5.44 (a) (3). Those that exceed 120 SCH must provide detailed documentation describing the compelling academic reason for the number of required hours, such as programmatic accreditation requirements, statutory requirements, or licensure/certification requirements that cannot be met without exceeding the 120-hour limit.

6. Delivery Mode: Both online and face to face

7. Implementation Date: 8/28/2017

8. Contact Person:

Name: Terri Day
Title: Special Assistant to the Provost
E-mail: Terri.Day@UNT.edu
Phone: 940-565-4392

Signature Page

I hereby certify that all of the following criteria have been met in accordance with the procedures outlined in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval.
- (b) The program complies with the *Standard's for New Bachelor's and Master's Programs*.
- (c) Adequate funds are available to cover the costs of the new program.
- (d) New costs during the first five years of the program will not exceed \$2 million.
- (e) The program is a non-engineering program (i.e., not classified under CIP code 14).
- (f) The program will be offered by a university or health-related institution.

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

Chief Executive Officer

Date

I hereby certify that the Board of Regents has approved this program.

Date of Board of Regents approval: _____

Board of Regents (or Designee)

Date



Title: Approval of UNTHSC Tenure Recommendations

Background:

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

Dr. Rebecca Cunningham received her PhD in Neurobiology from the University of Texas – San Antonio in 2006, and completed a succession of postdoctoral training fellowships in 2014. She joined the UNT Health Science Center (UNTHSC) in 2014, and is currently an Assistant Professor in the Institute for Healthy Aging, with an academic appointment in the Graduate School of Biomedical Sciences (GSBS). As a member of the faculty, Dr. Cunningham has been successful in the areas of student education and training, research, and contributes significantly and meaningfully to the mission of UNTHSC. In research, her accomplishments are underscored by her success in securing funding from the National Institutes of Health (NIH) and other private foundations, which in this highly competitive climate for funding, is a testament to the high caliber of her research program. In teaching, she plays an active role in the training and mentoring of graduate students. And in service, both locally and nationally, she has contributed significantly, as exemplified by her service on several institutional committees at UNTHSC, and her selection to serve on Editorial Boards of highly visible and reputable scientific journals that include *Endocrinology* and the *Journal of Alzheimer's Disease*. Her accomplishments are also underscored and recognized through several awards, including the 2016 Health Care Hero award from the Fort Worth Business Press. Dr. Cunningham's past performance, and her highly collaborative style of interaction with students, staff and faculty alike, is a predictor of her future success and contributions to the mission of UNTHSC. The awarding of tenure to Dr. Cunningham will promote the continued success of UNTHSC.

Dr. Harlan Jones received his PhD in Biomedical Sciences from the UNTHSC in 2001 and he completed his postdoctoral training at the Emory University School of Medicine in 2004. He is currently an Assistant Professor in the newly established Center for Infectious and Inflammatory Diseases, Institute for Molecular Medicine, with an academic appointment in the GSBS. Dr. Jones has served on numerous committees on campus, especially in the area of minority outreach. These activities align well with the institutional mission and core value of serving others first. Dr. Jones currently serves as the Associate Director of the Professional Development Core of the National Research Mentoring Network, and the Director of Relations for the Center for Diversity and International Programs. From 2009-2010 Dr. Jones served as the Director of Graduate Student Recruitment and Minority Affairs. From 2010-2014, he served as the Assistant Dean for Recruitment and Outreach in the GSBS. He also contributes to the GSBS teaching and service missions through his didactic presentations, committee appointments and his mentorship of graduate students. His work in this area was honored by the UNTHSC Graduate Student Association (GSA) in 2006 when he was selected as the GSA

Outstanding Graduate Faculty Member of the Year. The awarding of tenure will allow Dr. Jones to continue to contribute to the mission of this institution.

Dr. Scott R. Penzak received his PharmD from Wayne State University, Detroit, MI, in 1997. He is currently a Professor and serves as the Vice Chair in the Department of Pharmacotherapy in the University of North Texas System College of Pharmacy (UNTSCP). Dr. Penzak was recruited from the NIH where he was the Director of the Clinical Pharmacokinetics Research Laboratory (CPRL) from 2001-2014. From 1998-2001, Dr. Penzak was an Assistant Professor of Pharmacy Practice at Mercer University College of Pharmacy. Dr. Penzak joined UNTSCP to participate in starting a new pharmacy program in an academic health science center, with new facilities, and the vast opportunities for building research collaborations. Since 2014, he has authored or co-authored 14 peer-review publications that have been published in *Nature*, *Clinical Infectious Disease*, *PLoS One*, *BioMed Central Cardiovascular Disorders*, and *Pharmacotherapy*. Dr. Penzak's publications have been and continue to be cited in literature. In 2013, he received the NIH Director's Award in Science for "Continuous Excellence in Science and Contributions to the HIV Literature". He was selected by the pharmacy students in 2014 as the Pharmacotherapy Faculty Teacher of the Year. Dr. Penzak was also selected by the American Association of Colleges of Pharmacy (AACP) Academic Leadership Fellows Program for 2016-2017. The awarding of tenure will allow him to continue his success in scholarly activities, expand educational skills and promote research partnerships.

Dr. Katalin Prokai received her BSc in Chemical Engineering, MSc in Chemistry, and PhD in Organic Chemistry from the University of Veszprem (now University of Pannonia) in Veszprem, Hungary. She completed post-doctoral training in Medicinal Chemistry, Drug Delivery, and Bioanalytical Chemistry at the University of Florida. She joined UNTHSC as faculty in the Department of Pharmacology and Neuroscience in 2005 and is currently an Associate Professor. She became one of the founding faculty members of the UNTSCP in the Department of Pharmaceutical Sciences in 2012. Dr. Prokai has extensive teaching experience. She taught "Drug Discovery and Design" and "Integrated Biomedical Sciences" to graduate students in GSBS, UNTHSC, from 2007-2012. She has served as the course director in "Pharmaceutics I" and "Pharmaceutics II" and as a co-course director in "Basic Principles in Medicinal Chemistry & Pharmacology". She was awarded "2015-2016 Teaching Faculty of the Year Award" by the Pharmacy Student Government Association. Dr. Prokai has a long history of research successes and productivity. She has been active in research for the past 30 years, and published more than 50 peer-reviewed manuscripts. She is internationally known for her research contributions. Dr. Prokai has been successful in securing research funding on a novel drug design for glaucoma therapy. The awarding of tenure will allow her to continue her success in education and research.

Financial Analysis/History:

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

Gregory R.
Anderson

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DN: cn=Gregory R. Anderson, o=University of
North Texas Health Science Center,
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Institution Chief Financial Officer

Janet
Waldron

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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

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Date: 2017.05.09 16:06:28 -05'00'

Vice Chancellor/General Counsel

Schedule:

Effective September 1, 2017.

Recommendation:

The President recommends that the Board of Regents authorize and approve the following faculty for tenure effective September 1, 2017:

1. Dr. Rebecca Cunningham
2. Dr. Harlan Jones
3. Dr. Scott Penzak
4. Dr. Katalin Prokai

Recommended By:

Claire Peel

Interim Provost

**Dr.
Michael R.
Williams** Digitally signed by Dr. Michael R.
Williams
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President

**Rosemary R.
Haggett** Digitally signed by Rosemary R. Haggett
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Vice Chancellor

**Lee
Jackson** Digitally signed by Lee Jackson
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Chancellor



Board Order

Title: Approval of UNTHSC Tenure Recommendations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

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

Whereas, these recommendations are endorsed by the Chair/Institute Executive Director, Dean, Interim Provost, and the President, and

Now, Therefore, The Board of Regents authorizes and approves the following faculty for tenure effective September 1, 2017:

1. Dr. Rebecca Cunningham
 2. Dr. Harlan Jones
 3. Dr. Scott Penzak
 4. Dr. Katalin Prokai
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Approval of UNT Dallas Tenure Recommendations

Background:

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

Dr. Iftehar Amin was hired in 2010 as Assistant Professor of Counseling in the School of Human Services. He received his B.S. and M.A. in Sociology from the University of Dhaka in Bangladesh. He received a M.A. in Sociology from the University of Texas at Arlington and a Ph.D. in Sociology from the University of North Texas. Prior to coming to UNT Dallas he taught at the University of Louisiana at Monroe. Dr. Amin has demonstrated excellence in teaching through consistently favorable student evaluations. He was instrumental in creating an online certificate in gerontology and coordinated this program with service learning activities. Dr. Amin has an excellent record of refereed publications and presentations, which have been published in well-regarded journals in his field. Dr. Amin serves the university well. He is a collegial faculty member and has developed partnerships with agencies and organizations in the Dallas region. He also has been active in serving on various committees within the university and has organized meetings for his profession.

Dr. Matthew Babcock joined the UNT Dallas faculty in 2010 as an Assistant Professor in Social Sciences. He received a B.A. in History and Spanish from Dartmouth College, an M.A. in History from the University of New Mexico and a Ph.D. in History from Southern Methodist University. Prior to coming to UNT Dallas, he taught at Stephen F. Austin University. Dr. Babcock is an organized, dedicated and knowledgeable teacher who engages his students through critical thinking. His teaching evaluations are consistently of high quality. He interacts with students regularly and challenges them to work hard and stretch themselves. Dr. Babcock is a true scholar and an expert in his field. His new book titled *Apache Adaptation to Hispanic Rule*, is a foundational contribution to his field and was published by Cambridge University Press. Dr. Babcock serves as program coordinator for History/Social Sciences. He has also served on over twenty university committees and has delivered four Texas State Historical Association lectures to public school teachers in Richardson, Houston and Austin, TX.

Dr. Walter Borges joined the UNT Dallas faculty in 2010 as an Assistant Professor of Social Sciences. He received a B.A. in History from Cornell University and a Ph.D. in Political Science from the University of Texas at Dallas. Prior to coming to UNT Dallas, he taught in the Department of Public and International Affairs at George Mason University in Virginia. Dr. Borges has been rated as highly effective by his students and has done so in classes enrolling larger than normal numbers of students at the university. He is an organized, dedicated, knowledgeable, and creative teacher who delivers important content to students through accessible and strategic modes of teaching. Dr. Borges' research focuses largely on electoral politics. His current work includes a chapter for a new reader on Texas politics, as well as a co-authored book about Presidential and Congressional voting during the Obama administration. His work has been cited by numerous scholars in the field of political science. Dr. Borges has dedicated himself to service while at the university. He has served as president of Faculty Alliance,

participated broadly in university functions and has been asked to serve on the editorial board of *Electoral Studies*, a prestigious journal in political science and international relations.

Dr. Gwendolyn Johnson joined the UNT Dallas faculty in 2010 as an Assistant Professor of Education. She received her B.S. in Mathematics Education and her M.B.A. from Bowling Green State University. She received her Ph.D. in Curriculum and Instruction from the University of South Florida. Dr. Johnson consistently receives excellent evaluations from her students and peers as evidence of her teaching excellence. She not only holds high expectations for her students but works tirelessly to adapt her methods and strategic modes of delivery to her students' needs. Dr. Johnson's research revolves around middle-and high-school mathematics curricula, teachers' knowledge of and feelings about mathematics, and language issues in the teaching of mathematics. She has published in top-tier mathematics journals and is consistently called upon to contribute to scholarly books and publications through the inclusion of higher order mathematics activities. Additionally, she has been awarded two Teacher Quality Grants from the Texas Higher Education Coordinating Board to engage multiple school districts around improving mathematics instructions in grades 4-6. Dr. Johnson has been very committed to service to the university. She is very dedicated to mentoring students and has provided a free tutoring service to assist students with passing math sections of the teacher certification exam. Currently she is an officer in the Faculty Alliance.

Dr. Byungik Kahng joined the UNT Dallas Faculty in 2010 as an Assistant Professor of Mathematics. He received a B.S. in Mathematics from Seoul National University, a M.S. in Mathematics from Stanford University, and a Ph.D. in Mathematics from the University of Illinois at Urbana-Champaign. Prior to coming to UNT Dallas, he served as a Visiting Assistant Professor and Postdoctoral Researcher at the College of William and Mary. Dr. Kahng is a very effective teacher who receives stellar evaluations from his students. He has been a pioneer of online Math instruction at UNT Dallas. He commits to learning his students' names and interacts with them both in- and outside of the classroom. Dr. Kahng is an excellent scholar and has numerous publications. He has supervised 23 undergraduate research projects which produced 30 external conference presentations. He is ranked 4th among 52 mathematics teachers serving comprehensive public universities in the Dallas-Fort Worth area for the number of citations of his work. Dr. Kahng has an excellent service record. He oversees the Math Club and has contributed significantly to shaping his department and the university.

Dr. Yu-fen Lin joined the UNT Dallas Faculty in 2010 as Assistant Professor of Counseling Education. She earned a B.A. in French from Dang-Chiang University, a M. Div. in Theology from Taiwan Theological College and Seminary, a M.S. in Counseling from Texas A&M-Commerce, and a Ph.D. in Counselor Education from Sam Houston State University. Dr. Lin's teaching has been rated very highly by both students and faculty. She is known as a caring teacher who is dedicated to thinking about how to engage her students. Dr. Lin is a highly regarded researcher whose work adds substantial value to the counseling field, as attested by external reviewers. Her research is particularly relevant to the American Counseling Association proving useful for the development of practicing clinicians. Dr. Lin is the Internship Coordinator within her department. She is also active in community and campus activities and has served the university on the Faculty Alliance work-life committee.

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

Janet
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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 September 1, 2017.

Recommendation:

The president recommends that the Board of Regents authorize and approve the following faculty for tenure effective September 1, 2017.

1. Dr. Iftehar Amin
2. Dr. Matthew Babcock
3. Dr. Walter Borges
4. Dr. Gwendolyn Johnson
5. Dr. Byungik Kahng
6. Dr. Yu-fen Lin

Recommended By:

Betty Stewart

Bob Mong

Provost
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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 UNT Dallas Tenure Recommendations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18 - 19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

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

Now, Therefore, The Board of Regents authorizes and approves the following faculty for tenure upon Board approval effective September 1, 2017:

1. Dr. Iftihar Amin
 2. Dr. Matthew Babcock
 3. Dr. Walter Borges
 4. Dr. Gwendolyn Johnson
 5. Dr. Byungik Kahng
 6. Dr. Yu-fen Lin
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: April 12, 2017

Title: Approval to Add the UNT Dallas Bachelor of Business Administration Degree with a Major in Business Analytics

Background:

This undergraduate program introduces students to the data and business analysis industry, culminating in a Bachelor of Business Administration degree with a major in Business Analytics. This is a program of study for students desiring work in areas that involve statistical analysis, data preparation, data presentation, and database management.

The program will be designed to provide students with the following:

- Practiced expertise in entry-level statistical analysis, furthering the exposure to statistical method used by the data sciences
- Experiential orientation and applied experiences in statistical analysis tools, focusing on the standards at the time of offering
- Experiential orientation and applied experiences in statistical presentation tools, focusing on the standards at the time of offering
- Industry standard approaches and practices of the data sciences with respect to database management

The proposed degree is a business program that will provide coursework and experiential learning activities (internships, service learning, and capstone projects) in business analytics. Application of industry standards, maintaining relevancy, applied mathematical competence, communication and social skills, presentation methodology, and creative approaches to data science will be emphasized. A solid network of partnerships with area organizations who practice data and business analytics in a manner that supports internships and jobs for students as well as advice and support for faculty is a major emphasis of the program.

The degree will require a total of 120 semester credit hours summarized in the table below.

Category	Semester Credit Hours
General Education Core Curriculum	42
Required Business Core	27
Additional Pre-Business Requirements	15
Required Courses for the Major	18
Prescribed Electives for the Major	9
Free Electives	9
TOTAL	120

Upon completion graduates will be able to:

- 1) Analyze data and business problems from a statistical perspective
- 2) Lead meetings utilizing appropriate visualization techniques to present complex data patterns
- 3) Utilize modern computational tools to aid in solving complex problems
- 4) Compose recommendations for best practices with regard to strategic issues

Financial Analysis/History:

The costs and funding needed for the Bachelor of Business Administration with a major in Business Analytics meet the Standard for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5-45, Criteria for new Baccalaureate and Master's Degree Programs. Projected five-year costs and funding are summarized in the table below.

UNT Dallas currently has one full-time lecturer and one full-time associate professor/assistant dean as members of the faculty who are academically qualified to teach in the program. The university is committed to the hiring of one additional tenure-track professor to teach in the program starting in Fall 2018.

The current facilities, material equipment, and library resources are adequate to support the new program.

Five-Year Costs		Five-Year Funding	
Personnel	\$695,000	Reallocated Funds	\$0
Facilities and Equipment	\$0	Anticipated New Formula Funding ³	\$309,325
Library, Supplies, and Materials	\$0	Special Item Funding	\$0
Other ²	\$2000	Designated Tuition ⁴	\$816,476
Total Costs	\$697,000	Total Funding	\$1,125,801

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Institution 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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Date: 2017.05.11 10:13:02 -05'00'

Vice Chancellor/General Counsel

Schedule:

Upon approval by the Board of Regents, the Texas Higher Education Coordinating Board, and the Commission on Colleges of the Southern Association of Colleges and Schools, enrollment of the initial class would be scheduled for Fall 2018.

Recommendation:

The President recommends that the Board of Regents approve the authorization of a new Bachelor of Business Administration degree with a major in Business Analytics.

Recommended By:

Betty Stewart

Provost

Bob Mong Digitally signed by Bob Mong
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President

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

Lee Jackson Digitally signed by Lee Jackson
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Date: 2017.05.09 17:21:21 -05'00'

Chancellor

Attachments Filed Electronically:

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



Board Order

Title: Approval to Add the UNT Dallas Bachelor of Business Administration Degree with a Major in Business Analytics

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18 - 19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the Bachelor of Business Administration Degree with a major in Business Analytics will prepare students for work in areas that involve statistical analysis, data preparation, data presentation, and database management, and

Whereas, the job market need for the proposed business analytics program is driven by high growth in the number of jobs in the data sciences, and

Whereas, there is a projected 60% shortfall between demand and supply of skilled workers in this field by 2018,

Whereas, the program meets the Standard for Bachelor's and Master's Degree Programs established by the Coordinating Board rules, Section 5-45, Criteria for New Baccalaureate and Master's Degree Programs,

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

1. The proposed Bachelor of Business Administration Degree with a major in Business Analytics and authorizes the Provost and Executive Vice President of Academic Affairs to provide the appropriate notification to the Texas Higher Education Board for final approval.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**Certification Form for New Bachelor's and Master's Programs
Texas Higher Education Coordinating Board**

Directions: An institution shall use this form to request a new bachelor's or master's degree program that meets all criteria for approval in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval;
- (b) the program complies with the *Standards for Bachelor's and Master's Programs*;
- (c) adequate funds are available to cover the costs of the new program;
- (d) new costs during the first five years of the program will not exceed \$2 million;
- (e) the program is a non-engineering program (i.e., not classified under CIP code 14); and
- (f) the program will be offered by a university or health-related institution.

If a new bachelor's or master's program does not meet the criteria above, an institution must submit a request using the *Form for Requesting a New Bachelor's and Master's Degree Program*.

Information: Contact the Division of Academic Quality and Workforce at 512/427-6200 for more information.

Administrative Information

1. **Institution:** University of North Texas at Dallas
2. **Program Name:** Bachelor of Business Administration degree with a major in Business Analytics
3. **Proposed CIP Code:** 52.1399
4. **Number of Required Semester Credit Hours (SCHs)¹:** 120
5. **Administrative Unit:** School of Business
6. **Delivery Mode:** Traditional
7. **Implementation Date:** Fall 2018
8. **Contact Person:**
 - Name: Theodore Larson
 - Title: Lecturer, Information Systems
 - E-mail: Theodore.Larson@untDallas.edu
 - Phone: 972-338-1825

¹ Bachelor's degrees should not exceed 120 SCH per Board rule 5.44 (a) (3). Those that exceed 120 SCH must provide detailed documentation describing the compelling academic reason for the number of required hours, such as programmatic accreditation requirements, statutory requirements, or licensure/certification requirements that cannot be met without exceeding the 120-hour limit.

Signature Page

I hereby certify that all of the following criteria have been met in accordance with the procedures outlined in Coordinating Board Rules, Chapter 5, Subchapter C, Section 5.44:

- (a) The program has institutional and governing board approval.
- (b) The program complies with the *Standard's for New Bachelor's and Master's Programs*.
- (c) Adequate funds are available to cover the costs of the new program.
- (d) New costs during the first five years of the program will not exceed \$2 million.
- (e) The program is a non-engineering program (i.e., not classified under CIP code 14).
- (f) The program will be offered by a university or health-related institution.

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

Chief Executive Officer

Date

I hereby certify that the Board of Regents has approved this program.

Date of Board of Regents approval: _____

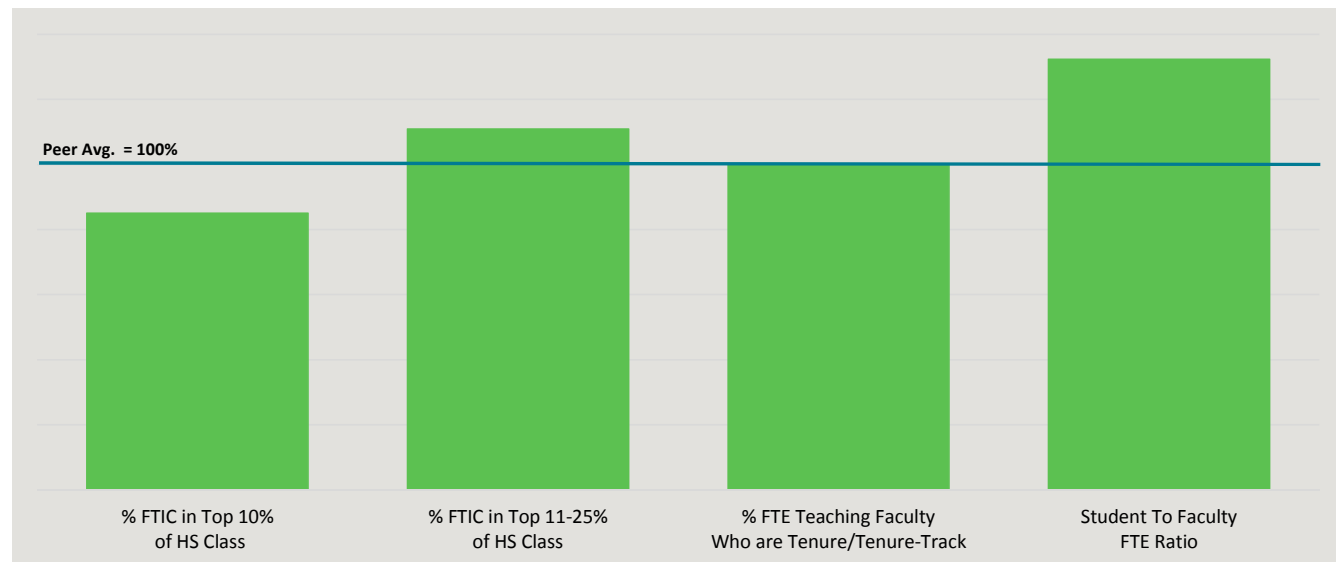
Board of Regents (or Designee)

Date

Academic Quality Dashboard



	% FTIC in Top 10% of HS Class	% FTIC in Top 11-25% of HS Class	% FTE Teaching Faculty Who are Tenure/Tenure-Track	Student To Faculty FTE Ratio
Current Year Data Available - % of Peer Avg.	85.0%	110.9%	100.1%	132.3%
UNT % Change in 1 Year	↓5.6%	↑0.7%	↓0.9%	↑6.9%
UNT % Change in 2 Years	↑2.3%	↑3.0%	↓12.0%	↑29.2%

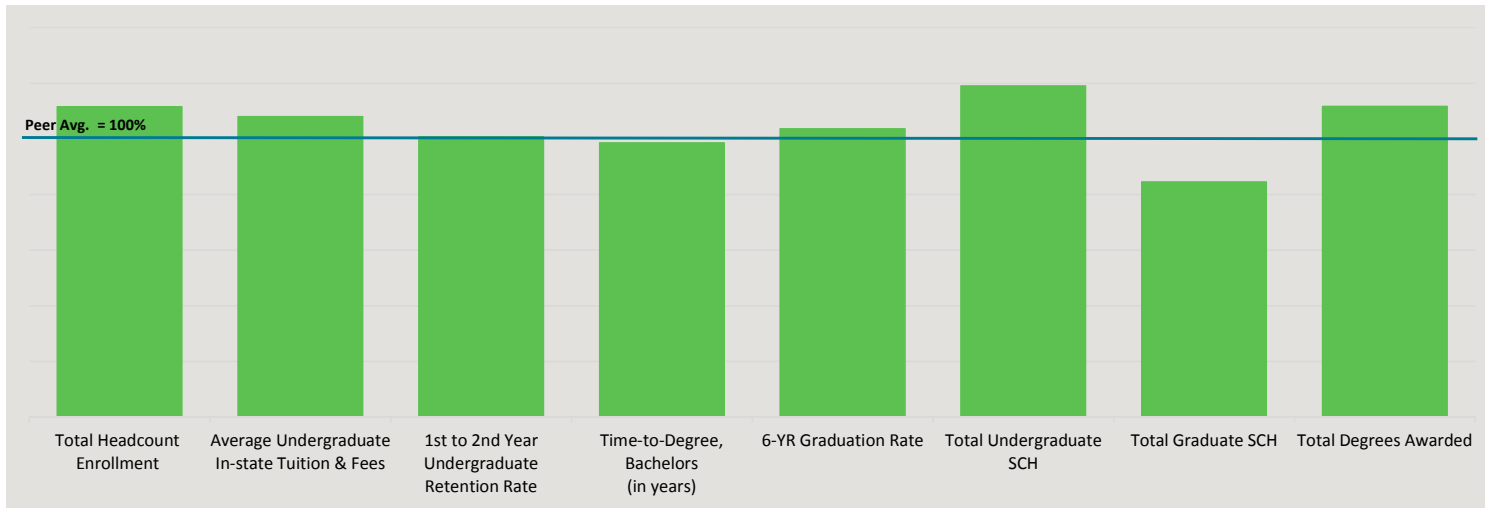


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Student Access & Success Dashboard



	Total Headcount Enrollment	Average Undergraduate In-state Tuition & Fees	1st to 2nd Year Undergraduate Retention Rate	Time-to-Degree, Bachelors (in years)	6-YR Graduation Rate	Total Undergraduate SCH	Total Graduate SCH	Total Degrees Awarded
Current Year Data Available - % of Peer Avg.	111.6%	108.0%	100.8%	98.6%	103.6%	119.0%	84.5%	111.7%
UNT % Change in 1 Year	↑ 2.2%	↑ 4.1%	↑ 1.4%	↓ 2.0%	↑ 1.4%	↑ 2.1%	↑ 1.1%	↑ 5.8%
UNT % Change in 2 Years	↑ 5.0%	↑ 8.4%	↑ 2.7%	↓ 3.8%	↑ 2.8%	↑ 6.0%	↑ 6.2%	↑ 6.5%

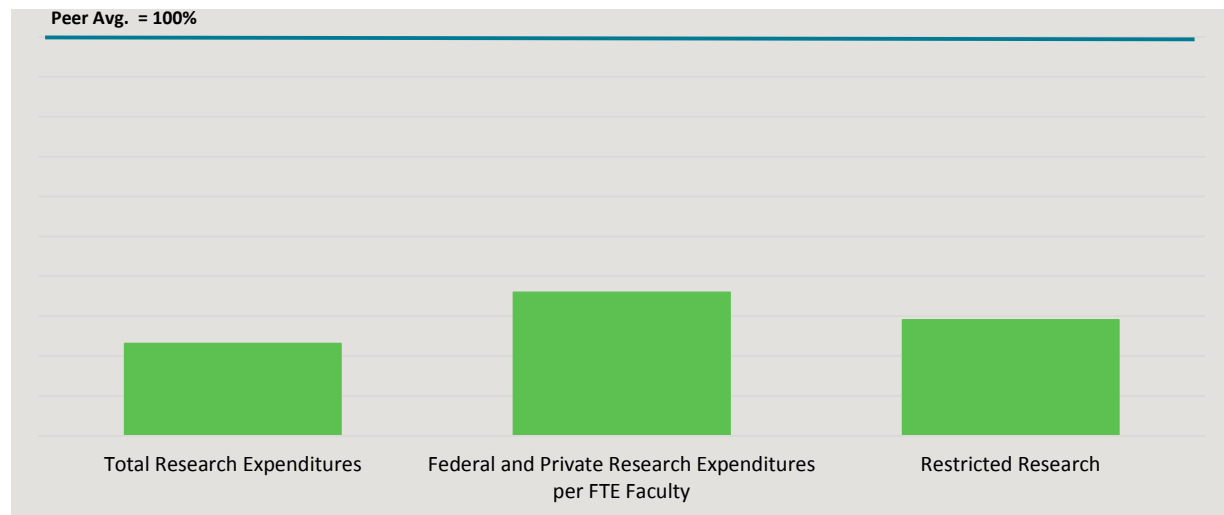


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Research Dashboard



	Total Research Expenditures	Federal and Private Research Expenditures per FTE Faculty	Restricted Research
Current Year Data Available - % of Peer Avg.	23.1%	35.9%	29.0%
UNT % Change in 1 Year	↓21.9%	↓13.7%	↓19.8%
UNT % Change in 2 Years	↓22.5%	↑10.6%	↓26.3%

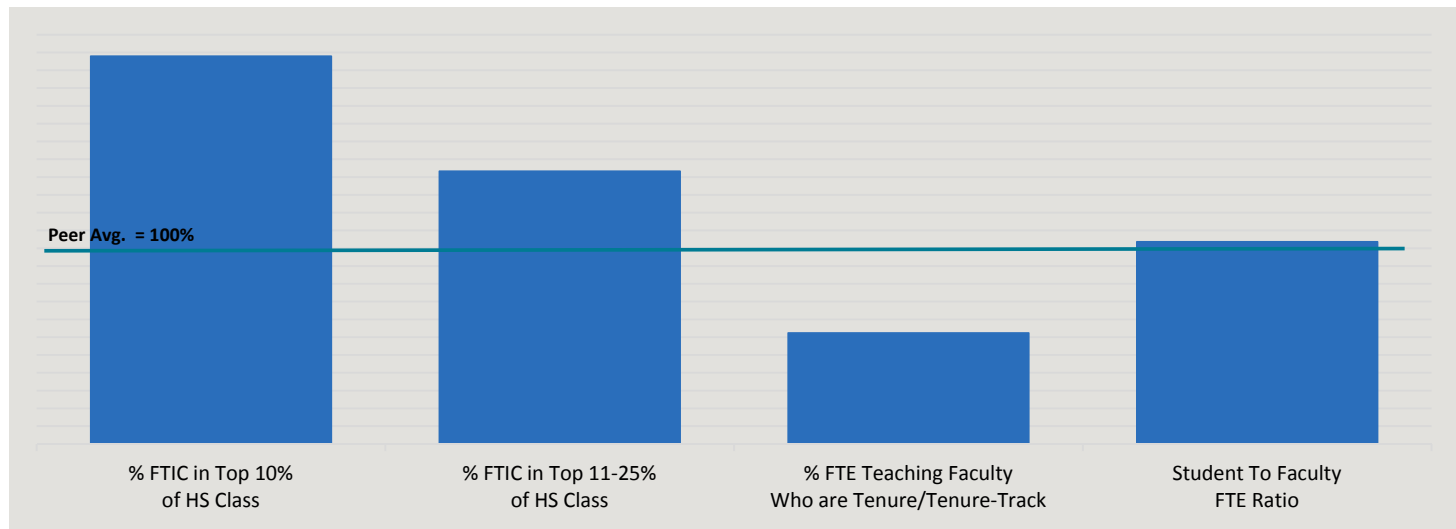


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Academic Quality Dashboard



	% FTIC in Top 10% of HS Class	% FTIC in Top 11-25% of HS Class	% FTE Teaching Faculty Who are Tenure/Tenure-Track	Student To Faculty FTE Ratio
Current Year Data Available - % of Peer Avg.	217.8%	153.2%	62.3%	113.6%
UNTD % Change in 1 Year	↑3.5%	↓3.6%	↓15.3%	0.0%
UNTD % Change in 2 Years	↑76.3%	↓12.1%	↓45.4%	↑11.1%

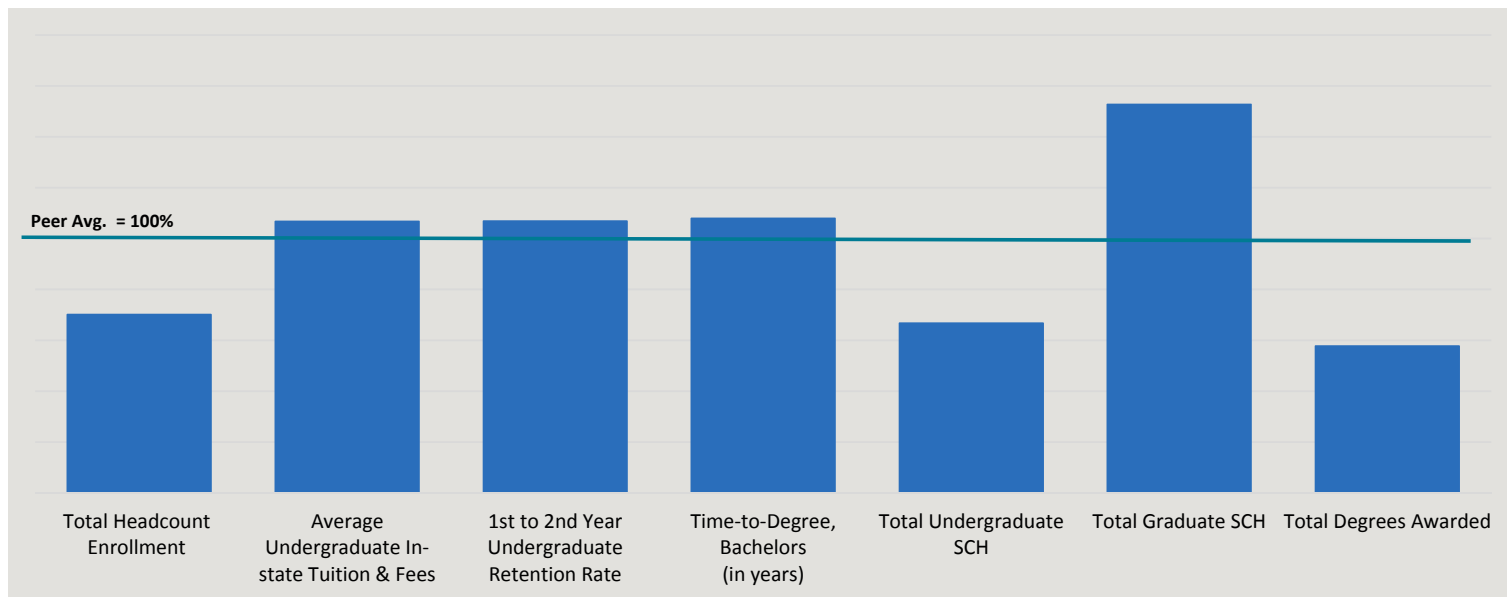


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Student Access & Success Dashboard



	Total Headcount Enrollment	Average Undergraduate In-state Tuition & Fees	1st to 2nd Year Undergraduate Retention Rate	Time-to-Degree, Bachelors (in years)	Total Undergraduate SCH	Total Graduate SCH	Total Degrees Awarded
Current Year Data Available - % of Peer Avg.	70.1%	106.7%	106.8%	107.9%	66.7%	152.7%	57.7%
UNTD % Change in 1 Year	↑21.8%	0%	↓4.1%	↑1.6%	↑20.3%	↑37.3%	↑19.4%
UNTD % Change in 2 Years	↑17.7%	↓0.2%	↑24.2%	↑1.6%	↑29.8%	↑324.8%	↑19.4%

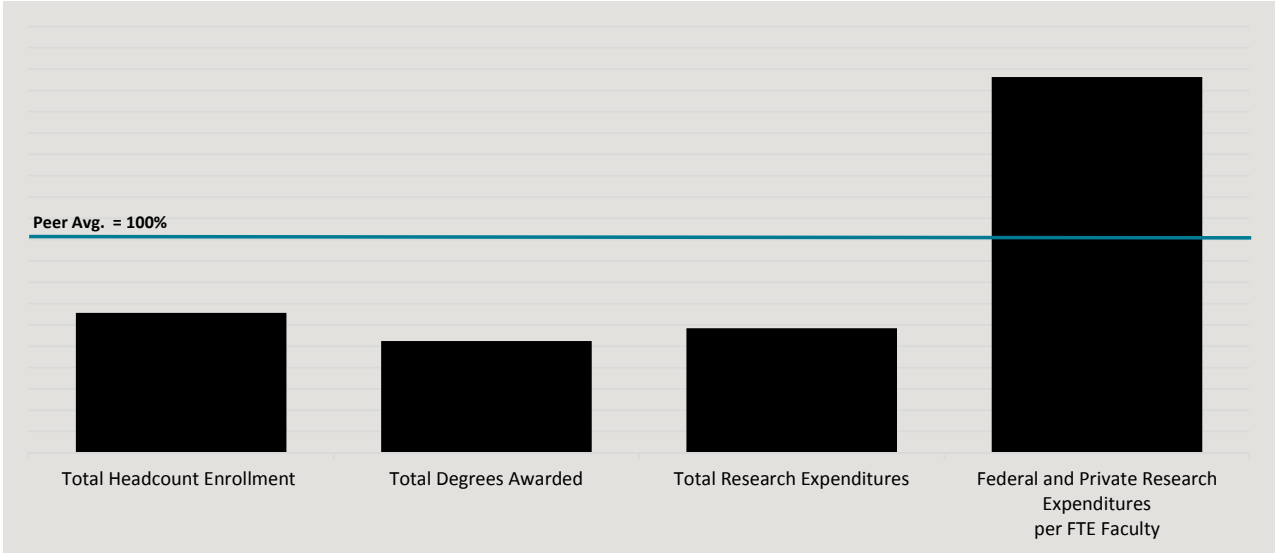


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

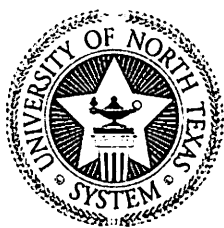
Student Access & Success and Research Dashboard



	Total Headcount Enrollment	Total Degrees Awarded	Total Research Expenditures	Federal and Private Research Expenditures per FTE Faculty
Current Year Data Available - % of Peer Avg.	65.7%	52.5%	58.5%	176.4%
UNTHSC % Change in 1 Year	↑0.2%	↑7.4%	↑13.6%	↑36.8%
UNTHSC % Change in 2 Years	↑6.2%	↑6.9%	↑13.8%	↑18.3%



Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.



MINUTES

BOARD OF REGENTS Finance and Facilities Committee February 23-24, 2017

Thursday, February 23, 2017

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Thursday, February 23, 2017, in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas, with the following members in attendance: Regents Rusty Reid, Don Potts, Glen Whitley, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman Reid at 1:24 p.m. The minutes of the November 17-18, 2016, Finance and Facilities Committee meeting were approved on a 4-0 vote following a motion by Regent Glen Whitley, seconded by Regent Don Potts. The **Committee Charter and Annual Schedule** were reviewed. There were no comments or changes made.

The Committee's first briefing was a **UNT Dallas Master Plan Update**, which was given by Vice Chancellor for Facilities Planning and Construction James Maguire and UNT Dallas President Bob Mong.

Vice Chancellor for Finance Janet Waldron gave an **Overview of Finance Briefings** that would be given that afternoon.

The next briefing was the **Quarterly Budget Report** presented by UNT System Budget Director Jim Gross.

Luke Lybrand, Treasury Manager for the UNT System, and James Verfurth, a UNT student, briefed the Committee on the **Recent Bond Sale**.

The Committee then received a **Treasury and Debt Update**, given by UNT System Associate Vice Chancellor for Treasury.

The final briefing of the afternoon informed the Committee about the complexity and variety of UNT System Shared Services software application. **ITSS Key Software Applications** was delivered by Kem Marcum, UNT System ERP Application Development Director.

There being no further business, the Committee meeting recessed at 4:06 p.m. until Friday, February 24, 2017, at approximately 9:20 a.m. at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas.

Friday, February 24, 2017

The Finance and Facilities Committee of the University of North Texas System Board of Regents convened on Friday, February 24, 2017, at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas with the following Regents in attendance: Regents Rusty Reid, Don Potts, Glen Whitley, and Laura Wright.

There being a quorum present the meeting was called to order by Committee Chairman Reid at 9:06 a.m. The Committee had six action items to consider. The first action item was presented by UNT System Vice Chancellor James Maguire.

2017-11 UNTS Authorization to Amend the UNTS FY17 Capital Improvement Plan to Add a New Eagle Point Lot and to Modify the Project Scope and Budget for the Track and Field Stadium at UNT

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

UNT Vice President for Finance and Administration Bob Brown presented the next action item.

2017-12 UNTS Procurement of External Services for Grants Systems Implementation

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

UNT Health Science Center Chief Financial Officer Greg Anderson presented the next action item.

2017-13 UNTHSC Approval of Affiliated Entity Agreement between the University of North Texas Health Science Center and UNTHSC Foundation

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

The next action item was also presented by Greg Anderson.

2017-14 UNTHSC Approval of UNTHSC Professional Medical Malpractice Self-Insurance Plan Experience Dividend

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

UNT Dallas Chief Financial Officer Dan Edelman presented the next two action items.

2017-15 UNTD UNT Dallas College of Law FY18 and FY19 Tuition Increase

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

2017-16 UNTD UNT Dallas Residence Hall Fees

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

There being no further business, the Committee meeting adjourned at 9:16 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: March 9, 2017



MINUTES
BOARD OF REGENTS
Finance and Facilities Committee
May 1, 2017

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Monday, May 1, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee 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 Rusty Reid, at 4:20 p.m.

James Mauldin, UNTS Associate Vice Chancellor for Treasury, briefed the Committee on **System Regulation 08.200, Investment of System Funds**.

There being no further business, Regent Potts made a motion for adjournment, which Regent Whitley seconded. The motion was approved and the Finance and Facilities Committee meeting adjourned at 4:40 p.m.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: May 8, 2017

UNT Health Science Center Campus Master Plan Update

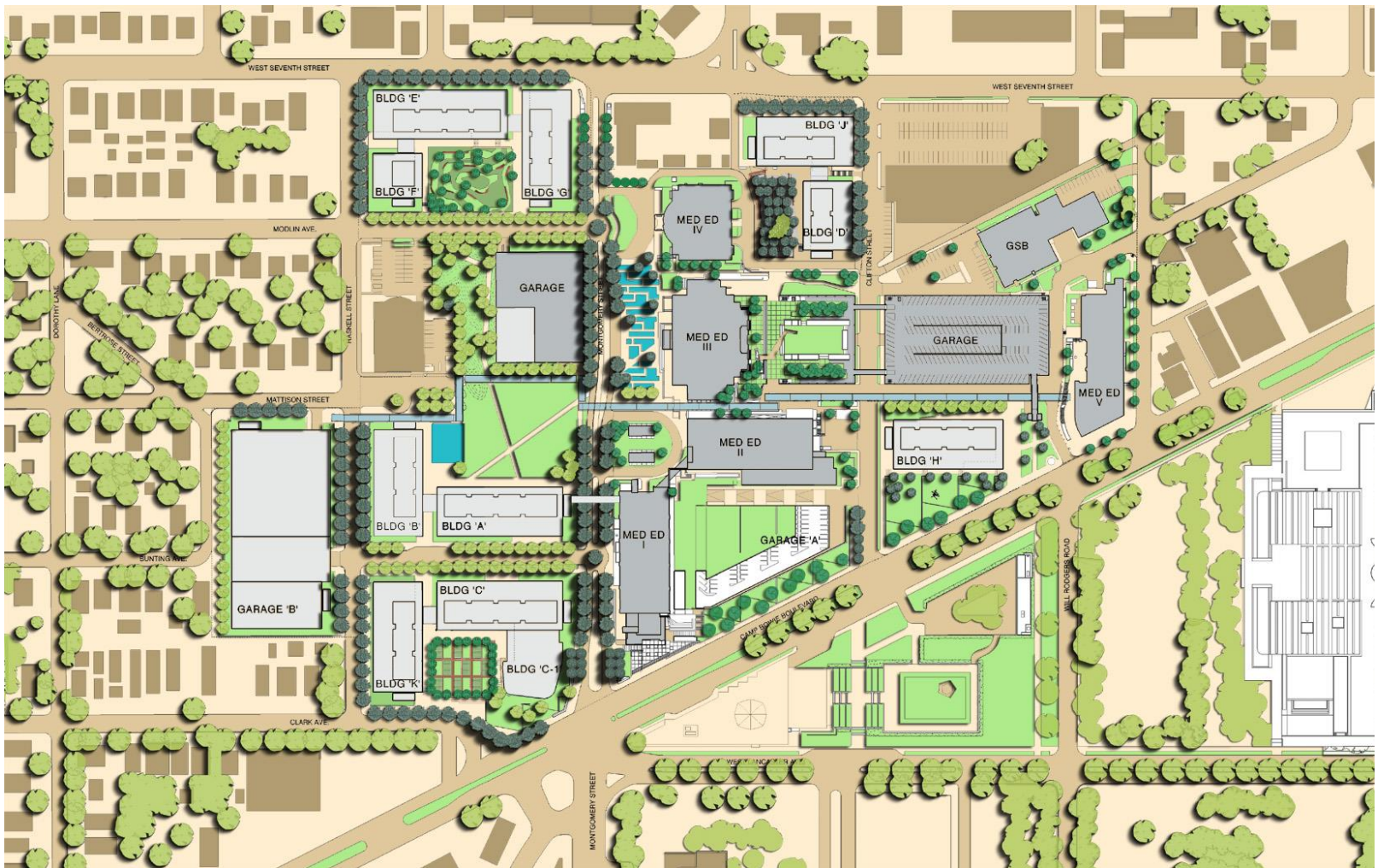
UNT System Board of Regents

Presented by:

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

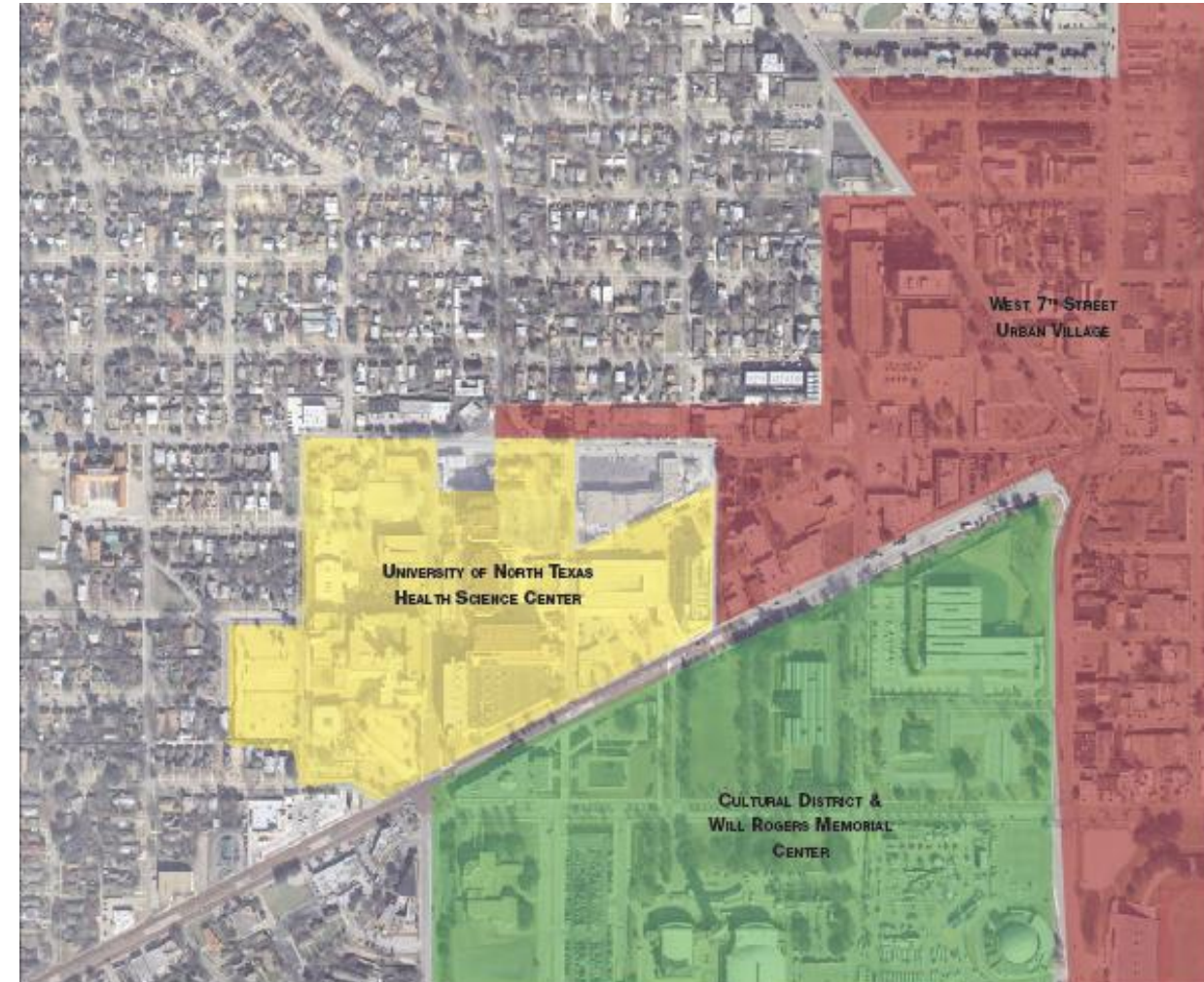
May 18-19, 2017

Campus Master Plan Update



UNT HSC Context

- 33 acres west of downtown Fort Worth
- Fall 2016 Enrollment of 2,366
- Current Graduate Colleges
 - Texas College of Osteopathic Medicine
 - Graduate School of Biomedical Sciences
 - School of Public Health
 - School of Health Professions
 - UNT System College of Pharmacy
 - Planning underway TCU-UNTHSC School of Medicine

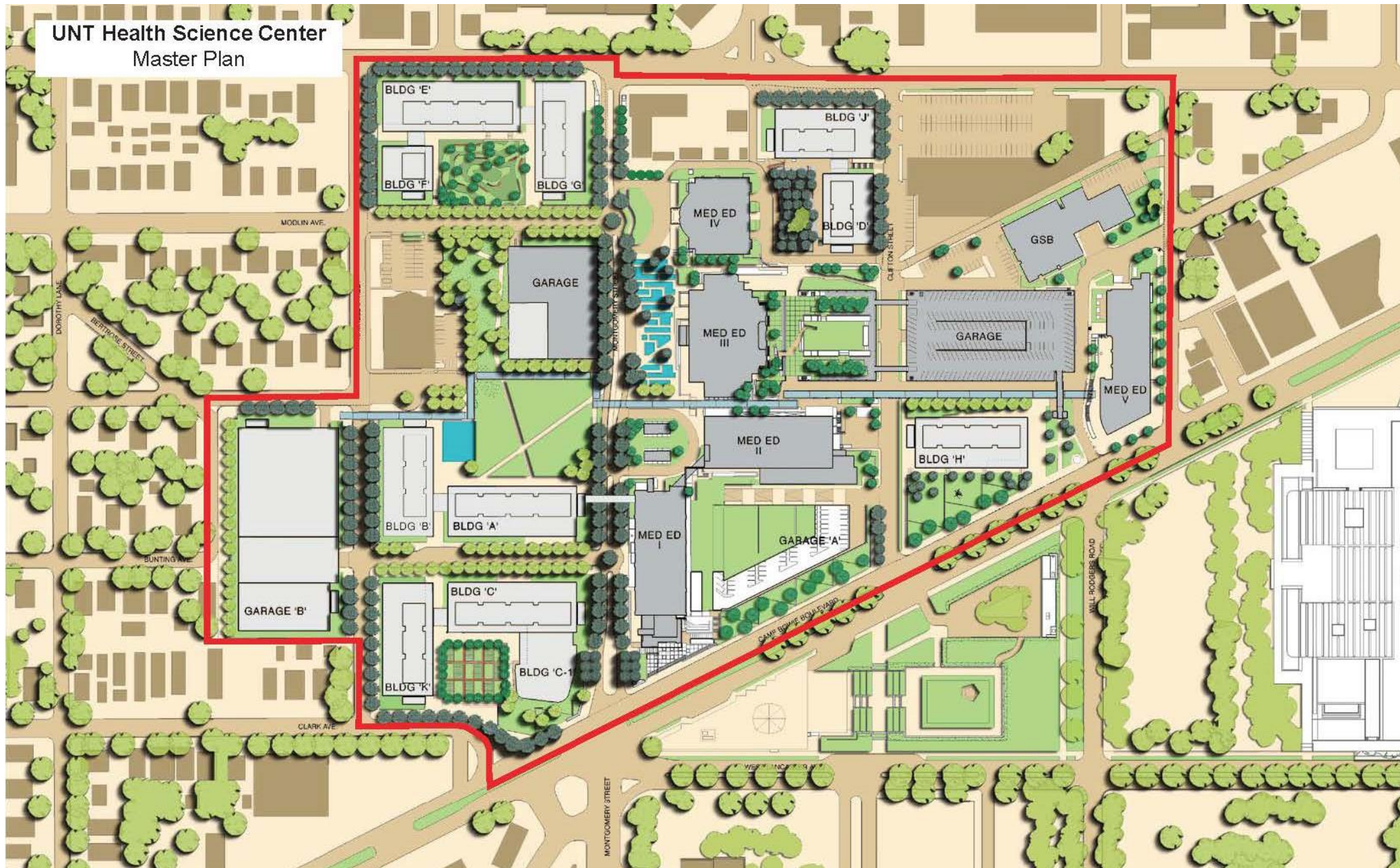


Campus Master Plan Principles

- Aligns the long term physical development with the campus strategic and academic plans
- Creates community and supports its neighbors
- Encourages linkages between outdoor spaces
- Supports responsible stewardship of natural resources
- Creates a clear campus identity

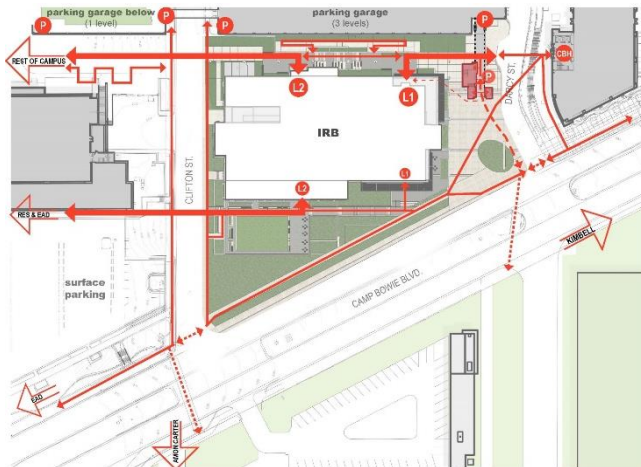


UNT Health Science Center
Master Plan



Interdisciplinary Research Building (IRB)

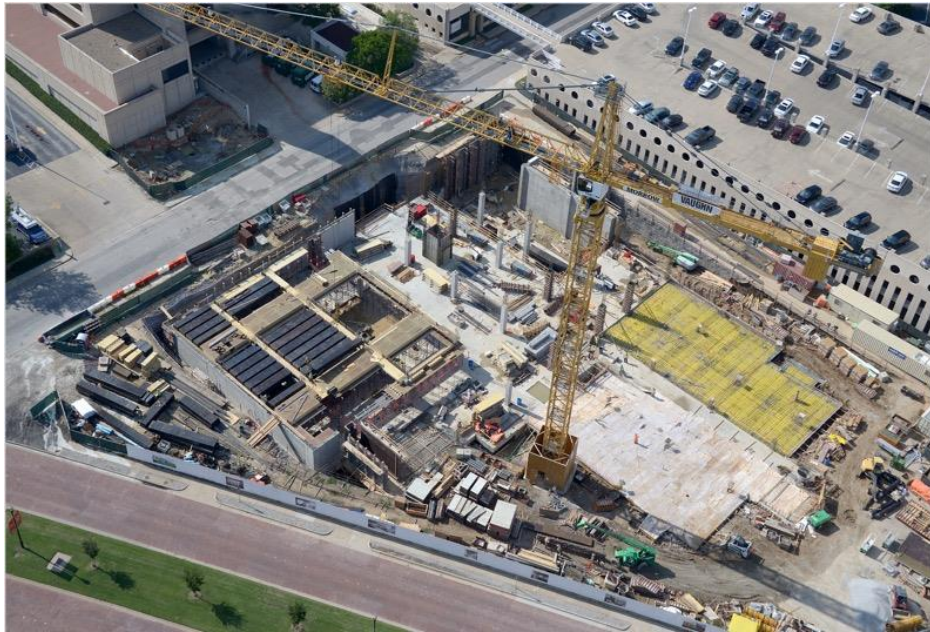
- Approximately 173,000 GSF
- Project Budget: \$121,000,000
- Program Space:
 - UNT System College of Pharmacy
 - North Texas Eye Research Institute
 - School of Medicine



Interdisciplinary Research Building (IRB)



Interdisciplinary Research Building (IRB)



Campus Master Plan Update

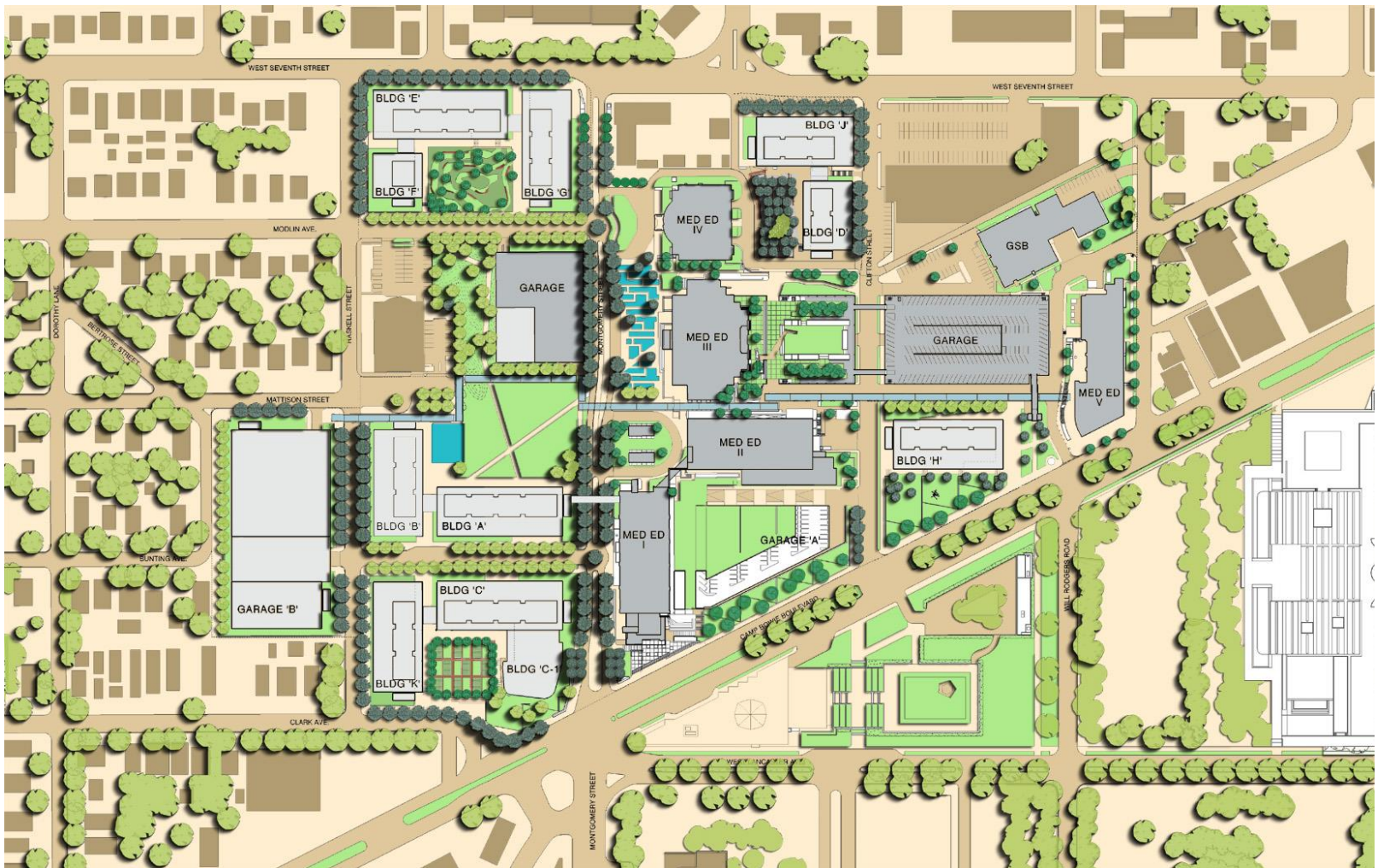
- Schedule

- April/May 2017 Firm Selection & Procurement
- February 2018 Target Completion Date

- The Campus Master Plan will serve as a guide for campus growth and development

- Develop recommendations and implementation plan for short, medium, and long-term actions for improvements to existing and proposed new facilities to support academic programs and anticipated campus growth
- Develop architectural and landscape design guidelines and standards which develop a cohesive character and quality between buildings, streets, landscape and open spaces
- Develop guidelines and strategies for pedestrian circulation, parking and transportation
- Develop a detailed analysis and planning for campus utilities, systems and related infrastructure

Campus Master Plan Update



UNT Health Science Center Campus Master Plan Update

UNT System Board of Regents

Presented by:

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

May 18-19, 2017

Emergency Planning, Readiness & Continuity of Operations

Discussion Topics

- Emergency Management Program Overview
- Planning and Training
- Continuity of Operations

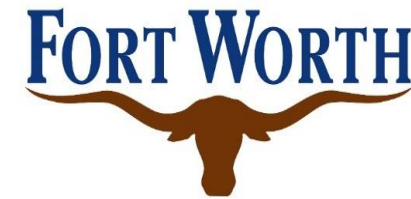
Emergency Management Program Partners



Internal Partners

- Senior Management
- Legal and Compliance
- Campus Police
- University Communications
- Student Affairs
- Facilities
- Housing and Dining Services
- Parking and Transportation
- Athletics
- Study Abroad
- Information Technology Services

External Partners



Emergency Management Program

Emergency Operations Center – Daily Operations

Weather Monitoring and Notification

International Risk

Planning and Training

Fire/Life Safety

Outreach and Education

Continuity of Operations Planning



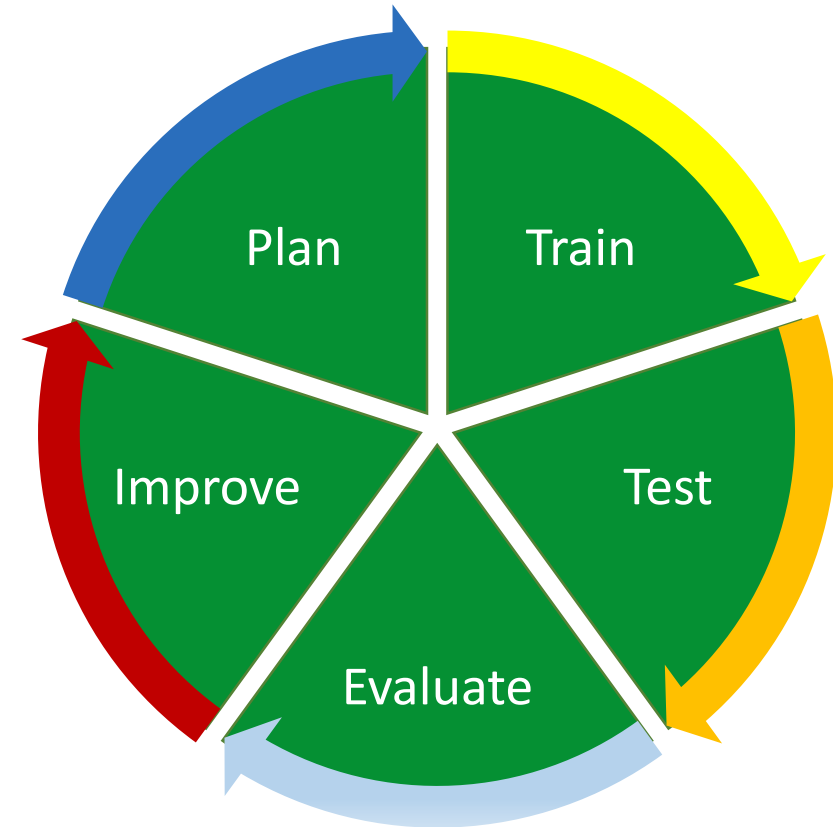
Plans

- Emergency Management Plans
- Hazard/Event Specific Protocols
- Continuity of Operations Plan
- Building Specific Plans

Training and Exercises

- Outreach and Education
- Drills
- Table Top Exercises
- Full Scale Exercises

Continuous Improvement



Planning and Training Focus (FY17)

Emergency Operations Center

- **16 Activations**
- Football Games
- Large Scale Planned Events
- Mass Gatherings
- Severe Weather

2017 Full Scale Exercise

- Mass Casualty Response
- Operational Communication
- Operational Coordination
- Public Information and Warning
- Housing

Table Top Exercises

- **22 Table Top Exercises**
- Tornado
- Hazardous Material
- Active Shooter
- Structure Fire
- Major Protest/Civil Unrest
- Bomb Threat
- Utility Failure
- International Incident (Study Abroad)

Continuity of Operations

- Public Safety & Security
- Housing & Dining Services
- Research
- Academic Instruction
- Public Information
- Housing/Dining Services
- Student Health
- Facilities Maintenance
- Enrollment
 - Registrar
 - Financial Aid
 - Admissions
- ITSS

Planning and Training



Continuity of Operations

- Contingency plans to minimize operational impact during and after an incident
- Submitted to State Office of Risk Management (SORM)
- Plans meets SORM standards
- Internal review – identified areas for improvement

UNT Dallas/System: Hiring FTE to lead emergency management and continuity program development

UNTHSC: Implement Emergency Management Strategic Plan, 2017 – 2021

UNT: Implement multi-year improvement plan

End of Presentation



FY16 Consolidated Annual Financial Report Highlights

Agenda

- FY2016 Financial Supporting Work
- Sample of FY2016 Financial Reports
- FY2017 Continuing Projects
- Statement of Net Position
- Statement of Revenues, Expenses, and Changes in Net Position
- Deeper Look at Revenues and Expenses
- FY2017 New Projects

- Integrated component and consolidated AFR processes with new Chart of Accounts
- Developed consistent certification and reporting processes for components
 - Coordinated checklist and certification through component controllers & CFOs
 - Cognos Reporting
 - Statement of Net Position
 - Statement of Revenues, Expenses, and Changes in Net Position
 - Matrix of Operating Expenses
 - nVision Reporting
 - Statement of Cash Flows
 - Net Investment in Capital Asset reconciliation
- Accelerated audit from FY2015 to FY2016 by three months

Sample of FY2016 Financial Reports

- Consolidated AFR
 - Audited & State Versions
 - GT PBC Preparation
 - 178 PBC Requests
 - 157 Subsequent Requests
 - Over 1,000 Files Provided
- Component AFRs
- IPEDS Report (Federal)
- U.S. News & World Report
- IFRS Report (State)
- NCAA Agreed Upon Procedures
- Workers' Compensation Assessment - Payroll Report
- Sources & Uses (State)
 - Basis of Information in the THECB Almanac
- THECB Texas Public University Expenditure Study
- Designated Tuition Report for Legislature
- Peterson's Annual Survey of Undergraduate Institutions

- Continuing Projects
 - Accelerate component and consolidated AFR to February
 - Review and correct data for the new Chart of Accounts
 - Develop consistent reporting templates for all components
 - Create quarterly financial reports for management
 - Burst key management reports out of Cognos

Statement of Net Position

For the Year Ended August 31, 2016

Total Assets & Deferred Outflows



- Increased to \$1.83B from \$1.75B
- \$26.8M increase in legislative appropriation receivables
- \$20.7M increase in net capital assets
- \$10.7M increase in non-current investments

	2016	2015	% Increase (Decrease)
Assets and Deferred Outflows of Resources			
Current Assets	\$ 544,986	\$ 498,910	9.2%
Non-Current Assets:			
Capital Assets, Net	1,025,004	1,004,303	2.1%
Other Non-Current Assets	233,585	223,979	4.3%
Deferred Outflows of Resources	25,854	22,298	15.9%
Total Assets and Deferred Outflows of Resources	\$ 1,829,429	\$ 1,749,490	4.6%

Statement of Net Position

For the Year Ended August 31, 2016

	2016	2015	% Increase (Decrease)
Liabilities and Deferred Inflows of Resources			
Current Liabilities	\$ 407,949	\$ 376,985	8.2%
Non-Current Liabilities:			
Bonded Indebtedness	514,046	362,782	41.7%
Other Non-Current Liabilities	142,377	282,173	(49.5%)
Deferred Inflows of Resources	22,123	32,034	(30.9%)
Total Liabilities and Deferred Inflows of Resources	\$ 1,086,495	\$ 1,053,974	3.1%

Total Liabilities &
Deferred Inflows



- Increased to \$1.09B from \$1.05B
- \$22.1M increase in current notes and bonds payable
- \$19.3M increase in unearned revenue
- \$12.6M decrease in funds held for others

Statement of Net Position

For the Year Ended August 31, 2016





Net Position



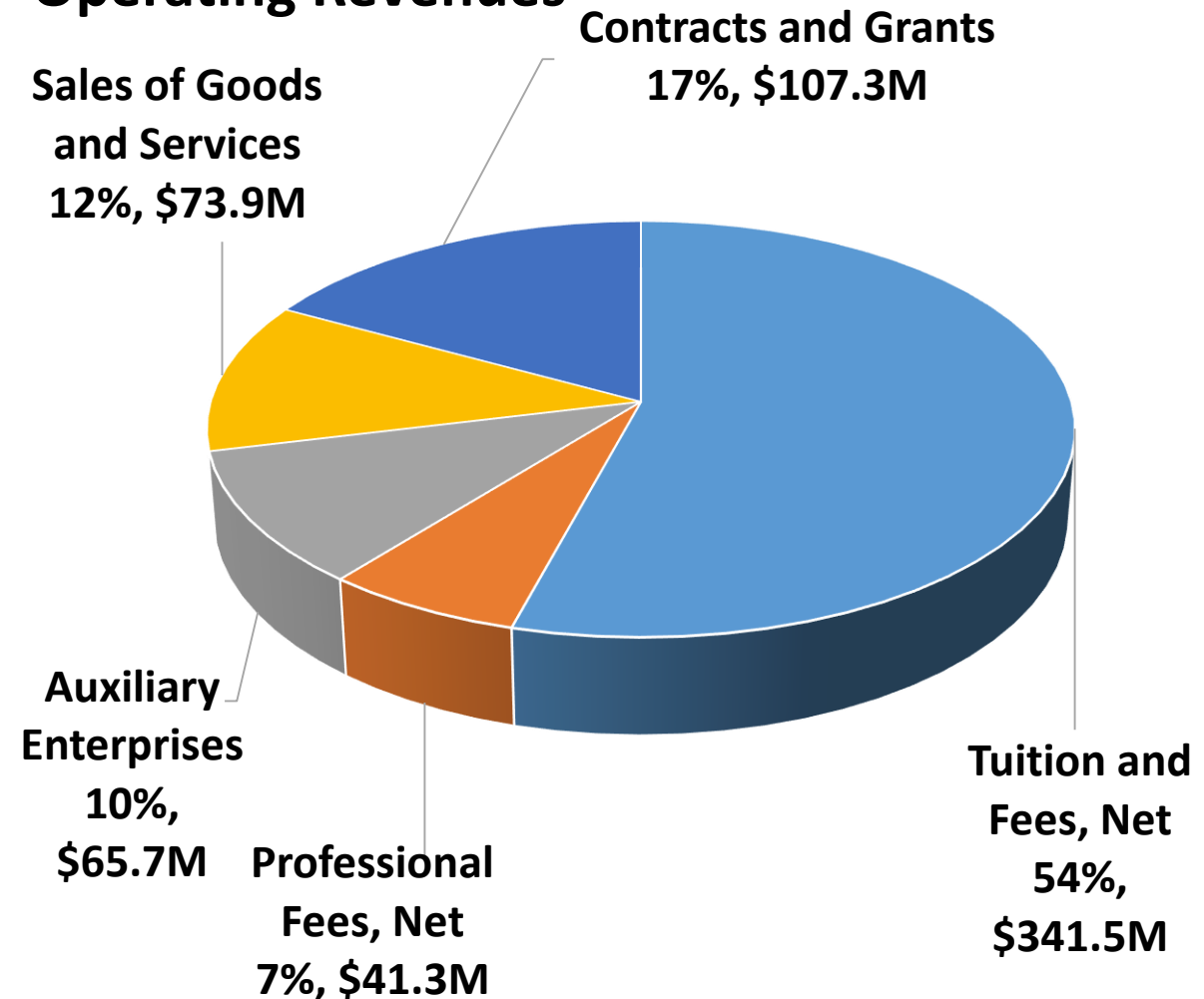
- \$47M increase in net position
- \$7.9M increase in net investment in capital assets
- \$8.6M increase in restricted net position
- \$30.9M increase in unrestricted net position

	2016	2015	% Increase (Decrease)
Net Position			
Net Investment in Capital Assets	\$ 465,252	\$ 457,329	1.7%
Restricted:			
Funds Held as Permanent Investments:			
Non-Expendable	46,960	45,615	2.9%
Expendable	18,161	16,475	10.2%
Other Restricted	39,135	33,550	16.6%
Total Restricted	104,256	95,640	9.0%
Unrestricted	173,426	142,547	21.7%
Total Net Position	\$ 742,934	\$ 695,516	6.8%
Total Liabilities and Net Position	\$ 1,829,429	\$ 1,749,490	4.6%

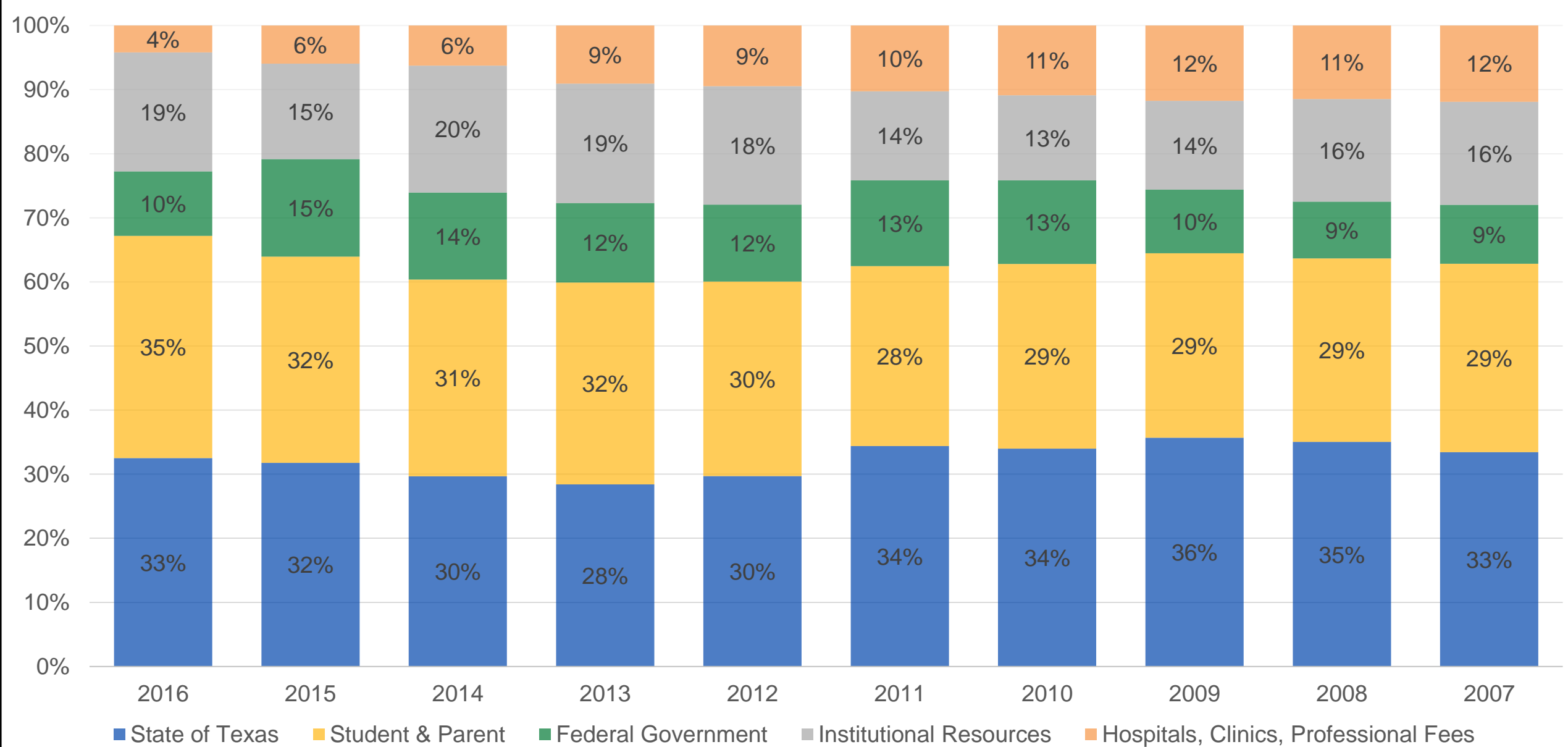
Statement of Revenues, Expenses, and Changes in Net Position For the Year Ended August 31, 2016

<ul style="list-style-type: none"> Operating revenues increased by 5% 		\$31.7M
<ul style="list-style-type: none"> Operating expenses increased by 5% 		\$46.9M
<ul style="list-style-type: none"> Net increase in fair value of investments was \$10.7M due to favorable market conditions This partially offset the prior year net decrease of \$21M 		\$31.7M
<ul style="list-style-type: none"> State appropriation revenue (legislative, additional, and capital appropriations) increased by 7% over prior year. 		\$19.5M

Operating Revenues

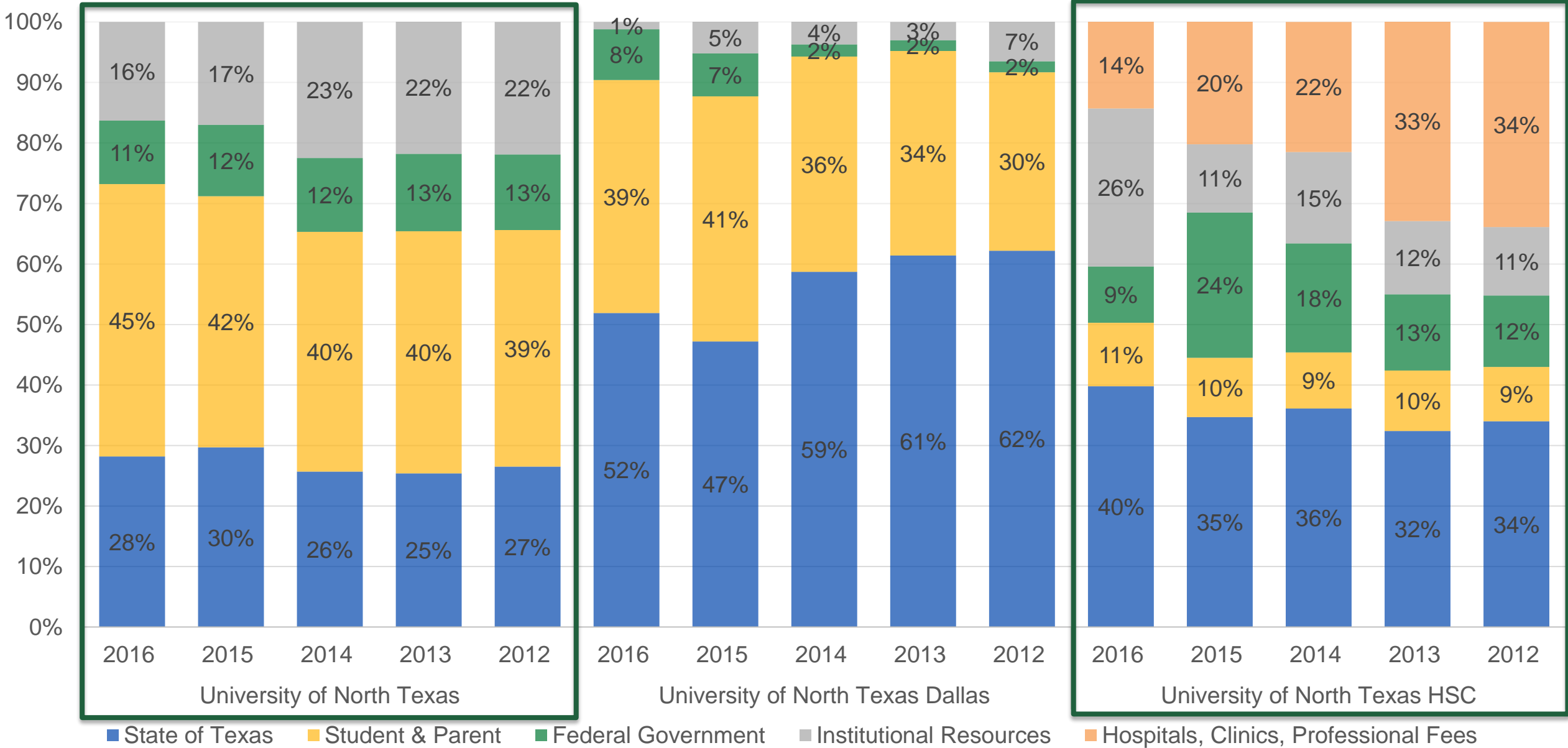


ALL UNITS ACADEMIC COMPONENTS REVENUE SOURCES BY CATEGORY

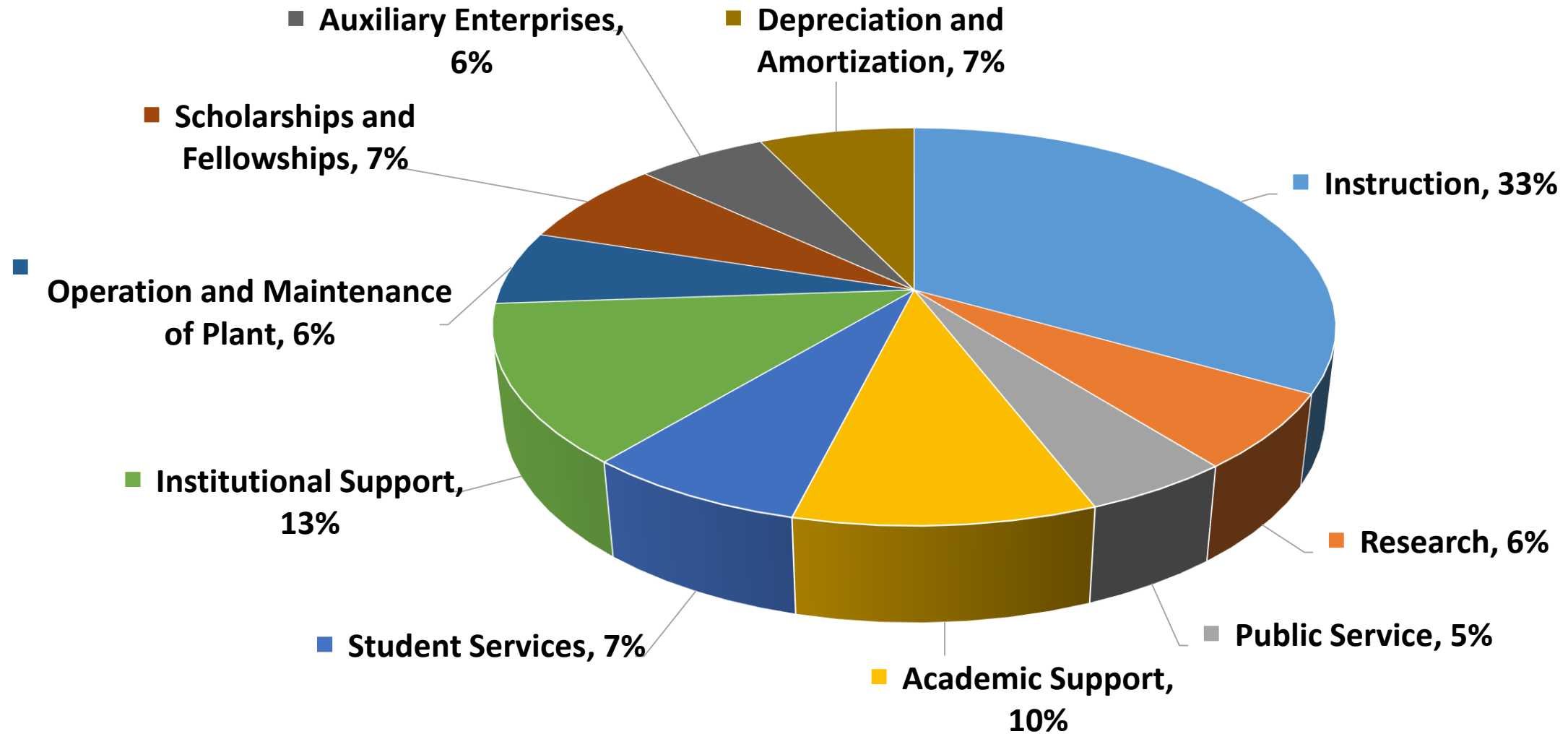


■ State of Texas
 ■ Student & Parent
 ■ Federal Government
 ■ Institutional Resources
 ■ Hospitals, Clinics, Professional Fees

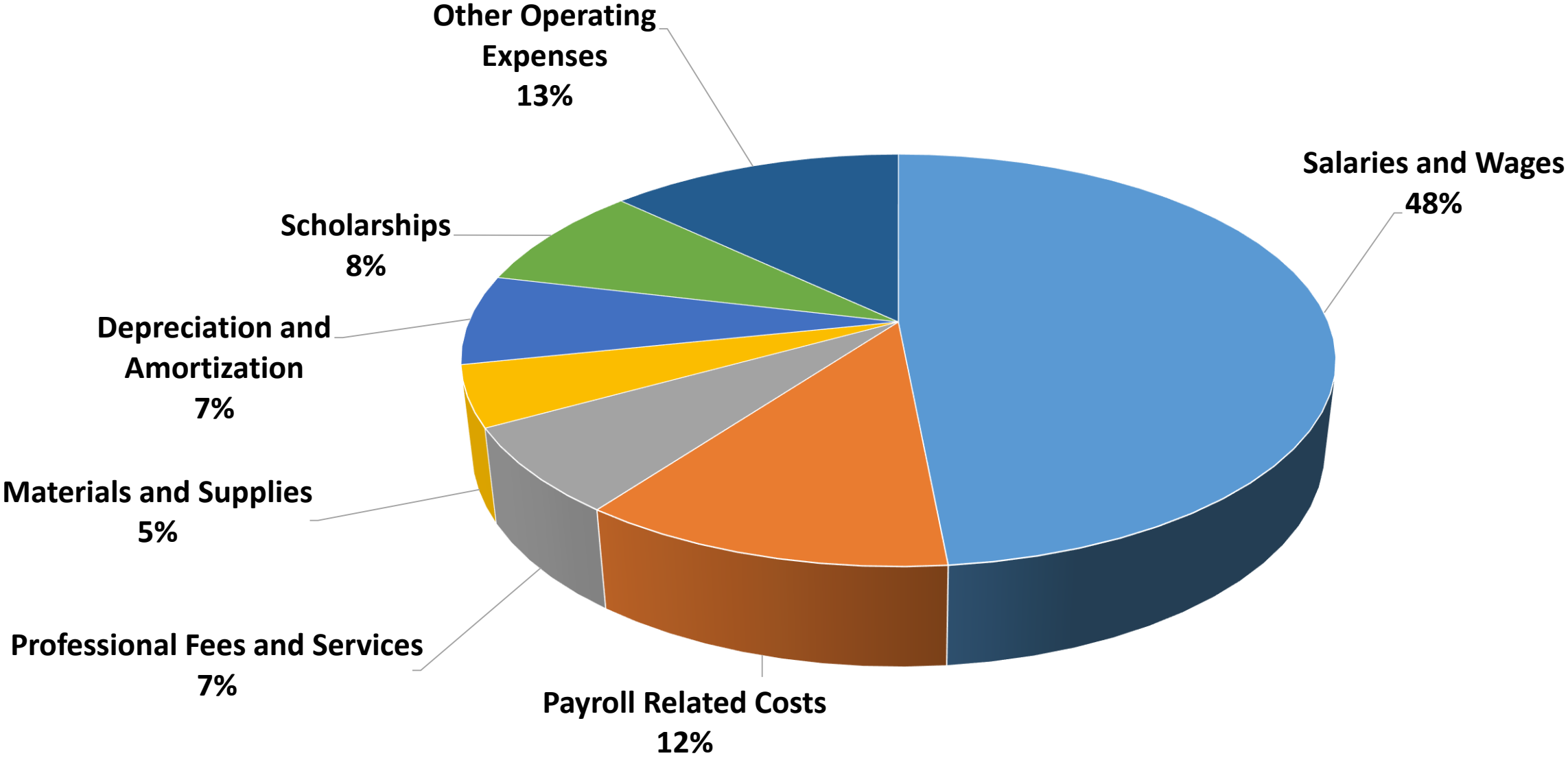
REVENUE SOURCES BY CATEGORY & ACADEMIC COMPONENT



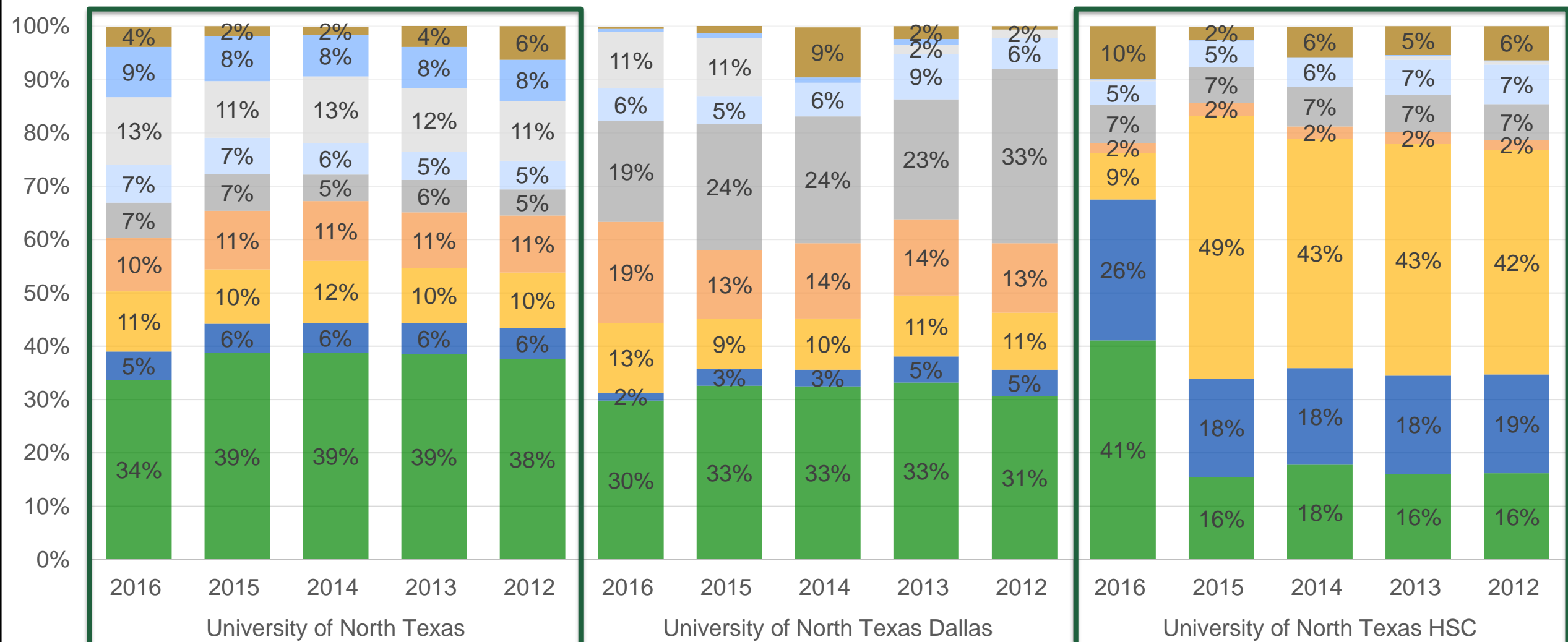
Operating Expenses – NACUBO Function



Operating Expenses - Natural Classification



EXPENSES BY NACUBO CATEGORY & ACADEMIC COMPONENT



- Instruction
- Research & Public Service
- Academic Support
- Student Services
- Institutional Support
- Operations & Maintenance of Plant
- Scholarships & Fellowships
- Auxiliary Enterprises
- Other Expenses & Capital Outlay

- Continuing Projects
 - Accelerate component and consolidated AFR to February
 - Review and correct data for the new Chart of Accounts
 - Develop consistent reporting templates for all components
 - Create quarterly financial reports for management
 - Burst key management reports out of Cognos
- New Projects
 - Improve account reconciliation tracking with PeopleSoft enhancements
 - Increase automated reporting tools for AFRs and PBCs
 - Automation of Travel and Expense



Title: Approval of Broker/Dealer List for Fiscal Year 2018

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."

The system desires to update the list of firms represented in order to reflect mergers and acquisitions, increase competition, and increase local participation. The selection of the firms represented by the attached list is based on reputation in the industry, applicable licenses, and Broker Check by FINRA. Broker/Dealers on the provided list review the Investment Policy and any amendments as provided by System staff and provide a certification that they are registered under the rules of the National Association of Securities Dealers, have received and reviewed the Investment Policy and certify that they will use best efforts to not offer investments other than those authorized in the Investment Policy.

Financial Analysis/History:

There is no cost associated with this action.

**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: 2017.05.08 09:38:31 -05'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.05.09 16:07:43 -05'00'

Vice Chancellor/General Counsel

Schedule:

Approval would be effective immediately.

Recommendation:

The Associate Vice Chancellor for Treasury and Reporting 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
and Reporting

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: 2017.05.09 17:22:18 -05'00'

Chancellor

Attachments Filed Electronically:

- List of Recommended Broker/Dealers



Board Order

Title: Approval of Broker/Dealer List for Fiscal Year 2018

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, 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

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

May, 2017

Firm	Office Location
Wells Fargo Securities, LLC	Dallas, TX
Mizuho Securities USA, Inc.	New York, NY
Raymond James Financial, Inc.	Fort Worth, TX
FTN Financial	Houston, TX
Rice Financial Products Company	New York, NY
BOK Financial Services, Inc.	Dallas, TX
Stifel Investment Services	Dallas, TX



Title: Amendment to Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B

Background:

November 18, 2016 the Board of Regents approved the Twenty-Fourth Supplemental Resolution to the Master Resolution establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B and delegated authority to the Vice Chancellor for Finance to issue Extendible Commercial Paper "ECP" notes. February 2, 2017 the ECP Program closed and has provided interim financing for the System's capital projects in the months since closing.

Morgan Stanley & Co. LLC was named in the Twenty-Fourth Supplement to serve as commercial paper dealer for the ECP program. Morgan Stanley as ECP Dealer has advised the Vice Chancellor for Finance for the UNT System that the provision in the Events of Default contained in the Twenty-Fourth Supplement allowing for a grace period in the payment of the principal and interest on the Commercial Paper Notes is restricting the market for the sale of the Commercial Paper Notes.

The UNT System's Financial Advisor and System staff recommend making the changes set forth in the attached amendment to the Resolution. The changes would remove a five day grace period before a failure to pay principal and interest as due would be considered a default. The grace period of five days does not provide a material benefit, considering the ECP program provides a timeframe of 180 to 269 days to roll, retire or refund any extended commercial paper notes. Removal of the grace period is anticipated to improve the marketability of the ECP notes.

Financial Analysis/History:

There is no cost associated with this action. However, the amendments to the Twenty-Fourth Supplement are anticipated to improve the marketability for the ECP notes, which could maintain or improve the rate paid on future ECP notes.

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: 2017.05.08 09:39:11 -05'00'

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: 2017.05.09 16:08:14 -05'00'

Schedule:

Approval would be effective immediately.

Recommendation:

The Associate Vice Chancellor for Treasury and Reporting recommends that the Board of Regents approve the attached Amendment to the Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B.

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury
and Reporting

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: 2017.05.09 17:24:18 -05'00'

Chancellor

Attachments Filed Electronically:

- Amendment to Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B



Board Order

Title: Amendment to Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the University of North Texas System has implemented the University of North Texas System Revenue Financing System Commercial Paper Program, Series B, and

Whereas, the Dealer has advised the Vice Chancellor for Finance that the Events of Default contained in the Twenty-Fourth Supplement allowing a grace period in the payment of the principal and interest on the Commercial Paper Notes is restricting the market for the sale of Series B Commercial Paper Notes, and

Whereas, it is the recommendation of the UNT System's financial advisor and the UNT System finance staff to make the changes set forth in the attached Amendment to the Twenty-Fourth Supplemental Resolution to the Master Resolution, and

Whereas, the UNT System has been advised by its bond counsel that the amendments set forth in the attached Amendment to the Twenty-Fourth Supplemental Resolution to the Master Resolution do not require the consent of the holders of the Commercial Paper Notes,

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

1. The Amendment to the Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**AMENDMENT TO TWENTY-FOURTH SUPPLEMENTAL RESOLUTION
TO THE MASTER RESOLUTION ESTABLISHING THE
UNIVERSITY OF NORTH TEXAS SYSTEM
REVENUE FINANCING SYSTEM
COMMERCIAL PAPER PROGRAM, SERIES B**

WHEREAS, on November 18, 2016, the Board of Regents (the "Board") of the University of North Texas System (the "University System") adopted a **"TWENTY-FOURTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION ESTABLISHING THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM COMMERCIAL PAPER NOTE PROGRAM, SERIES B; AUTHORIZING THE ISSUANCE OF TAX-EXEMPT AND TAXABLE COMMERCIAL PAPER NOTES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (the "Twenty-Fourth Supplement"); and

WHEREAS, Morgan Stanley & Co. LLC was named in the Twenty-Fourth Supplement to serve as commercial paper dealer (the "Dealer") for the commercial paper notes authorized to be sold under the terms of the Twenty-Fourth Supplement (the "Commercial Paper Notes"); and

WHEREAS, the Dealer has advised the Vice Chancellor for Finance for the University System that the Events of Default contained in the Twenty-Fourth Supplement allowing for a grace period in the payment of the principal and interest on the Commercial Paper Notes is restricting the market for the sale of the Commercial Paper Notes; and

WHEREAS, it is the recommendation of the University System's financial advisor and the University System finance staff to make the changes set forth in this Resolution; and

WHEREAS, the University System has been advised by its bond counsel that the amendments set forth in this Resolution do not require the consent of the holders of the Commercial Paper Notes.

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

Section 1. Subsections (a) and (b) of Section 7.01 of the Twenty-Fourth Supplement are hereby amended by deleting the phrase "for five (5) Business Days", as follows:

"Section 7.01. Events of Default. Each of the following events shall constitute and is referred to in this Twenty-Fourth Supplement as an "Event of Default":

(a) a failure by the Board to pay the principal of any Commercial Paper Note ~~for five (5) Business Days~~ after the date the same shall have become due and payable on an Extended Maturity Date;

(b) a failure by the Board to pay any installment of interest on any Commercial Paper Note ~~for five (5) Business Days~~ after the date such interest shall have become due and payable on an Extended Maturity Date or in accordance with Section 2.02(c) hereof;"

Section 2. Upon the adoption of this Resolution to amend the Twenty-Fourth Supplement, the Twenty-Fourth Supplement shall be deemed to be amended in accordance with this Resolution, and the respective rights, duties, and obligations of the Board and all the owners of then outstanding Commercial Paper Notes and all future Commercial Paper Notes shall thereafter be determined, exercised, and enforced under the Master Resolution and the Twenty-Fourth Supplement, as amended.



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

Background:

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

The amended investment policy reflects the Board and management's desire to more effectively manage cash and improve investment returns of the short-term, intermediate and long-term pools by way of the recommendations outlined below.

Significant changes in this investment policy include defining benchmarks for each of the three investment pools and the following:

- Adding an external investment firm as an option in the definition of "Managing Entity"
 - Short-term Pool (STP)
 - Extending maximum maturity from 30 to 90 days and maximum duration from 7 to 30 days
 - Intermediate Investment Pool (IIP)
 - Extending maximum maturity from 5 to 7 years and maximum duration from 2.5 to 3 years
 - Adjusting the suggested range from 30-65% to 15-60% of funds
 - Amending Authorized Investments:
 - Replaced CD's with Asset-backed Securities (ABS)
 - Lowered required rating for agency and municipal bonds from AA to BBB
 - US Agency and GSE backed mortgage securities (MBS) added
 - Bank loans added
 - Corporate bonds rated A or higher added
 - Long-term Pool (LTP)
 - Increasing size of range from a maximum of 50% to 60% of funds
 - Defining and/or clarifying goals and objectives of this pool
 - Asset allocation shifted from 60% growth/30% risk reduction/10% inflation protection to 65/25/10, respectively
 - Adding an annual requirement for investment officers to confirm that no personal business relationships exist with firms offering to transact with the system for investment purposes
-

Financial Analysis/History:

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

**Janet
Waldron**

Digitally signed by Janet Waldron
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System, ou=Vice Chancellor for
Finance,
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Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Texas System, ou=Office of General Counsel,
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Vice Chancellor/General Counsel

Schedule:

Upon Board approval, management shall work to begin full implementation of pool alignments, the selection of fund and investment managers, and the reallocation of investments within appropriate time frames and state laws. An update on progress will be provided at the August and December Board of Regents meetings.

Recommendation:

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

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury
and Reporting

Lee Jackson

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Chancellor

Attachments Filed Electronically:

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



Board Order

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

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, it is recommended that amendments be made to the UNT System Regulation 08.2000, Investment of System Funds, to define benchmarks for each investment pool, and

Whereas, it is recommended that each pool be adjusted to reflect an ongoing effort to provide an appropriate return on excess funds.

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

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

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

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

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

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

08.2003 **Definitions.**

1. Authorized Broker/Dealers. “Authorized Broker/Dealers” means those entities that have been approved as provided herein.
2. Funds. “Funds” is defined by Government Code § 2256.002 and means public funds in the custody of a state agency or local government that:
 - a. are not required by law to be deposited in the state treasury; and
 - b. the investing entity has authority to invest.
3. Funds Subject to Board of Regents Control. “Funds Subject to Board of Regents Control” is defined by Texas Education Code § 51.002 and means:
 - a. student fees of all kinds;
 - b. charges for use of rooms and dormitories;
 - c. receipts from meals, cafes, and cafeterias;
 - d. fees on deposit refundable to students under certain conditions;
 - e. receipts from school athletic activities;
 - f. income from student publications and other student activities;
 - g. receipts from the sale of publication products and miscellaneous supplies and equipment;

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

08.2004

Authority and Governing Statutes. The System's authority to invest funds is established in the Public Funds Investment Act (Texas Government Code, Chapter 2256), Section 51.0031 of the Texas Education Code, and Rule 10.100 of the Rules of the Board of Regents of the University of North Texas System. This Regulation is promulgated in accordance with the Public Funds Investment Act, Section 51.0032 of the Texas Education Code, the Uniform Prudent Investor Act (Texas Property Code, Chapter 117), the Uniform Prudent Management of Institutional Funds Act (Texas Property Code, Chapter 163), and the Public Funds Collateral Act (Texas Government Code, Chapter 2257). Texas Education Code, Section 51.0032 requires a governing board to adopt a written investment policy, and the Public

Funds Investment Act requires a governing board to adopt a written investment policy and strategy, review the policy and strategy not less than annually, appoint an Investment Officer, and adopt internal controls to safeguard the System's funds. The Public Funds Collateral Act sets the standards for collateralization of public funds in Texas.

08.2005

Investment of System Funds.

1. Investment Strategy. The ~~cash-investment~~ management objective for the System is to retain appropriate liquidity to meet daily operating demands and Commercial Paper self-liquidity coverage requirements while seeking higher yield on ~~cash-reservesavailable funds~~ through an appropriately diversified investment portfolio. All Funds Subject to Board of Regents Control shall be invested pursuant to a Prudent Person Standard. All System endowment funds shall be invested pursuant to a Prudent Person Standard and shall be managed through the Short Term Pool (STP), Intermediate Investment Pool (IIP), and the Long Term Pool (LTP) to meet short, intermediate, and long term investment objectives. All UNTHSC medical professional liability self-insurance plan funds shall be invested pursuant to a Prudent Person Standard. All other System Funds shall be deposited in an approved depository bank, invested pursuant to the Public Funds Investment Act, or deposited in the State Treasury as prescribed by Texas Education Code § 51.008.
2. Short Term Pool (STP). Short term working capital funds are needed for daily liquidity requirements and thus shall generally be held in accounts or investments providing daily liquidity. The objective of this pool is to provide sufficient daily liquidity while meeting or exceeding the results of the Bloomberg Barclays US 1-3 Month T-bill index. No investments held in the STP will have a maturity date greater than ~~ninetythirty (930)~~ days from the settlement date and the pool shall have a maximum weighted average maturity of ~~seventhirty (30)~~ days. System-wide, the combined balances that comprise the STP should be no less than 10% and no more than 20% of the sum total of all three investment pools. It is understood that fluctuations in market value and the timing of cash flows can cause temporary swings in these percentages that might exceed the established boundaries. Consideration will be given to credit and liquidity risks when determining the diversification of accounts and investments.
 - a. Authorized Investments.
 - i. fully collateralized repurchase agreements or demand accounts deposited with an approved depository institution;
 - ii. money market mutual funds;

- iii. approved Local Government Investment Pools;
 - iv. certificates of deposit guaranteed by the FDIC or properly collateralized;
 - v. commercial paper that is rated not less than A-1 or P-1 by a nationally recognized investment rating firm (no issuer in this category may constitute more than ten percent of the Short Term Pool balance).
- b. Self-Liquidity. In accordance with System self-liquidity coverage, UNT Institutions shall maintain a combined ~~balance~~ amount of liquidity, as calculated by the rating agencies covering the commercial paper program, in the Short Term Pool (net of bond proceeds) and the Intermediate Investment Pool, of at least 1.2x the amount of outstanding debt issued through the System commercial paper program.
- c. Investment Objectives.
- i. Safety of Principal
 - ii. Liquidity
 - iii. Current Income
 - iv. Appreciation
 - v. Diversification
3. Intermediate Investment Pool. Excess cash that may on occasion be needed for liquidity purposes shall be invested in the Intermediate Investment Pool ("IIP"). The objective of this pool is to put dormant cash to work in higher yielding investments than the STP while still prioritizing safety of principal and liquidity, and meeting or exceeding the results of the Bloomberg Barclays U.S. Universal 1-5 Year Index. Investments in this pool shall not have a maturity date that exceeds ~~seven~~ five (7.5) years and the maximum duration of the pool shall not exceed ~~threetwo and one-half (32 1/2)~~ years. The balance in this pool should generally be at least ~~15~~ 30% but not more than ~~60~~ 5% of the sum total of all three investment pools. It is understood that fluctuations in market value and the timing of cash flows can cause temporary swings in these percentages that might exceed the established boundaries.
- a. Authorized Investments. Investments in the IIP may be invested in any authorized vehicle available to the Short-Term Pool plus the following:
- i. Bond mutual funds;
 - ii. ~~Certificates of deposit guaranteed by the FDIC or properly collateralized~~ Asset-backed securities (ABS);
 - iii. Obligations of the United States, its agencies, states, counties, cities, and any other subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm not less than BBBAA or its equivalent;

- iv. U.S. Agency and Government-Sponsored Enterprise (GSE) backed mortgage securities (MBS);
- v. Bank loans;
- iii.vi. Corporate bonds rated as to investment quality by a nationally recognized investment rating firm not less than A or its equivalent

- b. Portfolio Asset Allocation. The IIP shall allocate its investments in such a way that liquidity may be accessed within three days, if needed. In addition, no individual issuer other than the United States government shall represent more than 10% of the IIP balance.
- c. Portfolio Asset Selection. Selection of the underlying assets within each portfolio shall remain the discretion of the Managing Entity, within the guidelines established in the portfolio asset allocation set forth above and the investment management contract.
- d. Investment Objectives.
 - i. Safety of principal
 - ii. Liquidity
 - iii. Current Income
 - iv. Appreciation
 - v. Diversification

4. Long Term Investment Pool. Long Term Investment Pool is established to provide an investment vehicle for growth and distribution of funds available, as appropriate, for longer term institutional mission to include financial viability and revenue diversity. Long term cash reserves shall generally constitute at least 25% but not more than 650% of the sum total of all three investment pools. It is understood that fluctuations in market value and the timing of cash flows can cause temporary swings in these percentages that might exceed the established boundaries.

The purpose of the following objectives is to facilitate the discussion and evaluation of the LTP performance:

- Outperform the weighted strategic benchmark over rolling five year periods.
- Total return goal for the LTP is to exceed the Consumer Price Index plus 4% over rolling ten year periods or as adjusted by the strategic allocation.
- Each investment manager will be evaluated by the managing entity versus a benchmark and/or a peer universe.
- 4. • Rank in the top half of the NACUBO universe, defined as peers with portfolios ranging from \$100 million to \$500 million over rolling five-year periods.

- a. Authorized Investments. The investment vehicle for Long Term Pool cash reserves shall be the UNT System Long Term Pool ("UNTS-LTP"). The UNTS-LTP shall be held and invested pursuant to a Prudent Person Standard.

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- b. Portfolio Asset Allocation. The UNTS-LTP portfolio asset allocation shall be monitored on an ongoing basis, maintained within the tactical range shown below, and reviewed no less than quarterly in connection with the required quarterly report to the Board of Regents.

	Strategic Target	
	Policy Allocation	Tactical Range
Growth Assets	60%	55 – 70%
Risk Reduction Assets	25%	15 – 35%
Inflation Protection Assets	10%	5 – 15%

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

- c. Portfolio Asset Selection. Selection of the underlying assets within each portfolio shall remain the discretion of the Managing Entity, within the guidelines established in the portfolio asset allocation set forth above and the investment management contract.

- d. Strategic Benchmark. The strategic benchmark for the LTP shall be defined as follows: Russell 3000 Index (35%); MSCI ACWI ex USA IMI (30%); Barclays US Aggregate Bond Index (15%); Barclays US Long Credit Index (10%); Dow Jones U.S. Real Estate Index (5%); and S&P Materials Select Sector Index (5%).

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- e. UNT System Investment Advisory Committee. Members of the UNT System Investment Advisory Committee shall be the Vice Chancellor for Finance, the Associate Vice Chancellor for Treasury and Reporting, and the chief financial officers from each UNT Institution. The UNT System Investment Advisory Committee shall have oversight of investments in the UNTS-LTP and IIP, and maintain an active role in advising Managing Entities. The Vice Chancellor for Finance shall represent the System Investment Advisory Committee for all approvals that may be necessary or advisable in connection with the UNTS-LTP to provide to a Managing Entity.

- f. Investment Objectives.

- i. Appreciation
 - ii. Current Income
 - iii. Diversification
 - iv. Liquidity
 - v. Safety of Principal

- 5. Bond Proceeds. Bond proceeds and reserves may be invested in a manner consistent with the requirements and restrictions stated in the applicable Bond Covenants.
 - a. Investment Objectives.
 - i. Safety of Principal
 - ii. Liquidity
 - iii. Current Income
 - iv. Appreciation

- 6. Endowed Funds. [The objective of endowment investment is to meet the donor intent having a long-term horizon, unless otherwise specified. The long-term objective is to achieve a total annual return which covers the spend rate plus inflation, administrative costs, and investment management fees.](#) The endowment corpus shall be invested in a diversified portfolio using reasonable care to ~~ensure earnings are sufficient to~~ provide on-going [and dependable cash](#) payout, while mitigating the impact of inflation.
 - a. Authorized Investments. The System has identified four options for investing endowed funds:
 - i. The UNTS-LTP
 - ii. The UNT Foundation Endowment
 - iii. The UNTHSC Foundation Endowment
 - iv. The UNT at Dallas Foundation Endowment

 - b. Endowment Policies. Each UNT Institution and the UNT System Administration shall adopt an Endowment Policy consistent with this Regulation and subject to Board approval that governs the type of endowments, acceptance of gifts, purpose and use of endowments, and distribution requirements of endowed funds.

 - c. Asset Allocation. Each UNT Institution and the UNT System Administration shall select the investment portfolio option. The asset allocation and selection of the underlying assets within each portfolio shall be at the discretion of the Managing Entity; provided, however, that investment of any endowment funds must be pursuant to the Prudent Person Standard and within the guidelines established in this Regulation, the applicable

UNT Institution Endowment Policy, and the Investment Management Agreement.

d. Investment Objectives.

- i. Appreciation
- ii. Current Income
- iii. Safety of Principal
- iv. Diversification
- v. Liquidity

7. Medical Professional Liability Self-Insurance Funds. The total amount of reserve funds required for medical professional liability self-insurance shall be actuarially determined annually. These funds shall be invested in any combination of the UNT System Long Term Pool or the UNT System Short Term Pool at the discretion of the UNT Health Science Center. In the event all or a portion of the self-insurance fund is converted to a quasi-endowment – subject to liquidation resulting from claims – the quasi-endowment may be invested in accordance with section V – Endowed Funds. A separate accounting of the fund balance and transactions must be maintained and provided to the UNT System Board of Regents at least annually.

a. Investment Objectives.

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

8. Investment Management.

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

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

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

- 9. Insurance or Collateral. All bank deposits of System funds shall be secured by pledged collateral with a market value equal to no less than 102% of the deposits plus accrued interest less an amount insured by the FDIC. Evidence of the pledged collateral shall be maintained by the Vice Chancellor for Finance. Eligible collateral must meet the requirements of the Public Funds Collateral Act or securities authorized by the Public Funds Investment Act. Repurchase agreements shall be documented by the Master Repurchase Agreement approved by The Bond Market (TBMA), or any other entity approved by the Finance Committee of the Board of Regents, noting the collateral pledged in each agreement. The use of a letter of credit issued to the System by the Federal Home Loan Bank may be considered by the System to meet the required bank depository collateral requirements. Collateral shall be reviewed monthly to assure the market value of the securities pledged equals or exceeds the related bank balances.

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

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

- 12. Investment Responsibilities. The System Investment Advisory Committee shall be responsible for investing System funds and must comply with the following:
 - a. Prudent Person Standard. The Investment Officers shall exercise a Prudent Person Standard at all times with regard to all funds.

- b. Personal Business Relationship. Should any Investment Officer have a personal business relationship with a business organization offering to engage in an investment transaction with the System, a statement shall be filed disclosing that personal business interest. This statement must be filed with the Texas Ethics Commission and the Board of Regents. A “personal business relationship” is defined in Chapter 2256.005(i) of the Public Funds Investment Act. [In addition, annually each Investment Officer must confirm that no improper personal business relationships, as defined above, exist. The Vice Chancellor for Finance is responsible for collecting these confirmations and providing them to the Office of General Counsel for reporting to the Board.](#)
- c. Training. Each member of the Board of Regents and the System Investment Advisory Committee shall attend at least one training session within six months after taking office or assuming duties. The Texas Higher Education Coordinating Board will provide training for the Regents. All Investment Officers and members of the System Investment Advisory Committee must attend training not less than once in each fiscal biennium, and may receive training from any independent source approved by the Board of Regents. The Texas Higher Education Coordinating Board is an approved source for training. The Investment Officers must report the status of their training to the Board of Regents no later than the 180th day after the last day of each regular session of the legislature.

13. Reporting.

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

- c. Annual Report. At the end of each fiscal year, the System will prepare a report of investment performance for the year and submit it to the Board of Regents at its first regularly scheduled board meeting following the end of the fiscal year.

References and Cross-references:

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

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

University of North Texas System Board of Regents Rule 10.100

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

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

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

Approved: August 16, 2012

Effective: August 16, 2012

Revised: May 16, 2013, August 15, 2013, December 5, 2013, August 21, 2014, October 16, 2014, November 20, 2015, November 18, 2016



Title: Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Project Scope of the Interdisciplinary Research Building at HSC

Background:

The TCU & UNTHSC School of Medicine will begin instruction with the initial class of 60 students in July 2019. Full enrollment of 240 students is planned for 2022. Modifications of the previously approved Interdisciplinary Research Building (IRB) project have been developed to support the clinical, instructional and administrative needs of the School of Medicine.

Specifically, the interior space of two of the five floors of the building will be reconfigured. As shown in attached Space Summary table (attachment A), the 3rd and 4th floors, which were originally planned for research lab and associated office functions, will be redesigned for the School of Medicine's needs. To accommodate the reduction in research space, the HSC Built Environment Council is developing a comprehensive plan to renovate existing lab space on campus. The revised design will also maintain all currently planned building systems to support adaptability and flexibility for any future research laboratory renovations on the affected floors. The revised design is consistent with the original program goals of the IRB. The proposed approach will promote interaction of students from the Schools of Medicine and Pharmacy and also supports the HSC's strategic vision for developing the health providers' of the future.

Although work on the project is currently underway, staff has engaged the design team and construction manager to carefully evaluate the proposed changes early in the construction sequence. Based on detailed takeoff of improvements to be removed and current estimates of the of the proposed MD school improvements, any net cost differential is minimal and can be addressed within the existing allocated project contingency without requiring a change to the overall project budget. The detailed costs of the changes will also be tracked separately to allow appropriate cost accounting and to support facility chargeback or cost sharing arrangements as needed.

The project is currently on schedule for completion in December of 2018. The changes proposed in this item can be incorporated at this time without impacting the expected completion.

The IRB project was originally approved on August 28, 2015 as part of the UNTS FY16 Capital Improvement Plan and is also incorporated in the current FY17 plan (Project 16-1.40). The requested action is to amend the UNTS FY17 Capital Improvement Plan to modify the IRB project scope to accommodate the School of Medicine's need for administrative, clinical and education space.

Financial Analysis/History:

As approved, the project is funded with a combination of Tuition Revenue Bond financing (\$80M) and campus supported Revenue Finance System bonds (\$41M). No change in funding is anticipated as a result of this action.

**Gregory R.
Anderson**

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North Texas Health Science Center,
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Institution Chief Financial Officer

**Janet
Waldron**

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ou=Vice Chancellor for Finance,
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c=US
Date: 2017.05.08 09:41:03 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Date: 2017.05.09 16:13:15 -05'00'

Vice Chancellor/General Counsel

Schedule:

Programming/Planning:	October 2015
IRB Design:	October 2016
MD School Program:	April 2017
MD School Design:	May 2017
Construction:	October 2016-December 2018
Substantial Completion:	November 2018

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 & Development

**Dr. Michael
R. Williams**

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President

James M. Maguire

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Vice Chancellor

Lee
Jackson

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Chancellor

Attachments Filed Electronically:

- IRB Space Summary Table
- UNTS FY17 Capital Improvement Plan Amendment



Board Order

Title: Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Project Scope of the Interdisciplinary Research Building at HSC

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, 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 Campus Master Plans for UNT, UNTHSC, and UNTD, and

Whereas, the Board of Regents has previously approved the UNTS FY16 Capital Improvement Plan, and

Whereas, the project scope for the IRB has been adjusted to accommodate administrative, clinical and educational space for the newly established School of Medicine, and

Whereas, programming and planning studies and associated cost estimates indicate the proposed modifications can be implemented without increasing the project budget,

Whereas, the UNTS FY17 Capital Improvement Plan has been updated to reflect the adjusted project scope,

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

1. Amend the previously approved UNTS Capital Improvement Plan to adjust the IRB project (project 16-1.40) to accommodate administrative, clinical, and educational space for the newly established School of Medicine.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Attachment A

IRB Space Summary

	Total IRB Program as Designed (ANSF)	Floor 3 IRB as Designed (ANSF)	Floor 3 IRB as Proposed (ANSF)	Floor 4 IRB as Designed (ANSF)	Floor 4 IRB as Proposed (ANSF)	Total IRB Program as Proposed (ANSF)	Delta (between two) (ANSF)
Administration (COP)	25,893	6,916		5,263		13,694	12,179
Research	40,503	12,772		12,259		15,472	25,031
Vivarium	9,844					9,844	
Instructional (COP)	19,793	1,410		1,410		16,973	2,820
Building Services	6,175					6,175	
Administration (SOM)			9,680		18,374	28,054	28,054
Instructional (SOM)			3,308		5,198	8,505	8,505
Clinical			10,336			10,336	10,336
TOTAL ANSF	102,188	21,098	23,323	18,932	23,571	109,053	
TOTAL GSF	173,641	30,001	30,001	30,001	30,001	173,641	
EFFICIENCY	58.9%	70.3%	77.7%	63.1%	78.6%	62.8%	

03.28.17

Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Project Scope of the Interdisciplinary Research Building at HSC

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER
 Interdisciplinary Research Building (Amended)
 Capital Improvement Project No. 16-1.40



PROJECT DESCRIPTION

This project will construct a building of approximately 173,600 gross square feet for the University of North Texas Health Science Center (UNTHSC) campus. The facility is planned to be a multi-story building with research laboratories, vivarium, classrooms, teaching labs, study areas, seminar rooms, multimedia learning, and associated student learning spaces. Faculty and administrative offices will also be included in this building with office suites, meeting rooms and collaborative work areas. While the program for the 3rd and 4th floors of the building has been modified to accommodate the necessary requirements for the new School of Medicine, it will designed to support the adaptability and flexibility for any future research laboratory renovations on the affected floors.

PROJECT INFORMATION

JUSTIFICATION: The TCU & UNTHSC School of Medicine will begin instruction with the initial class of 60 students in July 2019. Full enrollment of 240 students is planned for 2022. Research and associated office spaces that were originally planned in the facility have been reduced to support the clinical, instructional and administrative needs of the School of Medicine. The revised program and design will promote interaction of students from the Schools of Medicine and Pharmacy and also support the UNTHSC strategic vision for developing the health providers’ of the future.

LOCATION ON CAMPUS: Southeast intersection of Camp Bowie Blvd and Clifton St
SIZE (ASF/GSF): GSF: 173,600 ASF: 102,200
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

Design Fees	\$ 9,000,000
Construction Costs	\$ 92,000,000
Other Costs (Commissioning, Inspection, etc.)	\$ 2,000,000
Furniture, Fixtures, and Equipment	\$ 7,500,000
Contingency and Fees	\$ 10,500,000
Total Projects	\$ 121,000,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abbr.	Funding Source	Prior Yrs Costs	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021+	Source Total
RFS	Revenue Financing System Bonds	\$ 3.00	\$ 5.23	\$ 12.57	\$ 20.20	\$ -	\$ -	\$ 41.00
TRB	Tuition Revenue Bonds	\$ -	\$ 35.70	\$ 44.30	\$ -	\$ -	\$ -	\$ 80.00
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ 3.00	\$ 40.93	\$ 56.87	\$ 20.20	\$ -	\$ -	\$ 121.00

UNIVERSITY of NORTH TEXAS SYSTEM

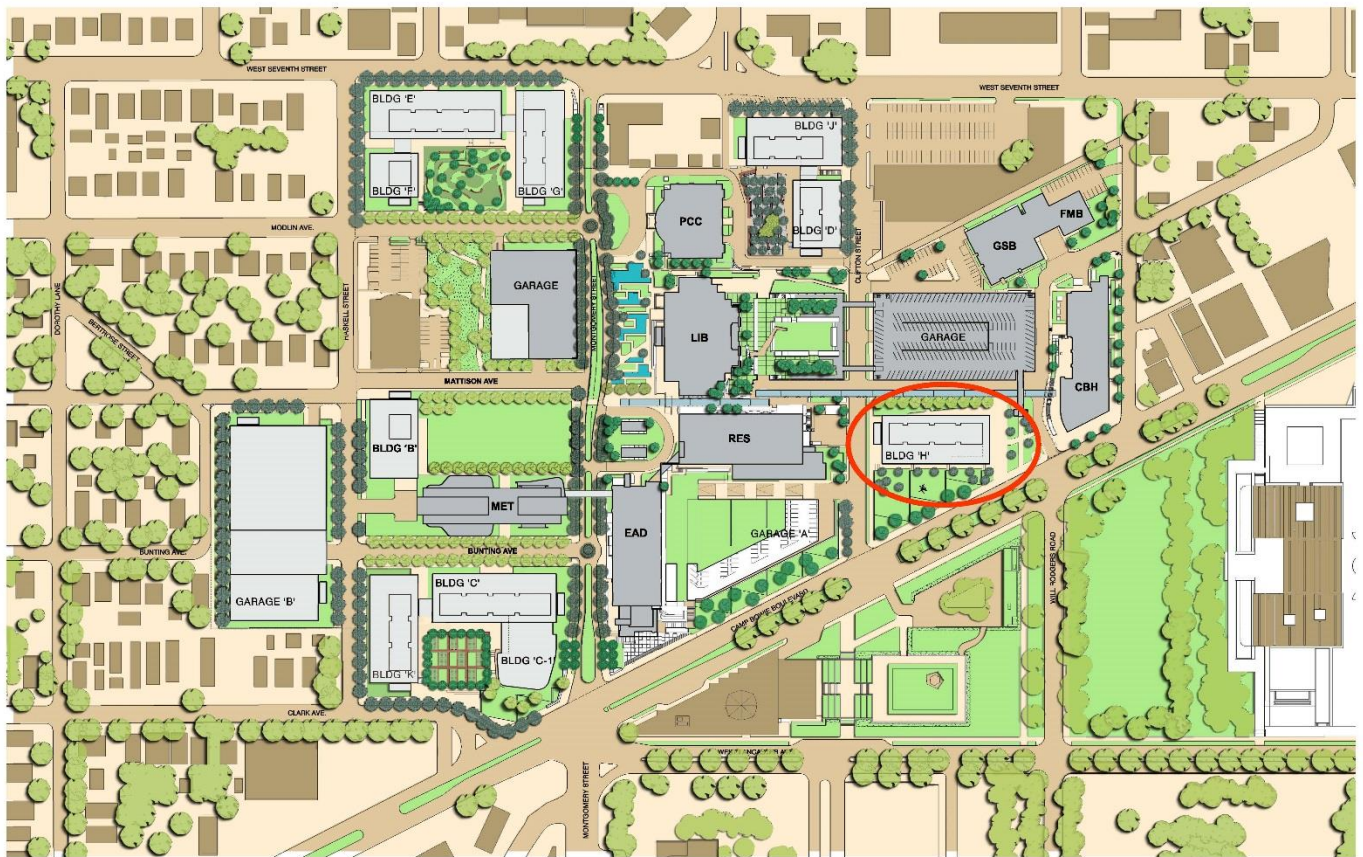
UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER
Interdisciplinary Research Building (Amended)
Capital Improvement Project No. 16-1.40



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	August 2016
PROGRAMMING/PLANNING:	November 2014 -- October 2015
DESIGN:	October 2015 – October 2016
PROGRAMMING/ PLANNING FOR MEDICAL SCHOOL:	January 2017 – April 2017
DESIGN FOR MEDICAL SCHOOL:	April 2017 – May 2017
CONSTRUCTION:	October 2016 – December 2018
SUBSTANTIAL COMPLETION:	November 2018

LOCATION MAP





Title: Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Scope and Budget for Sycamore Hall 2nd Floor Renovation at UNT

Background:

The Sycamore Hall 2nd Floor Renovation was approved by the Board of Regents as part of the FY2016 Capital Improvement Plan at a budget of \$3.30 million. This interior renovation project will provide offices, support spaces and classrooms for the School of Journalism and other academic units. During the demolition process, additional asbestos was discovered in mechanical ductwork, walls and other finishes which required remediation. It was also determined during demolition that the plumbing, doors, and frames could not be salvaged and required replacement. As a result, the project budget requires an increase of \$0.65 million for a total of \$3.95 million to complete the construction of the project.

On August 19, 2016 the Board of Regents approved the UNTS FY17 Capital Improvement Plan which identified capital projects for the UNT System. The requested action is to amend the UNTS FY17 Capital Improvement Plan to modify the scope and budget for the Sycamore Hall 2nd Floor Renovation project (Project 16-2.65).

Financial Analysis/History:

Funds for the Sycamore Hall 2nd Floor renovation have been allocated by the institution and confirmed by signature on the amended plan document by the respective President and CFO. The funding plan has been reviewed by the Vice Chancellor for Finance.

Bob Brown
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Institution Chief Financial Officer

Janet Waldron
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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 planning, design and/or construction of the Capital Improvement Project schedules are detailed in the plan documents.

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 & Development

Neal
Smatresk

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President

James M. Maguire

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Vice Chancellor

Lee Jackson

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Chancellor

Attachments Filed Electronically:

- UNTS FY17 Capital Improvement Plan Amendment



Board Order

Title: Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Scope and Budget for Sycamore Hall 2nd Floor Renovation at UNT

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, 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 Campus Master Plans for UNT, UNTHSC, and UNTD, and

Whereas, the Board of Regents has previously approved the UNTS FY17 Capital Improvement Plan, and

Whereas, the project scope and budget have been developed for the renovation of 2nd Floor of Sycamore Hall, and

Whereas, The UNTS FY17 Capital Improvement Plan has been updated to reflect the adjusted projects scope and budget below:

- Project 16-2.65. Increase the project budget for Sycamore Hall 2nd Floor Renovation by \$0.65 million for a project total of \$3.95 million,

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

1. Amend the previously approved UNTS Capital Improvement Plan to increase the project budget by \$0.65 million for a project total of \$3.95 million for Sycamore Hall 2nd Floor Renovation (Project 16-2.65).

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

FY2017 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs	2017	2018	2019	2020	2021+	Total Project
			Expensed						
Previously Approved Projects:									
1.06	Student Residence Hall	PP	-						
		RB	36.36	0.74					37.10
1.17	University Union Renovation	AUX	5.10						
		CP	-						
		PP	-						
		SF	8.00						
		Local/Cash	2.60						
		RB	100.89	11.81					128.40
1.17a	Scoular/ Stovall Relocations	HEAF	1.00						
		CP	7.68	(7.68)					
		RB	7.16	0.54					8.70
2.14	SRB Renovation	HEAF	4.19						
		RFS	1.36	14.88					20.43
2.20	Matthews Hall MEP	HEAF	0.24	3.96					4.20
2.21	Wooten Hall MEP (Amended)	HEAF	0.43	4.72					5.15
2.33	Willis Library MEP	HEAF	0.05	3.80	5.10				8.95
2.34	Hickory Hall MEP	HEAF	0.24	2.76					3.00
5.01	Central Path Extension at Clark Park	HEAF Reserve	0.10	1.40					1.50
16-1.20	College of Visual Arts and Design	TRB	0.39	26.61	38.00	5.00			70.00
16-1.84	New Residence Hall								
16-1.84a	New Residence Hall - Phase 1	RFS		17.04	28.68	3.58			
16-1.84b	New Residence Hall - Phase 2	RFS		2.34	11.86	26.15	3.35		93.00
16-2.25	General Academic Building MEP	HEAF		0.50					
		RFS		7.00					7.50
16-2.50	Life Science Lab Exhaust Upgrade	HEAF	-	3.20					3.20
16-2.55	Discovery Park MEP Upgrade	RFS		0.60	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	0.06	8.18					8.24
16-2.65	Sycamore 2nd Floor Renovation (Amended)	HEAF	0.04	3.91					3.95
16-2.66	Coliseum Concourse Renovation	RFS		5.50	2.50				8.00
16-2.67	1500 I-35 Building (Amended)	RFS	0.11	10.39	2.00				12.50
16-2.77	Wooten Hall Code Upgrade (Amended)	HEAF		2.53					2.53
16-2.78	Child Development Lab Renovation	HEAF	0.11	1.89					2.00
16-2.79	McConnell Hall MEP	AUX	0.29	1.71					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	0.04	2.20					2.24
16-2.82	Track and Field Stadium and Sports Fields (Amended)	RFS		4.00	5.90				
		GIFT				2.00			11.90
16-2.83	Bruce Hall Renovation	AUX	0.61	1.09					1.70
16-2.85	Sage Hall Academic Success Center	HEAF Reserve	-	1.85					1.85
Previously Approved Projects Total			177.05	137.52	109.14	38.23	3.35	-	465.29
New Projects for Approval:									
17-01-0001	Terrill Hall MEP Renovation	HEAF		0.55	5.25				5.80
17-01-0002	Coliseum MEP Renovation	RFS		0.90	9.00				9.90
17-01-0003	Kerr Hall Air Handler Replacement (Phase 1 & 2)	AUX		1.50	2.50				4.00
17-01-0004	USB MEP Renovation	HEAF		0.30	3.00				3.30
17-01-0005	Discovery Park Bio-Medical Engineering Addition	RFS		2.00	15.40				17.40
17-01-0006	Sage Hall Academic Success Center Phase II	HEAF Reserve		0.17	1.28				1.45
17-01-0007	Life Science Building 4th Floor Laboratories Renovation	RFS		0.60	5.70				6.30
17-01-0008	Coliseum Roof Replacement	Local/Cash		4.31					4.31
17-01-0009	Off-Site Campus #2	Local/Cash		0.10	1.40				1.50



FY2017 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs Expensed	FY2017 (in \$Million)					Total Project
				2017	2018	2019	2020	2021+	
17-01-0010	New Classroom Building	RFS		2.20	22.90				25.10
17-01-0011	Hickory Hall Renovation	RFS		0.80		8.00			8.80
17-01-0012	Eagle Point Parking Lot #84	CP		2.20					2.20
New Project for Approval Total			-	15.63	66.43	8.00	-	-	90.06
Planned Projects with Identified Funding Sources:									
01-0012	Administration Building Renovation	HEAF					0.80	7.20	8.00
01-0013	Curry Hall MEP	HEAF			0.50	5.00			5.50
01-0014	Underground Utility Repairs	HEAF			0.28	2.60			2.88
01-0015	PAC Foundation Repairs	HEAF			0.20	1.85			2.05
01-0016	Physical Education Building (PEB) MEP	HEAF			0.50	7.00			7.50
01-0017	Language Building MEP	HEAF				0.30	4.00	-	4.30
01-0018	Clark Hall lobby renovation	AUX					0.15	2.10	2.25
01-0019	Demo and Build New Business Svs Whse	AUX						1.25	1.25
01-0020	SRB MEP Renovation	HEAF				1.30			1.30
01-0021	RTEP MEP Renovation	HEAF			0.50	5.00			5.50
01-0022	Driveway Upgrades (Discovery Park and Campus)	HEAF				1.20	-	-	1.20
01-0023	Sage Hall Academic Success Center - Phase 3	HEAF			0.26	1.87			2.13
01-0024	Sage Hall Academic Success Center - Phase 4	HEAF				0.24	1.76		2.00
01-0025	Administration Building Chestnut St Drop-off	HEAF			0.40	1.50			1.90
01-0026	Administration Building Elevator Addition	HEAF			-	-		10.00	10.00
01-0027	Chilton Classroom & Restrooms	HEAF			0.40	1.50			1.90
01-0028	Chilton Studio	HEAF			2.50				2.50
01-0029	Chestnut Hall Renovation	HEAF			0.20	1.60			1.80
01-0030	Discovery Park Greenhouse Addition	RFS			-	3.00			3.00
01-0032	ESSC Envelope Upgrade	HEAF			7.80				7.80
01-0033	GAB Interior Renovation	HEAF			0.25	2.25			2.50
01-0034	Langage Bldg ADA/TAS upgrades & Interior Renovat	HEAF			-	1.50			1.50
01-0035	New Science & Tech Research Building	TRB			11.76	50.00	36.24		98.00
01-0036	Union Circle Drive Re-surface	AUX			2.00				2.00
01-0037	USB Renovation	HEAF			0.25	2.50			2.75
01-0038	Welch St Complex #2 Demolition	HEAF				1.50			1.50
Planned Projects with Identified Funding Sources Total			-	-	27.80	91.71	42.95	20.55	183.01
Planned Land Acquisitions									
3.01	Land Acquisitions per Master Plan	HEAF		1.50	1.50	1.50	1.50	1.50	7.50
Planned Land Acquisition Total			-	1.50	1.50	1.50	1.50	1.50	7.50
Capital Improvement Plan Total			177.05	154.65	204.87	139.44	47.80	22.05	745.86

Planned Project without Identified Funding Sources

New Construction:

- Science and Tech Research Building
- New Academic Building
- Electrical Substation Expansion

Renovation:

FY2017 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs Expensed	2017	2018	2019	2020	2021+	Total Project
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Summary by Funding Source

	Funding Source	Prior Yrs Expensed	2017	2018	2019	2020	2021+	Total
HEAF	HEAF	6.30	29.62	28.89	40.21	8.06	18.70	131.78
HEAF Reserve	HEAF Reserve	0.10	3.42	1.28	-	-	-	4.80
Tuition Revenue Bonds	TRB	0.39	26.61	49.76	55.00	36.24	-	168.00
Commercial Paper	CP	7.68	(5.48)	-	-	-	-	2.20
Private Placement	PP	-	-	-	-	-	-	-
Revenue Bonds	RB	144.41	13.09	-	-	-	-	157.50
Revenue Financing System Bonds	RFS	1.51	70.45	113.94	40.73	3.35	-	229.98
Auxiliary Reserves	AUX	6.06	12.48	9.60	1.50	0.15	3.35	33.14
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	2.60	4.46	1.40	-	-	-	8.46
Total		177.05	154.65	204.87	139.44	47.80	22.05	745.86

Approved

 President



Title: Approval of a Letter of Agreement and Delegation of Authority to Negotiate and Execute a Long-Form Agreement with Learfield Communications, LLC to administer UNT Athletics Multi-Media Rights

Background:

The University of North Texas ("UNT") seeks to enter into an exclusive agreement with Learfield Communications, LLC ("Learfield") for administration of all marketing, sponsorship, and promotional rights ("Multi-Media Rights") around UNT Athletics. The Agreement will engage Learfield through a wholly-owned subsidiary to be formed under the name "Mean Green Sports Properties, LLC". Administration of the exclusive, world-wide Multi-Media Rights will include all revenue generating opportunities, commercially viable, and marketable rights around UNT Athletics.

The agreement will provide UNT Athletics with a new, guaranteed revenue model over the course of the 10-year agreement. The agreement is expected to open many opportunities to incorporate new elements and modern technologies into the UNT game-day experience, website, and radio broadcasts while providing significant financial support to enhance the student-athlete experience.

UNT will be the ninth collegiate institution to be represented by Learfield in Texas – with SMU, UT Arlington, and the Southland Conference within the Dallas-Fort Worth Metroplex. With the addition of UNT, Learfield would represent five Conference USA members, including Florida Atlantic, Louisiana Tech, Middle Tennessee State, and Texas-San Antonio.

A letter of agreement has been negotiated between UNT and Learfield that outlines the basic terms for administration of Multi-Media Rights and payments to be made – for which Board of Regents approval is sought. The parties agree to work in good faith to promptly finalize and execute a long-form agreement incorporating terms set forth in the letter of agreement – for which delegation of authority from the Board of Regents to negotiate and execute the long-form agreement is sought.

Financial Analysis/History:

The agreement with Learfield is expected to generate in excess of \$5 million in new revenue over a 10-year period.

Over the term of the agreement, Learfield will pay UNT a \$100,000 signing bonus plus guaranteed rights payments totaling \$13,575,000. Learfield will also pay the University fifty percent (50%) of any amount by which Adjusted Gross Revenue ("AGR") exceeds the AGR Threshold Amount. The AGR Threshold Amount begins at \$2,300,000 in 2017-18 and increases annually.

Additionally, Learfield will make an annual payment of \$25,000 to the Mean Green Club beginning in 2020-21 and continuing through the last year of the agreement.

Learfield will also seek to provide a minimum of \$200,000 annual corporate sponsorship trade.

Bob Brown
Digitally signed by Bob Brown
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ou=VP for Finance and Administration,
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Institution 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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Date: 2017.05.09 16:18:45 -05'00'

Vice Chancellor/General Counsel

Schedule:

Multi-Media Rights would be administered by Learfield from July 1, 2017, through June 30, 2027.

Recommendation:

Approval of the Letter of Agreement and Delegation of Authority to Negotiate and Execute a Long-Form Agreement with Learfield Communications, LLC to administer UNT Athletics marketing, sponsorship, and promotional rights for the purpose of revenue generation.

Recommended By:

Wren Baker

Vice President/Director of Athletics

Neal Smatresk
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President

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Chancellor

Attachments:

- Letter of Agreement with Learfield Communications, LLC, dated March 20, 2017



Board Order

Title: Approval of a Letter of Agreement and Delegation of Authority to Negotiate and Execute a Long-Form Agreement with Learfield Communications, LLC to Administer UNT Athletics Multi-Media Rights.

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the University of North Texas ("UNT") seeks to enter into an exclusive agreement with Learfield Communications, LLC ("Learfield") for administration of all marketing, sponsorship, and promotional rights ("Multi-Media Rights") around UNT Athletics, and

Whereas, the agreement will engage Learfield through a wholly-owned subsidiary to be formed under the name "Mean Green Sports Properties, LLC" with a term beginning July 1, 2017, and continuing through June 30, 2027, and

Whereas, the agreement will provide UNT Athletics with a new, guaranteed revenue model over the course of the 10-year agreement and is expected to open up many opportunities to incorporate new elements and modern technologies into the UNT game-day experience, website, and radio broadcasts while providing significant financial support to enhance the student-athlete experience.

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

1. Approval of the letter of agreement between UNT and Learfield, dated March 20, 2017.
2. Delegation of authority to the chancellor, with the concurrence of the UNT president, to negotiate and execute a long-form agreement with Learfield Communications, LLC for administration of Multi-Media Rights around UNT Athletics, incorporating the terms of the letter of agreement.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Learfield

2400 Dallas Parkway, Suite 500
Plano, TX 75093
469-241-9191
www.learfield.com

March 20, 2017

Mr. Wren Baker
Vice President/Director of Athletics
University of North Texas
1301 S. Bonnie Brae St.
Denton, TX 76207

Dear Wren:

This Letter of Agreement ("LOA") sets forth the terms and conditions under which University of North Texas ("University") engages Learfield Communications, LLC ("Learfield") through a wholly-owned subsidiary to be formed under the name "Mean Green Sports Properties, LLC" ("MGSP"), to administer its athletic marketing, sponsorship and promotional rights.

- A. Parties. This LOA is entered into between University and Learfield. However, upon the full execution of this LOA, University acknowledges and agrees that Learfield will assign all of its rights and obligations under this LOA to MGSP who shall then become substituted for Learfield as a party to this LOA, and University hereby consents to such assignment and substitution. Any references to Learfield herein shall be read to mean MGSP from and after the effective date of the foregoing assignment.
- B. Rights. University hereby grants to Learfield, for the duration of the Term (as defined below), the exclusive world-wide multi-media rights for the items set forth in this LOA and for those items listed in Exhibit A to this LOA attached hereto and made a part of this LOA (collectively, the "Multi-Media Rights") except for any rights specifically excluded as set forth in this LOA.
- C. Term. The period of time during which the Multi-Media Rights may be exercised by Learfield shall be from July 1, 2017 through June 30, 2027 (the "Term"). Each year of the Term shall be measured from July 1 through June 30 and shall be referred to as an "Athletic Year". The parties acknowledge that beginning on the date hereof, Learfield's staff may begin carrying out some of the terms of this LOA. During the period commencing June 30, 2025 through December 31, 2025 ("Negotiating Period"), the parties will negotiate in good faith with the goal of arriving at mutually agreeable terms for an extension of the Term of this LOA. From the date of this LOA through the end of the Negotiating Period, University will negotiate exclusively with Learfield with respect to the rights granted under this LOA. If no agreement for an extension is agreed upon by the end of the Negotiating Period, the parties will continue to regularly meet thereafter (not less than quarter-

annually) and negotiate in good faith on a non-exclusive basis for the terms of an extension to this LOA.

- D. Guarantee/Revenue Share. As consideration for the Multi-Media Rights granted exclusively to Learfield hereunder by University, Learfield will pay will pay University the guaranteed rights payments set forth in the following chart (the “Guaranteed Rights Fee”). Learfield will also pay the University fifty percent (50%) of the amount by which Adjusted Gross Revenue (“AGR”)¹ exceeds the AGR Threshold Amount set forth in the following chart (the “AGR Threshold Amount”):

Athletic Year	Guaranteed Rights Fee	AGR Threshold Amount
2017-18	\$1,150,000	\$2,300,000
2018-19	\$1,175,000	\$2,360,000
2019-20	\$1,200,000	\$2,420,000
2020-21	\$1,225,000	\$2,480,000
2021-22	\$1,250,000	\$2,540,000
2022-23	\$1,300,000	\$2,650,000
2023-24	\$1,350,000	\$2,760,000
2024-25	\$1,450,000	\$2,970,000
2025-26	\$1,550,000	\$3,180,000
2026-27	\$1,650,000	\$3,390,000

The Guaranteed Rights Fee described above is based upon all of the Assumptions (as defined below) being accurate. If any or all of the Assumptions do not occur, are not accurate or do not remain in effect for the entire term of this LOA/the Long-Form Agreement, then such occurrence shall constitute a Diminishing Event and the process set forth in the definition of a Diminishing Event shall be followed. “Assumptions” means that, at a minimum, (i) the inventory and merchandising elements (e.g., signage, tickets, hospitality, suite access, etc.) available to Learfield is not less than what was available to sponsors under Existing Sponsorship Agreements (as defined below) during the 2016 – 2017 Athletic Year and (ii) all of the rights licensed exclusively to Learfield under this LOA/the Long-Form Agreement are available to Learfield in substantially the same form throughout the term of this LOA/the Long-Form Agreement.

Learfield, through its employees or a third party accounting and auditing firm, shall have the right to audit, inspect and copy University’s financial and business records in order to verify the net revenue booked under Existing Sponsorship Agreements (as defined below) during the 2016 – 2017 Athletic Year. In the event such an audit reveals University materially overrepresented (greater than \$75,000) the net revenue booked under Existing Sponsorship Agreements, Learfield shall have the right to defer a portion of the Guaranteed Rights Fee due in either or both of the first two Athletic Years of the Term to any subsequent Athletic Year during the Term.

In the event that after the date of this LOA, additional sponsorship inventory becomes available in any University athletic facility, University shall grant to Learfield the exclusive sales and marketing rights to such inventory and if the grant of such rights materially increases Learfield’s Multi-Media

¹ “AGR” means Learfield’s gross collected revenue less the following: (i) agency commissions, (ii) sponsor fulfillment costs such as tickets, merchandise, promotional elements and out-of-pocket costs of sales, (iii) third party rights fees such as NCAA or NIT related sponsorship fees, (iv) collection and/or litigation expenses incurred by Learfield in connection with any third party litigation related to Learfield’s performance under this LOA, including but not limited to those incurred in connection with collection efforts against sponsors, and (v) any other credits, deductions or adjustments (including labor to hang signs) provided for under this LOA or are identified as deductions from AGR in a separate writing signed by the parties.

Rights above the economic value reflected in the Guaranteed Rights Fee and the AGR Threshold Amount, the parties will meet and discuss in good faith modifications to the terms of this LOA.

In the event that AGR exceeds the AGR Threshold Amount in two (2) consecutive Athletic Years, the parties will meet and discuss in good faith potential modifications to the terms of this LOA.

All Guaranteed Rights Fee payments owed by Learfield under this LOA shall be paid in two equal installments, one-half on or before January 15th of each Athletic Year, and the balance on or before July 15th of the following Athletic Year, with a final settle up, if any, derived through the AGR Threshold Amount, to be paid no later than October 31st of the following Athletic Year.

University shall pay Learfield a commission equal to twenty percent (20%) of the gross revenues collected by or on behalf of University or any Third Party Rights Holder (as defined below) after the Termination Date from any Marketing & Sponsorship Agreements entered into prior to the Termination Date. For example, if the Termination Date is June 30, 2027 and on such date there are ten (10) Marketing & Sponsorship Agreements in place which have terms that expire on June 30, 2030, and the gross revenues from all such Marketing & Sponsorship Agreements that are collected during the three year period equals \$400,000 in each of those three years, then University would owe Learfield a commission of \$80,000 in each of those three years for a total of \$240,000. University shall pay such commissions to Learfield as and when the gross revenue is collected by or on behalf of University or the Third Party Rights Holder. On or promptly after the Termination Date, Learfield will assign all Marketing & Sponsorship Agreements (other than multi-property Marketing & Sponsorship Agreements) to University or its then multi-media rights holder ("Third Party Rights Holder"). The fact that a Marketing & Sponsorship Agreement is assigned to a Third Party Rights Holder shall not relieve University of its obligation to pay Learfield the commissions described in this Section C nor shall any amendment, restatement or modification of a Marketing & Sponsorship Agreement entered into after the Termination Date relieve University of its obligation to pay Learfield the commissions described in this Section C. For the avoidance of doubt and clarification, a termination of an existing Marketing & Sponsorship Agreement during the term of the Marketing & Sponsorship Agreement followed by a new agreement between either University or the Third Party Rights Holder and the same sponsor (or an affiliated company of the same sponsor) set forth in the Marketing & Sponsorship Agreement, shall not relieve University of its obligation to pay Learfield a commission under this Section C and shall not for purposes of this Section C be considered a new agreement with that sponsor.

During the last three (3) Athletic Years of the Term, the parties will discuss in good faith before Learfield may execute any new Marketing & Sponsorship Agreements that would extend beyond the Termination Date.

For purposes of this LOA, "Marketing & Sponsorship Agreement" means any agreement entered into between Learfield or University and any third party (including any customer, sponsor or advertiser) in which any Multi-Media Rights are granted to such third party and where the term of such agreement extends beyond the Termination Date.

For purposes of this LOA, "Termination Date" means the last date of this LOA.

"Diminishing Event" means any event, action, change in circumstances or occurrence which has the effect or is likely to have the effect of diminishing or eliminating or otherwise negatively impacting Learfield's Multi-Media Rights, including but not limited to the following: (1) any refund or credit which Learfield is required to provide a sponsor because of the failure of signage not being functional and operational; (2) new naming rights to all or part of a University owned

facility granted to a third party that is a competitor of an Learfield sponsor who holds exclusivity rights in a sponsorship category; (3) University's football team or men's basketball team incurs disciplinary sanctions that prevent the team from appearing in conference championship games or post-season conference tournaments, NCAA or NIT tournaments; (4) the University's football program or men's basketball program is eliminated or substantially curtailed; (5) the football program or men's basketball program is no longer a member of the Athletic Conference or any other comparable conference; (6) Learfield loses part or all of a source of revenue or any of its Multi-Media Rights as a result of an action taken by the Athletic Conference applicable to the University whether by rule, regulations or contract; (7) the signage of a corporate sponsor of other partners of the University or the University or a sponsor of a conference network or other broadcasting network ("Third Party Signage") in and around University athletics facilities ("Athletic Areas") encroaches upon Learfield's sponsor's signage by reason of the Third Party's signage being visible either during a telecast or by the general public in the Athletic Areas (for the avoidance of doubt and clarification, the signage identifying the network broadcasting a University athletic event or show from Athletic Areas shall not be deemed an encroachment in the Athletic Areas); (8) the revenue from a conference agreement attributable to the University and owed to Learfield under the terms of this LOA is not paid over to Learfield; or (9) if the University and/or its athletic department are the subject of a "material adverse event"² whether due to sanctions by the NCAA for major violations or otherwise; or (10) the University's material breach of the LOA/Long-Form Agreement. For the avoidance of doubt, a material adverse event does not include poor performance by or a losing record of a University athletic team.

In the event of a Diminishing Event, the following process shall be initiated: Learfield shall submit to the University a substantiation of the value attributable to the rights which are not available or the rights which are negatively affected by the Diminishing Event along with reasonable substantiation for its calculation whereupon the parties will meet within thirty (30) days thereafter to discuss Learfield's calculation and agree upon the remedy for the Diminishing Event, which could include any of the following or a combination thereof: (i) a reduction in the Guaranteed Rights Fee; (ii) an extension of the Term; (iii) granting Learfield additional Multi-Media Rights; (iv) providing Learfield with additional tickets; or (v) any other remedy that the parties may agree upon. The parties agree that the remedy agreed upon may under certain circumstances remain in effect beyond the Athletic Year in which the Diminishing Event occurs due to the fact that some Diminishing Events can have an effect that lasts beyond the Athletic Year in which it occurs. If it is agreed that a remedy is necessary or appropriate, the parties will continue to negotiate in good faith until a remedy is agreed upon. The parties acknowledge and agree that the process for a Diminishing Event is the exclusive remedy under this LOA for any set of facts or action or inaction that constitutes a real or alleged Diminishing Event, and that in no event shall any such facts or action or inaction be the basis for termination of this LOA due to the material breach by a party. In any event, any undisputed portion of the Guaranteed Rights Fee (i.e., the amount of the Guaranteed Rights Fee less the adjustment proposed by Learfield) shall be paid in accordance with the schedule in Section C of this LOA. The parties further agree that in the event of a Material Rule Change that results in Learfield losing significant rights hereunder (e.g., the loss of a significant sponsorship category, the loss of any Multi-Media Rights, etc.), then such loss of rights shall be deemed a material breach of this LOA, and, in addition to any other rights or remedies it may have in law or

² "Material adverse event" means an event, action, conduct, investigation or situation on campus at the University of such a negative or adverse nature that sponsors or potential sponsors considering sponsoring University athletics are prompted to discontinue sponsorships or the pursuit of new or replacement sponsorships as a result of not wanting to be associated with the negative image or scandal; provided, however, that such material adverse event must not have been directly caused by any act or omission of Learfield or its employees or subcontractors.

in equity, Learfield shall have the right to terminate this LOA if such rights are not restored within 30 days of the University receiving notice from Learfield of such material breach.

- E. Reductions to the Guaranteed Rights Fee. A Diminishing Event shall be deemed to have occurred and the process for a Diminishing Event shall be initiated if any one or all of the following events occur and thereby reduce Learfield's revenue during the Term:
- i. The football or men's basketball program is eliminated or substantially curtailed;
 - ii. In any Athletic Year, University plays fewer than fifteen (15) home men's basketball games at UNT Coliseum (the "Arena") or fewer than six (6) home football games at Apogee Stadium (the "Stadium");
 - iii. The University is no longer a member of the Conference USA or any other comparable conference³;
 - iv. The University is party to any agreements with third parties not disclosed in this LOA (including verbal agreements) that conflict with the rights granted to Learfield hereunder;
 - v. Should any force majeure event beyond the control of either Party (e.g., acts of terrorism, acts of state or the United States, strikes, labor shortages, epidemics or any natural disaster, including, but not limited to, flood, fire, earthquake, tornado, hurricane or extremely severe weather conditions, drought, loss of power, whether or not resulting from a natural disaster) prevent a University football or men's basketball game being played at its originally scheduled athletic venue (provided, however, the parties recognize that it is preferred that University reschedule a game at a different date or time in an effort to keep the game as a home game instead of moving the location of the game to the visiting team's home venue or to a neutral venue, and that rescheduling a home game due to a force majeure event will not result in any reduction in the Guaranteed Rights Fee);
 - vi. If as a result of some action by the conference Learfield loses part or all of a source of revenue; or, if there is a Material Rule Change or a Conference Change that materially diminishes or restricts Learfield's ability to obtain sponsorship agreements or to otherwise exercise its licensed rights under this LOA. For purposes of this section, a "Material Rule Change" means (a) any change in applicable law, rule, regulation or order of any governing authority having jurisdiction over the University (specifically including without limitation the University's Board of Trustees) (b) any change in applicable constitution, bylaws, regulations or policies of the NCAA or any athletic conference in which the University is a member (an "Athletic Conference"), (c) any change in any NCAA and Athletic Conference policies and agreements, (d) any change in policy or practices of the University or its Athletic Department related to the licensed rights, including without limitation any restrictions or limitations on the nature of permissible categories for which Learfield may sell sponsorships, or (e) any other change in restrictions or impairments upon Learfield's exercise of its sponsorship or related rights with respect to the licensed rights caused by actions of the University, its employees, agents or anyone affiliated with the University (which action is previously approved by the University). For purposes of this section, a "Conference Change" means a change in the University's Athletic Conference affiliation or a material change in the nature of the Athletic Conference, whether because of (i) the

³ In the event that during the Term, the University becomes a member of a "Power 5" conference or the American Athletic Conference, the parties will meet and discuss potential modifications to the terms of this LOA.

University's withdrawal or departure from an Athletic Conference with which it is a member or (ii) the Athletic Conference disbands or merges with another conference) or (iii) there are more than two (2) member changes in the Athletic Conference's membership within any twenty-four (24) month period (whether voluntary or involuntary departure or whether additions or contractions) and as a result, Learfield's rights hereunder are negatively impacted;

- vii. If, during the Term, the University and/or its athletics program is the subject of Material Adverse Publicity (as defined below), whether due to sanctions by the NCAA for major violations in its athletic programs or otherwise, which Material Adverse Publicity materially diminishes or restricts Learfield's ability to retain or obtain sponsorship agreements or to otherwise exercise the licensed rights. For purposes of this section, "Material Adverse Publicity" means public attention or scandal in the form of television, print media, internet news reports, or other public news reporting, after the date hereof, that arises from and relates to activities, conduct, investigations or situations on campus at the University or affecting or relating to the University's athletic programs and which public attention or scandal is of such a negative or adverse nature that sponsors or potential sponsors are prompted to discontinue sponsorships or the pursuit of new or replacement sponsorships as a result of not wanting to be associated with the negative image or scandal; provided, however, that such Material Adverse Publicity must not have been directly caused by any act or omission of Learfield or its employees or subcontractors; or
- viii. If, during the Term, a University athletic team refuses and fails to play a scheduled regular season game, an NCAA Basketball Tournament game, a National Invitation Tournament (NIT) game or a post-season football game for which it is eligible (with the exception of a bowl game after a season in which the University's football team finished with fewer than six (6) wins); provided, however, that such failure to play a game must not have been directly caused by an act or omission of Learfield or its employees or subcontractors.

F. Additional Consideration. In addition to the Guaranteed Rights Fee and any payments of a percentage of AGR above the AGR Threshold Amounts, Learfield will provide University with the following additional consideration:

- i. Signing Bonus. Learfield will make a signing bonus payment to the University in the amount of \$100,000 during the 2017-18 Athletic Year.
- ii. Trade. During each Athletic Year of the Term, Learfield will endeavor to provide mutually agreed-upon trade (goods or services requested by University in exchange for sponsorship rights) to the University's athletic department in the amount of \$200,000. If Learfield provides University's athletic department with trade benefits in excess of \$200,000 in any Athletic Year, University will pay Learfield a commission of fifty percent (50%) of such excess. In the event that Learfield fails to provide University's athletic department with trade benefits in the amount of \$200,000 in any Athletic Year, the parties may meet and discuss in good faith a strategy for securing a greater amount of trade benefits during the following Athletic Year.
- iii. Stadium Suite. Each Athletic Year during the Term, University will provide Learfield exclusive use of a suite in the Stadium throughout the entire football season, along with twenty (20) tickets and five (5) parking passes for full, exclusive use of the suite. Such exclusive use will be provided to Learfield, at no cost to Learfield, during each of the 2017-18, 2018-19 and 2019-20 Athletic Years. During each of the 2020-21, 2021-22, 2022-23,

2023-24, 2024-25, 2025-26 and 2026-27 Athletic Years, Learfield will pay University \$25,000 for such exclusive use of the suite and the tickets and parking passes. Throughout the Term, Learfield shall be responsible for catering expenses associated with its use of the aforementioned suite.

- G. Official Athletic Internet Site (“OAS”) and Internet Video Streaming and e-Commerce. Upon the termination or expiration, whichever is earlier, of its current OAS contract with CBSi Advanced Media, the University will give strong consideration to enter into a new OAS contract with Learfield’s affiliated entity, SIDEARM Sports, LLC (“SIDEARM”). University agrees to incorporate at least three (3) advertising units on each page of the OAS in the next redesign of the OAS.

The University hereby grants to Learfield the exclusive rights to all revenue-generating opportunities (including any third party royalties or fees, but excluding revenue generated from the sale of merchandise), which now or at any time during the Term may exist on the University’s OAS, including, but not limited to, (i) on-line video streaming of athletic events on the OAS and the fees attributable thereto, and (ii) all rights to sell sponsorships in the form of company logos and messages on University’s OAS, audio and visual streaming of sponsorship messages and direct internet access to other websites, the right to make use of social media platforms including the University’s athletic department’s (official and institutional) Facebook, YouTube and Twitter presences and the right to use and monetize the University’s athletic department’s content which University agrees to supply to Learfield at no cost to Learfield. Learfield and the University will discuss in good faith any guidelines related to the use of social media platforms. The University shall, at its sole cost and expense, be responsible for all expenses related to the OAS. University shall have the right to broadcast on the OAS, free of charge to viewers, select, one-time events (e.g., signing day events, press conferences announcing new hires). University agrees that all live sporting events, regularly scheduled press conferences, and other similar events will be behind a pay wall.

University’s OAS, which shall include all official digital platforms, will be produced by the University throughout the Term. University agrees to incorporate advertising units on each page of the OAS. Editorial content on the OAS shall be controlled by University. All audio programming produced by Learfield, and subject to University approval, may be aired and distributed by Learfield through the OAS. University may use its own “Apps” (i.e., a specialized program using software that can be run on the Internet, on a computer, on a smart phone, tablet or other electronic device) for its athletic teams to be used on mobile devices, tablets and computers for recruiting and similar purposes but in no event shall University Apps contain or reference any commercial sponsorships of any kind or be monetized in any manner. Learfield may on its own, or through third parties, create and monetize its own Apps using University’s athletic department’s game clips, highlights and live audio of athletic events. Learfield and the University will meet and discuss in good faith potential uses of University’s athletic department’s game clips, highlights and live audio of athletic events in its Apps.

- H. Trademark Licensing Services. In the future, University will give strong consideration to entering into a new licensing agreement with Learfield Licensing Partners, LLC (“LLP”) as its exclusive trademark agent
- I. ANC. Upon execution of this LOA, University will give consideration to engaging ANC Sports Enterprises, LLC (“ANC”) to provide any new signage in any University owned or controlled athletic facility and to be the ongoing content provider for such new signage, but University is not required to use ANC.

- J. Ticketing. Upon execution of this LOA, the University will give consideration to entering into a ticketing agreement with IMG Learfield Ticket Solutions, LLC (“IMGLTS”).
- K. Extended Business Lines. During each Athletic Year of the Term, Learfield will devote sponsorship inventory it values at no less than \$50,000 to promoting the services offered by Learfield’s extended business lines (i.e., SIDEARM, LLP and IMGLTS), so long as University maintains partnerships with at least two (2) of Learfield’s extended business lines throughout the Term.
- L. Broadcast Crew Compensation and Travel. Learfield will employ at its expense the radio on-air talent of the broadcast crew for football and men’s and women’s basketball games. University will provide Learfield space on the team’s charter transportation for up to four (4) broadcast personnel (including on-air talent) for football games and up to two (2) broadcast personnel (including on-air talent) for men’s and women’s basketball games. If space on the team’s charter transportation is not available for football or men’s or women’s basketball games, University will be responsible for providing Learfield with commercial travel for those games. Learfield will be responsible for all other transportation expenses (including all lodging and incidental expenses) for broadcast personnel.
- M. Television/Streaming. If the broadcast of live and/or delayed television play-by-play for football or men’s or women’s basketball games are not subject to restrictions of the Athletic Conference, the NCAA or a network agreement involving the Athletic Conference, University will grant Learfield the exclusive right to such broadcasts. The University shall grant to Learfield, and shall not grant to any other third party, the right to stream audio and video broadcasts of University games and shows on the Internet. All advertising and sponsorship rights retained by University in connection with television/streaming broadcasts shall be granted exclusively to Learfield. Learfield and the University will discuss, on a case by case basis, each party’s responsibility for new streaming or television production expenses that may arise during the Term.
- N. “Beyond the Green”. Learfield shall have the exclusive right to produce the “Beyond the Green” show and shall retain all sponsorship and advertising sales therefrom. Learfield shall be responsible for all expenses related to the production of the show. In the event that the University requests Learfield produce any other show featuring a coach of an athletics program, Learfield need only broadcast such show if in its reasonable determination the broadcast of such show is economically feasible.
- O. Radio. Learfield will create and administer a Mean Green Radio Network and will make and cause to be made live radio, high-definition radio broadcasts of all regular season and post-season games for football and men’s and women’s basketball and, at Learfield’s option, (i) exhibition games for football and men’s and women’s basketball, (ii) basketball events such as Midnight Madness and (iii) collegiate sports other than football and men’s and women’s basketball. All costs associated with the Mean Green Radio Network will be the responsibility of Learfield.
- P. Tickets/Parking Passes. Each Athletic Year during the Term, University will provide Learfield, at no cost to Learfield, (i) the same number of tickets (in the same locations) provided by University for football and men’s and women’s basketball games and other athletic contests to its sponsors and advertisers during the 2016 – 2017 Athletic Year, (ii) sixteen (16) club seats in the Stadium for each football game and (iv) exclusive use of the 5th Floor press box party deck of the Stadium (including the outdoor open area and Special Events Room 5213) for each football game (pre-game, in-game and post-game), along with tickets (minimum of forty (40) per game) and parking passes (one parking per four guests) (collectively, the “Base Ticket Amount”). If the 5th floor party deck

is removed, University will provide Learfield with alternative, mutually agreed upon space. All expenses associated with the 5th floor party deck, including the outdoor open area and Special Events Room 5213, (tables, chairs, seating arrangements, catering, décor, etc.) will be the responsibility of Learfield. Capacity of the 5th floor party deck will be reasonably determined by the University. Learfield shall have the right to purchase additional regular season tickets (beyond the Base Ticket Amount) at fifty percent (50%) of face value. Learfield will also have the right to purchase at face value tickets to the post-season games, tournaments, conference championships and other championship games in which a University team participates. Each Athletic Year during the Term, University will provide Learfield, at no cost to Learfield, (i) not less than the same number of parking passes which are provided to University's sponsors during the 2016 – 2017 Athletic Year (the "Base Parking Amount"). Learfield shall have the right to purchase additional parking passes (beyond the Base Parking Amount) at full price.

- Q. Staff Tickets/Parking Passes. In addition to the ticket allotment set forth in Section P above, throughout the Term, University will, at no cost to Learfield, provide Learfield staff members with sufficient access and parking passes to University athletic contests, to perform all duties necessary.
- R. Hospitality. At no additional cost to Learfield, University will provide Learfield access to all hospitality areas that are currently utilized to fulfill advertising/sponsorship agreements.
- S. Coaches Talent Fees. Because coaches are University employees, it is at the University's discretion (and cost) if coaches receive any additional compensation for appearances/endorsements related to the Multi-Media Rights. Coaches' appearance fees for radio/television broadcasts are included in Learfield's annual Guaranteed Rights Fee and will be paid at University's discretion to its coaches. However, in the event a coach is asked to participate in a commercial, such participation will be subject to the coach and the sponsor agreeing on compensation for such participation, and such fee shall be paid by the sponsor.
- T. Office Space. University will provide, at no additional cost to Learfield, suitable office space (two private offices and a third additional space in close proximity to the two private offices) for three Learfield personnel within or proximate to the University's athletic department. University shall also provide technology infrastructure, and furniture such as desks, chairs, phones, email access and internet access. If Learfield desires to expand its staff solely to improve its ability to carry out its responsibilities under this LOA/the Long-Form Agreement, subject to availability, University shall provide Learfield with additional office space in reasonable proximity to the University's athletic department. University parking permits and the associated costs will be the responsibility of Learfield.
- U. Traditional Athletic Department Expenditures. Throughout the Term, University will continue to pay for "traditional" athletic department expenditures associated with sports marketing, such as video board and scoreboard maintenance, media guide production, official athletic website hosting and maintenance (as identified in the OAS agreement), coaches' talent fees, ticket promotional materials and advertising, merchandising, facilities operations and event operations.
- V. Print Publications (e.g., Programs). University will be responsible for the content, photography, layout and design of each publication. The parties will be mutually responsible for cover design. Throughout the Term, the University will continue to pay all printing expenses associated with a mutually agreed upon number (such number to be consistent with past practice) of men's and women's basketball programs, schedule cards and posters. Learfield will pay all printing expenses associated with a mutually agreed upon number (such number to be consistent with past practice) of football programs. Learfield will retain all sponsorship and advertising sales revenue from

football and men's and women's basketball programs (and any other athletics program), and such amounts will included in the calculation of AGR. In the event that the University decides to sell football programs, a to-be-determined number of such programs will be provided free of charge to media, visiting teams and suite holders, and Learfield will retain all revenue from the sale of all other programs.

- W. University Logos and Marks ("Marks"). Throughout the Term, Learfield and its sponsors may use University Marks on a royalty-free basis with regard to any promotion, sponsorships, commercial endorsements or any other marketing activities covered by this LOA. The use of University Marks requires University's prior written approval.
- X. Rivalry Series. University and Learfield will cooperate in the development of a corporate-sponsored rivalry series with the sponsorship and promotional rights for any agreed upon rivalry series belonging exclusively to Learfield.
- Y. Coaches' Endorsements. Learfield will have the opportunity to make use of University football and basketball coaches for sponsored events and sponsor interactions as mutually agreed upon by both parties during each Athletic Year of the Term at no cost to Learfield. University will ensure that the head football coach and head basketball head coach provide sponsor appearances at no cost to Learfield. University will not allow its coaches to participate, directly or indirectly, in the endorsement of any products or services except for those products or services offered by Learfield's University-specific advertisers or sponsors.
- Z. Arena/Stadium Use. During each Athletic Year, Learfield will have the right to make use of agreed upon areas of the Arena and the Stadium for sponsor events and sponsor interactions at no cost to Learfield. Space will be provided at no cost but all incidental expenses related to the activation will be the responsibility of Learfield.
- AA. Naming Rights Areas and Donor Contributions. If as a result of a New Naming Rights Agreement or a Donor Contribution, Learfield (i) loses any of its sponsorship rights or sponsorship inventory related to an athletic facility, (ii) loses revenue under a sponsorship or a potential sponsorship or (iii) is in breach of an agreement with a sponsor, a Diminishing Event shall have occurred and the process for a Diminishing Event shall be followed. In the case of Learfield being in breach of an agreement with a sponsor, Learfield and the University shall negotiate in good faith to make Learfield whole for the breach which will include any refund, credit or damages owed by Learfield to the sponsor(s). University acknowledges and agrees that making Learfield "whole" could involve a remedy that covers more than one Athletic Year depending upon the value of the sponsor to Learfield, whether the sponsor was granted exclusivity in a sponsorship category and the term of the sponsorship agreement with such sponsor(s).

The parties agree that, other than with respect to such New Naming Rights Agreement or Donor Contribution, neither the University nor anyone acting on its behalf will enter into any other agreement with any third party granting such person or entity rights similar to those granted or licensed to Learfield under this LOA, unless Learfield agrees in writing on a case-by-case basis. University also agrees that any and all sponsorship and promotional opportunities with respect to University athletics or its teams during the Term will be granted only in connection with a corporate sponsorship agreement through Learfield pursuant to the provisions of this LOA.

Should the University decide to obtain a naming rights partner for any of its athletic facilities, University shall give Learfield the right of first offer to provide consulting and other services in

connection with obtaining a naming rights partner with the compensation for such services to be mutually agreed upon prior to Learfield providing such services.

During each Athletic Year, Learfield shall have the right to create areas of congregation in the Arena, in the Stadium and in other University athletic facilities that can be used as a game day related naming rights opportunity for a sponsor, upon University's prior written approval subject to existing agreements. Expenses associated with the creation of these areas will be the sole responsibility of Learfield.

For purposes of this section, "New Naming Rights Agreement" means any agreement entered into after the date of this LOA by the University granting naming rights to any Person for any part or all of an athletic facility.

For purposes of this section, "Donor Contribution" means a contribution of money or other valuable consideration made to the University or the University's athletic department by a person or corporate entity which results in that person's or corporate entity's name being placed on, in or around an athletic facility which can be seen or viewed by the general public. For the avoidance of doubt and clarification, a Donor Contribution does not include a contribution to University or the University's athletic department by any Person whose name appears only in the non-public viewing areas of an athletic facility such as the basketball coaches' lounge, the weight room or the media room. The Person whose name appears in a non-public viewing area may not under any circumstance include Multi-Media Rights that have been exclusively granted to Learfield under this LOA. The granting of any Multi-Media Rights to that Person shall constitute a Diminishing Event and the process for a Diminishing Event shall be followed.

For purposes of this section, "Person" means an individual, a sole proprietorship, a partnership (general or limited), a corporation, a limited liability company, an association, a joint stock company, a trust, a foundation, a joint venture, an unincorporated organization or any other business entity.

BB. Existing Sponsorship Agreements. All athletics sponsorship agreements between the University and a sponsor whose term extends beyond August 31, 2017 ("Existing Sponsorship Agreements") shall be assigned by University to Learfield who will manage and service them with all of the net revenue collected therefrom belonging to Learfield and included in the calculation of AGR. University will continue to provide all benefits such as tickets and signage to sponsors under Existing Sponsorship Agreements. University shall use its best efforts to collect all outstanding revenue from Existing Sponsorship Agreements before August 31, 2017. Beginning on September 1, 2017, University shall provide Learfield with a monthly report on the status of collections. Beginning on September 1, 2018, Learfield shall retain all outstanding revenue from Existing Sponsorship Agreements.

CC. Retained Agreements. The University's exclusive sponsorship agreements in the apparel and pouring rights categories (if any) shall be retained by University (the "Retained Agreements") with all of the revenue from apparel agreements belonging to University and all revenue from the pouring rights agreements belonging to Learfield. In exchange for Learfield providing the University's pouring rights provider benefits valued at no less than \$300,000 during each Athletic Year of the Term, Learfield and the University mutually agreed that no less than \$300,000 shall be deducted from the Guaranteed Rights Fee each Athletic Year of the Term. If Learfield is required to provide a sponsor under a Retained Agreement additional benefits such as signage beyond those that presently exist in the Retained Agreements, Learfield will provide them, if the additional benefits are available, at a cost to be mutually agreed upon and when agreed upon, deducted from

the Guaranteed Rights Fee each Athletic Year of the Term. Learfield shall have the right to upsell sponsors under a Retained Agreement.

- DD. Excluded Categories. Learfield may not sell a sponsorship which promotes: (i) the sale of tobacco products, but may sell a sponsorship that includes the industry growers' responsibility messaging, (ii) sexually explicit products or services, or (iii) material that is defamatory, obscene, profane, vulgar or otherwise considered socially unacceptable or offensive to the general public or may cause harm to student athlete health, safety or welfare. Learfield shall be permitted to and shall have the exclusive right to sell sponsorships in all other categories. For the avoidance of doubt, Learfield shall be permitted to and shall have the exclusive right to sell sponsorships in the beer category. Learfield shall be in constant communication with University's athletic director regarding potential new or renewal agreements in the alcohol and casino categories. All details related to agreements in the alcohol and casino categories will be submitted to the athletic director for review and, if necessary, adjusted before Learfield may move forward with such agreements.
- EE. Ryan Financial Sponsorship Agreement. Upon the expiration or termination (whichever is earlier) of the University's agreement with Ryan Financial, Learfield shall have the exclusive right to all sponsorship benefits previously provided to Ryan Financial. In the event that the University's agreement with Ryan Financial is renewed beyond their existing terms and Learfield is required to provide Ryan Financial benefits, Learfield will provide them, if the benefits are available, at a cost to be mutually agreed upon and when agreed upon, deducted from the Guaranteed Rights Fee each Athletic Year of the Term. Learfield shall have the right to upsell Ryan Financial.
- FF. Stadium Naming Rights. Learfield will continue to provide Apogee with the benefits described in Apogee's agreement with the University (the "Apogee Agreement"). Upon the expiration or termination of the Apogee Agreement, the University may include the benefits currently being provided to Apogee in any future agreement for the naming rights to the Stadium ("Stadium Naming Rights Agreement"); provided, however, that Learfield and the University shall discuss in good faith modifications to such benefits before they are included in such Stadium Naming Rights Agreement. If Learfield is required to provide Apogee with additional benefits, such as signage, beyond those that presently exist in the Apogee Agreement, Learfield will provide them, if the additional benefits are available, at a cost to be mutually agreed upon and when agreed upon, deducted from the Guaranteed Rights Fee each Athletic Year of the Term. Learfield shall have the right to upsell Apogee.
- GG. Fouts Signage. If as a result of the removal of the Fouts signage, Learfield has lost or may lose revenue under a sponsorship, the University and Learfield will discuss in good faith alternative signage opportunities or additional inventory ideas in an effort to assist Learfield.
- HH. Binding Effect. **This LOA, when fully executed and delivered, shall be a binding and legally enforceable contract, upon which we may each rely.** The parties will work in good faith to promptly finalize and execute a long-form Multi-Media Rights Agreement incorporating the terms of this LOA that will continue (the "Long-Form Agreement"). The parties will endeavor to have a Long-Form Agreement finalized and executed within 90 days from the date of this LOA. Until such time as the Long-Form Agreement is finalized and executed, this LOA shall serve as the binding agreement between the parties with respect to the subject matter hereof. To the extent there is a conflict between the Long-Form Agreement and this LOA, the Long-Form Agreement shall control.
- II. Counterparts. This LOA may be executed in counterparts by facsimile or electronic signature, each of which shall be deemed an original and each counterpart together shall constitute one document.

JJ. Entire Agreement. This LOA constitutes the entire agreement between the parties and supersedes all other agreements, arrangements and understandings with respect to the subject matter hereof.

[Signature Page Follows]

If the foregoing is in accordance with your understanding, please sign one copy of this LOA and return it to me by electronic mail (.pdf). We look forward to a successful relationship.

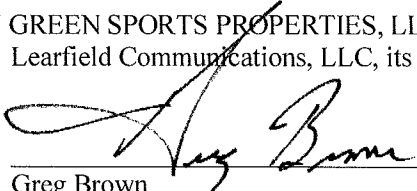
GO MEAN GREEN!

Sincerely,

MEAN GREEN SPORTS PROPERTIES, LLC

By: Learfield Communications, LLC, its Member

By:



Greg Brown
President and Chief Executive Officer

Accepted and Agreed by:
UNIVERSITY OF NORTH TEXAS

By:

Wren Baker
Vice President/Director of Athletics

By:

Neal Smatresk
University President

If the foregoing is in accordance with your understanding, please sign one copy of this LOA and return it to me by electronic mail (.pdf). We look forward to a successful relationship.

GO MEAN GREEN!


Sincerely,

MEAN GREEN SPORTS PROPERTIES, LLC

By: Learfield Communications, LLC, its Member

By: _____
Greg Brown
President and Chief Executive Officer

Accepted and Agreed by:
UNIVERSITY OF NORTH TEXAS

By:  _____
Wren Baker
Vice President/Director of Athletics

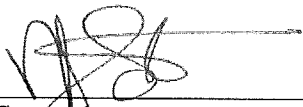
By:  _____
Neal Smatresk
University President

EXHIBIT A
EXCLUSIVE WORLD-WIDE MULTI-MEDIA RIGHTS

University grants Learfield the exclusive, world-wide multi-media athletic rights as indicated in the body of the LOA during the Term set forth therein, subject to the terms and conditions of the LOA. In addition to the rights set forth in the body of the LOA, Learfield's Multi-Media Rights include all commercially viable and marketable rights around University athletics, including, but not limited to all radio programming (live play-by-play, coaches' call-in and magazine shows, daily reports, webcasts, satellite rights, etc.), certain television rights (coaches' television shows), publishing (game day programs, official newspapers, schedule cards, schedule posters, etc. including at-event sales), OAS, hospitality, promotions and at-event impact opportunities (Fan Fest-type events, headsets, backdrops, field goal nets, sideline rights, bench rights, sampling, giveaways, contests, etc.), all athletic venue signage and promotion, use of certain marks and logos on a non-exclusive basis, etc.

These rights include, but are not limited to, the following:

- **Football and Men's Basketball Game Programs/Roster cards**
- **All Other Sports Programs/Roster cards**
- **Official Athletic Publication**
- **Apogee Stadium Advertising and Sponsorship:**
 - Electronic ribbon-board fascia displays
 - Temporary signage
 - Videoboard sponsorship displays and promotions at all events
 - Tarps (on sidelines and/or end zone)
 - Team entry canopy signage (if available)
 - Public Address announcements at University athletic events
 - Press conference backdrops
 - Coaches' headsets
 - Video board features, promotions, replay swipes, PSAs and billboards
 - Cold air balloon signage if and when available
 - Sideline equipment crates
 - Sideline cooling systems
 - Sideline employees (e.g., chain crew, managers, etc. clothing and equipment, if available)
 - Team Benches
 - Play Clock(s)
 - Mobile Applications and Wi-Fi Access/Splash Pages
 - Video board features, promotions, replay swipes, PSAs and billboards
 - Virtual Signage rights during telecasts, subject to any rights retained by the broadcasting entity (e.g., GHSPN)
 - Main Scoreboard panels or positions
 - Any sideline and end zone sponsorship panels
 - Scoreboard tri-vision panels
 - Field-level signage and banners
 - Message Center Displays
 - Concourse Displays and signage
 - Plaza Areas
 - Stadium Gates and entrances
 - Marquee/video display outside of the Stadium
 - Goal Post padding signage
 - Digital Ribbon Board signage
 - Television monitors and screens

- Restroom signage
- The sponsorship sales rights for plastic cups, cup holders, souvenir cups, food containers, napkins, plates, wrappers and the like
- New Signage
- Elevators in the Stadium
- Lobby Areas in the Stadium
- Learfield shall have the right to place logos on the field in the Stadium, subject to University approval
- Learfield shall have the right to place logos on the gates of the Stadium, subject to University approval
- Other opportunities as reasonably approved by the University
- **UNT Coliseum Advertising and Sponsorship:**
 - All digital signage located in or about the Arena including the main scoreboard ad panels, auxiliary boards, and fascia
 - Entrance or exit displays
 - Rights to University's main scoreboard ad panels, auxiliary boards and fascia
 - Rights to LED displays
 - Any scorer's table, press row or baseline table sponsorship panels (rotational digital or static)
 - Team bench signage, including chairbacks and kick plates
 - Message center displays
 - Video sponsorship displays
 - Public address announcements
 - Team entry canopies/signage
 - Basketball goal post padding subject to applicable requirements, including without limitation University, Conference or NCAA rules, regulations and policies (collectively, "Applicable Rules")
 - Backboard supports
 - Playing surface logo opportunities (based on Athletic Conference and NCAA rules and limitations)
 - Shot clock sponsorship panels subject to Applicable Rules
 - Static signage opportunities in and around concession areas, facility entries/exits, lobbies, restrooms, concourses, portal entries/exits into seating areas
 - Concourse, concession and lobby tabling and displays
 - Temporary or permanent ad displays for special events
 - Courtside, rotational and permanent signage
 - Mezzanine permanent and rotational signage
 - End-wall permanent and rotational signage
 - Plastic souvenir cups and concession (food) containers subject to University's existing agreements with its pouring rights partner and/or concession provider(s) and any other applicable requirements, including, without limitation, Athletic Conference or NCAA rules, regulations and policies.
 - LED and LDP displays
 - University, opposing team and scorer's table chair back sponsorship
 - Press Backdrop
 - Blimp signage
 - Elevators in the Arena
 - Lobby Areas in the Arena
 - All concourse signage (including banners). Use of current University-branded backlist signage must be approved by the University
 - Learfield shall have the right to place logos on the court in the Arena, subject to University approval
 - Other opportunities as reasonably approved by University
- **Other Sports Venues (any location used for intercollegiate events, both existing and future buildings):**
 - Main scoreboard ad panels

- Temporary signage
- Any sideline and end-line sponsorship panels
- Message center displays
- Public address announcements
- University and opposing team bench and dugout signage
- Field fence panel signage
- Temporary or permanent playing surface logo opportunities
- Static signage opportunities that either currently exist or which Learfield may elect to sell in and around concession areas, facility entries/exits, restrooms, concourses, portal entries/exits into seating areas
- Temporary signage and displays for special events
- Sideline equipment
- Plastic souvenir cups and concession (food) containers subject to University's existing arrangements with its pouring rights partner and/or concession provider(s) for all facilities and any other applicable requirements, including without limitation University, Athletic Conference (or any other conference with which University is affiliated during the Term) or NCAA rules, regulations and policies
- Press Backdrop (subject to University's existing arrangements)
- Elevators
- Lobby Areas
- Other opportunities, subject in each case to prior approval by University
- **Other Athletic Facility Scoreboard and/or Videoboards**
- **Athletic At-Event Hospitality**
- **Athletic At-Event Impact (all sports and sports venues)**
 - Product Displays
 - Sampling, Couponing and Product Distribution
 - Title and Presenting Sponsorships as approved by University, which approval will not be unreasonably withheld, delayed or conditioned
 - Pre-Game, Post-Game, Half-Time and Timeout Promotions, Contests, Mascot Appearances, Corporate Recognition/Presentations and/or Giveaways
 - Tailgate Areas/Fan Fair
 - Varsity Team Tournaments and Special Events
 - Any additional or new at-event impact opportunities
- **Mean Green Sports Radio Network (all current and future forms of distribution)**
 - Radio Play-by-Play
 - Coaches' Radio Call-in Shows
 - Daily Report
 - Podcasts
 - Satellite and National Radio
 - Any additional or new programming or distribution
- **Television Programming**
 - Daily Report and/or Coaches' Shows
 - Pre-Season/Post-Season Specials, etc.
 - Any additional or new television programming not subject to Conference or network agreements
- **Miscellaneous Sponsorship Opportunities**
 - Schedule Cards, Posters and Ticket Backs
 - Sponsor IDs, In-Ticket Promotions, Brochures and Advertising Media
 - Media Guides
 - Ticket Mailer Inserts
 - Athletic Ticket Envelopes
 - Kids Club Sponsorship

- Email Blasts or linkable factors within existing University combined messages
- Athletic Ticket Envelopes
- Media Backdrops
- Official (Advertising Category Exclusive) Sponsorships
- Royalty-free Use of Marks and Logos for sponsorships and promotions but not for sale of a product at retail
- Any additional or new broadcast, print and/or internet programming
- E-commerce (including but not limited to apparel, merchandise, DVDs, memorabilia, publications, photos, videos, auctions) should any or all become available during the Term
- Live and Archived Audio/Video Subscription-based Streaming
- Live Stats should it become available during the Term
- E-Newsletters
- **Official Athletic Internet Site**
 - All revenue-generating sponsorship opportunities, which now or at any time during the Term may exist on University's OAS, including, but not limited to, all rights to sell sponsorships in the form of company logos and messages on University's OAS, audio and visual streaming of sponsorship messages and direct internet access to other websites
 - The right to make use of social media platforms including University's Facebook, You Tube and Twitter
 - The right to use and monetize University's Content (University game clips, highlights and live audio of all University athletic events) permitted under current Athletic Conference rules which University agrees to supply to Learfield at no cost to Learfield
- **Digital Media Rights**
 - All sponsorship rights associated with all University official athletic platforms including browser-based websites, mobile web and mobile applications, social media channels such as Facebook, Twitter and Instagram, e-mail and other digital marketing, in-venue digital screens and platforms and all digital distribution of Content ("Digital Media Rights").
 - Right to represent University in all advertising and sponsorship opportunities related to any University IPTV system or Wi-Fi/DAS system installed during the Term in any University-owned athletic facility and to determine the provider of such services to the extent such rights are available to University.
 - Coaches' shows.
- **Mobile/Wireless**
 - Advertising in all forms
 - Live and Archived Audio/Video Subscription-based Streaming
 - Live Stats
 - Messaging (including but not limited to SMS, MMS, Alerts, Contests, Coupons, Polling, Ringtones, Wallpaper)
 - Mobile Website
 - Mobile Apps and Wi-Fi Access/Splash Pages
- **Business-to-Business** – While Learfield's Multi-Media Rights do not include the right to sell sponsorships in connection with University's campus-wide business relationships ("Campus-wide Opportunities"), University recognizes that Learfield's marketing capabilities can provide additional sources of revenue to University that might not otherwise be obtained but not for Learfield's involvement. University therefore agrees to strongly consider working with Learfield to establish a business relationship which allows Learfield to obtain Campus-wide Opportunities for University, but University shall not be obligated to do so.
- **Merchandising Opportunities**
 - Affinity Products and Specialty Merchandise
 - Highlight Videos/CDs/DVDs from seasons covered by the Term



Title: Delegation of Authority to Extend Agreement with Improving Enterprises

Background:

In September 2011, UNT Health Science Center (UNTHSC) was awarded a grant from the National Institute of Justice (NIJ), through the U.S. Department of Justice, to manage and administer the National Missing and Unidentified Persons System (NamUs) through FY2012. This award was extended each year through FY2016, and in September 2016, a new award was made to UNTHSC to manage NamUs through FY2017.

The FY2015, 2016, and 2017 NamUs awards all included funding to upgrade the existing NamUs software technology, a project referred to as NamUs 2.0, and to create a brand new NamUs Critical Incident (CI) system to assist emergency responders tasked with victim accounting and victim identification needs arising from natural disasters, terrorist attacks, and other critical incidents. On November 19-20 of 2015, the Board of Regents authorized UNTHSC to enter into an agreement for twelve months of programming services in support of the NamUs 2.0 project. UNTHSC's selected vendor, Improving Enterprises, began development work in January 2016.

UNTHSC would like to extend its contract with Improving Enterprises for twelve additional months of software design and development services. UNTHSC is not seeking an increase in the maximum amount to be spent on this contract, which is capped at \$2,400,000.

Financial Analysis/History:

Revenue from the NamUs award was \$2,600,000 in FY12 and grew to \$5,000,000 in FY16. An additional award of \$4,700,000 was received for FY2017, making a total of \$21,000,000 in awards to UNTHSC to manage NamUs and deliver new NamUs technologies to stakeholders.

Revenue under the FY2017 NamUs award includes \$1,870,838 designated for the NamUs 2.0 and CI projects, and an additional \$500,000 remaining from FY2016 to be utilized for the NamUs 2.0 and CI projects, for a total of \$2,370,838. This upgrade project is completely grant funded.

Successfully completing planned elements of the NamUs 2.0 upgrade project in FY2017 will significantly increase the likelihood of continued NamUs awards to UNTHSC, with additional funding for continued system enhancements after the first market releases of NamUs 2.0 and CI.

Gregory R.
Anderson

Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, o=University of
North Texas Health Science Center,
ou=Executive Vice President/CFO,
email=gregory.anderson@unthsc.edu, c=US
Date: 2017.05.05 10:29:35 -05'00'

Institution Chief Financial Officer

**Janet
Waldron** Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT
System, ou=Vice Chancellor for
Finance,
email=janet.waldron@untsystem.
edu, c=US
Date: 2017.05.08 09:44:32 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas
System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.05.11 10:14:26 -05'00'

Vice Chancellor/General Counsel

Schedule:

Extension of contract for twelve additional months.

Recommendation:

It is recommended that the UNT System Board of Regents delegate authority to the Chancellor to extend the agreement with Improving Enterprises for the NamUs 2.0 and CI software development project for twelve additional months.

Recommended By:

Claire Peel
Interim Provost

**Dr. Michael
R. Williams** Digitally signed by Dr. Michael R.
Williams
DN: cn=Dr. Michael R. Williams,
o=UNT Health Science Center,
ou=President,
email=michaelwilliams@unthsc.
edu, c=US
Date: 2017.05.05 11:40:12 -05'00'

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: 2017.05.09 17:32:32 -05'00'

Chancellor



Board Order

Title: Delegation of Authority to Extend Agreement with Improving Enterprises

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Health Science Center (UNTHSC) provides daily management and administration of the National Missing and Unidentified Persons System (NamUs), and

Whereas, the NamUs system is in need of a technology upgrade and UNTHSC has been awarded the funds to manage and complete the NamUs 2.0 and Critical Incident software development project, and

Whereas, UNTHSC desires to extend its agreement with Improving Enterprises for twelve additional months of software design and development services to complete the planned NamUs technology upgrades,

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

1. Delegation of authority to the Chancellor to extend the agreement with Improving Enterprises for software design and development services to support the National Missing and Unidentified Persons System (NamUs) 2.0 and Critical Incident software development projects for up to twelve additional months.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Authorization to Serve on Outside Board

Background

In August 2016, in compliance with Regents Rule 05.800, *Service on Outside Boards*, the Board authorized Lawrence E. (Joe) Allred, PhD, UNTHSC Associate Vice President for Research and Innovation, to serve on the board of Cx Precision Medicine, Inc., and it was determined that his service on this board is of substantial benefit to UNTHSC and UNT System. Dr. Allred will retire from UNTHSC on May 31, 2017.

UNTHSC seeks to receive board authorization for Gregory R. Anderson, Executive Vice President for Finance and Chief Financial Officer (CFO) to replace Dr. Allred as UNTHSC's appointee to the Cx Precision Medicine, Inc. board.

UNT Health Science Center owns intellectual property developed by Dr. Sid O'Bryant and other co-inventors related to the diagnosis and treatment of Alzheimer's disease. These technologies are in the process of being licensed into a new company, Cx Precision Medicine, Inc. (Cx) that is being formed expressly for the purpose of commercializing those technologies by bringing the goods and services the technologies will enable, into the commercial practice of healthcare. Because of the work done in the creation and founding of the new company and the licensing of technologies into the company, UNTHSC will own an initial amount of equity in the form of common stock equivalent to about 34% of the total issued shares prior to the first major round of funding.

The benefits UNTHSC will receive from Mr. Anderson's service on the Cx board will derive directly from his ability to represent the interests of UNTHSC and assist in supporting the success of Cx consistent with his responsibilities as an employee of UNTHSC and the fiduciary responsibilities of being a member of a board of directors. UNTHSC will derive substantial financial benefits resulting from the success of the company due to the relatively large amount of equity and royalties that will be earned from the commercialization of the licensed technologies from UNTHSC. The success of Cx will likely also result in sponsored research back into UNTHSC and result in a significant enhancement of public reputation for a high quality of science at UNTHSC. Mr. Anderson would serve on the board in the course and scope of his employment in his position at UNTHSC and would receive no compensation for these services.

Financial Analysis/History:

UNTHSC invested more than \$100,000 in the accumulated intellectual property protection of Dr. O'Bryant's multiple technologies and a substantial amount of time and effort by the Office of Research Development and Commercialization. Cx Precision Medicine will assume the ongoing costs of the patenting expenses and will reimburse the sunk-in expenses upon receiving at least \$3 million in capital funding.

Gregory R.
Anderson

Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, o=University
of North Texas Health Science Center,
ou=Executive Vice President/CFO,
email=gregory.anderson@unthsc.edu, c=US
Date: 2017.05.09 08:50:48 -05'00'

Institution Chief Financial Officer

Janet
Waldron

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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2017.05.12 10:24:05 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas
System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.05.12 09:48:48 -05'00'

Vice Chancellor/General Counsel

Schedule:

Immediately upon Board approval

Recommendation:

The President recommends that the Board of Regents find that service by Mr. Gregory R. Anderson, Executive Vice President for Finance and CFO, on the board of Cx Precision Medicine, Inc. is of substantial benefit to the UNT System and to the University of North Texas Health Science Center, and further that the Office of General Counsel may seek a determination from the Attorney General of Texas regarding representation and indemnification of Gregory R. Anderson at such time as litigation relating to his service on the board of Cx Precision Medicine is reasonably anticipated.

Recommended By:

Dr. Michael
R. Williams

Digitally signed by Dr. Michael R.
Williams
DN: cn=Dr. Michael R. Williams,
o=UNT Health Science Center,
ou=President,
email=michael.williams@unthsc.e
du, c=US
Date: 2017.05.09 16:20:57 -05'00'

President

Lee Jackson

Digitally signed by Lee Jackson
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ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.05.09 17:33:44 -05'00'

Chancellor



Board Order

Title: Authorization to Serve on Outside Board

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the Board of Regents has the authority pursuant to Regents Rule 05.800, *Service on Outside Boards*, to determine whether an employee's service on an outside board is of substantial benefit to UNTHSC, and if so, to authorize the Office of General Counsel to seek representation and indemnification for the employee in the event litigation arises relating to service on these boards, and

Whereas, Lawrence E. (Joe) Allred, PhD, Associate Vice President for Research and Innovation was authorized by UNTS Board of Regents to serve on CX Precision Medicine, Inc. board in August 2016 but is retiring from UNTHSC at May 31, 2017, and

Whereas, UNTHSC requests authorization for Gregory Anderson, UNTHSC Executive Vice President for Finance and Chief Financial Officer, to replace Dr. Allred on the Cx Precision Medicine, Inc. board.

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

- 1 Service by Mr. Gregory R. Anderson, Executive Vice President for Finance and Chief Financial Officer, at UNT Health Science Center, on the board of Cx Precision Medicine, Inc. is of substantial benefit to UNT System and to the University of North Texas Health Science Center.
2. Mr. Gregory R. Anderson is authorized to serve on the board of Cx Precision Medicine, Inc. as a part of his duties and responsibilities as Executive Vice President for Finance and Chief Financial Officer at UNTHSC.
3. The UNT System Office of General Counsel may seek a determination from the Attorney General of Texas regarding representation and indemnification of Gregory R. Anderson at such time as litigation relating to his service on the board of Cx Precision Medicine, Inc. is reasonably anticipated.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



MINUTES

BOARD OF REGENTS Audit Committee February 23, 2017

The Audit Committee of the Board of Regents of the University of North Texas System convened on Thursday, February 23, 2017, in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas, with the following members in attendance: Regents Glen Whitley, Don Potts, Rusty Reid, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman Whitley at 4:06 p.m. The minutes of the November 17-18, 2016, Audit Committee meeting were approved on a 4-0 vote following a motion by Regent Rusty Reid seconded by Regent Laura Wright. The **Committee Charter and Annual Schedule** were reviewed. There were no comments or changes made.

The Committee received two briefings from the UNT System Chief Audit Executive, Tracy Grunig. The first was a **Report of Audit Activities**. The second was an update on the **UNT System Enterprise Audit Report Inventory**.

Committee Chairman Whitley noted there was one background report. There were no questions.

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

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: March 9, 2017



MINUTES
BOARD OF REGENTS
Audit Committee
May 1, 2017

The Audit Committee of the Board of Regents of the University of North Texas System convened on Monday, May 1, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee members in attendance: Regents Don Potts, Rusty Reid, Glen Whitley, and Laura Wright. Regent Al Silva was also present for part of the meeting.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Glen Whitley, at 2:40 p.m.

Ben Kohnle, Partner at Grant Thornton, briefed the Committee on the **External Audit of the UNT System FY 2016 Consolidated Annual Financial Statements**.

There being no further business, Regent Potts made a motion for adjournment, which Regent Reid seconded. The motion was approved and the Audit Committee meeting adjourned at 4:17 p.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: May 8, 2017



Title: Acceptance of the Externally Audited UNT System FY16 Consolidated Annual Financial Report

Background:

Grant Thornton will present results of the External Audit of UNT System FY 16 Consolidated Annual Financial Report. The UNT System Audit Committee Charter, adopted February 19, 2015 established a responsibility for the Audit Committee to recommend to the Board of Regents action related to an externally audited Consolidated Annual Financial Report.

Financial Analysis/History:

The Board of Regents directed management to obtain an external audit of the FY 16 Consolidated Annual Financial Report.

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: 2017.05.09 09:30:56 -05'00'

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: 2017.05.09 16:01:20 -05'00'

Schedule:

The External Audit Opinion of UNT System's FY 16 Consolidated Annual Financial Report will be included in the System's annual report upon approval.

Recommendation:

It is recommended that the Board of Regents accept the Externally Audited UNT System FY16 Consolidated Annual Financial Report, and direct that the External Audit Opinion Letter be included in the System's Annual Report.

Recommended By:

Tracy C. Grunig

UNTS Chief Audit Executive

Digitally signed by Tracy C. Grunig
DN: cn=Tracy C. Grunig, o=University of North Texas System, ou=Internal Audit,
email=tracy.grunig@untsystem.edu, c=US
Date: 2017.05.11 12:47:17 -05'00'

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: 2017.05.09 16:59:56 -05'00'

Chancellor

Attachments Filed Electronically:

- Grant Thornton Presentation on the External Audit of UNT System FY16 Consolidated Annual Financial Report.
- Final External Audit Opinion of UNT System FY16 Consolidated Annual Financial Report (Grant Thornton)
- Management Representation Letter



Board Order

Title: Acceptance of the Externally Audited UNT System FY16 Consolidated Annual Financial Report

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the UNT System Audit Committee Charter, adopted February 19, 2015 established a responsibility for the Audit Committee to recommend to the Board of Regents that the UNT System Consolidated Annual Financial Report be externally audited, and

Whereas, the external audit firm, Grant Thornton, LLP, conducted an audit of UNT System FY 16 Consolidated Annual Financial Statements, and provided an unmodified opinion, which is the best possible opinion, and

Whereas, the Board of Regents has reviewed the FY 16 Consolidated Annual Financial Report and the final audit opinion of the UNT System FY 16 Consolidated Annual Financial Report,

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

1. Acceptance of the Externally Audited UNT System FY16 Consolidated Annual Financial Report
2. Inclusion of the Audit Opinion letter in the final UNT System FY16 Consolidated Annual Financial Report

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Grant Thornton

Presentation to the Audit Committee of the Board of Regents – 2016 Audit Results

University of North Texas System ("System")

May 1, 2017

Attendees:

Ben Kohnle – Partner

Juliet Williams – Experienced Manager

Our Values are CLEARR

To achieve our global vision, we capitalize on our strengths by embracing the following values:

- Unite through global **Collaboration**
- Demonstrate **Leadership** in all we do
- Promote a consistent culture of **Excellence**
- Act with **Agility**
- Ensure deep **Respect** for people
- Take **Responsibility** for our actions

Our values serve as the foundation of each step we take toward achieving our vision. They guide our decision-making and provide a framework for our people to make correct and appropriate choices.



Responsibilities



Our Responsibilities

We are responsible for:

Performing an audit under US GAAS and *Government Auditing Standards* of the financial statements prepared by management, with your oversight

Forming and expressing an opinion about whether the financial statements are presented fairly, in all material respects in accordance with US GAAP

Forming and expressing an opinion about whether certain supplementary information is fairly stated in relation to the financial statements as a whole.

Reading other information and considering whether it is materially inconsistent with the financial statements

- Read the other information (we do not corroborate it)
- Consider whether it is materially inconsistent with the financial statements
- Call to management's attention identified material inconsistencies or misstatements of fact, if any

Communicating specific matters to you on a timely basis; we do not design our audit for this purpose.

An audit provides reasonable, not absolute, assurance that the financial statements do not contain material misstatements due to fraud or error. It does not relieve you or management of your responsibilities. Our respective responsibilities are described further in our engagement letter.



Those Charged with Governance and Management Responsibilities

Those Charged with Governance

Those charged with governance are responsible for:

- Overseeing the financial reporting process
- Setting a positive tone at the top and challenging the System's activities in the financial arena
- Discussing significant accounting and internal control matters with management
- Informing us about fraud or suspected fraud, including its views about fraud risks
- Informing us about other matters that are relevant to our audit, such as:
 - System strategies and related business risks that may result in heightened risks of material misstatement
 - Matters warranting particular audit attention
 - Significant communications with regulators
 - Matters related to the effectiveness of internal control and your oversight responsibilities
 - Your views regarding our current communications and your actions regarding previous communications

Management

Management is responsible for:

- Preparing and fairly presenting the financial statements in accordance with US GAAP
- Designing, implementing, evaluating, and maintaining effective internal control over financial reporting
- Communicating significant accounting and internal control matters to those charged with governance
- Providing us with unrestricted access to all persons and all information relevant to our audit
- Informing us about fraud, illegal acts, significant deficiencies, and material weaknesses
- Adjusting the financial statements, including disclosures, to correct material misstatements
- Informing us of subsequent events
- Providing us with written representations

Audit Scope & Results



Materiality

Materiality is the magnitude of an omission or misstatement that likely influences a reasonable person's judgment. It is ordinarily evaluated against the relevant financial statement benchmark.

We believe that **total assets** is the relevant benchmark for the System.

Financial statement items greater than materiality are within our audit scope. Other accounts or classes of transactions less than materiality may be in our scope if qualitative risk factors are present (for example, related party relationships or significant unusual transactions).



Use of the Work of Others

Specialists

The audit team utilized an actuary within our Compensation and Benefits Consulting Practice to review the work of actuaries used by the System.

Subcontractors

Additionally, the audit team received direct assistance from two independent subcontractors during our audit testing, Serna & Company, P.C. and Gradient Solutions. This work was reviewed and managed by the Grant Thornton engagement team.

Assistance was provided by Serna & Company related to the testing of identified balances using procedures provided by and reviewed by GT personnel.

Gradient Solutions specializes in the use of computer data acquisition and analysis primarily for governmental entities. Assistance was provided by Gradient Solutions related to the performance of computer data acquisition and analysis in the areas of vendor, disbursements, human resources and payroll.

Other Auditors

Our auditor's report on the System makes reference to the audit performed by Hankins, Eastup, Deaton, Tonn & Seay for the University of North Texas Foundation, Inc.



Significant Risks

The following provides an overview of the areas of significant audit focus based on our risk assessments.

Areas of focus	
Cash and Cash Equivalents	Tuition and fee revenue, discounts and allowances
Investments and investment return	Federal, State and Other grant revenue
Accounts receivable and other assets	Legislative appropriations
Capital assets, depreciation and amortization	Other revenues
Notes, loans and revenue bonds payable	Operating expenses
Accounts payable and other liabilities	Intercomponent Transfers
Payroll and related liabilities	Implementation of new accounting standard
Net position classification	



Result of Financial Statement Audit

- Unmodified 'clean' opinion
- No scope limitations
- Open and effective communications with management
- No unresolved audit issues

Audit timeline

	FY15	FY16	Proposed FY17
Planning/Interim	Dec. 2015	Nov. – Dec. 2016	June – July 2017
Final fieldwork	April – Aug. 2016	Feb. – April 2017	Nov. 2017 – Jan. 2018
Issue financial statements	August 2016	May 2017	February 2018

Summary of Passed Adjustments (\$000s)

- An entry was identified by management during the closing process, related to the FY16 audit, for which the financial statements are not being revised.
- The magnitude of the passed adjustment by financial statement category is as follows:

Description	Increase (Decrease) to:			
	Assets	Liabilities	Net Position	2016 Income Effect
Construction in Progress - Nondepreciable	2,026,154			
Furniture & Equipment - Depreciable	(1,688,692)			
Bldg/Bldg improvements - Depreciable	(337,462)			
Reversing Effect of PY Passed Adjustment				(2,129,163)
Total Passed Adjustments	\$ -	\$ -	\$ -	\$ (2,129,163)
FY2016 Report Balance, before Passed Adjustments	1,829,428,686	1,086,495,069	742,933,618	47,417,425
% Impact on Report Balance	0.00%	0.00%	0.00%	-4.49%

- Details of the above entry can be found in the management representation letter
- One entry was not included in the above as there was no GL account impact, only a reclass between NACUBO class codes. Details of this entry are included in the management representation letter
- Management believes, and we concur, that the impact of not making this adjustment to the System's financial statements is appropriate, given the fact that the cumulative effect is immaterial



Internal Control Matters

Our responsibility

- Obtain reasonable assurance about whether the financial statements are free of material misstatement
- Our audit included consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the System's internal control
- We express no opinion on the effectiveness of internal control
- Control deficiencies that are of a lesser magnitude than a significant deficiency will be communicated to management.

Definitions

- A deficiency in internal control ("control deficiency") exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect, misstatements on a timely basis.
- A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the System's annual financial statements will not be prevented or detected on a timely basis.
- A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those responsible for oversight of the System's financial reporting.

Outflow Data Analysis – Computer Data Acquisition and Analysis Work

Our audit included data analysis which focused on the outflow side of the System's operations and involved the following data files:

- Vendor Data Information
- Disbursement Data Information
- Human Resources and Payroll Data Information

A presentation summarizing the result of this analysis, and thoughts to optimize the results of the analysis, were presented to the University of North Texas System management team on April 20, 2017.

Other Required Communications

Disagreements with management

We had no disagreements with management, whether or not satisfactorily resolved, about matters that individually or in the aggregate could be significant to the System's financial statements or the auditor's report.

Management's consultations with other accountants

We are not aware of any consultations by management with other accountants regarding accounting or auditing matters. Management continues to use Deloitte on a limited basis to assist with certain bookkeeping services.

Difficulties encountered during the audit

We encountered no significant difficulties, including:

- Significant delays in providing information
- Unnecessarily brief time to complete the audit
- Unavailability of expected information or System personnel
- Restrictions imposed by management
- Extensive unexpected effort to obtain evidence



Quality of Accounting Practices and Alternative Treatments



Quality of Accounting Practices and Alternative Treatments

Accounting policies

Accounting principles used by the System are considered appropriate in all material respects.

Modifications to the auditor's report

There were no modifications to the audit report.

Accounting estimates

- Valuation of investments
- Contributions receivable
- Allowance for uncollectible accounts, including patient receivables
- Accruals for self insurance and pension plans based on actuarial assumptions

We performed tests to satisfy ourselves that these amounts were free from material misstatements.

Disclosures

- We assessed the footnote disclosures and consolidated financial statements for clarity and completeness.
- Footnote disclosures in the financial statements appear overall to be neutral, consistent, and clear.



Selected pronouncements effective for the year ended August 31, 2016 or subsequent periods

ASU	Effective Date	Impact
<p>GASB 72, Fair Value Measurement and Application</p>	<p>Financial Reporting periods beginning after June 15, 2015. This statement was implemented in the current year.</p>	<p>Addresses accounting and financial reporting issues related to fair value measurements, provides guidance for determining fair value measurement for financial reporting purposes, and also provides guidance for applying fair value to certain investments and disclosures related to all fair value measurements.</p>
<p>GASB 75, Accounting and Financial Reporting for Postemployment Benefits Other than Pensions</p>	<p>Fiscal years beginning after June 15, 2017</p>	<p>Addresses accounting and financial reporting for OPEB that is provided to the employees of state and local government entities.</p>



Selected pronouncements effective for the year ended August 31, 2016 or subsequent periods (continued)

ASU	Effective Date	Impact
GASB 79 , Certain External Investment Pools and Pool Participants	Financial Reporting periods beginning after June 15, 2015. This statement was implemented in the current year.	Addresses accounting and financial reporting for certain external investment pools and pool participants. Provides guidance around disclosures related to such pools and their participants.
GASB 81 , Irrevocable Split-Interest Agreements	Financial Reporting periods beginning after December 15, 2016.	Addresses accounting and financial reporting for irrevocable split-interest agreements by providing recognition and measurement guidance for situations in which a government is a beneficiary of the agreement

Selected pronouncements effective for the year ended August 31, 2016 or subsequent periods (continued)

ASU	Effective Date	Impact
GASB 82 , Pension Issues – an amendment of GASB Statements NO. 67, No. 68, and No. 73	Financial Reporting periods beginning after June 15, 2016.	Addresses certain issues that have been raised with respect to Statements No. 67, No. 68, and No. 73.
GASB 85 , Omnibus 2017	Financial Reporting periods beginning after June 15, 2017.	Addresses practice issues that have been identified during implementation and application of certain GASB Statements, including issues related to blending component units, goodwill, fair value measurement and application, and postemployment benefits (pensions and other postemployment benefits)



Commitment to Promote Ethical and Professional Excellence

We are committed to promoting ethical and professional excellence. To advance this commitment, we have put in place a phone and Internet-based hotline system.

The Ethics Hotline (1.866.739.4134) provides individuals a means to call and report ethical concerns.

The EthicsPoint URL link

- Can be found on our internal website
- Can be accessed from our external website
(https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=15191)

Disclaimer: EthicsPoint is not meant to act as a substitute for a company's "whistleblower" obligations.





Grant Thornton

This communication is intended solely for the information and use of management and the Audit Committee of the Board of Regents of the University of North Texas System and is not intended to be and should not be used by anyone other than these specified parties.

CONSOLIDATED ANNUAL FINANCIAL REPORT



FOR THE YEAR ENDED AUGUST 31, 2016

UNIVERSITY OF
NORTH★TEXAS™
SYSTEM

**UNIVERSITY OF NORTH TEXAS
SYSTEM**

**CONSOLIDATED ANNUAL FINANCIAL REPORT
AND INDEPENDENT AUDITORS' REPORT**

For the fiscal year ended August 31, 2016

DALLAS, TEXAS

Lee Jackson, Chancellor



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UNIVERSITY OF NORTH TEXAS SYSTEM ADMINISTRATION

ORGANIZATIONAL DATA

August 31, 2016

BOARD OF REGENTS

Donald Potts (Term expires 5-22-17) Dallas
Al Silva..... (Term expires 5-22-17) San Antonio
Milton B. Lee..... (Term expires 5-22-17) San Antonio

Rusty Reid (Term expires 5-22-19) Ft. Worth
Gwyn Shea (Term expires 5-22-19) Irving
B. Glen Whitley (Term expires 5-22-19)Hurst

Brint Ryan (Term expires 5-22-21) Dallas
A.K. Mago..... (Term expires 5-22-21) Dallas
Laura Wright (Term expires 5-22-21) Dallas

STUDENT REGENT

Christopher Lee..... (Term expires 5-31-17) Houston

OFFICERS OF THE BOARD

Brint Ryan Chairman
Donald Potts Vice Chairman
Rosemary R. Haggett Secretary

ADMINISTRATIVE OFFICERS

Lee F. Jackson Chancellor
Janet Waldron.....Vice Chancellor for Finance



May 1, 2017

Brint Ryan, Chairman, UNT System Board of Regents
Don Potts, Vice Chairman, UNT System Board of Regents
Glen Whitley, Chairman Audit Committee
Board of Regent Members
University of North Texas System
1901 Main Street
Dallas, Texas 75201

Dear Chairman Ryan, Vice Chairman Potts, Chairman Whitley
and Board of Regents

We are pleased to submit the audited Consolidated Annual Financial Report (CAFR) of the University of North Texas System (UNTS) for the fiscal year ended August 31, 2016. This report is in compliance with TEX. GOV'T CODE ANN 2101.011 and in accordance with the requirements established by the Comptroller of Public Accounts and Governmental Accounting Standards Board (GASB) Statement No. 34, *Basic Financial Statements – and Management's Discussion and Analysis – for State and Local Governments*.

In fiscal year 2016, the University of North Texas System employed over 10,000 people, educated over 42,000 students, and awarded more than 9,200 degrees. With a total annual economic impact of over \$5.2 billion, the System is a robust contributor to the vitality and growth of the region, and to the prosperity and culture of the state. Rooted in the 125-year history of our flagship institution in Denton, UNTS continues to innovate, to excel, and to serve.

The University of North Texas, renowned for its arts and music programs and built on a history of teacher training, business education, and liberal arts, is also ranked among the 115 top-tier research universities in the latest Carnegie Classification list. The university has been named one of America's 100 Best College Buys for 20 consecutive years, a ranking based on having a high-achieving freshman class and affordable tuition. *The Princeton Review* continually names UNT as a Best in the West school and Forbes has listed UNT as an America's Top College for eight consecutive years. UNT has 15 programs ranked in the Top 100 in the nation by U.S. News & World Report.

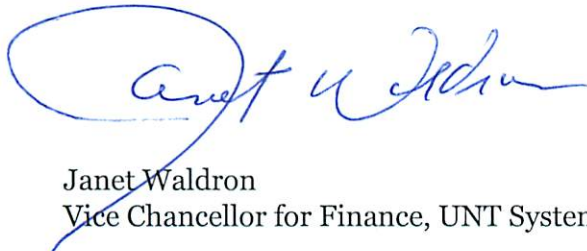
UNT Health Science Center at Fort Worth is one of the nation's premier graduate academic medical centers and is composed of five schools that specialize in patient-centered education, research and health care. UNTHSC's dedication to primary care has received national recognition for the 15th consecutive year in U.S. News & World Report's annual ranking of medical schools. The university invests \$40 million in annual research expenditures – a figure that has approximately doubled since 2006.

UNT Dallas, the only public, doctoral granting comprehensive university in the City of Dallas – the hub of the State’s most densely populated region – offers bachelors, masters and a juris doctor degree. Enrollment has increased since its inception and now includes the UNT Dallas College of Law, a distinctive new school dedicated to providing affordable access to education with an annual tuition that is significantly lower than all other law schools, public or private, in Texas.

In 2015, the 84th Texas Legislature reaffirmed its commitment to UNTS and its institutions by increasing funding by more than \$70 million dollars for 2016 and 2017 for instruction and operations, infrastructure and capital projects, research, and graduate medical education. Unique strengths of UNT System component institutions are also recognized and funded, including: the UNT Health Science Center’s Institute for Patient Safety and Preventable Harm; its forensics program, the most advanced in the country; and the University of North Texas’s Texas Academy of Mathematics and Science, an important pipeline for STEM education, and one of the many ways that UNT advances science, math, engineering and technology.

We are committed to being good stewards of the resources entrusted to us by the State of Texas and by students and their families, and we hold ourselves accountable for the wise and appropriate use of those resources. UNT System’s externally-audited consolidated annual financial report serves as a testament to the work we’ve done to ensure that our stewardship, accountability, and financial viability are just as strong and important to us as our academic services themselves.

Respectfully,



Janet Waldron
Vice Chancellor for Finance, UNT System

cc: Lee F. Jackson, Chancellor
Dr. Neal Smatresk, President UNT
Dr. Michael Williams, President UNTHSC
Robert Mong, President UNT Dallas
Bob Brown, Vice President for Finance and Administration, UNT
Greg Anderson, Executive Vice President and CFO, UNTHSC
Dan Edelman, Executive Vice President for Administration and CFO, UNT Dallas
Tracy Grunig, Chief Audit Executive, UNT System
Nancy Footer, Vice Chancellor and General Counsel, UNT System

REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS

Board of Regents
University of North Texas System

Report on the financial statements

We have audited the accompanying financial statements of the business-type activities and discretely presented component unit of the University of North Texas System (the “System”) as of and for the year ended August 31, 2016, and the related notes to the financial statements, which collectively comprise the System’s basic financial statements as listed in the table of contents.

Management’s responsibility for the financial statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor’s responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We did not audit the financial statements of the University of North Texas Foundation, Inc. (the “Foundation”), a discretely presented component unit. Those statements were audited by other auditors whose report has been furnished to us, and our opinion, insofar as it relates to the amounts included for the Foundation, is based solely on the report of the other auditors. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor’s judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity’s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the System’s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, based on our audit and the report of the other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and the discretely presented component unit of the System as of August 31, 2016, and the respective changes in financial position and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other matters

Required supplementary information

Accounting principles generally accepted in the United States of America require that the Management's Discussion and Analysis on pages 11 through 20, and Required Supplemental Information on pages 67, be presented to supplement the basic financial statements. Such information, although not a required part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. This required supplementary information is the responsibility of management. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America. These limited procedures consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other reporting required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report, dated May 1, 2017, on our consideration of the System's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the System's internal control over financial reporting and compliance.

Dallas, Texas

May 1, 2017

UNIVERSITY OF NORTH TEXAS SYSTEM
Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

Introduction

The University of North Texas System (the "System") was established by the 76th Legislature and legislative funding was provided for the fiscal year beginning September 1, 1999. The System is an agency of the State of Texas and is currently comprised of the University of North Texas System Administration ("System Administration"), established 1999, and three academic institutions funded by the Legislature: the University of North Texas ("UNT"), established 1890; the University of North Texas Health Science Center at Fort Worth ("HSC"), established 1970; and the University of North Texas at Dallas ("UNTD"), established 1999.

The System serves the North Texas area, boosting economic activity in the region by over \$5.2 billion annually. Approximately 43,000 students are enrolled in undergraduate, graduate and professional programs. The System awarded more than 9,200 degrees in 2015, including the largest number of Master's and Doctoral degrees in the region. The System has a network of over 360,000 alumni with more than 237,000 alumni living in the Dallas-Fort Worth region. The System is governed by a nine-member Board of Regents appointed by the Governor of Texas and confirmed by the Texas State Senate. Three members are appointed every odd-numbered year for six-year terms. In addition, the Governor appoints a non-voting Student Regent for a one-year term.

Financial Highlights and Overview of the Financial Statements

The objective of Management's Discussion and Analysis (the "MD&A") is to provide an overview of the financial position and activities of the System for the year ended August 31, 2016, with selected comparative information for the year ended August 31, 2015. The MD&A was prepared by management and should be read in conjunction with the accompanying financial statements and notes. The emphasis of discussion about these financial statements will focus on current year data. Unless otherwise indicated, years in the MD&A refer to the fiscal years ended August 31.

The System consolidated financial report includes three primary financial statements: the Statement of Net Position; the Statement of Revenues, Expenses and Changes in Net Position; and the Statement of Cash Flows. The financial statements of the System have been prepared in accordance with Generally Accepted Accounting Principles ("GAAP") as prescribed by the Governmental Accounting Standards Board ("GASB").

In addition, the System consolidated financial report contains the Statement of Financial Position and the Statement of Activities for the University of North Texas Foundation, Inc. (the "Foundation"), a discretely presented component unit. The Foundation is a separate nonprofit organization which is an essential component of the University of North Texas program for university advancement and for the development of private sources of funding for capital acquisition, operations, endowments, and other purposes relating to the mission of the University of North Texas. The financial statements of the Foundation have been prepared in accordance with GAAP as prescribed by the Financial Accounting Standards Board ("FASB").

Financial Highlights

- Total assets and deferred outflows of resources of the System exceeded its total liabilities and deferred inflows of resources in 2016, resulting in a net position of \$742.9 million. Unrestricted net position, which may be used to meet the System's future obligations, was \$173.4 million, or 23.3% of total net position at year end.
- In 2016, the System concluded the fiscal year with a positive change in net position of \$47.4 million, compared to a \$16.4 million change in 2015. Major contributing factors related to this \$31.0 million increase include a \$19.5 million increase in legislative, additional and capital appropriations from general revenue and the Higher Education Fund ("HEF"). Additionally, the System had \$10.7 million net increase in the fair value of the System's investments in 2016 that compares favorably to a \$21.0 million loss reported

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Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

in the prior year. These increases were offset by investments in plant operations at UNT that are not capitalizable, reflected in an increase in materials and supplies and repairs and maintenance expense of \$8.8 million. Further, an increase of \$3.4 million in depreciation and amortization expense was primarily due to the completion of new buildings. In addition, an increase of \$4.6 million in interest expense and fiscal charges expense on capital asset financings is due to additional bond interest payments from 2015 issuances.

- The System continues to make significant investments, \$88.4 million in 2016 alone, in numerous capital projects across all institutions to strategically benefit students, faculty, and staff. The System has also committed \$457.0 million to fund, with assistance from State supported debt financing and HEF capital appropriations, future capital asset additions and improvements over the next several years. These projects are currently in various stages of completion. The "Capital Asset and Debt Administration" section of the MD&A provides more details pertaining to these strategic investments.

Overview of the Financial Statements

These statements are prepared applying the following principles and standards:

- Reporting is on the full accrual basis of accounting. All current year revenues and expenses are recognized when earned or incurred, regardless of when the cash is received or disbursed.
- Depreciation and amortization expense on capital assets is reported as an operating expense on the Statement of Revenues, Expenses and Changes in Net Position. The historical cost of capital assets, net of accumulated depreciation and amortization, is reported on the Statement of Net Position.
- Revenues and expenses are categorized as operating or nonoperating. Revenues from state appropriations, gifts, and investment income are reported as nonoperating revenue in accordance with GASB Statement No. 35, *Basic Financial Statements—and Management's Discussion and Analysis—for Public Colleges and Universities*, as amended.

Statement of Net Position

The Statement of Net Position presents the financial position of the System at fiscal year-end. From the data presented, readers of this statement are able to determine the assets available to continue the operations of the System. They are also able to determine what the System owes to vendors, investors and lending institutions. Finally, the Statement of Net Position provides a picture of the net position and the availability of resources to cover the expenses of the System. The change in net position is one indicator of whether the financial condition has improved or worsened during the fiscal year when considered with nonfinancial facts, such as enrollment levels and the condition of facilities.

The Statement of Net Position presents the assets, deferred outflows, liabilities, deferred inflows and net position of the System as of the end of the year. The net position section of the statement is reported by three major categories: 1) Net Investment in Capital Assets, 2) Restricted, and 3) Unrestricted. The Net Investment in Capital Assets section represents the System's equity in property, plant, and equipment, net of accumulated depreciation and amortization, capital asset related bonds and other debt items. Restricted Net Position is reported for amounts subject to constraints that are either externally imposed or imposed by law. Amounts that are permanently held for investment are divided into two categories: 1) Non-Expendable and 2) Expendable. Unrestricted Net Position is available for any lawful purpose of the System.

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Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

The following table reflects the Condensed Comparative Statement of Net Position for the System as of August 31, 2016 and 2015:

Condensed Comparative Statement of Net Position			
As of August 31, 2016 and 2015			
(in thousands of dollars)			
	<u>2016</u>	<u>2015</u>	<u>% Increase (Decrease)</u>
Assets and Deferred Outflows of Resources			
Current Assets	\$ 544,986	\$ 498,910	9.2%
Non-Current Assets:			
Capital Assets, Net	1,025,004	1,004,303	2.1%
Other Non-Current Assets	233,585	223,979	4.3%
Deferred Outflows of Resources	25,854	22,298	15.9%
Total Assets and Deferred Outflows of Resources	<u>\$ 1,829,429</u>	<u>\$ 1,749,490</u>	<u>4.6%</u>
Liabilities and Deferred Inflows of Resources			
Current Liabilities	\$ 407,949	\$ 376,985	8.2%
Non-Current Liabilities:			
Bonded Indebtedness	514,046	362,782	41.7%
Other Non-Current Liabilities	142,377	282,173	(49.5%)
Deferred Inflows of Resources	22,123	32,034	(30.9%)
Total Liabilities and Deferred Inflows of Resources	<u>\$ 1,086,495</u>	<u>\$ 1,053,974</u>	<u>3.1%</u>
Net Position			
Net Investment in Capital Assets	\$ 465,252	\$ 457,329	1.7%
Restricted:			
Funds Held as Permanent Investments:			
Non-Expendable	46,960	45,615	2.9%
Expendable	18,161	16,475	10.2%
Other Restricted	39,135	33,550	16.6%
Total Restricted	104,256	95,640	9.0%
Unrestricted	173,426	142,547	21.7%
Total Net Position	<u>\$ 742,934</u>	<u>\$ 695,516</u>	<u>6.8%</u>
Total Liabilities and Net Position	<u>\$ 1,829,429</u>	<u>\$ 1,749,490</u>	<u>4.6%</u>

The section below includes explanations and management's analysis of significant changes within the Statement of Net Position:

Total Assets and Deferred Outflows

Current Assets

The System's current assets increased \$46.1 million, or 9.2%, in 2016 primarily as a result of a \$26.8 million increase in legislative appropriation receivables, a \$6.5 million increase in general accounts receivables, and a \$ 9.1 million increase in prepaid assets for certain multi-year contract expenses and fall term scholarships awarded for recognition in 2017.

Non-Current Assets: Net Capital Assets

Net capital assets increased \$20.7 million, or 2.1%, in 2016 as a result of an increase in capital and intangible assets. This increase was primarily attributable to approximately \$88.4 million of capital improvements offset by depreciation and amortization expense of \$65.9 million. Major capital additions included \$16.0 million in renovation to the UNT Student Union, \$10.4 million in renovation to the UNT Science Research Building, \$6.2 million for the purchase of land and a building by HSC in Fort Worth, \$5.2 million for the HSC Interdisciplinary Research and Education Building, \$3.1 million in additional costs for UNT Rawlins Hall, \$18.5 million in equipment, vehicle and library purchases, \$5.8 million for capitalized software costs, and other additions to depreciable capital assets.

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For the Year Ended August 31, 2016

Other Non-Current Assets

The System's other non-current assets increased by \$9.6 million, or 4.3%, primarily due to a \$10.7 million increase in the fair market value of investments resulting from a significant improvement in the equity and bond markets.

Deferred Outflows

Deferred outflows increased \$3.6 million, or 15.9%, in 2016, primarily due to the recognition of \$4.1 million of deferred outflows of resources related to pension obligations and the difference between projected and actual investment return for the measurement period.

Total Liabilities and Deferred Inflows

Current Liabilities

The System's current liabilities increased \$31.0 million, or 8.2%, in 2016 primarily due to an increase of \$14.9 million in short-term commercial paper reported under notes and loans payable and a \$7.2 million increase in current revenue bonds payable. Unearned revenue increased \$19.3 million, or 9.1%, primarily related to increased prepayments of tuition and fees associated with the rise in student enrollment and increases in tuition and fee rates. Funds held for others decreased by \$12.6 million, or 83.6%, primarily due to the transfer by HSC at the beginning of 2016 of \$13 million of restricted investments to HSC's T-COM Foundation. These investments were historically reported by HSC as current liabilities.

Non-Current Liabilities

Non-current liabilities consist primarily of non-current portions of notes and loans payable; revenue bonds payable; net pension liability; employees' compensable leave payable; and capital lease obligations. In total, non-current liabilities increased \$11.5 million, or 1.8%, primarily due to an increase of \$15.0 million to net pension liability related to a material underperformance of actual investment returns as compared to the expected return for the TRS Plan measurement period ending August 31, 2015. The overall increase in non-current liabilities was also impacted by a \$1.6 million decrease in employees' compensable leave and a \$1.1 million decrease in capital lease obligations. In addition, there was a \$151.3 million increase in revenue bonds payable offset by a correlated \$152.3 million decrease in notes and loans payable due to issuance of Revenue Financing System ("RFS") Refunding Bonds 2015A, 2015B and 2015C, which refunded RFS Bonds Series 2014 Private Placement Arrangement and RFS Series 2007 Bonds.

Deferred Inflows

Deferred inflows decreased \$9.9 million, or 30.9%, in 2016 primarily due to the reduction of \$10.9 million of deferred inflows of resources related to pension obligations and the netting requirement to net deferred outflows and inflows across measurement periods arising from the difference between projected and actual investment return.

Total Net Position

Total net position represents the residual interest in the System's total assets and deferred outflows of resources after liabilities and deferred inflows of resources are deducted. Net position increased by \$47.4 million, or 6.8%, in 2016.

Net Investment in Capital Assets

Net investment in capital assets represents the System's capital and intangible assets, net of accumulated depreciation and amortization and outstanding debt obligations attributable to the acquisition, construction or improvement of those assets. The net \$7.9 million, or 1.7%, increase in net investment in capital assets in 2016 primarily resulted from an increase of \$88.4 million of capital additions, reduced by \$65.9 million of depreciation and amortization. The net increase was offset by an \$18.5 million net increase in notes and bonds payable, capital lease obligations, and deferred outflows and inflows of resources related to unamortized gains and losses on refunded bonds.

UNIVERSITY OF NORTH TEXAS SYSTEM
Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

Restricted Net Position

Restricted net position primarily includes the System's permanent investments subject to externally imposed restrictions governing their use. In total, restricted net position increased by \$8.6 million, or 9.0%, in 2016 primarily due to increased fair market value of restricted investments and positive fundraising efforts resulting in an increase in restricted contributions across the System.

Unrestricted Net Position

Unrestricted net position increased by \$30.9 million, or 21.7%, primarily due to a \$19.5 million increase in legislative, additional and capital appropriations from general revenue and HEF.

Statement of Revenues, Expenses and Changes in Net Position

The Statement of Revenues, Expenses and Changes in Net Position presents the System's revenues earned and the expenses incurred during 2016, regardless of when cash is received or paid. Activities are reported as either operating or nonoperating. Generally, operating revenues are earned in exchange for providing goods and services. Operating expenses are incurred in the normal operation of the System, including a provision for depreciation and amortization on capital assets. Certain revenue sources the System relies on for operations include state appropriations, gifts, grants and investment income which are required by GASB Statement No. 35, *Basic Financial Statements—and Management's Discussion and Analysis—for Public Colleges and Universities*, as amended, to be classified as nonoperating revenues. Revenues are reported by major source, and expenses are reported on the face of the statement by functional (programmatic) categories as defined by the National Association of College and University Business Officers ("NACUBO").

The following table reflects the System's Condensed Comparative Statement of Revenues, Expenses and Changes in Net Position for the years ended August 31, 2016 and 2015:

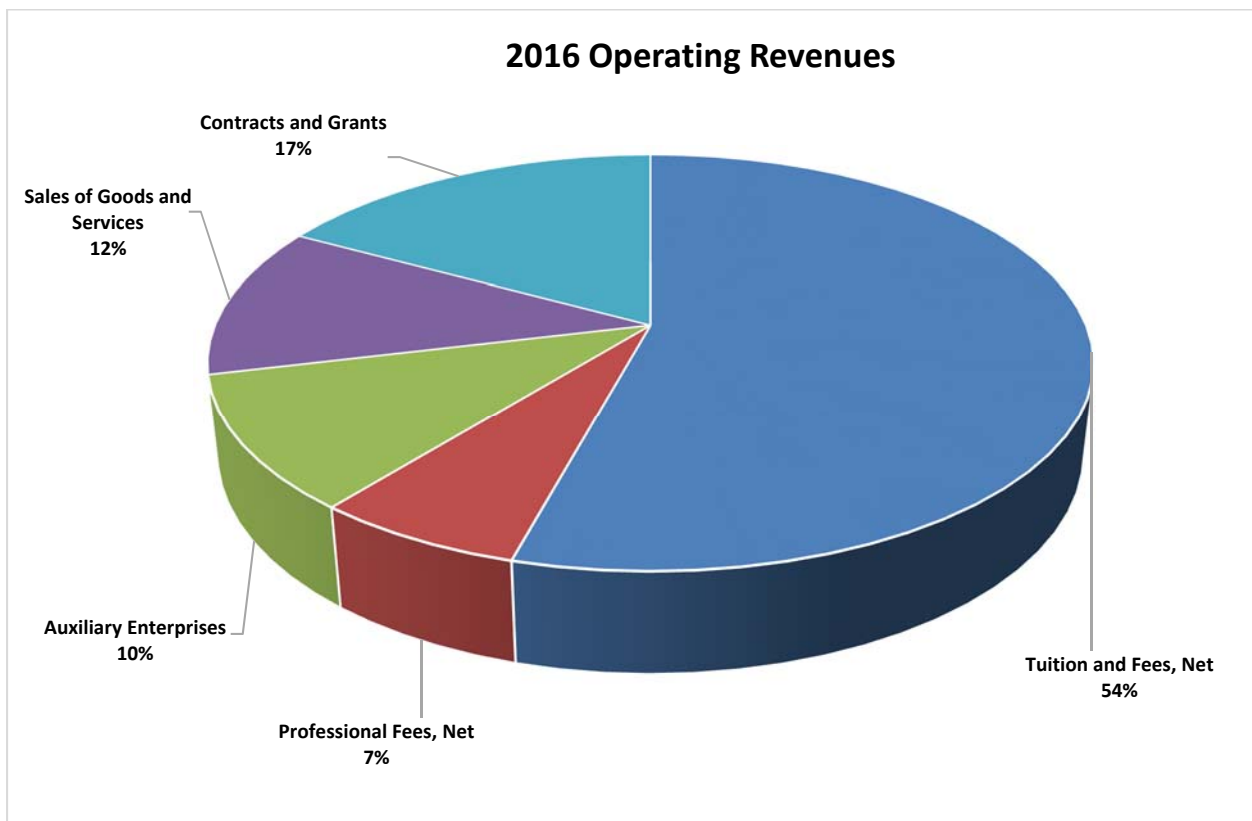
Condensed Comparative Statement of Revenues, Expenses and Changes in Net Position			
For the Years Ended August 31, 2016 and 2015			
(in thousands of dollars)			
	<u>2016</u>	<u>2015</u>	<u>% Increase (Decrease)</u>
Operating Revenues	\$ 631,994	\$ 600,223	5.3%
Operating Expenses	934,303	887,364	5.3%
Operating Income (Loss)	\$ (302,309)	\$ (287,141)	5.3%
Nonoperating Revenues (Expenses)	308,123	269,197	14.5%
Income (Loss) Before Other Revenues, Expenses and Transfers	\$ 5,814	\$ (17,944)	(132.4%)
Other Revenues, Expenses and Transfers	41,604	34,333	21.2%
Change in Net Position	\$ 47,418	\$ 16,389	189.3%
Net Position, Beginning of Year	\$ 695,516	\$ 796,263	(12.7%)
Restatement	-	(117,136)	(100.0%)
Restated Net Position, Beginning of Year	695,516	679,127	2.4%
Net Position, End of Year	\$ 742,934	\$ 695,516	6.8%

UNIVERSITY OF NORTH TEXAS SYSTEM
Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

Operating Revenues

Operating revenues totaled \$632.0 million in 2016, an increase of \$31.8 million, or 5.3%, over 2015. The System's primary sources of operating revenues are tuition and fees, and federal, state, local, and private grants. Net tuition and fees, representing 54% of operating revenues, are reflected in the financial statements with associated discounts and allowances shown separately. Net tuition and fees increased \$39.0 million, or 12.9%, as a result of increased enrollment and increased tuition rates throughout the System. Federal, state, local, and private grant revenues, representing 17% of operating revenues, are primarily from governmental and private sources and are related to research programs that normally provide for the recovery of direct and indirect costs.

The pie chart below shows operating revenues by major source for the year ended August 31, 2016:



Operating Expenses

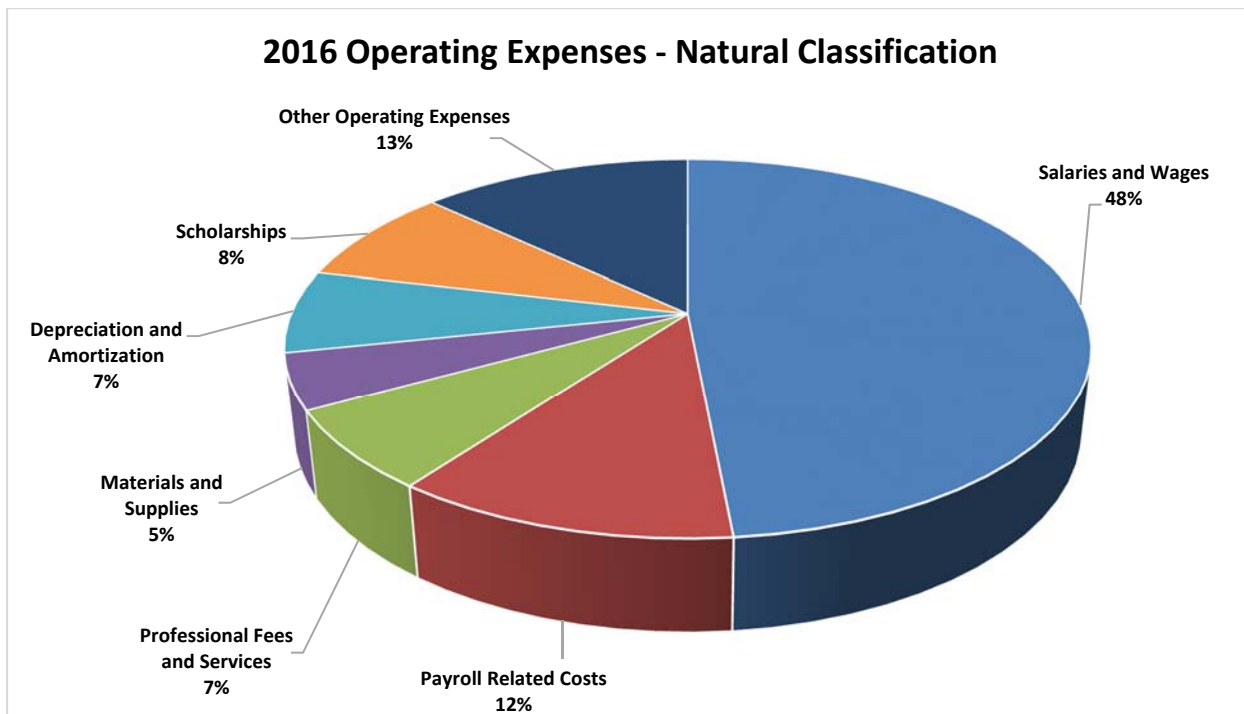
Operating expenses totaled \$934.3 million in 2016, an increase of \$46.9 million, or 5.3%, over 2015. The increase is primarily due to a \$16.4 million, or 27.0%, increase in scholarship expenses and a combined \$11.0 million, or 2.0%, increase in total employee related compensation costs, which makes up 60% of total operating expenses. An additional increase of \$3.4 million, or 5.4%, in depreciation and amortization expense is primarily due to the completion of new buildings while the remaining variance, an increase of \$16.1 million, represents an overall increase in various other operating expense categories.

UNIVERSITY OF NORTH TEXAS SYSTEM
Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

The table below shows the amount and percentage change of operating expenses based on natural classification for the year ended August 31, 2016:

Operating Expenses - Natural Classification			
For the Years Ended August 31, 2016 and 2015			
(in thousands of dollars)			
	<u>2016</u>	<u>2015</u>	<u>% Increase (Decrease)</u>
Operating Expenses			
Cost of Goods Sold	\$ 3,813	\$ 5,994	(36.4%)
Salaries and Wages	453,084	429,971	5.4%
Payroll Related Costs	109,045	121,118	(10.0%)
Professional Fees and Services	63,196	68,698	(8.0%)
Federal Pass-Through Expenses	824	487	69.1%
State Pass-Through Expenses	206	99	108.4%
Travel	12,395	11,193	10.7%
Materials and Supplies	44,466	39,037	13.9%
Communications and Utilities	19,761	19,234	2.7%
Repairs and Maintenance	33,393	27,564	21.1%
Rentals and Leases	14,573	11,082	31.5%
Printing and Reproduction	5,556	4,307	29.0%
Depreciation and Amortization	65,900	62,508	5.4%
Scholarships	77,452	61,004	27.0%
Claims and Losses	842	3,346	(74.8%)
Other Operating Expenses	29,797	21,722	37.2%
Total Operating Expenses	<u>\$ 934,303</u>	<u>\$ 887,364</u>	<u>5.3%</u>

The pie chart below shows the percentage of total operating expenses pertaining to each type of operating expense based on natural classification for the year ended August 31, 2016:

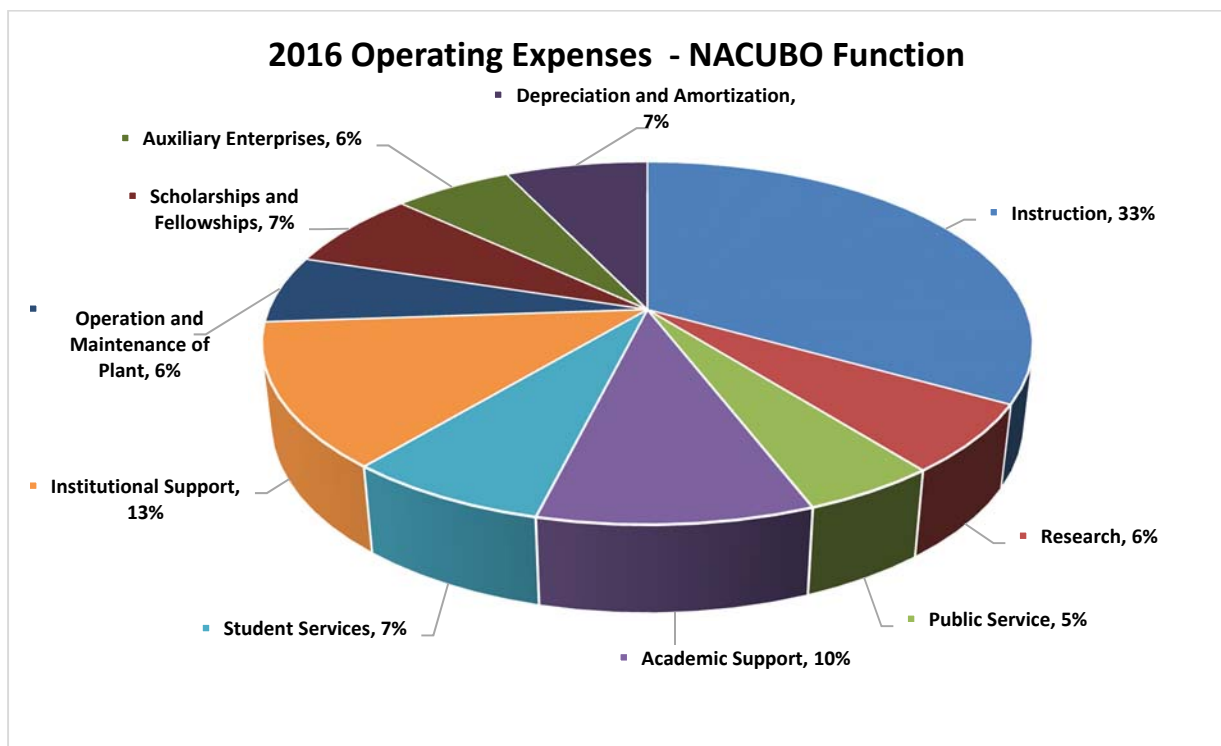


UNIVERSITY OF NORTH TEXAS SYSTEM
Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

The table below shows the amount and percentage change of operating expenses based on NACUBO functional (programmatic) classification for the year ended August 31, 2016:

Operating Expenses - NACUBO Function			
For the Years Ended August 31, 2016 and 2015			
(in thousands of dollars)			
	<u>2016</u>	<u>2015</u>	<u>% Increase (Decrease)</u>
Operating Expenses			
Instruction	\$ 307,062	\$ 251,692	22.0%
Research	56,796	56,830	(0.1%)
Public Service	44,302	18,569	138.6%
Academic Support	90,221	180,992	(50.2%)
Student Services	66,491	67,672	(1.7%)
Institutional Support	118,619	93,716	26.6%
Operation and Maintenance of Plant	55,655	51,371	8.3%
Scholarships and Fellowships	74,234	58,799	26.3%
Auxiliary Enterprises	55,023	45,215	21.7%
Depreciation and Amortization	65,900	62,508	5.4%
Total Operating Expenses	<u>\$ 934,303</u>	<u>\$ 887,364</u>	<u>5.3%</u>

The pie chart below shows the percentage of total operating expenses pertaining to each type of operating expense based on NACUBO functional (programmatic) classification for the year ended August 31, 2016:



UNIVERSITY OF NORTH TEXAS SYSTEM
Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

Nonoperating Revenues and Expenses

Certain significant recurring revenues and expenses are considered nonoperating. The System's primary nonoperating revenues come from state appropriations, federal Pell grant revenue, gifts, investment income, and in 2016, gain on sales of capital assets, and net increase in fair market value of investments. The System's primary nonoperating expenses are interest expense and fiscal charges and other nonoperating expenses. Legislative and additional appropriations increased \$18.3 million, or 7.7%, between 2015 and 2016 due mainly to formula funding changes that positively benefitted HSC and other healthcare-related educational institutions across the State. The fair value of the System's investments increased by \$10.7 million primarily due to favorable market conditions for the long-term investment pool and endowments professionally managed by the Foundation. Interest expense and fiscal charges on capital asset financings increased by \$4.6 million from \$16.1 million in 2015 to \$20.7 million in 2016 due to additional bond interest payments from the 2015 issuances.

Other Revenues, Expenses and Transfers

Other revenues, expenses and transfers is comprised of capital and endowment related additions and transfers, which increased \$7.3 million, or 21.2%, in 2016. HEF comprises the majority of the balance. Annual HEF-related revenue totaled \$37.8 million, an increase of \$1.2 million over prior year. HEF is reported as capital appropriations rather than operating or nonoperating revenue. The Texas B-On-Time Loan program has been phased out, which resulted in a decrease in transfers to other state agencies of \$6.2 million. This funding remained within the System to offset operations.

Capital Asset and Debt Administration

Investments in capital asset additions were \$88.4 million in 2016. Major capital project activity included:

- Land and Building Acquisitions (HSC) – 975 Haskell Street
- Building Improvements (UNT) – Student Union, Science Research Building, Rawlins Hall, Bruce Hall, and the College of Visual Arts and Design Building
- Building Improvements (HSC) – Interdisciplinary Research Building
- Building Improvements (UNTD) – Dallas Student Learning and Success Center and Residence Hall
- Building Improvements (System Administration) – Dallas Municipal Building

The System has committed \$457.0 million to capital asset additions and improvements which are currently in various stages of completion. These additions and improvements primarily consist of new buildings or renovations to existing buildings, including the Interdisciplinary Research Building at HSC, the College of Visual Arts and Design at UNT, the Dallas Municipal Building for the future use by UNT Dallas College of Law, and the Student Learning and Success Center at UNT Dallas. More detailed information regarding the System's capital additions and commitments is provided in Note 2, *Capital Assets*, and Note 10, *Contingencies and Commitments*, in the Notes to the Consolidated Financial Statements.

Revenue bonds payable represents the largest portion of the System's liabilities. Current and non-current revenue bonds payable increased \$158.5 million to \$547.9 million in 2016. All bonds related to financing of current and prior years' construction needs reflect "Aa2" and "AA" credit ratings from two major bond rating agencies, Moody's and Fitch, respectively. More detailed information regarding the System's bonded indebtedness is provided in Note 5, *Long-Term Liabilities*, and Note 6, *Bonded Indebtedness*, in the accompanying Notes to the Consolidated Financial Statements.

Economic Outlook

The System's primary sources of revenue are tuition and fees and legislative appropriations. Strong enrollment growth, program expansion, and a successful 84th legislative session contributed to a positive outlook for the System.

UNIVERSITY OF NORTH TEXAS SYSTEM
Management's Discussion and Analysis (Unaudited)
For the Year Ended August 31, 2016

For 2017, net tuition and fees revenues are budgeted at an increase of \$52.2 million, or 17.0%, over 2016. This revenue increase is the result of modest tuition rate increases and full-time student equivalent enrollment growth. Between fall 2015 and fall 2016, enrollment increased 3% system-wide.

During the 84th Texas Legislative Session, the State renewed its commitment to higher education with \$1.35 billion in new funding for 2016 and 2017. Significant investments in institutions included maintaining and enhancing formula rates, funding capital projects, and raising the amount of the constitutional capital appropriation (HEF). This resulted in a two-year appropriations increase to System institutions of over \$80 million.

Fiscal year 2017 budgeted legislative appropriation revenues for the System are \$6.9 million, or 2.7%, higher than 2016. Budgeted amounts include new funding for specialized initiatives and unique programs recognized by the 84th Legislature as deserving state support. These areas of excellence include HSC's Institute for Patient Safety and Preventable Harm, HSC's Texas Missing Persons and Human Identification Program, and UNT's Texas Academy of Mathematics and Science. The merger between UNTD and the College of Law was also supported with operations funding to support the incoming second- and third-year law classes.

State appropriation increases in 2017 include an influx of funding to support construction and renovation of facilities for each System institution and other capital expenditures. State-supported construction projects were selected to allow for continued growth, increased research capacity and excellent programs. Construction of a student success and learning center at UNTD, an interdisciplinary research building at HSC, a new College of Visual Arts and Design facility at UNT, and renovations of facilities for the College of Law in downtown Dallas, will begin by January 2017. The System anticipates sufficient market access due to Fitch and Moody's maintaining 'stable' outlooks on System debt.

UNT has established four Research Institutes of Excellence that are a pipeline for bringing UNT's research to industry and marketplace. It is one of the nation's 115 top-tier research universities, according to latest Carnegie Classification. Strategic initiatives for growth and revenue include expanding off-site educational opportunities for working professionals—delivering UNT degrees in new locations and modalities. From UNT's New College at Frisco to the Collin Higher Education Center in McKinney to the Universities Center in the heart of downtown Dallas to North Central Texas College's Gainesville campus, UNT has carefully identified these locations to deliver site-directed workforce-informed degrees and continuing professional education to local industry including Fortune 500, and 1,000 corporations in the region.

UNTD had record enrollment in Fall 2016. Construction on the first residence hall is underway and is anticipated to open in July 2017. The Dallas Area Rapid Transit ("DART") station adjacent to campus, which links the university directly to the downtown corridor and to the rest of the metro area, opened in October 2016. College of Law facilities are under renovation, and \$72 million investments form a strong financial commitment to the College of Law. Fall 2016 enrollment is at an all-time high of 387, and the College is working through the accreditation process.

HSC continues to expand some of its most recent innovative initiatives including enrolling the UNT System College of Pharmacy's fourth cohort of students; furthering the Fort Worth M.D. School's accreditation, a partnership with Texas Christian University ("TCU") whose first class of 60 students will begin in Fall 2019; and advancing the Institute for Patient Safety & Preventable Harm's mission by creating patient safety projects, providing community education programs and offering grant funding opportunities. To strengthen HSC's position for long-term viability, the institution has incorporated continuous improvement as part of the planning and management initiatives. New positions will be created to further this effort. Additionally, HSC is making strides in philanthropy, by reaching donors who have expressed increased interest.

**CONSOLIDATED
FINANCIAL STATEMENTS**

of the

UNIVERSITY OF NORTH TEXAS SYSTEM

DALLAS, TEXAS

For the Year Ended August 31, 2016

UNIVERSITY OF NORTH TEXAS SYSTEM - CONSOLIDATED
Statement of Net Position
As of August 31, 2016

	August 31,
	2016
ASSETS	
Current Assets	
Cash and Cash Equivalents:	
Cash on Hand	\$ 109,654.47
Cash in Bank	20,298,226.21
Cash in Transit/Reimburse from Treasury	1,683,945.79
Cash in State Treasury	16,864,464.85
Cash Equivalents	144,480,766.19
Restricted Cash and Cash Equivalents:	
Cash on Hand	20,857.00
Cash in Bank	13,802,862.92
Cash Equivalents	6,393,567.00
Short Term Investments	45,062,449.50
Legislative Appropriations	103,099,493.83
Receivables From:	
Accounts Receivable	79,443,094.57
Federal	32,991,666.12
Other Intergovernmental	1,525,425.95
Clinical Practice	13,263,049.94
Gifts, Pledges and Donations	2,236,416.55
Interest and Dividends	2,162,505.12
Other Receivables	1,500,986.56
Due From Other Agencies	8,287,943.59
Consumable Inventories	429,677.17
Merchandise Inventories	2,757,360.14
Pre-Paid Items	45,789,314.81
Loans and Contracts	2,782,039.62
Total Current Assets	\$ 544,985,767.90
Non-Current Assets	
Restricted Investments	\$ 60,370,688.17
Loans and Contracts	5,058,657.66
Investments	166,504,720.08
Gifts, Pledges and Donations	1,650,332.21
Capital Assets:	
Non-Depreciable or Non-Amortizable	141,421,390.85
Depreciable or Amortizable, Net	883,583,026.30
Total Non-Current Assets	\$ 1,258,588,815.27
Total Assets	\$ 1,803,574,583.17
DEFERRED OUTFLOWS OF RESOURCES	
Deferred Outflows of Resources	\$ 25,854,103.09
Total Deferred Outflows of Resources	\$ 25,854,103.09
TOTAL ASSETS AND DEFERRED OUTFLOWS OF RESOURCES	\$ 1,829,428,686.26

Continued on Next Page

**August 31,
2016**

LIABILITIES

Current Liabilities

Payables From:

Accounts Payable	\$ 52,443,948.51
Payroll Payable	48,435,301.88
Other Payables	4,901,710.50
Interest	8,910,082.34
Due To Other Agencies	335,004.82
Unearned Revenue	230,019,449.35
Notes and Loans Payable	20,150,000.00
Revenue Bonds Payable	33,843,393.95
Claims and Judgments	890,607.00
Employees' Compensable Leave	4,303,112.53
Capital Lease Obligations	1,249,546.84
Funds Held for Others	2,467,341.88

Total Current Liabilities **\$ 407,949,499.60**

Non-Current Liabilities

Revenue Bonds Payable	\$ 514,046,365.19
Claims and Judgments	960,317.00
Employees' Compensable Leave	20,378,603.94
Capital Lease Obligations	2,662,979.88
Net Pension Liability	118,374,598.00

Total Non-Current Liabilities **\$ 656,422,864.01**

Total Liabilities **\$ 1,064,372,363.61**

DEFERRED INFLOWS OF RESOURCES

Deferred Inflows of Resources	\$ 22,122,704.99
-------------------------------	------------------

Total Deferred Inflows of Resources **\$ 22,122,704.99**

TOTAL LIABILITIES AND DEFERRED INFLOWS OF RESOURCES **\$ 1,086,495,068.60**

NET POSITION

Net Investment in Capital Assets	\$ 465,252,019.93
Restricted For:	
Funds Held as Permanent Investments	
Non-Expendable	46,959,890.17
Expendable	18,160,583.05
Other Restricted	39,135,417.96
Unrestricted	173,425,706.55

Total Net Position **\$ 742,933,617.66**

Concluded

UNIVERSITY OF NORTH TEXAS FOUNDATION, INC.

Statement of Financial Position

As of August 31, 2016

	August 31,
	2016
ASSETS	
Cash and Cash Equivalents	\$ 10,895,688
Investments	280,651,723
Contributions and Other Receivables	4,393,091
Prepaid Expenses	103
Real Property	42,808
Other Assets	7,500
Cash Value - Life Insurance Policies	513,979
Assets Held Under Trust and Annuity Agreements	6,914,534
Total Assets	\$ 303,419,426
LIABILITIES	
Accounts Payable and Accrued Expenses	\$ 1,460,864
Agency Funds	366,057
Trust and Annuity Obligations	2,174,900
Assets Held for Others	180,356,786
Total Liabilities	\$ 184,358,607
NET ASSETS	
Unrestricted:	
Board designated for reserves	\$ 1,577,403
Fair value of endowments below historical cost	(1,878,274)
Undesignated	794,640
Total Unrestricted	493,769
Temporarily restricted	26,565,918
Permanently restricted	92,001,132
Total Net Assets	\$ 119,060,819
TOTAL LIABILITIES & NET ASSETS	\$ 303,419,426

See Accompanying Notes to the Consolidated Financial Statements

UNIVERSITY OF NORTH TEXAS SYSTEM - CONSOLIDATED
Statement of Revenues, Expenses and Changes in Net Position
For the Year Ended August 31, 2016

	<u>August 31,</u> <u>2016</u>
OPERATING REVENUES	
Tuition and Fees	\$ 434,876,879.48
Discounts and Allowances	(93,362,918.33)
Professional Fees	110,947,043.17
Discounts and Allowances	(69,633,398.30)
Auxiliary Enterprises	65,894,140.84
Discounts and Allowances	(147,746.07)
Sales of Goods and Services	73,905,043.15
Federal Grant Revenue	46,175,539.02
Federal Pass-Through Revenue	1,810,748.61
State Grant Revenue	3,040,114.82
State Grant Pass-Through Revenue	31,326,811.17
Other Contracts and Grants	24,988,733.90
Other Operating Revenues	2,172,587.63
Total Operating Revenues	<u>\$ 631,993,579.09</u>
OPERATING EXPENSES ⁽¹⁾	
Instruction	\$ 307,061,961.54
Research	56,796,046.42
Public Service	44,302,218.73
Academic Support	90,220,550.05
Student Services	66,490,677.74
Institutional Support	118,618,719.72
Operation and Maintenance of Plant	55,655,357.05
Scholarships and Fellowships	74,233,990.42
Auxiliary Enterprises	55,023,485.67
Depreciation and Amortization	65,900,269.08
Total Operating Expenses	<u>\$ 934,303,276.42</u>
Operating Loss	<u>\$ (302,309,697.33)</u>
NONOPERATING REVENUES (EXPENSES)	
Legislative Appropriations (GR)	\$ 212,034,099.00
Additional Appropriations (GR)	44,497,362.49
Federal Revenue	51,030,542.41
Gifts	11,584,783.49
Investment Income	5,345,979.45
Interest Expense and Fiscal Charges	(20,645,678.68)
Gain on Sale of Capital Assets	1,043,427.82
Net Increase in Fair Value of Investments	10,734,926.66
Other Nonoperating Revenues	397,319.66
Other Nonoperating Expenses	(7,900,122.39)
Total Nonoperating Revenues (Expenses)	<u>\$ 308,122,639.91</u>
Income Before Other Revenues, Expenses and Transfers	<u>\$ 5,812,942.58</u>
OTHER REVENUES, EXPENSES AND TRANSFERS	
Capital Contributions	\$ 1,717,692.26
Capital Appropriations (HEAF)	37,844,609.00
Contributions To Permanent and Term Endowments	258,291.70
Transfers To Other State Agencies	(93,045.34)
Transfers From Other State Agencies	810,178.00
Legislative Transfers In	1,066,757.00
Total Other Revenues, Expenses and Transfers	<u>\$ 41,604,482.62</u>
CHANGE IN NET POSITION	<u>\$ 47,417,425.20</u>
Beginning Net Position	\$ 695,516,192.46
ENDING NET POSITION	<u>\$ 742,933,617.66</u>

(1) See Matrix of Operating Expenses Reported by Function.

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UNIVERSITY OF NORTH TEXAS FOUNDATION, INC.
Statement of Activities
For the Year Ended August 31, 2016

	Unrestricted	Temporarily Restricted	Permanently Restricted	Year Ended August 31, 2016 Total
REVENUES, GAINS AND OTHER SUPPORT:				
Contributions	\$ 34,691	\$ 4,756,379	\$ 6,266,342	\$ 11,057,412
Adjustment to prior year contributions receivable	-	(16,167,248)	-	(16,167,248)
Investment income (loss)	(27,383)	2,485,316	-	2,457,933
Management fee income	1,513,418	-	-	1,513,418
Other income	-	98,665	-	98,665
Realized and unrealized gain (loss) on market value of investments	42,203	4,396,416	(21,831)	4,416,788
Actuarial gain on annuity obligations	-	-	52,681	52,681
Increase in cash value - life insurance	-	-	17,387	17,387
TOTAL REVENUES, GAINS AND OTHER SUPPORT	\$ 1,562,929	\$ (4,430,472)	\$ 6,314,579	\$ 3,447,036
NET ASSETS RELEASED FROM RESTRICTIONS/TRANSFERS:				
Net assets released from restrictions	\$ 7,493,102	\$ (7,314,704)	\$ (178,398)	\$ -
Transfers/changes in donor restrictions	(829,370)	1,801,445	(972,075)	-
TOTAL NET ASSETS RELEASED FROM RESTRICTIONS/TRANSFERS	\$ 6,663,732	\$ (5,513,259)	\$ (1,150,473)	\$ -
PROGRAM SERVICES:				
Internal management fee	\$ 1,089,349	\$ -	\$ -	\$ 1,089,349
Scholarships and awards	1,779,404	-	-	1,779,404
Expense reimbursements	4,356	-	-	4,356
Services for programs	1,970,356	-	-	1,970,356
Distributions to UNT	2,595,360	-	-	2,595,360
Grant to University	220,000	-	-	220,000
Distributions to other Institutions	25,500	-	-	25,500
Life insurance premiums	28,777	-	-	28,777
Total Program Services	\$ 7,713,102	\$ -	\$ -	\$ 7,713,102
MANAGEMENT AND GENERAL EXPENSES:				
Salaries and benefits	\$ 1,171,182	\$ -	\$ -	\$ 1,171,182
Consulting fees	61,633	-	-	61,633
Professional services	28,827	-	-	28,827
Travel	7,740	-	-	7,740
Administrative and other	26,877	-	-	26,877
Bank and credit card charges	4,646	-	-	4,646
Office and computer equipment	16,989	-	-	16,989
Insurance	26,938	-	-	26,938
Professional development and memberships	17,559	-	-	17,559
Strategic planning	4,000	-	-	4,000
Total Management and General Expenses	\$ 1,366,391	\$ -	\$ -	\$ 1,366,391
TOTAL PROGRAM SERVICES AND EXPENSES	\$ 9,079,493	\$ -	\$ -	\$ 9,079,493
CHANGE IN NET ASSETS	\$ (852,832)	\$ (9,943,731)	\$ 5,164,106	\$ (5,632,457)
Net Assets, Beginning of Year	\$ 1,346,601	\$ 36,509,649	\$ 86,837,026	\$ 124,693,276
NET ASSETS END OF PERIOD	\$ 493,769	\$ 26,565,918	\$ 92,001,132	\$ 119,060,819

See Accompanying Notes to the Consolidated Financial Statements

UNIVERSITY OF NORTH TEXAS SYSTEM - CONSOLIDATED
Statement of Cash Flows
For the Year Ended August 31, 2016

	August 31, 2016
CASH FLOWS FROM OPERATING ACTIVITIES	
Proceeds from Customers	\$ 112,898,298.11
Proceeds from Tuition and Fees	358,486,870.29
Proceeds from Research Grants and Contracts	105,346,690.42
Proceeds from Loan Programs	250,564.16
Proceeds from Auxiliaries	65,712,501.87
Proceeds from Other Revenues	2,122,532.56
Payments to Suppliers for Goods and Services	(264,288,460.69)
Payments to Employees	(531,416,452.78)
Payments for Loans Provided	(625,731.73)
Payments for Other Expenses	(88,261,905.53)
Net Cash Used by Operating Activities	<u>\$ (239,775,093.32)</u>
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES	
Proceeds from State Appropriations	\$ 200,541,280.85
Proceeds from Gifts	12,367,350.92
Proceeds from Endowments	258,291.70
Proceeds from Transfers from Other Agencies	810,178.00
Proceeds from Legislative Transfers	1,066,757.00
Proceeds from Grant Receipts	51,030,542.41
Proceeds from Other Revenues	2,467,814.50
Payments for Transfers to Other Agencies	(93,045.34)
Payments for Other Uses	(3,905.00)
Net Cash Provided by Noncapital Financing Activities	<u>\$ 268,445,265.04</u>
CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES	
Proceeds from Sale of Capital Assets	\$ 2,707,991.07
Proceeds from State Appropriations	37,844,609.00
Proceeds from Debt Issuance	261,586,428.55
Proceeds from Capital Contributions	451,685.81
Payments for Additions to Capital Assets	(75,001,732.13)
Payments for Capital Leases	(1,179,705.74)
Payments of Principal on Debt Issuance	(235,340,000.00)
Payments of Other Costs of Debt Issuance	(1,251,099.64)
Payments of Interest on Debt Issuance	(21,848,920.21)
Net Cash Used by Capital and Related Financing Activities	<u>\$ (32,030,743.29)</u>
CASH FLOWS FROM INVESTING ACTIVITIES	
Proceeds from Sale of Investments	\$ 30,648,284.73
Proceeds from Interest and Investment Income	4,740,094.59
Payments to Acquire Investments	(75,714,226.25)
Net Cash Used by Investing Activities	<u>\$ (40,325,846.93)</u>
Net Decrease in Cash and Cash Equivalents	<u>\$ (43,686,418.50)</u>
Cash and Cash Equivalents, September 1, 2015	<u>\$ 247,340,762.93</u>
Cash and Cash Equivalents, August 31, 2016	<u>\$ 203,654,344.43</u>
Cash and Cash Equivalents	\$ 183,437,057.51
Restricted Cash and Cash Equivalents	20,217,286.92
	<u>\$ 203,654,344.43</u>

UNIVERSITY OF NORTH TEXAS SYSTEM - CONSOLIDATED
Statement of Cash Flows
For the Year Ended August 31, 2016

	August 31,
	2016
RECONCILIATION OF OPERATING LOSS TO NET CASH USED	
BY OPERATING ACTIVITIES	
Operating Loss	\$ (302,309,697.33)
Adjustments to Reconcile Operating Loss to Net Cash Used	
by Operating Activities:	
Depreciation and Amortization	\$ 65,900,269.08
Pension Expense	(55,742.71)
Employee Benefits Paid by State	29,163,359.49
Changes in Assets and Liabilities:	
(Increase) Decrease in Receivables	(6,700,085.13)
(Increase) Decrease in Inventories	(514,019.34)
(Increase) Decrease in Loans and Contracts	(375,167.57)
(Increase) Decrease in Prepaid Expenses	(9,123,041.11)
Increase (Decrease) in Payables	(19,250,805.47)
Increase (Decrease) in Unearned Revenue	19,269,003.72
Increase (Decrease) in Other Liabilities	(15,779,166.95)
Total Adjustments	<u>\$ 62,534,604.01</u>
Net Cash Used by Operating Activities	<u>\$ (239,775,093.32)</u>
NON-CASH TRANSACTIONS	
Net Change in Fair Value of Investments	\$ 10,734,926.66
Donation of Capital Assets	1,266,006.46
Borrowing Under Capital Lease Purchase	186,326.30
Gain on Sales/Disposals of Capital Assets	1,043,427.82
Amortization of Bond Premiums (Discounts)	4,129,746.33
Amortization of Deferred Inflows/Outflows from Refunding Bonds	(133,444.13)
Capital Assets Acquired with Payables	11,765,119.68
Nonoperating Expenses with Payables	8,715,612.59

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**NOTES TO THE
CONSOLIDATED FINANCIAL STATEMENTS
of the
UNIVERSITY OF NORTH TEXAS SYSTEM
DALLAS, TEXAS
For the Year Ended August 31, 2016**

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UNIVERSITY OF NORTH TEXAS SYSTEM
Notes to the Consolidated Financial Statements
For the Year Ended August 31, 2016

Note 1: Summary of Significant Accounting Policies

Introduction

The University of North Texas System (the "System") is an agency of the State of Texas (the "State") and its financial records comply with state statutes and regulations. This includes compliance with the Texas Comptroller of Public Accounts' Reporting Requirements for Annual Financial Reports of State Agencies and Universities and with Generally Accepted Accounting Principles ("GAAP").

The consolidated financial statements include the University of North Texas System Administration ("System Administration") and all institutions of the System. Amounts due between and among institutions, amounts held for institutions by the System Administration and other duplications in reporting are eliminated in consolidating the financial statements.

The System is composed of the System Administration and three academic institutions as follows: the University of North Texas ("UNT"), the University of North Texas Health Science Center at Fort Worth ("HSC"), and the University of North Texas at Dallas ("UNTD"). The System is governed by a nine-member Board of Regents appointed by the Governor of Texas and confirmed by the Texas State Senate. Three members are appointed every odd-numbered year for six-year terms. In addition, the Governor appoints a nonvoting student Regent for a one-year term.

Basis of Accounting

The financial statements of the System have been prepared using the economic resources measurement focus and the full accrual basis of accounting. The System reports as a business-type activity, as defined by the Governmental Accounting Standards Board ("GASB"). Business-type activities are those that are financed in whole or in part by fees charged to external parties for goods or services.

Under the full accrual basis of accounting, revenues, expenses, gains, losses, assets and liabilities resulting from exchange and exchange-like transactions are recognized when the exchange takes place. Revenues, expenses, gains, losses, assets and liabilities resulting from nonexchange transactions are recognized in accordance with GASB Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions*, as amended. The Statement of Revenues, Expenses and Changes in Net Position is segregated into operating and nonoperating sections. Operating activities consist of transactions that are the direct result of providing goods and services to customers or directly related to the System's principal ongoing operations.

Assets, Liabilities, Deferred Outflows and Inflows of Resources, and Net Position

Assets

Cash and Cash Equivalents

Short-term highly liquid investments that are both readily convertible to known amounts of cash and having an original maturity of three months or less are considered cash equivalents.

It is the System's policy to exclude items that meet this definition if they are part of an investment pool, which has an investment horizon of one year or greater. Therefore, highly liquid investments that are part of the Foundation-managed long-term investment pool are not considered cash and cash equivalents. Additionally, endowments invested in money market accounts are also excluded from cash and cash equivalents as the intent is to invest these funds for more than one year. Cash held in the State Treasury is considered cash and cash equivalents. Restricted cash and cash equivalents include restricted sources of funds used for construction of capital assets as well as funds held for debt service. The System holds bond proceeds in restricted investment accounts to be disbursed to its institutions to support capital projects.

Legislative Appropriations

The appropriation of revenues by the Texas Legislature (the "Legislature") is in the form of general revenue. The Legislature meets every odd-numbered year and approves a two-year budget (biennial) for all State agencies. The general revenue appropriation to the System supports the instruction, research and operation of the System.

UNIVERSITY OF NORTH TEXAS SYSTEM
Notes to the Consolidated Financial Statements
For the Year Ended August 31, 2016

Appropriations also include payments made by the State on behalf of the System for benefits related to salaries funded by state appropriations. There is no assurance that the Legislature will continue its state appropriations to the System in future years; however, the System expects that the Legislature will continue to do so. Higher Education Funds (“HEF funds”) are general revenue appropriations received from the State designated for the acquisition of certain capital assets and capital projects. As of August 31, 2016, the unexpended amount was \$74,757,006.31.

Accounts and Other Receivables

Accounts receivable mainly consists of tuition and fee charges to students. Accounts receivable is shown net of an allowance for doubtful accounts, which is approximately \$27.8 million of the outstanding accounts receivable balance at August 31, 2016. The System has adopted a policy of reserving for account receivables based on collections history over the previous five years. Any amount outstanding after five years is reserved at 100% per state requirements.

Federal receivables include federal grants and education scholarships.

Intergovernmental receivables include amounts due from state government or private sources in connection with reimbursement of allowable expenditures made pursuant to the System’s grants and contracts.

Clinical Practice receivables are presented net of allowances for contractual discounts and bad debts. The bad debt allowance on clinical receivables was approximately \$10.7 million as of August 31, 2016. Clinical accounts receivable are subject to concentrations of patient accounts receivable credit risk. The mix of receivables (gross) from patients and third parties as of August 31, 2016 was as follows:

	August 31, 2016 (Gross)
County Hospital	15%
Medicaid	29%
Medicare	17%
Commercial	19%
Self-Pay	8%
Other	12%
Total	100%

Gift receivables include amounts pledged to the System by donors, net of allowances. The allowance for gift pledges is approximately \$2.2 million at August 31, 2016. Multiyear gift pledges are reported at the discounted present value. At the beginning of each fiscal year, the System re-establishes the scale of discount rates applicable for present valuing multi-year gift pledges that are received during the new fiscal year.

Prepaid Items

Prepaid items include prepaid scholarship expenses that pertain to the fall term of the following fiscal year and other various prepaid expenses.

Loans and Contracts

Current and noncurrent loans and contracts receivables, related to student loans, are shown net of allowances. The net allowance on loans and contracts at August 31, 2016 is approximately \$4.1 million.

Investments

The System accounts for its investments at fair value in accordance with GASB Statement No. 31, *Accounting and Financial Reporting for Certain Investments and for External Investment Pools*, as amended. Changes in realized gain (loss) on the carrying value of investments are reported as a component of investment income. Restricted investments include investments restricted by legal or contractual requirements, including those related to donors and constitutional restrictions.

UNIVERSITY OF NORTH TEXAS SYSTEM
Notes to the Consolidated Financial Statements
For the Year Ended August 31, 2016

Capital and Intangible Assets

The System follows the State's capitalization policy, which requires capitalization of assets with an initial individual cost of more than \$5,000 for equipment items, \$100,000 for buildings, building improvements and improvements other than buildings, and \$500,000 for infrastructure items, and an estimated useful life of greater than one year. These assets are capitalized at cost or, if not purchased, at fair value as of the date of acquisition.

Purchases of library books are capitalized. Routine repairs and maintenance are charged to operating expense in the year in which the expense is incurred. Outlays for construction in progress are capitalized as incurred. Interest expense related to construction is capitalized in accordance with the requirements of GASB Statement No. 62, *Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements*, as amended.

Depreciation is reported on all exhaustible assets. Inexhaustible assets such as land, works of art and historical treasures are not depreciated. Depreciation is computed using the straight-line method over the estimated useful lives of the assets, generally, 10 to 30 years for buildings and improvements, 10 to 45 years for infrastructure, 4 to 15 years for equipment, and 15 years for library books.

GASB Statement No. 51, *Accounting and Financial Reporting for Intangible Assets*, as amended, requires all intangible assets not specifically excluded by scope provisions to be classified as capital assets. The System has computer software that meets the criteria. Accordingly, existing authoritative guidance related to the accounting and financial reporting for capital assets is applied to computer software, as applicable.

Deferred Outflows of Resources

Deferred outflows of resources relate to unamortized losses on refunding of debt and pensions.

Deferred Outflows of Resources Related to Debt Refunding

For debt refunding, the difference between the reacquisition price and the net carrying amount of the old debt is deferred and reported as deferred outflows or deferred inflows. The gain or loss is amortized using the straight-line method over the remaining life of the old debt or the life of the new debt, whichever is shorter, in the Statement of Revenues, Expenses and Changes in Net Position as a component of interest expense.

Deferred Outflows of Resources Related to Pensions

Certain changes in the collective net pension liability of the Teacher Retirement System of Texas Plan (the "TRS Plan") are reported as deferred outflows of resources related to pensions or as deferred inflows of resources related to pensions, depending on the type of change. The types of deferred outflows of resources related to pensions and their respective accounting treatments are discussed below.

- System contributions subsequent to the measurement date of the collective net pension liability are recognized as a reduction in the net pension liability in the following year.
- The effect on the System's proportionate share of the total pension liability of changes of economic and demographic assumptions or of other inputs that increase the total pension liability is amortized as a component of pension expense using the straight-line method over the expected average remaining service lives of active and inactive employees.
- The effect on the System's proportionate share of the total pension liability of differences between expected and actual experience that increase the total pension liability is amortized as a component of pension expense using the straight-line method over the expected average remaining service lives of active and inactive employees.
- The effect on the System's proportionate share of the collective net pension liability of less actual earnings on pension plan investments than projected is amortized as a component of pension expense using the straight-line method over a period of five years.

UNIVERSITY OF NORTH TEXAS SYSTEM
Notes to the Consolidated Financial Statements
For the Year Ended August 31, 2016

Liabilities

Accounts and Other Payables

Accounts and other payables represent the liability for the value of assets or services received at the Statement of Net Position date for which payment is pending.

Unearned Revenue

Unearned revenue represents assets received in advance of an exchange taking place in an exchange transaction or assets received prior to eligibility requirements (other than time requirements) being met in a nonexchange transaction. Unearned revenue includes \$222.5 million of tuition revenue related to the semesters that have not been completed as of August 31, 2016. Tuition revenue is recognized based on the number of class days as a percentage of total class days that fall within the fiscal year.

Revenue Bonds Payable

Revenue bonds payable are reported at par value. Bond discounts and premiums are amortized over the life of the bonds using the interest method. Revenue bonds payable is reported separately as either current or non-current in the Statement of Net Position.

Claims and Judgments

Claims and judgments are reported when it is probable a loss has occurred and the amount of the loss can be reasonably estimated. These liabilities include an amount for claims that were incurred but not reported. See Note 10, *Contingencies and Commitments*, and Note 12, *Risk Management*, for information on risk management, claims and judgments.

Employees' Compensable Leave

Employees' compensable leave represents the liability that becomes due upon the occurrence of relevant events such as resignations, retirements and uses of leave balances by covered employees, in conformance with state policy and practice. Liabilities are reported separately as either current or non-current in the Statement of Net Position. These obligations generally are paid from the same funding source from which each employee's salary or wage compensation is paid.

Capital Lease Obligations

Capital lease obligations represent the liability for future lease payments under capital lease contracts. Liabilities are reported separately as either current or non-current in the Statement of Net Position.

Funds Held for Others

Funds held for others represent funds held by the System as custodial or fiscal agent for students, faculty members, foundations and others.

Net Pension Liability

The fiduciary net position of the TRS Plan has been determined using the flow of economic resources measurement focus and full accrual basis of accounting. For purposes of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions and pension expense, information about the fiduciary net position of the TRS Plan, and additions to/deductions from the TRS Plan's fiduciary net position have been determined on the same basis as they are reported by TRS. Benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value. The framework for measuring fair value is based on a hierarchy that gives the highest priority to the use of observable inputs in an active market and lowest priority to the use of unobservable inputs.

UNIVERSITY OF NORTH TEXAS SYSTEM
Notes to the Consolidated Financial Statements
For the Year Ended August 31, 2016

Deferred Inflows of Resources

Deferred inflows of resources relate to unamortized gains on refunding of debt and pensions.

Deferred Inflows of Resources Related to Debt Refunding

For debt refunding, the difference between the reacquisition price and the net carrying amount of the old debt is deferred and reported as deferred outflows or deferred inflows. The gain or loss is amortized using the straight-line method over the remaining life of the old debt or the life of the new debt, whichever is shorter, in the Statement of Revenues, Expenses and Changes in Net Position as a component of interest expense.

Deferred Inflows of Resources Related to Pensions

Certain changes in the collective net pension liability of the TRS Plan are reported as deferred outflows of resources related to pensions or as deferred inflows of resources related to pensions, depending on the type of change. The types of deferred inflows of resources related to pensions and their respective accounting treatments are discussed below.

- The effect on the System's proportionate share of the total pension liability of changes of economic and demographic assumptions or of other inputs that decrease the total pension liability is amortized as a component of pension expense using the straight-line method over the expected average remaining service lives of active and inactive employees.
- The effect on the System's proportionate share of the total pension liability of differences between expected and actual experience that decrease the total pension liability is amortized as a component of pension expense using the straight-line method over the expected average remaining service lives of active and inactive employees.
- Decreases in the System's proportion of the collective net pension liability are amortized as a component of pension expense using the straight-line method over the expected average remaining service lives of active and inactive employees.
- System contributions during the measurement period that are less than its proportionate share of total of contributions are amortized as a component of pension expense using the straight-line method over the expected average remaining service lives of active and inactive employees.
- The effect on the System's proportionate share of the collective net pension liability of more actual earnings on pension plan investments than projected is amortized as a component of pension expense using the straight-line method over a period of five years.

Net Position

Net Investment in Capital Assets

Net investment in capital assets consists of capital assets, net of accumulated depreciation, and unspent bond proceeds reduced by outstanding balances for bonds, notes and other debt that are attributed to the acquisition, construction or improvement of those assets.

Restricted Net Position

Restricted net position primarily consists of permanent investments subject to restrictions externally imposed by creditors, grantors, contributors, and the like, or imposed by law through constitutional provisions or enabling legislation.

Restricted nonexpendable net position is subject to externally imposed stipulations that require the amounts be maintained in perpetuity by the System. Such assets include the System's permanent endowment funds.

Restricted expendable net position is subject to externally imposed stipulations that can be fulfilled by actions of the System pursuant to those stipulations or that expire with the passage of time.

Unrestricted Net Position

Unrestricted net position consists of net position that does not meet the definition of the two preceding categories. Unrestricted net position often has constraints on resources that are imposed by management, but can be removed

UNIVERSITY OF NORTH TEXAS SYSTEM
Notes to the Consolidated Financial Statements
For the Year Ended August 31, 2016

or modified. Because the System is an agency of the State, constraints on the use of resources imposed by the State are not considered external restrictions.

When an expense is incurred that can be paid using either restricted or unrestricted resources, the System addresses each situation on a case-by-case basis prior to determining the resources to be used to satisfy the obligation. Generally, the System's policy is to first apply the expense toward restricted resources and then toward unrestricted resources.

Revenues and Expenses

Operating Revenues and Expenses

Operating revenues include activities such as net student tuition and fees; net professional fees for hospital clinical services; net sales and services by auxiliary enterprises; and most federal, state and local grants and contracts. Operating expenses include salaries and wages, payroll related costs, professional fees and services, materials and supplies, depreciation and amortization, and scholarships and fellowships. In addition, all changes to incurred but not reported liabilities related to insurance programs are reflected as operating.

Professional Fees Revenue

HSC has agreements with third parties that provide for reimbursement to HSC at amounts different from its established rates. Contractual adjustments under third party reimbursement programs represent the difference between HSC's established rates for services and the amounts reimbursed by third parties. HSC's more significant third parties are the Medicare and Medicaid programs.

Medicare outpatient services are reimbursed on a prospective basis through ambulatory payment classifications, which are based on clinical resources used in performing the procedure. Medicaid outpatient services are paid based on a fee schedule or blended rates.

Scholarship Allowances and Student Aid

Financial aid to students is reported in the financial statements as prescribed by the National Association of College and University Business Officers ("NACUBO"). Certain aid (student loans, funds provided to students as awarded by third parties and Federal Direct Lending) is accounted for as third party payments (credited to the student's account and reported as revenue as if the student made the payment). All other aid is reflected in the financial statements either as operating expense or as scholarship allowances, which reduce revenues. The amount reported as operating expense represents the portion of aid that was provided to the student in the form of cash. Scholarship allowances represent the portion of aid provided to the student in the form of reduced tuition. The allowance is computed on an institution-wide basis by allocating cash payments to students, excluding payments for services, using the ratio of total aid to the aid not considered to be third party aid.

Nonoperating Revenues and Expenses

Nonoperating revenues include activities such as gifts and contributions, insurance recoveries received in years subsequent to the associated loss, state appropriations, investment income and other revenue sources that are defined as nonoperating revenues by GASB. The System's institutions are the named beneficiaries in certain lawsuits, wills, trusts, and insurance policies; however, the System does not recognize these potential refunds, gifts, and contributions until realized. Nonoperating expenses include activities such as interest expense on capital asset financings and other expenses that are defined as nonoperating expenses by GASB.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements. Estimates also affect the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

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Upcoming Accounting Pronouncements

GASB Statement No. 73, *Accounting and Financial Reporting for Pensions and Related Assets That Are Not within the Scope of GASB Statement 68, and Amendments to Certain Provisions of GASB Statements 67 and 68*, is intended to aid in decision making by improving the usefulness of information about pensions included in financial statements of state and local governments. The standard is the result of a review of all existing standards related to postemployment benefits with a focus on the effectiveness of providing useful decision-making information, supporting accountability, and improving transparency. This statement will be implemented in 2017. System management expects minimal impact to the financial statements.

GASB Statement No. 74, *Financial Reporting for Postemployment Benefit Plans Other Than Pension Plans*, has the same objective as GASB Statement No. 73, but as it relates to other postemployment benefit plans (“OPEB plans”). This statement, if applicable, should be implemented in 2017. Since the System is not an administrator of any such plans, this statement will have no impact to the financial statements.

GASB Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions*, also has the same objective as Statement No’s. 73 and 74; however, this statement specifically replaces the requirements of Statements No. 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions*, as amended, and Statement No. 57, *OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans*, for OPEB. Because this statement addresses the employer’s portion of OPEB, System management does anticipate a significant impact to the financial statements. The statement will be implemented in 2018. System management will await guidance from the State Comptroller’s Office as to how to implement and at what agency level this will be reported.

GASB Statement No. 80, *Blending Requirements for Certain Component Units—an amendment of GASB Statement No. 14*, amends the blending requirements for component units that are not-for-profit corporations, where the primary government is the sole corporate member. The statement will be implemented in 2017. Since the System is not the sole corporate member for any not-for-profit corporations, this statement will have no impact to the financial statements.

GASB Statement No. 81, *Irrevocable Split-Interest Agreements*, provides recognition and measurement guidance for governments which are a beneficiary of such agreements. This statement will be implemented in 2018. The System has not yet evaluated the impact this will have to the financial statements.

GASB Statement No. 82, *Pension Issues—an amendment of GASB Statements No. 67, No. 68, and No. 73*, addresses issues regarding (1) the presentation of payroll-related measures in required supplementary information, (2) the selection of assumptions and the treatment of deviations from the guidance in an Actuarial Standard of Practice for financial reporting purposes, and (3) the classification of payments made by employers to satisfy employee (plan member) contribution requirements. This statement will be implemented in 2018. The System will await guidance and reporting requirements provided by the state, but minimal to no impact to the financial statements is expected.

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Note 2: Capital Assets

A summary of changes in capital assets for the year ended August 31, 2016 is presented below:

	Balance September 1, 2015	Adjustments	Reclassification of Completed Construction In Progress	Increase Interagency Transfers	Decrease Interagency Transfers	Additions	Deletions	Balance August 31, 2016
Non-Depreciable or Non-Amortizable Assets:								
Land and Land Improvements Infrastructure	\$ 77,823,424.89	\$ -	\$ -	\$ -	\$ -	\$ 1,230,000.00	\$ -	\$ 79,053,424.89
Construction in Progress	123,688,911.53	-	(149,400,229.17)	666,036.10	(666,036.10)	62,671,857.99	-	36,960,540.35
Other Tangible Capital Assets	25,071,765.61	-	-	-	-	634,090.00	(298,430.00)	25,407,425.61
Land Use Rights	-	-	-	-	-	-	-	-
Other Intangible Capital Assets	-	-	-	-	-	-	-	-
Total Non-Depreciable or Non-Amortizable Assets:	\$ 226,584,102.03	\$ -	\$ (149,400,229.17)	\$ 666,036.10	\$ (666,036.10)	\$ 64,535,947.99	\$ (298,430.00)	\$ 141,421,390.85
Depreciable Assets:								
Buildings and Building Improvements Infrastructure	\$ 968,414,303.79	\$ -	\$ 136,727,966.75	\$ -	\$ -	\$ 5,344,739.02	\$ (6,103,480.96)	\$ 1,104,383,528.60
Facilities and Other Improvements	65,219,516.61	-	-	-	-	-	-	65,219,516.61
Furniture and Equipment	125,805,188.42	-	374,751.84	-	-	-	(1,189,160.45)	124,990,779.81
Vehicles, Boats and Aircraft	144,229,026.54	-	-	202,065.36	(202,065.36)	12,251,855.30	(4,405,200.56)	152,075,681.28
Other Capital Assets	12,601,801.35	-	-	22,978.75	(22,978.75)	1,467,199.09	(636,319.60)	13,432,680.84
	93,109,521.04	-	-	742,868.54	(742,868.54)	4,830,688.89	(41,693.37)	97,898,516.56
Total Depreciable Assets:	\$ 1,409,379,357.75	\$ -	\$ 137,102,718.59	\$ 967,912.65	\$ (967,912.65)	\$ 23,894,482.30	\$ (12,375,854.94)	\$ 1,558,000,703.70
Less Accumulated Depreciation for:								
Buildings and Building Improvements Infrastructure	\$ (423,692,459.10)	\$ (6,285,369.23)	\$ -	\$ -	\$ -	\$ (40,789,584.62)	\$ 5,267,976.79	\$ (465,499,436.16)
Facilities and Other Improvements	(16,101,120.16)	-	-	-	-	(2,290,389.30)	-	(18,391,509.46)
Furniture and Equipment	(24,323,340.15)	-	-	-	-	(3,746,700.56)	957,853.28	(27,112,187.43)
Vehicles, Boats and Aircraft	(100,103,425.42)	-	-	(51,206.67)	51,206.67	(12,081,932.20)	4,013,562.07	(108,171,795.55)
Other Capital Assets	(7,773,790.33)	-	-	-	-	(1,065,192.72)	568,298.33	(8,270,684.72)
	(54,330,268.84)	-	-	(71,726.82)	71,726.82	(4,322,339.35)	37,595.92	(58,615,012.27)
Total Accumulated Depreciation	\$ (626,324,404.00)	\$ (6,285,369.23)	\$ -	\$ (122,933.49)	\$ 122,933.49	\$ (64,296,138.75)	\$ 10,845,286.39	\$ (686,060,625.59)
Depreciable Assets, Net	\$ 783,054,953.75	\$ (6,285,369.23)	\$ 137,102,718.59	\$ 844,979.16	\$ (844,979.16)	\$ (40,401,656.45)	\$ (1,530,568.55)	\$ 871,940,078.11
Amortizable Assets - Intangible:								
Land Use Rights	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Computer Software	20,566,880.76	-	12,297,510.58	3,361,538.75	(3,361,538.75)	-	(2,930,071.71)	29,934,319.63
Other Intangible Capital Assets	-	-	-	-	-	-	-	-
Total Amortizable Assets - Intangibles	\$ 20,566,880.76	\$ -	\$ 12,297,510.58	\$ 3,361,538.75	\$ (3,361,538.75)	\$ -	\$ (2,930,071.71)	\$ 29,934,319.63
Less Accumulated Amortization for:								
Land Use Rights	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Computer Software	(19,617,312.82)	-	-	(3,361,538.75)	3,361,538.75	(1,604,130.33)	2,930,071.71	(18,291,371.44)
Other Intangible Capital Assets	-	-	-	-	-	-	-	-
Total Accumulated Amortization	\$ (19,617,312.82)	\$ -	\$ -	\$ (3,361,538.75)	\$ 3,361,538.75	\$ (1,604,130.33)	\$ 2,930,071.71	\$ (18,291,371.44)
Amortizable Assets - Intangibles, Net	\$ 949,567.94	\$ -	\$ 12,297,510.58	\$ -	\$ -	\$ (1,604,130.33)	\$ -	\$ 11,642,948.19
Total	\$ 1,010,588,623.72	\$ (6,285,369.23)	\$ -	\$ 1,511,015.26	\$ (1,511,015.26)	\$ 22,530,161.21	\$ (1,828,998.55)	\$ 1,025,004,417.15

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Note 3: Cash, Cash Equivalents and Investments

Deposits of Cash in Bank

As of August 31, 2016, the carrying amount of deposits was \$34,101,089.13 as presented below.

Cash In Bank- Carrying Value	\$	34,101,089.13
Cash in Bank per Statement of Net Position	\$	<u>34,101,089.13</u>
Proprietary Funds Current Assets Cash in Bank	\$	20,298,226.21
Proprietary Funds Current Assets Restricted Cash in Bank		<u>13,802,862.92</u>
Cash in Bank per Statement of Net Position	\$	<u>34,101,089.13</u>

The carrying amount consists of all cash in local banks and is included on the Statement of Net Position as a portion of cash and cash equivalents. Assets classified as cash and cash equivalents include \$150,874,333.20 that is invested in cash equivalents. The remainder of the cash and cash equivalent balance of \$18,678,922.11 is comprised of cash on hand, cash in transit or reimbursement from the Treasury, and cash in the State Treasury.

As of August 31, 2016, the total bank balance was \$39,272,436.96.

Custodial Credit Risk - Deposits

Custodial credit risk for deposits is the risk that, in the event of the failure of a depository financial institution, the agency will not be able to recover deposits or will not be able to recover collateral securities that are in the possession of an outside party. The System’s policy is that all deposits are governed by a bank depository agreement between the System and the respective banking institution. This agreement provides that the System’s deposits, to the extent such deposits exceed the maximum insured limit under deposit insurance provided by the Federal Deposit Insurance Corporation (the “FDIC”), shall at all times be collateralized with government securities.

As of August 31, 2016, the System had no bank balances that were exposed to custodial credit risk.

Investments

Each institution of the System adopts an endowment investment policy that must be reviewed and approved by the System Board of Regents annually. The policy authorizes the following types of investments: U.S. Government obligations, U.S. Government Agency obligations, other government obligations, corporate obligations, corporate asset-backed and mortgage-backed securities, equity, international obligations, international equity, certificates of deposit, banker’s acceptances, money market mutual funds, mutual funds, repurchase agreements, private equity, hedge funds, Real Estate Investment Trusts (“REITs”), derivatives, energy and real estate.

The System’s cash management objective is to retain appropriate liquidity to meet daily operating demands while seeking higher yield on cash reserves through an appropriately diversified long-term investment portfolio. The System obtained permission from the Attorney General’s office for the Board of Regents of the System to invest funds under its control that are held and managed by the System’s institutions under section 51.0031(c) of the Texas Education Code. Section 51.0031 of the Texas Education Code authorizes the System Board of Regents, subject to procedures and restrictions it establishes, to invest System funds in any kind of investment and in amounts it considers appropriate, provided that it adheres to the prudent person standard described in Article VII, Section 11b, of the Texas Constitution. This standard provides that the System Board of Regents, in making investments, may acquire, exchange, sell, supervise, manage or retain, through procedures and subject to restrictions it establishes and in amounts it considers appropriate, any kind of investment that prudent investors, exercising reasonable care, skill and caution, would acquire or retain in light of the purposes, terms, distribution requirements and other circumstances of the fund then prevailing, taking into consideration the investment of all of the assets of the fund rather than a single investment. All System funds subject to Board of Regents control, System endowment funds, and HSC medical professional liability self-insurance plan funds shall be invested pursuant to a prudent person standard. All other System funds shall be deposited in an approved depository bank, invested pursuant to the Public

UNIVERSITY OF NORTH TEXAS SYSTEM
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Funds Investment Act in authorized investments such as FDIC insured money market funds and approved local government investment pools, or deposited in the State Treasury.

As of August 31, 2016, the System's investments are presented below. Included in this amount is \$150,874,333.20 classified as cash equivalents.

Investments and Cash Equivalents	As of August 31, 2016
U.S. Government Agency Obligations	\$ 9,217,697.50
Equity	440,384.50
Repurchase Agreement	13,155,165.99
Domestic Mutual Funds	9,846.00
Fixed Income Money Market and Bond Mutual Funds	77,524,657.57
Other Commingled Funds	84,600,562.73
Other Commingled Funds (TexPool)	19,969,728.91
Externally Managed Investments – Domestic (1)	216,866,618.12
Miscellaneous (limited partnerships, guaranteed investment contract, political subdivision, bankers' acceptance, negotiable CD)	1,027,529.63
Total Investments and Cash Equivalents	\$ 422,812,190.95

- (1) Fair values of investments that are not managed by the University of North Texas Foundation are primarily based on market valuations provided by external managers.

Credit Risk – Investments

Credit risk is the risk that an issuer or counterparty to an investment will not fulfill its obligations. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. The System utilizes ratings assigned by Standard & Poor's for this purpose. The System's investment policy does not provide specific requirements and limitations regarding investment ratings. According to the authoritative literature from the GASB, unless there is information to the contrary, obligations of the U.S. government or obligations explicitly guaranteed by the U.S. government are not considered to have credit risk and do not require disclosure of credit quality.

As of August 31, 2016, the System's credit quality distribution for securities with credit risk exposure was as follows:

Fund Type	GAAP Fund	Investment Type	Standard and Poor's			
			AAA	AA	Unrated	Total
05	0001	U.S. Government Agency Obligations	\$ -	\$9,217,697.50	\$ -	\$ 9,217,697.50
05	0001	Equity	-	-	440,384.50	440,384.50
05	0001	Repurchase Agreement	-	-	13,155,165.99	13,155,165.99
05	0001	Domestic Mutual Funds	-	-	9,846.00	9,846.00
05	0001	Fixed Income Money Market and Bond Mutual Fund	50,758,751.64	-	26,765,905.93	77,524,657.57
05	0001	Other Commingled Funds	84,600,562.73	-	-	84,600,562.73
05	0001	Commingled Funds (TEXPOOL)	19,969,728.91	-	-	19,969,728.91
05	0001	Externally Managed Investments	-	-	216,866,618.12	216,866,618.12
05	0001	Miscellaneous	-	-	1,027,529.63	1,027,529.63
05	0001	Total	\$155,329,043.28	\$9,217,697.50	\$258,265,450.17	\$422,812,190.95

Concentration of Credit Risk

As of August 31, 2016, the System did not hold any direct investments in any one issuer of corporate or municipal bonds that were five percent or more of the market value of the System's fixed income investments. The System's investment regulation does not provide specific requirements and limitations regarding concentration of credit.

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Custodial Credit Risk - Investments

Custodial credit risk for investments is the risk that, in the event of the failure of the counterparty to a transaction, the System will not be able to recover the value of its investment or collateral securities that are in the possession of another party. State statutes and the System's investment regulation does not contain legal or policy requirements that would limit the exposure to custodial credit risk for investments. As of August 31, 2016, the System did not have investments that are exposed to custodial credit risk.

Interest Rate Risk

Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. As of August 31, 2016, the System investments subject to interest rate risk – commingled funds, certificates of deposit, repurchase agreements, fixed income money market and bond mutual funds – have an average maturity of less than one year. The System's investments in U.S. Government Agency Obligations have an average maturity of less than three years.

Foreign Currency Risk

Foreign currency risk for investments is the risk that changes in exchange rates will adversely affect the investment. As of August 31, 2016, the System's investments were all denominated in U.S. dollars. The System's investment policy does not provide specific requirements and limitations regarding investments in foreign currency.

Internal Investment Pool

Certain investments of the System are managed by the Foundation in its internal long-term investment pool (the "Pool"). The Pool is invested with external investment managers who invest in equity and fixed income funds both domestic and international. The Foundation's investment policy allows for the asset allocation to be maintained within the following tactical ranges: 50-70% growth assets (U.S. and international equities), 20-40% risk reduction assets (U.S. and global fixed income funds and cash), and 5-15% inflation protection assets (real assets). The Foundation's investment committee is responsible for monitoring and rebalancing to the strategic target allocation ranges, and within the tactical ranges, has discretionary authority for setting, monitoring, and making reallocations to the portfolio's specific underlying assets. Complete audited financial statements of the Foundation can be obtained from <https://endow.unt.edu/>.

As of August 31, 2016, total investments in the Pool, including the System portion, consisted of the following investment types:

Investment	Fair Value
Equity	\$ 11,162,036.21
Domestic Mutual Funds	86,866,082.63
International Other Commingled Funds	19,736,516.30
International Mutual Funds	68,499,609.68
Other Commingled Funds	13,361,967.15
Fixed Income Money Market & Bond Mutual Funds	31,914,643.35
Alternative Investments	48,977,213.88
Miscellaneous	133,654.06
Total investments	\$ 280,651,723.26

The System's unitized portion of the Pool's investments as of August 31, 2016 is \$177,704,787.68.

The Pool's investments are not rated by Standard & Poor's. As of August 31, 2016, the Pool did not hold any direct investments in any one issuer of corporate or municipal bonds that were five percent or more of the market value of the Pool's investments. The Pool did not have investments exposed to custodial credit risk. The Pool's investments subject to interest rate risk – fixed income money market and bond mutual funds – have a weighted average maturity of less than one year and approximately eight years, respectively.

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As of August 31, 2016, the System's investments in the Pool consisted of the following investment types:

Equity

Equity consists of direct ownership of equity securities in publicly-held corporations. Equity securities are typically managed by an external investment advisor.

Domestic Mutual Funds

Domestic mutual funds are mutual funds that, by policy, invest primarily in U.S. equity securities of publicly-held corporations.

International Other Commingled Funds

International other commingled funds include ownership of unit interests in commingled pools which invest primarily in international equity securities of publicly held corporations.

International Mutual Funds

International mutual funds are mutual funds that, by policy, invest primarily in international equity securities of publicly-held corporations.

Other Commingled Funds

Other commingled funds include ownership of unit interests in commingled pools which invest primarily in publicly-traded fixed income securities of U.S. government, agency and private corporations.

Fixed Income Money Market & Bond Mutual Funds

Money market mutual funds are open-end mutual funds registered with the SEC that must comply with the SEC's "Rule 2a-7," which imposes certain restrictions, such as the requirement that the fund's board must attempt to maintain a stable net asset value per share or stable price per share, limits on the maximum maturity of any individual security in the fund's portfolio, and limits on the maximum weighted-average portfolio maturity and life. Money market funds typically attempt to maintain a net asset value or price of \$1.00 per share. Bond mutual funds are publicly-traded open-end mutual funds that primarily invest in fixed income securities of the U.S. government and agencies, U.S. corporations, and international fixed income securities.

Alternative Investments

Alternative investments consist of hedge funds, real estate, and other pooled funds that employ various investment strategies that are typically less correlated to the publicly traded investment markets. Investments may be held through a combination of unit interests in limited partnerships, publicly-traded open-end mutual fund vehicles, or unit ownership in other commingled pooled funds.

Fair Value Measurements

The System's investments are recorded at fair value as of August 31, 2016, and have been categorized based upon a fair value hierarchy in accordance with GASB Statement No. 72, *Fair Value Measurement and Application*. GASB Statement No. 72 defines fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The System categorizes its fair value measurements within the fair value hierarchy established by GASB Statement No. 72. The hierarchy is based on the valuation inputs used to measure fair value of the assets. An investment's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. The following describes the hierarchy of inputs used to measure fair value on a recurring basis:

- Level 1 Quoted prices (unadjusted) for identical assets or liabilities in active markets that a government can access at the measurement date
- Level 2 Inputs other than quoted prices included within Level 1 that are observable for an asset or liability, either directly (quoted market prices for similar assets or liabilities) or indirectly (corroborated from observable market information)
- Level 3 Unobservable inputs for an asset or liability

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The System has the following recurring fair value measurements as of August 31, 2016:

	8/31/2016	Fair Value Measurements Using		
		Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
Investments by Fair Value Level				
U.S. Government Agency Obligations	\$ 9,217,697.50	\$ -	\$ 9,217,697.50	\$ -
Equity	440,384.50	440,384.50	-	-
Domestic Mutual Funds	9,846.00	9,846.00	-	-
Externally Managed Investments - Other	39,161,830.44	38,814,263.00	-	347,567.44
Total Investments at Fair Value	<u>\$ 48,829,758.44</u>	<u>\$ 39,264,493.50</u>	<u>\$ 9,217,697.50</u>	<u>\$ 347,567.44</u>
Investments and Cash Equivalents Measured at NAV				
Other Commingled Funds	\$ 27,999,333.30			
Externally Managed Investments - Foundation Managed Pool	177,704,787.68			
Total Investments at the NAV	<u>\$ 205,704,120.98</u>			
Total Investments at Fair Value	<u>\$ 254,533,879.42</u>			
Investments and Cash Equivalents not Measured at Fair Value				
Repurchase Agreements	\$ 13,155,165.99			
Fixed Income Money Market and Bond Mutual Funds	77,524,657.57			
Other Commingled Funds	56,601,229.43			
Other Commingled Funds (TexPool)	19,969,728.91			
Miscellaneous	1,027,529.63			
Total Investments not Measured at Fair Value	<u>\$ 168,278,311.53</u>			
Total Investments	<u>\$ 422,812,190.95</u>			

Investments classified in Level 1 of the fair value hierarchy, totaling \$39,264,493.50 for the year ended August 31, 2016, are valued using quoted prices in active markets.

U.S. government agency obligations totaling \$9,217,697.50 classified in Level 2 of the fair value hierarchy are valued using matrix pricing techniques maintained by pricing vendors. Matrix pricing is used to value securities based on benchmark quoted prices of assets with similar attributes. These prices are obtained from pricing sources by the System's custodial bank.

\$177,704,787.68 of the System's externally managed investments are managed by the Foundation in the long term pool. The Foundation pool has the following recurring fair value measurements as of August 31, 2016:

	8/31/2016	Fair Value Measurements Using		
		Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
Investments by Fair Value Level				
Equity	\$ 11,162,036.21	\$ 11,044,889.75	\$ 117,146.46	\$ -
Domestic Mutual Funds	86,793,450.63	86,793,450.63	-	-
International Commingled Funds	19,736,516.30	-	19,736,516.30	-
International Mutual Funds	68,499,609.68	68,499,609.68	-	-
Other Commingled Funds	13,361,967.15	-	13,361,967.15	-
Fixed Income Money Market and Bond Mutual Fund	31,914,643.35	-	31,914,643.35	-
Externally Managed Investments (Hedge Funds)	48,977,213.88	-	24,517,783.88	24,459,430.00
Real Estate Funds (REITs)	72,632.00	-	-	72,632.00
Miscellaneous	133,654.06	-	133,654.06	-
Total Investments at Fair Value	<u>\$ 280,651,723.26</u>	<u>\$ 166,337,950.06</u>	<u>\$ 89,781,711.20</u>	<u>\$ 24,532,062.00</u>

Within the pool, financial assets valued using Level 1 inputs are based on unadjusted quoted market prices within active markets. Fair values for mutual funds valued using Level 2 inputs are based on published daily valuations. Fair values for the Externally Managed Investments (Hedge Funds) and Real Estate Funds (REITs) are determined by third-party valuations of the investments. See Foundation Note 13 for further information regarding the fair value of pool investments.

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Other commingled funds consists of funds invested with TexPool, TexStar, and TexTERM. These commingled funds were established in conformity with the Interlocal Cooperation Act, Chapter 791 of the Texas Government Code and the Public Funds Investment Act, Chapter 2256 of the Code. They are structured somewhat like money market mutual funds and allow shareholders the ability to deposit or withdraw funds on a daily basis. In addition, interest rates are also adjusted on a daily basis and the funds seek to maintain a constant net asset value of \$1.00, although this cannot be fully guaranteed. The System reports its investment with TexStar of \$27,999,333.30 at fair value and reports its investment with TexPool and TexTERM of \$76,570,958.34 at amortized cost in accordance with GASB Statement No. 79, *Certain External Investment Pools and Pool Participants*. Please refer to the "Investments Reported at NAV" section below for further information regarding commingled funds reported at fair value. For commingled funds reported at amortized cost, there are no limitations or restrictions on withdrawals and maximum transaction amounts.

Investments Reported at NAV

Other Commingled funds

The System invests excess working capital in TexStar to maintain sufficient liquidity and increase yields. There are no unfunded commitments. No limitations or restrictions on redemptions exist. Redemptions can occur at any time.

Externally Managed Investments – Foundation managed long term investment pool

The System records its unitized portion of the Foundation's long term pool investments using NAV. As of August 31, 2016, \$177,704,787.68 of the System's externally managed investments are managed by the Foundation in the long term pool.

Note 4: Short-Term Debt

Commercial Paper

According to the Master Resolution establishing the UNT System Revenue Financing System Commercial Paper Program, the issuance of commercial paper notes may not exceed, in aggregate, the principal amount of \$100,000,000 of which \$25,000,000 may be used as taxable notes. Outstanding commercial paper proceeds may be used for the purpose of financing project costs of eligible projects and to refinance, renew or refund commercial paper notes, prior encumbered obligations, and parity obligations, including interest. Commercial paper notes may not be issued to refinance or refund prior encumbered obligations or parity bonds without the approval of the Board of Regents. Commercial paper activity for the System for the year ended August 31, 2016 is as follows:

	<u>September 1, 2015 (1)</u>	<u>Additions</u>	<u>Reductions</u>	<u>August 31, 2016</u>
Commercial Paper	\$ 1,807,000.00	\$ 20,298,000.00	\$ (1,955,000.00)	\$ 20,150,000.00

(1) Beginning balance includes the reclassification of \$74,260,000 of commercial paper to long-term liabilities.

The outstanding balance of commercial paper at August 31, 2016 was \$20,150,000 at an interest rate of 0.64%. Interest rates are determined by the investor and broker in the arrangement, where the investor dictates the maturity. Average commercial paper maturity during the year ended August 31, 2016 was approximately 28 days. The System will provide liquidity support for \$100,000,000 in commercial paper notes by utilizing available funds of the System in lieu of or in addition to bank liquidity support. The maximum maturity for commercial paper is 270 days. In practice, the System rolls, pays off, and/or issues new commercial paper at each maturity. Commercial paper will continue to be used as interim funding until long-term bonds are approved and issued or gifts or institutional funds are received to retire the commercial paper debt.

The System adheres to the requirements of the Federal Securities Act of 1933, which precludes proceeds from commercial paper issues to be used for financing fixed assets, such as plant and equipment, on a permanent basis. The System, working with bond counsel and its financial advisor, routinely determines alternative long-term funding to ensure that commercial paper is used as interim financing only and will be paid off after completion of construction or equipment acquisition.

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Note 5: Long-Term Liabilities

Changes in Long-Term Liabilities

The following changes occurred in long-term liabilities during the year ended August 31, 2016:

	September 1, 2015	Additions	Reductions	August 31, 2016	Amounts Due Within One Year	Amounts Due Thereafter
Bonds Payable:						
Revenue Bonds Payable	\$ 368,900,000.00	\$ 224,030,000.00	\$ 77,625,000.00	\$ 515,305,000.00	\$ 30,540,000.00	\$ 484,765,000.00
Unamortized Net Premiums	20,491,949.43	17,258,428.55	5,165,618.84	32,584,759.14	3,303,393.95	\$ 29,281,365.19
Total Bonds Payable	<u>\$ 389,391,949.43</u>	<u>\$ 241,288,428.55</u>	<u>\$ 82,790,618.84</u>	<u>\$ 547,889,759.14</u>	<u>\$ 33,843,393.95</u>	<u>\$ 514,046,365.19</u>
Loans Payable						
Loans Payable	\$ 155,760,000.00	\$ -	\$ 155,760,000.00	\$ -	\$ -	\$ -
Capital Lease Obligations	4,901,199.22	186,326.30	1,174,998.80	3,912,526.72	1,249,546.84	2,662,979.88
Claims and Judgments	3,578,232.00	423,960.00	2,151,268.00	1,850,924.00	890,607.00	960,317.00
Net Pension Liability	103,405,818.19	49,108,503.00	34,139,723.19	118,374,598.00	-	118,374,598.00
Compensable Leave	26,141,036.81	2,148,766.11	3,608,086.45	24,681,716.47	4,303,112.53	20,378,603.94
Total Long-Term Liabilities	<u>\$ 683,178,235.65</u>	<u>\$ 293,155,983.96</u>	<u>\$ 279,624,695.28</u>	<u>\$ 696,709,524.33</u>	<u>\$ 40,286,660.32</u>	<u>\$ 656,422,864.01</u>

Revenue Bonds Payable

Scheduled principal and interest payments for revenue bonds issued and outstanding as of August 31, 2016 are as follows:

Year(s)	Principal	Interest	Total
2017	\$ 30,540,000.00	\$ 22,290,002.23	\$ 52,830,002.23
2018	29,400,000.00	21,163,094.46	50,563,094.46
2019	29,840,000.00	20,136,256.81	49,976,256.81
2020	28,530,000.00	19,093,919.91	47,623,919.91
2021	29,610,000.00	18,015,812.32	47,625,812.32
2022-2026	126,205,000.00	72,668,868.75	198,873,868.75
2027-2031	100,590,000.00	52,544,812.50	153,134,812.50
2032-2036	66,665,000.00	27,587,685.00	94,252,685.00
2037-2041	51,675,000.00	12,566,215.70	64,241,215.70
2042-2045	22,250,000.00	2,743,567.00	24,993,567.00
Total	<u>\$ 515,305,000.00</u>	<u>\$ 268,810,234.68</u>	<u>\$ 784,115,234.68</u>

Interest paid during 2016, net of capitalized interest, amounted to \$20,399,923.50. Total interest and fiscal charges incurred for the year ended August 31, 2016 was \$25,311,002.83. Of this total, the System capitalized \$21,236.46 associated with financing capital projects during the construction phase. In addition, the System recorded \$4,644,087.69 as a reduction to this balance relating to the amortization of premiums and deferred outflows of resources resulting from losses on bond refundings. The remaining amount of \$20,645,678.68 was reported as interest expense and fiscal charges for the year ended August 31, 2016.

Capital Lease Obligations

See Note 7, *Leases*, for more information on capital lease obligations.

Claims and Judgments

As of August 31, 2016, there was one outstanding claim for which a liability accrual has been recognized. According to authoritative GASB guidance, liabilities should be recognized when the possibility of loss is probable and the amount of loss is reasonably estimable. See Note 10, *Contingencies and Commitments*, for more information on the claims and judgments against the System.

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Net Pension Liability

See Note 1, *Summary of Significant Accounting Policies*, and Note 8, *Pensions*, for more information on the Net Pension Liability.

Employees' Compensable Leave

According to the Texas Human Resources Management Statutes Inventory provided by the State Auditor's Office, state agency employees who have accrued six months of continuous state employment are entitled to be paid for the accrued balance of the employee's vacation leave as of the date of separation if the employee is not reemployed by a state agency or institution of higher education in a position which accrues vacation leave during the 30-day period immediately following the date of separation from state employment. Substantially all full-time System employees earn between eight and twenty-one hours of annual leave per month depending upon the respective employee's years of state employment. State law permits employees to carry accrued leave forward from one fiscal year to another, up to a maximum of 532 hours for those employees with 35 or more years of state service. Eligible part-time employees' annual leave accrual rate and maximum carryover are proportional to the number of hours appointed to work. Employees with at least six months of continuous State service who terminate their employment are entitled to payment for all accumulated annual leave. Sick leave, the accumulation of which is unlimited, is earned at the rate of eight hours per month and is paid only when an employee is off due to personal or family illness or to the estate of an employee in the event of his/her death. The maximum sick leave that may be paid to an employee's estate is one-half of the employee's accumulated sick leave or 336 hours, whichever is less. Eligible part-time employees' sick leave accrual rate is proportional to the number of hours they are appointed to work. This obligation is generally paid from the same funding source as the employee's salary or wage compensation is paid. An expense and a liability are recorded as the benefits accrue to employees, and the liability is reduced as the accrued leave is taken. No liability is recorded for non-vesting accumulating rights to receive sick pay benefits.

Note 6: Bonded Indebtedness

At August 31, 2016, the System had principal outstanding related to revenue bonds of \$515,305,000. Revenue Financing System ("RFS") debt is secured by and payable from pledged revenues as defined in the Master Resolution establishing the RFS. Pledged revenues consist of all lawfully available revenues, funds and balances, with certain exceptions, pledged to secure revenue-supported indebtedness issued under the Master Resolution as set forth by the State.

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General information related to revenue bonds outstanding as of August 31, 2016, is summarized in the following table:

Bond	Purpose	Issue Date	Interest Rates	Amount Issued	Total Principal Outstanding as of 8/31/16
RFS Bonds, Series 2009	To provide funds for the purposes of refunding commercial paper notes, constructing and equipping buildings, and paying certain costs of issuing the bonds	2/19/2009	3.0000% - 5.2500%	\$ 38,650,000.00	\$ 25,495,000.00
RFS Bonds, Series 2009A	To provide funds for the purposes of constructing and equipping buildings, and for paying certain costs of issuing the bonds	12/2/2009	3.0000% - 5.0000%	159,310,000.00	130,050,000.00
RFS Refunding Bonds, Series 2009B	To provide funds for the purposes of refunding outstanding Consolidated University Revenue Bonds Series 1994, Revenue Financing System Bonds Series 1999A, and Revenue Financing System Bonds Series 2001 and for paying costs of issuing the bonds	12/2/2009	3.0000% - 4.7500%	15,800,000.00	6,790,000.00
RFS Refunding Bonds, Series 2010	To provide funds for the purposes of refunding Revenue Financing System Bonds Series 2001, Revenue Financing System Bonds Series 2002, Revenue Financing System Bonds Series 2002A, and paying certain costs of issuing the bonds	7/23/2010	3.0000% - 5.0000%	57,625,000.00	39,335,000.00
RFS Refunding and Improvement Bonds, Series 2012A	To provide funds for the purposes of refunding Revenue Financing System Bonds Series 2003; a portion of the Board's outstanding commercial paper notes; for purchasing, constructing, improving, renovating, enlarging, and equipping property and infrastructure; and paying certain costs of issuing the bonds	6/1/2012	2.0000% - 5.0000%	75,890,000.00	57,420,000.00
RFS Refunding Bonds, Taxable Series 2012B	To provide funds for the purposes of refunding Revenue Financing System Bonds Series 2003B and paying certain costs of issuing the bonds	6/1/2012	0.5500% - 3.2000%	4,820,000.00	4,235,000.00
RFS Refunding Bonds, Series 2015	To provide funds for the purposes of refunding Revenue Financing System Bonds Series 2003A and 2005 Bonds and paying certain costs of issuing the bonds	4/30/2015	1.9500% - 1.9500%	38,265,000.00	31,425,000.00
RFS Refunding Bonds, Series 2015A	To provide funds for the purposes of refunding Revenue Financing System Bonds Series 2014 Private Placement Arrangement, for refunding a portion of the Board's commercial paper notes and provide funding for constructing and equipping buildings, and paying certain costs of issuing the bonds	10/21/2015	2.0000%-5.0000%	105,130,000.00	104,105,000.00
RFS Refunding Bonds, Series 2015B	To provide funds for the purposes of refunding Revenue Financing System Bonds Series 2014 Private Placement Arrangement, for refunding a portion of the Board's commercial paper notes, provide	10/21/2015	0.3000%-4.8380%	73,035,000.00	70,585,000.00
RFS Refunding Bonds, Series 2015C	To provide funds for the purposes of refunding Revenue Financing System Bonds Series 2007 Bonds and and paying certain costs of issuing the bonds	3/1/2016	2.4460%-10.0000%	45,865,000.00	45,865,000.00
Total				\$ 614,390,000.00	\$ 515,305,000.00

Early Extinguishments in 2016

A portion of RFS Refunding Bonds, Series 2012A, were defeased during 2016, reducing principal by \$4,535,000.00 and unamortized premiums of \$517,995.43.

- Unrestricted funds in the amount of \$5,321,345.18 were used to pay related expenses of \$30,057 and deposit \$5,290,538.18 into an irrevocable trust with an escrow agent to provide for all future debt service payments on the defeased bonds.
- An accounting loss of \$237,542.75 resulted from the transaction which was recorded as interest expense.

RFS Refunding Bonds, Series 2015C, were issued on March 1, 2016 to refund the RFS Refunding Bonds, Series 2007 principal amount. The Series 2015C Bonds were issued at par with a face value of \$45,865,000. The proceeds were used to pay the costs of issuance of \$235,454.75 and to provide for debt service on the refunded bonds which were

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called on April 15, 2016 and are no longer outstanding. The liability for these bonds has been removed from the consolidated statement of net position.

- An economic gain from the transaction resulted in a net present value savings of \$4,469,507.99 between the old and new debt service payments.
- An accounting gain of \$1,035,872.52 resulted from the transaction, as the net carrying amount of \$46,640,872.52 exceeded the reacquisition price of \$45,865,000.00 on the refunded bonds. The carrying value of \$46,640,872.52 on the refunded debt consisted of \$45,605,000.00 par value, and \$1,035,872.52 unamortized premiums.

Funds Available for Debt Service

GASB Statement No. 48, *Sales and Pledges of Receivables and Future Revenues and Intra-Entity Transfers of Assets and Future Revenues*, as amended, makes a basic distinction between sales of receivables and future revenues, on the one hand, and the pledging of receivables or future revenues to repay a borrowing (a collateralized borrowing) on the other.

Total pledged revenues consist of available pledged revenues, which include the gross revenues of the RFS, the Student Union Fee, pledged general tuition (which includes general use fees), investment income, and funds on deposit in the Interest and Sinking Fund and the Reserve Fund. In addition to current year pledged revenues, any unappropriated or reserve fund balances remaining at year-end are available for payment of the subsequent year debt service. System HEF reserves and Health and Loan Reserves at HSC cannot be included in total pledged revenues. The following table provides the pledged revenue information for the System's revenue bonds:

Pledged Revenue Required for Future Principal and Interest on Existing Revenue Bonds	\$ 784,115,234.68
Term of Commitment Year Ending 8/31	2045
Percentage of Pledged Revenue	100%
Current Year Pledged Revenue	\$ 773,097,217.62
Current Year Principal and Interest Paid	\$ 47,906,159.96

Note 7: Leases

Operating Leases

The System has entered into various operating leases for buildings, equipment, vehicles and land. Rental expenses for operating leases were \$3,581,367.01 in 2016. The lease terms typically range from 12 to 60 months, where some lease terms contain optional renewals. Future minimum lease payments under non-cancelable operating leases having an initial term in excess of one year as of August 31, 2016 were as follows:

Fiscal Year	<u>Lease Payments</u>
2017	\$ 3,039,163.13
2018	2,463,894.09
2019	1,778,811.50
2020	1,453,074.38
2021	996,830.64
2022 - 2026	312,499.80
2027 - 2031	312,499.80
2032 - 2036	312,499.80
2037 - 2041	312,499.80
2042 - 2046	312,499.80
2047 and beyond	124,999.92
Total Future Minimum Operating Lease Payments	<u><u>\$ 11,419,272.66</u></u>

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The System has also leased buildings, and other capital assets to outside parties under various operating leases. The cost, carrying value and accumulated depreciation of these leased assets as of August 31, 2016 were as follows:

Assets Leased	<u>2016</u>
Buildings:	
Cost	\$ 12,493,858.73
Less: Accumulated Depreciation	<u>(4,018,756.16)</u>
Carrying Value of Buildings	8,475,102.57
Parking Garage:	
Cost	10,655,156.80
Less: Accumulated Depreciation	<u>(5,616,244.41)</u>
Carrying Value of Parking Garage	5,038,912.39
Total Carrying Value	<u><u>\$ 13,514,014.96</u></u>

There were no contingent rentals for the period ended August 31, 2016. Rental income for operating leases was \$842,730.64 in 2016. Future minimum lease income under non-cancelable operating leases as of August 31, 2016, was as follows:

Fiscal Year	<u>Lease Income</u>
2017	\$ 1,525,717.77
2018	1,333,900.95
2019	316,387.80
2020	29,520.56
2021	15,580.00
2022 and beyond	<u>-</u>
Total Future Minimum Operating Lease Income	<u><u>\$ 3,221,107.08</u></u>

Capital Leases

Leases that are purchases in substance are reported as capital lease obligations. The System has entered into long-term leases for financing the purchase of certain capital assets where lease terms contain bargain purchase options. Such leases are classified as capital leases for accounting purposes, and the asset and liability are recorded at the present value of the future minimum lease payments at the inception of the lease. Amortization of the leased assets is included in depreciation expense. A summary of original capitalized costs and accumulated depreciation of all assets under capital lease as of August 31, 2016, is presented below:

Assets Under Capital Lease	<u>2016</u>
Furniture and Equipment	
Cost	\$ 6,311,696.39
Less: Accumulated Depreciation	<u>(1,873,243.53)</u>
	4,438,452.86
Vehicles, Boats and Aircraft	
Cost	111,858.88
Less: Accumulated Depreciation	<u>(34,375.06)</u>
	77,483.82
Total Carrying Value	<u><u>\$ 4,515,936.68</u></u>

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Capital lease obligations are due in monthly, quarterly or annual installments through 2020. Future minimum lease payments for assets under capital lease at August 31, 2016 were as follows:

Fiscal Year	Principal	Interest
2017	\$ 1,249,546.84	\$ 193,781.84
2018	1,312,299.31	131,022.89
2019	1,336,986.67	65,611.83
2020	13,693.90	220.34
Total Future Minimum Capital Lease Payments	\$ 3,912,526.72	\$ 390,636.90

Note 8: Pension Plans

Teacher Retirement System

Plan Description

The State has joint contributory retirement plans for the majority of its employees. One of the primary plans in which the System participates is the Teacher Retirement System of Texas (“TRS”) Plan (the “TRS Plan”). The TRS Plan is a cost-sharing, multiple-employer defined benefit pension plan with a special funding situation administered by TRS. The TRS Plan is established and administered in accordance with the Texas Constitution, Article 16, Section 67 and Texas Government Code, Title 8, Subtitle C. The TRS Plan is a qualified pension trust under Section 401(a) of the Internal Revenue Code. The Legislature has the authority to establish and amend benefits and contribution rates within the guidelines of the Texas Constitution. The TRS Plan’s Board of Trustees does not have the authority to establish or amend benefit terms.

The employers in the TRS Plan include the state of Texas, TRS, the state’s public schools, education service centers, charter schools, and community and junior colleges. Employees of TRS and state of Texas colleges, universities and medical schools are members of the TRS Plan.

Detailed information about the TRS Plan’s fiduciary net position is available in a separately issued Comprehensive Annual Financial Report that includes financial statements and required supplementary information. That report may be obtained by writing to TRS at 1000 Red River Street, Austin, TX, 78701-2698.

Benefits Provided

The TRS Plan provides retirement, disability annuities and death and survivor benefits. The pension benefit formulas are based on members’ average annual compensation and years of service credit. The standard annuity is 2.3% of the average of the five highest annual salaries multiplied by years of service credit. For grandfathered members who were hired on or before August 31, 2005 and meet certain criteria, the standard annuity is based on the average of the three highest annual salaries. The plan does not provide automatic post-employment benefit changes, including automatic cost of living adjustments (“COLAs”). Ad hoc post-employment benefit changes, including ad hoc COLAs, can be granted by the Legislature.

All System personnel employed in a TRS-eligible position on a half time or greater basis that is projected to last for 4½ months or more are eligible for membership in the TRS Plan. However, students employed in positions that require student status as a condition of employment do not participate. Members with at least five years of service have a vested right to unreduced retirement benefits at age 65 or provided they have a combination of age plus years of service totaling 80 or more. However, members who began participation in the TRS Plan on or after September 1, 2007 must be age 60 to retire and members who were not vested in the TRS Plan on August 31, 2014, must be age 62 to retire under the second option. Members are fully vested after five years of service and are entitled to any reduced benefits for which the eligibility requirements have been met prior to meeting the eligibility

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requirements for unreduced benefits. Early retirement is at age 55 with 5 years of service credit or earlier than 55 with 30 years of service credit. There are additional provisions for early retirement if the sum of the member's age and years of service credit total at least 80, but the member is less than age 60 or 62 depending on date of employment, or if the member was grandfathered in under a previous rule.

Contributions

Contribution requirements are established or amended pursuant to Article 16, Section 67 of the Texas Constitution, which requires the Legislature to establish a member contribution rate of not less than 6.0% of the member's annual compensation and a state contribution rate of not less than 6.0% and not more than 10.0% of the aggregate annual compensation paid to members of the System during the year. Texas Government Code Section 821.006 prohibits benefit improvements, if as a result of the particular action, the time required to amortize TRS' unfunded actuarial liabilities would be increased to a period that exceeds 31 years, or, if the amortization period already exceeds 31 years, the period would be increased by such action.

During the measurement period of 2015 for fiscal 2016 reporting, the amount of the System's contributions recognized by the plan was \$9,916,773. The contribution rates are based on a percentage of the monthly gross compensation for each member. Contributions by employees were 6.7% of gross earnings during the measurement period of 2015. Depending upon the source of funding for the employee's compensation, the State or the System contributes a percentage of participant salaries totaling 6.8% of annual compensation for during the measurement period of 2015.

Pension Liabilities, Pension Expense and Deferred Outflows and Inflows of Resources Related to Pensions

The pension plan's fiduciary net position is determined using economic resources measurement focus and the accrual basis of accounting, which is the same basis used by Teacher Retirement System. Benefits and refunds of contributions are recognized when due and payable in accordance with the terms of the plan. Investments are reported at fair value. The framework for measuring fair value is based on a hierarchy that gives the highest priority to the use of observable inputs in an active market and lowest priority to the use of unobservable inputs. More detailed information on the plan's investment policy, assets, and fiduciary net position, may be obtained from TRS' fiscal 2015 Comprehensive Annual Financial Report.

At August 31, 2016, the System reported a liability of \$118,374,598 for its proportionate share of the collective net pension liability of the TRS Plan. The collective net pension liability was measured as of August 31, 2015 (the "measurement date"), and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of that date. The System's proportion of the collective net pension liability at the measurement date was 0.3348771%, which was a decrease of 0.0521666% from the 0.3870437% measured at the prior measurement date. The System's proportionate share was based on its contributions to the pension plan, excluding State on-behalf contributions, relative to the contributions of all employers and non-employer contributing entities to the TRS Plan for the period September 1, 2014 through August 31, 2015 (the "measurement period"). During the measurement period, the amount of the System's contributions recognized by the TRS Plan, including State on-behalf contributions, was \$12,757,958.96. The State recognized \$33,917,826.43 for its proportionate share of the net pension liability related to its contributions to TRS on behalf of the System. The State's proportionate share for those contributions was 0.0959522%.

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For the year ended August 31, 2016, the System recognized pension expense of \$9,948,627. At August 31, 2016, the System reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Contributions subsequent to the measurement date	\$ 10,041,557.00	\$ -
Changes of assumptions	5,588,903.00	4,223,087.00
Difference between expected and actual experience	1,329,734.00	4,549,241.00
Change in proportion and contribution difference	-	11,931,009.00
Net difference between projected and actual investment return	5,454,081.00	-
Total	\$ 22,414,275.00	\$ 20,703,337.00

The \$10,041,557.00 reported as deferred outflows of resources resulting from contributions subsequent to the measurement date will be recognized as a reduction in the net pension liability for 2017. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

<u>Year</u>	<u>Expense</u>
2017	\$ (2,718,592.00)
2018	(2,718,592.00)
2019	(2,718,594.00)
2020	5,181,055.00
2021	(2,190,286.00)
Thereafter	(3,165,610.00)
Total	\$ (8,330,619.00)

Actuarial Assumptions

The total pension liability is determined by an annual actuarial valuation. The table below presents the actuarial methods and assumptions used to measure the total pension liability as of the August 31, 2015 measurement date:

Actuarial Methods and Assumptions	TRS Plan
Actuarial Valuation Date	August 31, 2015
Actuarial Cost Method	Individual Entry Age Normal
Amortization Method	Level Percent, Open
Actuarial Assumptions:	
Discount Rate	8.0%
Investment Rate of Return	8.0%
Inflation	2.50%
Salary Increase	3.50% to 9.50% including inflation
Mortality:	
Active	90% of the RP 2014 Employee Mortality Tables for males and females
Post-Retirement	2015 TRS Healthy Pensioner Mortality Tables
Ad Hoc Post-Employment Benefit Changes	None

The actuarial assumptions used in valuation were primarily based on the result of an actuarial experience study for the four-year period ending August 31, 2014 and adopted September 2015. There have been changes in inflation, salary increase and mortality assumptions since the prior measurement date. The inflation assumption changed from 3.00% to 2.50%. The salary increase assumption changed from a range of 4.25% to 7.25% to a range of 3.50% to

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9.50% including inflation. The mortality assumption changed from the one based on 1994 Group Annuity Mortality Table to the one based on the RP 2014 employee Mortality Tables for the active members. For the retired members, the new 2015 TRS Healthy Pensioner Mortality Tables were used for the mortality assumption.

The long-term expected rate of return on plan investments was developed using a building-block method with assumptions including asset class of investment portfolio, target allocation, real rate of return on investments, and inflation factor. Under this method, best estimate ranges of expected future real rates of return (net of investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighing the expected future real rates of return by the target asset allocation percentage and by adding expected inflation.

The target allocation and best estimates of geometric real rates of return for each major asset class for the TRS Plan's investment portfolio are presented below:

<u>Asset Class</u>	<u>Target Allocation</u>	<u>Long-Term Expected Geometric Real Rate of Return</u>
Global Equity		
U.S.	18.0%	4.6%
Non-U.S. Developed	13.0%	5.1%
Emerging Markets	9.0%	5.9%
Directional Hedge Funds	4.0%	3.2%
Private Equity	13.0%	7.0%
Stable Value		
U.S. Treasury	11.0%	0.7%
Absolute Return	0.0%	1.8%
Stable Value Hedge Funds	4.0%	3.0%
Cash	1.0%	-0.2%
Real Return		
Global Inflation Linked Bonds	3.0%	0.9%
Real Assets	16.0%	5.1%
Energy and Natural Resources	3.0%	6.6%
Commodities	0.0%	1.2%
Risk Parity		
Risk Parity	5.0%	6.7%
Total	100.0%	

There have been no changes to the benefit provisions of the TRS Plan since the prior measurement date. The discount rate used to measure the total net pension liability was 8.0%. There has been no change in the discount rate since the measurement period. The projected cash flows into and out of the TRS Plan assumed that members, employers, and non-employer contributing entities make their contributions at the statutorily required rates. Under this assumption, the TRS Plan's fiduciary net position is projected to be sufficient to make all future pension benefit payments of current active and inactive plan members. Therefore, the 8.0% long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

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The following presents the System's proportionate share of the net pension liability calculated using the discount rate of 8.0%, as well as what the System's proportionate share of the net pension liability would be if it were calculated using a discount rate that is 1 percentage point lower (7.0%) or 1 percentage point higher (9.0%) than the current rate:

1.0% Decrease (7.0%)	Current Discount Rate (8.0%)	1.0% Increase (9.0%)
\$ 185,470,683.16	\$ 118,374,597.50	\$ 62,487,728.21

Optional Retirement Program

The State has also established the Optional Retirement Program (the "ORP"), a defined contribution plan, for institutions of higher education. Participation in the ORP is in lieu of participation in the TRS Plan and is available to certain eligible employees who hold faculty positions and other professional positions including but not limited to director-level and above, librarians and coaches. The ORP provides for the purchase of annuity contracts and mutual funds and is administered by a variety of investment firms. Employees are immediately vested in their own contributions and earnings on those contributions and become vested in the employer contributions after one year and one day of service.

The employee and employer contribution rates are established by the Legislature each biennium. Depending upon the source of funding for the employee's compensation, the System may be required to make the employer contributions in lieu of the State. Since these are individual annuity contracts, the State and the System have no additional or unfunded liability for this program. The State provides an option for a local supplement in addition to the state base rate. Each institution within the System can decide to adopt and fund a local supplement each year to provide each ORP employee the maximum employer rate. The chancellor then approves the employer rates each fiscal year. The contributions made by participants (6.65% of annual compensation) and the employer (6.60% state base rate for 2016 plus any local supplement for a maximum 8.50% of annual compensation) for the year ended August 31, 2016, is provided in the following table:

ORP Participation	
Member Contributions	\$ 9,402,553.64
Employer Contributions	10,093,701.00
Total	\$ 19,496,254.64

Employee Retirement System

The Employee Retirement System (ERS) provides healthcare and survivor benefits for both active and retired employees. The Board of Trustees of the Employees Retirement System of Texas is the administrator of the ERS, which is considered to be a single employer defined benefit healthcare plan. UNTS employees that work at least 20 hours but less than 30 hours per week are eligible for partial health benefits under ERS. UNTS employees that work 30 or more hours are eligible for full health benefits under ERS. Employees may retire at age 65 with 10 years of service or any combination of age plus 10 years of service that is equal to or greater than 80. The premium provisions are determined by the Texas Legislature and require monthly contributions by the State, UNTS and UNTS employees. Contributions to ERS for the year ended August 31, 2016 was as follows:

ERS Participation	
Member Contributions	\$ 18,292,102.63
State On-Behalf Contributions	22,629,208.93
Employer Contributions	34,363,330.86
Total	\$ 75,284,642.42

Additional information can be obtained from the separately issued ERS Comprehensive Annual Financial Report at <http://www.ers.state.tx.us/home.aspx>.

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Note 9: Interagency Activity and Transactions

The System experienced routine transfers with other state agencies, which were consistent with the activities of the fund making the transfer. Repayment of interagency balances will occur within one year from the date of the financial statement. There were no balances in interagency receivable and payable at August 31, 2016.

Note 10: Contingencies and Commitments

The System is involved in several pending and threatened legal actions. Unless otherwise disclosed in this note, the range of potential loss from all such claims and actions, as estimated by the System's legal counsel and management, should not materially affect the System's financial position.

Amounts received or receivable from grantor agencies are subject to audit and adjustments by such agencies, principally the U.S. government. Any disallowed claims may constitute a liability of the System. The amount, if any, of expenditures that may be disallowed by the grantor cannot be determined at this time, although the System expects any such amounts to be immaterial.

Contingencies

Design and Construction Contract Dispute

In February 2012, the System entered into a Professional Services Agreement with Perkins + Will, under which Perkins + Will was to perform architectural and engineering services for the UNT University Union renovation and expansion project. In March 2013, the System entered into a Construction Manager-at-Risk Agreement with Beck Warrior, under which Beck Warrior was to perform pre-construction and construction management services for the Union renovation and expansion project. Beck Warrior was to achieve substantial completion of the Union by August 20, 2015; however, substantial completion was not achieved until November 5, 2015. Beck Warrior has submitted, to date, twelve claim letters against UNT System pursuant to Chapter 2260, Texas Government Code, claiming errors and omissions by Perkins + Will and interference by UNT System. Perkins + Will has submitted invoices for additional work required due to Beck Warrior's failure to perform. Incurrence of a loss is reasonably possible. The amount of loss for UNT System is within a range of \$0 to \$12,193,000, plus interest, and no best estimate of loss within this range can be determined at this time.

Dale A. Wilkerson v. University of North Texas, Neal Smatresk, Finley Graves, Warren Burggren, Arthur Goven, and Patricia Glazebrook

Case No. 4:15-cv-00540-ALM, US District Court, Eastern District of Texas. Due process, equal protection and retaliation claims; limited discovery underway during pendency of Defendants' motion to dismiss. Plaintiff seeks an unspecified amount of actual and exemplary damages, plus attorney's fees and costs. Loss is reasonably possible.

Jessica Jimenez, Jennifer Galo, Catherine Frank, in Their Individual Capacities, and William Tyler, II, As Independent Administrator of the Estate of Pamela J. Knight, Deceased v. University of North Texas Health Science Center

Case No. 02-16-00368-CV, Fort Worth Court of Appeals. Health care liability claim; on appeal following the denial of UNTHSC's plea to the jurisdiction. Plaintiff seeks monetary relief over \$1,000,000. UNTHSC's damages are statutorily capped at \$250,000. Loss is reasonably possible.

Vera L. Moore, Individually and as Representative of the Estate of Clarence Lee Moore, Jr., Deceased v. University of North Texas Health Science Center

Case No. 348-287318-16, Tarrant County District Court. Health care liability claim; case is pending. Plaintiff seeks monetary relief over \$200,000, but not more than \$1,000,000. UNTHSC's damages are statutorily capped at \$250,000. Loss is reasonably possible.

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Sherry B. Skinner and Robert W. Skinner v. Robert Nathaniel Reddix, Jr., M.D. and Jonathan David Boyle, M.D.
Case No. 153-288786-16, Tarrant County District Court. Health care liability claim; filed but not served. Plaintiff seeks monetary relief over \$1,000,000 for each Plaintiff. UNTHSC's damages are statutorily capped at \$250,000. The case was dismissed without prejudice by Plaintiff on March 23, 2017.

Anthony DeShawn Thomas v. John Mills, M.D., D. Peyton and Tarrant County Hospital District
Case No. 16-10061, U.S. Court of Appeals for the Fifth Circuit. Prisoner's civil rights claim; on appeal following summary judgment for defendants. Plaintiff seeks actual and compensatory damages of \$200,000 and punitive damages of \$20,000. Loss is reasonably possible.

Research Grant Repayment to National Institutes of Health

UNTHSC recently concluded a compliance review of 114 of its NIH-funded research projects over the last six years. UNTHSC determined that weaknesses exist in its reporting and certification of time and effort performed by researchers on NIH-funded projects, which weaknesses cause UNTHSC to be non-compliant with certain regulatory and/or sponsor-imposed obligations. On or before January 10, 2017, UNTHSC will notify NIH of its intent to: (i) disclose to NIH the results of its review of NIH-funded research projects; and (ii) offer to repay to NIH \$8.72 million of previously received research grant funding. UNTHSC accrued a loss of \$8.72 million in the current reporting period related to the repayment offer. UNTHSC believes it is reasonably possible that the government will require UNTHSC to pay an additional penalty in the amount of 50% to 100% of the repayment amount to resolve the matter.

Commitments

The System continues to implement capital improvements to upgrade facilities. Approximately \$457 million in capital commitments have been entered into for the construction and renovation of various facilities across all of its campuses. These projects are in various stages of completion. The estimated breakdown of funding sources available for this commitment is as follows: 61% Tuition Revenue Bonds, 30% Revenue Financing System Bonds, 6% HEF, 2% auxiliary revenues, and less than 1% from designated funds. Approximately \$230 million of the commitment, or roughly 50%, is expected to be spent in 2017.

On May 20, 2016 the System entered into a Purchase Agreement with JP Morgan to forward refund certain maturities of the Series 2009 Bonds and close and deliver on March 14, 2018. JP Morgan agreed to purchase, at closing, the Revenue Financing System Bonds, Forward Delivery Series 2018 bearing an interest rate of 2.40% annually.

Note 11: Subsequent Events

On November 18, 2016 the Board of Regents approved an Extendible Commercial Paper program "ECP" with a maximum authorized amount of \$75,000,000. Concurrently, the Board of Regents approved a resolution limiting the amount of self-liquidity Commercial Paper "CP" down to \$75,000,000 from \$100,000,000, which may be outstanding at any one time. Following the changes adopted on November 18, 2016, the CP and ECP programs have a combined capacity of \$150,000,000 up from the previous capacity of \$100,000,000. On January 27, 2017 the University of North Texas System Revenue Financing System Commercial Paper Program, Series B closed, which is the ECP program. On January 31, 2017 the System closed on the \$196,165,000 Revenue Financing System Refunding and Improvement Bonds, Series 2017A and the \$164,305,000 Revenue Financing System Refunding and Improvement Bonds, Taxable Series 2017B. Also on January 31, 2017, \$7.6 million of the Series 2017A bonds and \$14.3 million of the Series 2017B bonds were used to refund outstanding CP for a total of \$21,865,000 of CP notes refunded.

UNTHSC acquired property in October 2016 for approximately \$2.8 million to support UNTHSC future growth in the medical district. In addition, UNT acquired property in December 2016 for approximately \$700 thousand for future expansion of the UNT campus.

Robyn Walton v. University of North Texas Health Science Center, Case No. 236-290069-17, Tarrant County District Court. Health care liability claim; case is pending. Plaintiff seeks monetary relief over \$1,000,000. UNTHSC's damages are statutorily capped at \$250,000. Loss is reasonably possible.

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Note 12: Risk Management

The System is exposed to a variety of civil claims resulting from the performance of its duties. It is System policy to periodically assess the proper combination of commercial insurance and retention of risk to cover losses to which it may be exposed.

The System assumes substantially all risks associated with torts, theft, damage or destruction of assets, business interruption, errors or omissions, and job-related illness or injuries to employees arising out of the performance of the System’s mission. Financial risks are transferred through contracts, or financed through commercial insurance or self-insurance plans. Financial exposure from lawsuits for damages and injunctive relief arising from torts and contracts is mitigated by the function of sovereign, Eleventh Amendment and individual immunities and statutory limits on the amount of recovery. In addition, state law limits financial exposure for state law claims made against individual employees and officials. Currently the System does not carry System-wide commercial general liability insurance for any of the institutions; commercial general liability policies are purchased on an as needed basis to address unique exposures. The System is not involved in any risk pools with other government entities.

Liabilities are reported when it is both probable that a loss has occurred and the amount of that loss can be reasonably estimated.

The System has various insurance and self-insurance arrangements to manage risks of loss that are within the scope of GASB Statement No. 10, *Accounting and Financial Reporting for Risk Financing and Related Insurance Issues*, as amended. There are no claims pending or significant non-accrued liabilities, except as stated in Note 10, *Contingencies and Commitments*. The System did not have any losses or settlements that exceeded insurance policy limits within the last three years.

Self-Insurance Arrangements

Medical Professional Liability Self-Insurance Plan

HSC manages a medical malpractice self-insurance plan for its physicians. As of August 31, 2016, HSC had sufficient self-insurance reserves for known claims against its health care professionals. The policy limits for this plan are \$500,000/\$1,500,000. Medical professional liability coverage is purchased for allied health care professionals and medical students with entity coverage, which provides a maximum per incident of \$1,000,000 and an aggregate limit of \$3,000,000 with no deductible.

The following contingencies and Incurred But Not Reported (“IBNR”) activity was determined for the year ended August 31, 2016:

	<u>August 31, 2015</u>	<u>Additions</u>	<u>Reductions</u>	<u>August 31, 2016</u>
Incurred But Not Reported Self-Insurance Claims (HSC) (1)	\$ 1,667,984.00	\$343,960.00	\$ 241,020.00	\$ 1,770,924.00
Contingent Liabilities	\$ 1,910,248.00	\$738,965.15	\$ 2,569,213.15	\$ 80,000.00

(1) The estimated claims payable for medical malpractice IBNR includes estimates of allocated loss adjustment expenses.

Student-Athlete Accident Medical Self-Insurance Plan

The National Collegiate Athletic Association (the “NCAA”) requires its member institutions to certify coverage for medical expenses resulting from injuries sustained by student-athletes and certain prospective student-athletes while participating in qualifying NCAA-sanctioned activities. UNT finances this plan to an actuarially determined attachment point and purchases commercial insurance for claims in excess of the attachment point. The attachment point for 2016 was \$320,000. For the year ended August 31, 2016, claims paid out were not material.

Incurred But Not Reported Self-Insurance Claims

The System self-insures some physical injury and property damage claims that are not financed through commercial insurance, or are below the retention amounts for claims covered by commercial insurance. The System, as an

UNIVERSITY OF NORTH TEXAS SYSTEM
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agency of the State, is protected from risk of loss arising from these tort claims by sovereign immunity, except as such claims are permitted under the Texas Tort Claims Act. In addition to limiting the type of personal injury and damage claims that can be brought against the System, the Texas Tort Claims Act limits the loss that can result from claims that can be made to \$250,000 for each person, \$500,000 for each single occurrence of bodily injury or death, and \$100,000 for each single occurrence of damage or destruction of property.

For the year ended August 31, 2016, claims against the System were below the liability limits established by the Texas Tort Claims Act, and thus immaterial.

Commercial Insurance Arrangements

Directors and Officers/Employment Practices Liability

Directors and Officers (“D&O”)/Employment Practices Liability (“EPL”) coverage insures all institutions in the System as well as all officers, employees and volunteers. The policy provides for a maximum limit of \$10,000,000 with a zero deductible per insured individual and \$50,000 deductible per insured entity for D&O; and \$100,000 deductible per insured individual, \$50,000 deductible for the entity, and a \$25,000 deductible for volunteers for EPL.

Automobile

The Texas Motor Vehicle Safety Responsibility Act requires that vehicles operated on a state highway be insured for minimum limits of liability in the amount of \$30,000/\$60,000 for bodily injury and \$25,000 for property damage. The System carries liability insurance on its licensed vehicles in the amount of \$1,000,000 combined single limit for bodily injury and property damage.

Medical Professional Liability

UNT has medical professional liability insurance coverage for professionals at the Student Health and Wellness Center, Athletic Training and Rehabilitation Center, and the Kristin Farmer Autism Center. Under the coverage, professionals are defined as physicians, nurses, nurse practitioners, physician assistants, pharmacists, and athletic trainers. There is a maximum per incident limit of \$250,000 and an aggregate limit of \$1,000,000 and an aggregate of \$3,000,000 with a \$5,000 deductible.

Property

The System carries property insurance to finance losses arising from damage to or destruction of capital assets. The insurance also covers business interruption, which protects against losses resulting from disruption to revenue streams. At the close of the fiscal year, all premium payments had been made and an insurance policy was in effect that carried a \$1,000,000,000 shared limit through the State’s state-wide property insurance program.

A property claim was filed in fiscal year 2014 for hail damage to most buildings at the University of North Texas, including the Discovery Park campus. Currently, the claim is still open and the estimated loss is \$7,000,000 to \$9,000,000, all of which is covered under the policy. Another property claim was filed in fiscal year 2016 for hail damage to buildings at the University of North Texas, including the Discovery Park campus. Currently, the estimated loss is \$733,119, all of which is covered under the policy.

Workers’ Compensation

The System is required by state law to participate in the State’s workers’ compensation insurance program administered through the State Office of Risk Management. This program covers risks of loss resulting from job-related illness or injuries to employees while in the course and scope of their work responsibilities. Following a work-related illness or injury, employees enter into a return-to-work program, if necessary, thus reducing indemnity payments for loss compensation.

Separate workers’ compensation policies are purchased to cover out-of-state employees as required by the laws of the state in which an employee works. As of August 31, 2016, the System maintains one policy for an out-of-state employee.

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Unemployment Compensation

The State provides coverage for unemployment benefits from appropriations made to other state agencies for System employees. The current General Appropriations Act provides that the System must reimburse the General Revenue Fund – Consolidated one-half of the unemployment benefits for former and current employees from System appropriations. The Texas Comptroller of Public Accounts determines the proportionate amount to be reimbursed from each appropriated fund type. The System has only one appropriated fund type. The System must reimburse the General Revenue Fund 100% of the cost for unemployment compensation for any employees paid from funds held in local bank accounts and local funds held in the State Treasury.

Unemployment compensation is on a pay-as-you-go basis through the State, with the exception of locally funded enterprises that have fund expenses and set-aside amounts based on a percentage of payroll amounts. No material outstanding claims were pending at August 31, 2016.

The System maintains reserves for unemployment compensation and workers' compensation payments made for all claims and settlements not eligible for state funding. There were no material outstanding claims pending as of August 31, 2016. Health benefits are provided through the various state contracts administered by the Employee Retirement System.

Miscellaneous

Other lines of insurance purchased include: contractual bonuses, camp accident/medical, commercial crime, fine arts, inland marine, foreign liability, global medical, kidnap and extortion, specialized general liability and property insurance for the Elm Fork Education Center, and student professional liability.

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Note 13: Matrix of Operating Expenses Reported by Function

For the year ended August 31, 2016, the following table represents operating expenses for both natural and functional classifications for the System:

Operating Expenses	Instruction	Research	Public Service	Academic Support	Student Services
Cost of Goods Sold	\$ 222,399.83	\$ 5,625.00	\$ -	\$ 171,055.59	\$ 561,150.65
Salaries and Wages	228,045,985.20	27,258,519.60	14,315,974.35	51,184,513.01	34,459,494.07
Payroll Related Costs	47,548,068.59	6,249,062.96	3,826,547.31	13,746,084.10	10,193,612.83
Professional Fees and Services	5,703,682.47	10,259,291.75	22,231,085.06	3,843,327.17	3,919,215.34
Federal Pass-Through Expenses	3,726.29	749,843.50	70,325.19	-	-
State Pass-Through Expenses	-	206,368.58	(351.62)	-	-
Travel	3,266,499.10	1,668,279.81	387,464.58	2,287,665.02	3,600,154.53
Materials and Supplies	7,369,068.62	6,357,563.51	1,367,832.28	10,349,354.08	3,580,163.12
Communications and Utilities	685,308.28	40,311.28	45,282.38	755,028.84	1,492,435.10
Repairs and Maintenance	1,230,102.77	669,781.76	168,168.04	2,002,095.32	1,291,754.82
Rentals and Leases	2,901,384.87	910,907.60	441,156.76	1,929,803.04	1,240,665.47
Printing and Reproduction	743,879.80	278,692.52	184,841.42	715,162.20	1,037,077.98
Depreciation and Amortization	-	-	-	-	-
Scholarships	1,796,095.41	841,144.59	219,509.93	106,562.54	129,064.23
Claims and Losses	758,405.15	-	-	-	-
Other Operating Expenses	6,787,355.16	1,300,653.96	1,044,383.05	3,129,899.14	4,985,889.60
Total Operating Expenses	\$ 307,061,961.54	\$ 56,796,046.42	\$ 44,302,218.73	\$ 90,220,550.05	\$ 66,490,677.74

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Notes to the Consolidated Financial Statements
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Note 13: Matrix of Operating Expenses Reported by Function (Continued)

Institutional Support	Operation and Maintenance of Plant	Scholarships and Fellowships	Auxiliary Enterprises	Depreciation and Amortization	Total Expenditures
\$ 220,794.95	\$ 84,740.01	\$ -	\$ 2,547,439.41	\$ -	\$ 3,813,205.44
62,269,145.67	15,690,358.07	11,276.04	19,848,678.34	-	453,083,944.35
17,274,433.46	4,033,455.29	2,223.52	6,171,944.47	-	109,045,432.53
13,297,469.56	1,129,371.95	34,901.22	2,777,558.78	-	63,195,903.30
-	-	-	-	-	823,894.98
-	-	-	-	-	206,016.96
1,030,535.37	98,669.51	-	55,462.21	-	12,394,730.13
3,640,100.43	6,533,575.12	1,732.09	5,266,460.45	-	44,465,849.70
2,596,158.16	10,009,327.11	750.00	4,136,874.30	-	19,761,475.45
6,467,467.64	14,719,342.31	2,324.29	6,842,004.63	-	33,393,041.58
3,111,309.59	2,727,853.24	-	1,309,591.09	-	14,572,671.66
2,150,489.58	99,123.19	399.95	346,171.17	-	5,555,837.81
-	-	-	-	65,900,269.08	65,900,269.08
195,139.21	7,271.27	74,156,340.66	849.06	-	77,451,976.90
83,500.00	-	-	-	-	841,905.15
6,282,176.10	522,269.98	24,042.65	5,720,451.76	-	29,797,121.40
\$ 118,618,719.72	\$ 55,655,357.05	\$ 74,233,990.42	\$ 55,023,485.67	\$ 65,900,269.08	\$ 934,303,276.42

UNIVERSITY OF NORTH TEXAS SYSTEM
Notes to the Consolidated Financial Statements
For the Year Ended August 31, 2016

Note 14: Financial Reporting Entity

The System is composed of the University of North Texas System Administration and three academic institutions as follows: the University of North Texas, the University of North Texas Health Science Center at Fort Worth, and the University of North Texas at Dallas. The System is governed by a nine-member Board of Regents appointed by the Governor of Texas and confirmed by the Texas State Senate. Three members are appointed every odd-numbered year for six-year terms. In addition, the Governor appoints a nonvoting student Regent for a one-year term.

Assets Held By Affiliated Organizations

GASB authoritative guidance provides criteria for determining whether certain organizations should be reported as component units based on the nature and significance of their relationship to the primary government, the System. This guidance states that a legally separate tax-exempt organization should be reported as a component unit of a reporting entity if all of the following criteria are met:

1. The economic resources received or held by the separate organization are entirely or almost entirely for the direct benefit of the primary government, its component units, or its constituents.
2. The primary government is entitled to, or has the ability to otherwise access a majority of the economic resources received or held by the separate organization.
3. The economic resources received or held by an individual organization that the specific primary government, or its component units, is entitled to, or has the ability to otherwise access, are significant to that primary government.

The System has defined significance as 3% of its net position. As of August 31, 2016, only the University of North Texas Foundation met the criteria for inclusion in the System's financial statements.

Discretely Presented Component Unit

University of North Texas Foundation

The University of North Texas Foundation, Inc. (the "Foundation") is reported as a discrete component unit. The Foundation is a separate nonprofit organization that is organized for various purposes, including transferring or using all or any part of the corpus or income for the benefit of the University of North Texas. Such uses are made in accordance with the general or specific purposes stipulated by the donors, grantors or testators, or in the absence of such stipulations, for such uses as may be determined by the Board of Directors of the Foundation; furthermore, the Foundation promptly distributes all net income in excess of operating requirements to promote the educational advancement of UNT. The governing board is self-perpetuating, comprised of elected members separate from the System's Board of Regents. The direction and management of the affairs of the Foundation and the control and disposition of its assets are vested in the Board of Directors of the Foundation. The System has no liability with regard to the Foundation, its operations or liabilities. The majority of endowments supporting university scholarships and other System programs are owned by the Foundation; therefore, including the Foundation's financial reports is important to obtain a full understanding of the System's financial position and resources.

The Foundation is an essential component of UNT's program for university advancement and for the development of private sources of funding for capital acquisitions, operations, endowments, and other purposes relating to the mission of UNT.

In August 2003, UNT entered into an agreement with the Foundation to better define the relationship between the two entities and to comply with the statutory requirements of Chapters 2255 and 2260 of the Texas Government Code. The 2003 agreement provided that the development leadership for UNT would be provided by the Foundation's Chief Executive Officer.

An amended agreement was approved by the Foundation's Board of Directors in their June 2009 meeting, and subsequently approved by the System Board of Regents in August 2009. Under the amended agreement, UNT's Vice President for Advancement will serve as the Foundation's Director of Development and will oversee, coordinate and exercise decision making authority over the fundraising activities of both UNT and the Foundation. In this dual

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position, the Vice President for Advancement/Foundation’s Director of Development (the “VPA/FDD”) shall have no decision making authority in regard to governance of the Foundation or expenditure of funds by the Foundation. The VPA/FDD is an employee of UNT, and compensation for the position is the sole obligation of UNT. In consideration of this amended agreement, UNT has consistently reported the Foundation as a discrete component unit in the System’s financial statements.

Related Parties

Through the normal course of operations, the System both receives funds from and provides funds to other state agencies in support of sponsored research programs. Funds received and provided during the year ended August 31, 2016 related to pass-through grants were \$31,326,811.17 and \$206,016.96 respectively.

Other related-party transactions identified in the financial statements include Due From/To Other Agencies, Legislative Appropriations, Capital Appropriations, Legislative Transfers In and Transfers From/To Other State Agencies.

Note 15: Donor Restricted Endowments

The System’s spending policy for unitized endowments reflects an objective to distribute as much total return as is consistent with overall investment objectives while protecting the real value of the endowment principal. An endowment is excluded from target distribution until the endowment has been established for one year.

The target distribution of spendable income to each unit of the endowment fund will be between 3% and 6% of the moving average market value of a unit of the endowment fund for the preceding 12 quarters. Unless otherwise determined by the Finance Committee of the Board of Regents, the target annual distribution rate shall be 4% of the average unit market value. Distribution shall be made quarterly, as soon as practicable, after the last calendar day of November, February, May and August. This distribution amount shall be recalculated each quarter based on a 12-quarter rolling average. If, at any point of distribution, the fair market value of the endowment is below the corpus of the endowment, the distribution shall be determined on a sliding scale basis. The distribution is made in accordance with the Texas Uniform Prudent Management of Institutional Funds Act. The quarterly distribution is based on an endowment management model developed by the AICPA. The net appreciation (cumulative and unexpended) on donor-restricted endowments presented below is available for authorization and expenditure by the System.

Endowment Type	Amount of Cumulative Net Appreciation (1)	Reported in Net Position
True Endowments	\$ 6,640,513.62	Restricted Expendable

(1) There was a positive fair value adjustment totaling \$2,371,831.83 for 2016 related to true endowments. As of August 31, 2016, the System did not have any term endowments to report.

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Note 16: Deferred Outflows of Resources and Deferred Inflows of Resources

A summary of the System's deferred outflows of resources and deferred inflows of resources as of August 31, 2016 is presented below:

	<u>Total</u>
Deferred Outflows of Resources	
Unamortized Losses on Refunding of Debt	\$ 3,439,828.09
Deferred Outflows of Resources Related to Pensions (1)	<u>22,414,275.00</u>
Total Deferred Outflows of Resources	<u>\$ 25,854,103.09</u>
Deferred Inflows of Resources	
Unamortized Gains on Refunding of Debt	\$ 1,419,367.99
Deferred Inflows of Resources Related to Pensions (1)	<u>20,703,337.00</u>
Total Deferred Inflows of Resources	<u>\$ 22,122,704.99</u>

- (1) See Note 1, *Summary of Significant Accounting Policies*, and Note 8, *Pension Plans*, for more information regarding deferred outflows of resources and deferred inflows of resources related to debt refunding and pensions.

**UNIVERSITY OF NORTH TEXAS SYSTEM
Required Supplementary Information
For the Year Ended August 31, 2016**

Required Supplementary Information (RSI)

Schedule of the System's Proportionate Share of the Net Pension Liability

RSI - Pension Proportionate Share

	<u>2016</u>	<u>2015</u>
System's proportion of the net pension liability	0.3348771%	0.3870437%
System's proportionate share of the net pension liability	\$ 118,374,598.00	\$ 103,405,818.19
System's covered payroll (1)	235,537,989.10	222,501,101.49
System's proportionate share of the net pension liability as a percentage of its covered payroll	50.26%	46.47%
Plan fiduciary net position as a percentage of the total pension liability	78.43%	83.25%

(1) Covered payroll is for the year prior, because the System's net pension liability as of August 31 current year is based on a measurement date of August 31 of the previous year.

Schedule of the System's Contributions

RSI - Pension Contributions

	<u>2016</u>	<u>2015</u>	<u>2014</u>
Statutorily required contributions	\$ 10,041,557.00	\$ 9,916,773.00	\$ 9,812,632.02
Contributions in relation to the statutorily required contributions	10,041,557.00	9,916,773.00	9,812,632.02
Contribution deficiency (excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
System's covered-employee payroll	\$ 248,934,340.22	\$ 235,537,989.10	\$ 222,501,101.49
Contributions as a percentage of covered-employee payroll	4.03%	4.21%	4.41%

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**NOTES TO THE
FINANCIAL STATEMENTS**

of the

**UNIVERSITY OF NORTH TEXAS
FOUNDATION, INC.**

DENTON, TEXAS

For the Years Ended August 31, 2015 and 2016

UNIVERSITY OF NORTH TEXAS FOUNDATION, INC.

Notes to the Financial Statements

For the Year Ended August 31, 2016

Note 1: Purpose and Summary of Significant Accounting Policies

Purpose

The University of North Texas Foundation, Inc. (Foundation) is a nonprofit organization with the purpose of providing financial support to the University of North Texas. This purpose is accomplished by the Foundation receiving and managing donations (cash and non-cash) from individuals and organizations.

The Foundation is a nonprofit organization as described in Section 501(c)(3) of the Internal Revenue Code and is exempt from federal and state income taxes.

Basis of Presentation

The financial statements have been prepared on the accrual basis of accounting.

Contributions

Contributions are generally temporarily or permanently restricted by the donor to support specific programs within the University of North Texas. Unconditional promises to give are recorded as received. Contributions receivable due in the next year are recorded at their estimated net realizable value. Contributions receivable due in subsequent years are recorded at the present value of their estimated net realizable value, using interest rates applicable to the years in which the promises are received to discount the amounts. An allowance for uncollectible promises to give has been provided based on management's evaluation of contributions receivable at year end.

Contributions of cash and other assets are reported as temporarily restricted support if they are received with donor stipulations that limit the use of the donated assets.

Endowment contributions and investments are permanently restricted by the donor. Investment income available for distribution is recorded in temporarily restricted net assets because of program restrictions. The portion of the fair value of endowment funds which is below the endowment fund's historical cost is recorded as a reduction in unrestricted net assets.

Contributions of donated noncash assets are recorded at their fair values in the period received. Contributions of donated services that create or enhance non-financial assets or that require specialized skills, are provided by individuals possessing those skills, and would typically need to be purchased if not provided by donation, are recorded at their fair values in the period received.

Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

Cash and Cash Equivalents

Cash equivalents consist of highly liquid investments with an initial maturity at the time of purchase of three months or less. At August 31, 2016 and 2015, there was \$1,676,512 and \$5,055,592, respectively, of cash equivalents in the Foundation's investment accounts awaiting investment.

Investments

The Foundation carries investments in marketable securities and other common stocks with readily determinable fair values at their fair values based on quoted prices in active markets (Level 1 measurements) in the Statement of Financial Position. Investments in mutual funds are carried at their fair value based on published per share valuations (Level 2 measurements). Investments in non-publicly traded Real Estate Investment Trust and Hedge Funds of Funds are carried at their fair value as determined using significant unobservable inputs (Level 3 measurements). Unrealized gains and losses are included in the change in net assets in the accompanying Statement of Activities.

UNIVERSITY OF NORTH TEXAS FOUNDATION, INC.
Notes to the Financial Statements
For the Year Ended August 31, 2016

Real Property

Real property consists of property that has been donated to the Foundation. The property is stated at the estimated fair value at the time of the donation.

Other Assets

Other assets consists of paintings donated to the Foundation and held for sale. The paintings are recorded at their fair value as of the date of donation.

Agency Funds

Agency funds consist of resources held by the Foundation as an agent for resource providers and will be transferred to third-party recipients specified by the resource provider.

Date of Management's Review

Subsequent events were evaluated through February 28, 2017, which is the date the financial statements were available to be issued.

Note 2: Investments

Investment securities consisted of the following at August 31, 2016 and 2015:

	August 31, 2016		August 31, 2015	
	Cost	Fair Value	Cost	Fair Value
U.S. and International Stocks and Equity Mutual Funds/Comingled Funds	\$ 145,113,617	\$ 171,915,644	\$ 135,470,026	\$ 153,283,746
U.S. and International Fixed Income Securities and Mutual Funds/Comingled Funds	44,503,153	45,527,410	63,662,437	62,313,508
U.S. Balanced Comingled Fund	16,300,000	16,358,680	-	-
Real Estate Investment Trust and Mutual Funds	7,819,687	8,458,116	6,935,080	5,869,622
Natural Resource Mutual Fund/Global Hard Assets Mutual Fund	16,140,049	13,932,443	20,495,743	17,799,538
Hedge Funds of Funds/Mutual Fund	21,906,833	24,459,430	21,556,594	19,207,691
	<u>\$ 251,783,339</u>	<u>\$ 280,651,723</u>	<u>\$ 248,119,880</u>	<u>\$ 258,474,105</u>

Investment income consists of interest and dividends on investment securities and is shown net of investment fees and expenses of \$65,173 and \$62,603 for the years ended August 31, 2016 and 2015, respectively.

Note 3: Fair Value of Financial Instruments

Generally accepted accounting principles requires disclosure of an estimate of fair value of certain financial instruments. The Foundation's significant financial instruments other than investments are cash and cash equivalents, contributions and other receivables, and other short-term assets and liabilities. For these financial instruments, carrying values approximate fair value.

UNIVERSITY OF NORTH TEXAS FOUNDATION, INC.
Notes to the Financial Statements
For the Year Ended August 31, 2016

Note 4: Fair Value Measurements

Fair value of assets measured on a recurring basis at August 31, 2016 and 2015 are as follows:

	Fair Value	Fair Value Measurements at Reporting Date Using		
		Quoted Prices in Active Markets for Identical Assets (Level 1)	Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
August 31, 2016:				
Securities/Mutual Funds/Comingled Funds	\$ 256,119,661	\$ 166,337,950	\$ 89,781,711	\$ -
Real Estate Investment Trust	72,632	-	-	72,632
Hedge Funds of Funds	24,459,430	-	-	24,459,430
Total	\$ 280,651,723	\$ 166,337,950	\$ 89,781,711	\$ 24,532,062
August 31, 2015:				
Securities/Mutual Funds/Comingled Funds	\$ 247,261,877	\$ 101,026,565	\$ 146,235,312	\$ -
Real Estate Investment Trust	404,820	-	-	404,820
Hedge Funds of Funds	5,630,059	-	-	5,630,059
Comingled Loan Fund	5,177,349	-	-	5,177,349
Total	\$ 258,474,105	\$ 101,026,565	\$ 146,235,312	\$ 11,212,228

Assets measured at fair value on a recurring basis using significant unobservable inputs (Level 3):

	Real Estate Investment Trust	Hedge Funds Mutual Funds	Loan Fund	Total
August 31, 2014	\$ 670,599	\$ 5,477,340	\$ 5,169,871	\$ 11,317,810
Total gains (losses) (realized/unrealized)	(65,829)	289,226	7,478	230,875
Purchases, issuance, and settlements	(199,950)	(136,507)	-	(336,457)
August 31, 2015	\$ 404,820	\$ 5,630,059	\$ 5,177,349	\$ 11,212,228
Total gains (losses) (realized/unrealized)	(44,664)	629,371	(95,991)	488,716
Purchases, issuance, and settlements	(287,524)	18,200,000	(5,081,358)	12,831,118
August 31, 2016	\$ 72,632	\$ 24,459,430	\$ -	\$ 24,532,062

The gains and losses for each year are included in the statements of activities under realized and unrealized gain (loss) on market value of investments.

Financial assets valued using level 1 inputs are based on unadjusted quoted market prices within active markets. Fair values for mutual funds valued using level 2 inputs are based on published daily valuations. Fair values for the Real Estate Investment Trust, Hedge Funds of Funds, and Loan Fund are determined by third-party valuations of the investments. There were no changes in valuation methods during fiscal years 2016 or 2015.

UNIVERSITY OF NORTH TEXAS FOUNDATION, INC.
Notes to the Financial Statements
For the Year Ended August 31, 2016

Note 5: Contributions and Other Receivables

Contributions and other receivables as of August 31, 2016 and August 31, 2015 are as follows:

	<u>August 31, 2016</u>	<u>August 31, 2015</u>
Contributions Receivable in less than one year	\$ 2,514,252	\$ 23,861,550
Contributions Receivable in one to five years	2,491,412	1,924,875
Contributions Receivable in six to ten years	220,000	291,245
Contributions Receivable in over ten years	-	-
Total Contributions Receivable	<u>5,225,664</u>	<u>26,077,670</u>
Less allowance for uncollectible amounts	(522,566)	(8,398,177)
Less discounts to net present value	(312,807)	(423,421)
Net Contributions Receivable	<u>4,390,291</u>	<u>17,256,072</u>
Other amounts receivable	2,800	2,855
Total Contributions and Other Receivables	<u>\$ 4,393,091</u>	<u>\$ 17,258,927</u>

Contributions receivable in more than one year have been discounted to net present value using an interest rate of eight percent. A significant pledge made in 2011 had stated terms that it was to be paid by December 31, 2015. The pledge payment was not received on that date. The donor verbally renewed the pledge for a payment by March 31, 2016. This date also passed without receiving a payment. The pledge no longer meets the criteria of an unconditional promise to give and has been reversed during the year ended August 31, 2016. The reversal is shown in the Statement of Activities as an adjustment to prior year contributions receivable.

Note 6: Unrestricted Net Assets

Unrestricted net assets at August 31, 2016 and 2015 include \$1,577,403 and \$1,272,517, respectively, which has been designated by the Foundation's Board of Directors as a reserve for future operations.

Note 7: Temporarily Restricted Net Assets

Temporarily restricted net assets consist of contributions from donors to specified programs or scholarships within the University of North Texas. Temporarily restricted net assets also includes income from endowment funds that are available for distribution upon satisfaction of the specific program restriction stated in the endowment agreement.

UNIVERSITY OF NORTH TEXAS FOUNDATION, INC.
Notes to the Financial Statements
For the Year Ended August 31, 2016

Note 8: Permanently Restricted Net Assets

Net assets were permanently restricted for the following purposes at August 31, 2016 and 2015:

	August 31, 2016	August 31, 2015
Endowments to support various programs, scholarships, and other activities of the University of North Texas	\$ 91,487,153	\$ 86,324,889
Cash value of life insurance policies that will provide proceeds upon death of insured for endowments	513,979	512,137
Total	\$ 92,001,132	\$ 86,837,026

Note 9: Life Insurance Policies

Several endowments have been established which are to be funded or partially funded by life insurance policies for which the Foundation has been named owner and beneficiary. Premium payments made by the Foundation are reimbursed by the donors of the policies. As of August 31, 2016 and 2015, there were a total of 26 and 26 such policies, respectively, with death benefits totaling \$1,972,817 and \$3,434,842 respectively, and cash values totaling \$513,975 and \$512,137 respectively.

Note 10: Income Tax Status

The Foundation has received a letter of determination from the Internal Revenue Service advising that it qualifies as a non-profit corporation under Section 501(c)(3) of the Internal Revenue Code and, therefore, is not subject to income tax. The Foundation is not a private foundation within the meaning of Section 509(a) of the Internal Revenue Code.

Note 11: Retirement Plan

The Foundation sponsors a defined contribution retirement plan covering all full time employees of the Foundation. The Foundation contributes 8.5% of eligible employees' compensation to the plan, and employees are required to contribute a minimum of 6.65% of compensation to the plan. Employees may make voluntary contributions in addition to the required contribution, up to the limits prescribed by the Internal Revenue Code. All employer and employee contributions are fully vested when made. The expense to the Foundation for retirement plan contributions for the year ended August 31, 2016 and 2015 were \$73,062 and \$60,898 respectively.

Note 12: Assets Held Under Split Interest Agreements

The Foundation is the Trustee or Co-Trustee of various charitable remainder trusts and administers several gift annuity contracts. The agreements require annuity payments to the income beneficiaries for life, with the remaining assets of the trusts or agreements creating endowments upon the death of the income beneficiary. The annuity obligations are recorded at the present value of the expected future cash payments to the beneficiaries based on published life expectancy tables using a discount rate of six percent.

The assets held under these agreements are included in the statement of financial position at fair value.

UNIVERSITY OF NORTH TEXAS FOUNDATION, INC.
Notes to the Financial Statements
For the Year Ended August 31, 2016

Note 13: Assets Held For Others

The Foundation holds and invests certain funds in trust on behalf of the University of North Texas System (UNTS). Pursuant to an investment agreement dated March 15, 2012, certain UNTS long-term assets have been placed with the Foundation and invested in the Foundation's Consolidated Investment Pool. The UNTS investment funds are subject to the same investment management policy as the Foundation's investments, but receive monthly distributions calculated on a 20 quarter rolling average unit value. The initial annually renewable agreement was replaced on November 1, 2014 by a new agreement that renews annually and can be terminated by either party upon written notice to the other party.

The Foundation also holds and invests certain funds in trust on behalf of the University of North Texas (UNT). Pursuant to an investment management agreement dated August 24, 2012, certain UNT endowment assets have been placed with the Foundation and invested in the Foundation's Consolidated Investment Pool or the Foundation's DFA Short-Term Government fund. The UNT endowment funds invested in the Foundation's Consolidated Investment Pool are subject to the same investment management and distribution policies as the Foundation's endowments. The initial term of the agreement ended August 31, 2013, with a provision to automatically renew annually thereafter.

UNTS and UNT are independent of the Foundation in all respects. UNTS and UNT are not subsidiaries or affiliates of the Foundation and are not directly or indirectly controlled by the Foundation. The Board of Regents of UNTS makes all decisions regarding the business and affairs of UNTS and UNT, and their long-term assets and endowment assets managed by the Foundation are the exclusive property of UNTS and UNT respectively. The Foundation does not have ownership of any of the UNTS or UNT assets, therefore, neither the principal nor income generated by these assets, except for management fees paid from these assets, are included in the amount of net assets of the Foundation.

Also, two trusts for which the Foundation serves as Trustee currently name the Foundation as the remainder beneficiary, however, the donors have retained the right to change the remainder beneficiary to other charitable organizations. As a result, the Foundation has recorded the assets held under these trusts as assets held for others.

Assets held under these arrangements are included in the Statement of Financial Position at fair value, and the Foundation realized net management fee income of \$424,069 and \$474,340 respectively during the year ended August 31, 2016 and 2015, respectively for its services.

A summary of the assets held for others is as follows:

	<u>August 31, 2016</u>	<u>August 31, 2015</u>
Trusts for which beneficiary can be changed	\$ 2,651,998	\$ 2,696,714
UNTS assets managed by Foundation	134,555,295	125,423,568
UNT endowment assets managed by Foundation	43,149,493	39,676,464
Total Assets Held for Others	<u>\$ 180,356,786</u>	<u>\$ 167,796,746</u>

Note 14: Concentrations of Credit Risk

The Foundation maintains cash balances at times in excess of \$250,000 in its depository bank, which are insured by the Federal Deposit Insurance Corporation ("FDIC") up to \$250,000. The total amount of checking account deposits with Wells Fargo Bank N.A. as of August 31, 2016 and 2015 was \$994,939 and \$572,175, respectively. In addition to the checking account balances, the Foundation had cash balances of \$5,252,806 and \$3,812,649 at August 31, 2016 and 2015, respectively, invested with Wells Fargo Bank N.A. in a money market account at August 31, 2016 and under a fully collateralized repurchase agreement at August 31, 2015. The Foundation also had \$4,000,000 invested as of August 31, 2015 in a fully collateralized repurchase agreement with Texas Capital Bank.

The Foundation also maintains short-term cash investments in money-market mutual funds, which are not insured. The amount held in money market mutual funds was \$2,877,568 and \$5,223,196 at August 31, 2016 and 2015, respectively.

May 1, 2017

Grant Thornton LLP
1717 Main Street, Suite 1800
Dallas, TX 75201

Dear Sir or Madam:

We are providing this letter in connection with your audit of the consolidated financial statements of the business-type activities and discretely presented component unit of the University of North Texas System (“System”), which collectively comprise the statement of net position, statement of revenues, expenses and changes in net position, and statement of cash flows as of August 31, 2016, and the year then ended, and the related notes to the consolidated financial statements. We understand that your audit was made for the purpose of expressing an opinion as to whether the consolidated financial statements are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America (“US GAAP”).

We have fulfilled our responsibility, as set out in the terms of the Engagement Letter, for the preparation and fair presentation in the consolidated financial statements of the financial position of the System, its discretely presented component unit, and the respective changes in financial position and cash flows, where applicable, in accordance with US GAAP. We acknowledge our responsibility for understanding and complying with certain provisions of laws, regulations, contracts, and grant agreements and other matters applicable to the System. We further acknowledge our responsibility for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to error or fraud, including programs and controls to prevent and detect fraud.

Certain representations in this letter are described as being limited to matters that are material. Items are considered to be material, regardless of size, if they involve an omission or misstatement of accounting information that, in light of the surrounding circumstances, makes it probable that the judgment of a reasonable person relying on the information would be changed or influenced by the omission or misstatement.

We confirm, to the best of our knowledge and belief, having made such inquiries as we considered necessary for the purpose of appropriately informing ourselves, as of May 1, 2017, the following representations made to you during your audit.

1. The consolidated financial statements referred to above, including the related notes, have been prepared and are fairly presented in conformity with US GAAP.
2. We have provided you with:
 - a. Access to all information of which we are aware that is relevant to the preparation and fair presentation of the consolidated financial statements, including all financial records, documentation of internal control over financial reporting, and related information

- b. Additional information you have requested for audit purposes
 - c. Unrestricted access to persons from whom you determined it was necessary to obtain audit evidence
 - d. Minutes of the meetings of Board of Regents and summaries of actions of recent meetings for which minutes have not yet been prepared. All significant board and committee actions are included in the summaries.
3. There have been no communications, written or oral, from regulatory agencies or others concerning noncompliance with, or deficiencies in, financial reporting practices.
 4. We believe that the effects of the uncorrected financial statement misstatements in the accompanying schedule are immaterial, both individually and in the aggregate, to the consolidated financial statements taken as a whole. Refer to attachment A at the end of this letter.
 5. There are no significant deficiencies or material weaknesses in the design or operation of internal control over financial reporting of which we are aware.
 6. There are no side agreements or other arrangements (either written or oral) that have not been disclosed to you.
 7. We have no knowledge of fraud or suspected fraud affecting the System involving:
 - a. Management
 - b. Employees who have significant roles in internal control, or
 - c. Others where the fraud could have a material effect on the financial statements.
 8. We have no knowledge of any allegations of fraud or suspected fraud affecting the System's consolidated financial statements received in communications from employees, former employees, analysts, regulators, or others.
 9. Except as disclosed to you, there are no known violations or possible violations of, or no known instances of noncompliance or suspected noncompliance with, laws, regulations, contracts, or grant agreements, or other matters whose effects should be considered by management when preparing the consolidated financial statements, as a basis for recording a loss contingency or for disclosure, other than those discussed in the Notes to the consolidated financial statements and we have complied with all laws, regulations, contracts, grant agreements and other matters, including all laws and regulations in adopting, approving, and amending budgets.
 10. We have identified and disclosed to you all laws, regulations, contracts, and grant agreements and other matters that have a direct and material effect on the determination of financial statement amounts.
 11. We have established and maintained a process to address and track the status of audit findings, conclusions, and recommendations. We have provided to you our views on such matters, as well as planned corrective actions to be included in the report. We have also identified and informed you of findings and recommendations from previous audits, attestation engagements, or other studies that could have a material effect on the consolidated financial statements and whether any related recommendations were implemented or corrective actions taken.
 12. The System has no plans or intentions that may materially affect the carrying value or classification of assets and liabilities.

13. We have disclosed to you the identity of the System's related parties and all related party relationships and transactions of which we are aware. Related party relationships and transactions and related amounts receivable from or payable to related parties (including sales, purchases, loans, transfers, leasing arrangements, and guarantees) have been properly accounted for and disclosed in the consolidated financial statements in accordance with US GAAP.

We understand that "related parties" include (1) affiliates of the System; (2) entities for which investments in their equity securities would be required to be accounted for by the equity method by the investing entity; (3) trusts for the benefit of employees, such as pension and profit-sharing trusts that are managed by or under the trusteeship of management; (4) management of the System and members of their immediate families.

Related parties also include (1) other parties with which the System may deal if one party controls or can significantly influence the management or operating policies of the other to an extent that one of the transacting parties might be prevented from fully pursuing its own separate interests; and (2) other parties that can significantly influence the management or operating policies of the transacting parties or that have an ownership interest in one of the transacting parties and can significantly influence the other to an extent that one or more of the transacting parties might be prevented from fully pursuing its own separate interests.

14. Significant estimates and material concentrations known to management that are required to be disclosed in accordance with GASB Statement No. 62 (GASB-62), *Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements*, are properly disclosed in the financial statements.

Significant estimates are estimates at the date of the statement of financial position that could change materially within the next year. Concentrations refer to volumes of business, revenues, available sources of supply, or markets or geographic areas for which events could occur that would significantly disrupt normal finances within the next year.

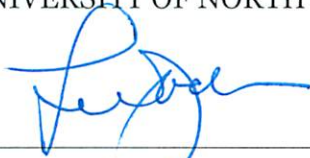
15. The methods and significant assumptions used in making accounting estimates, including those measured at fair value, are reasonable, consistently applied, and result in a measurement appropriate for financial statement and disclosure purposes. Disclosures related to these estimates and fair value measurements are adequate, complete, and accurate. No events have occurred subsequent to the date of the consolidated financial statements through the date of this letter that would require adjustment to these estimates and fair value measurements, or the related disclosures included in the consolidated financial statements.
16. There are no financial instruments with off-balance sheet risk or financial instruments with concentrations of credit risk.
17. There are no guarantees, whether written or oral, under which the System is contingently liable.
18. Components of net position (net investment in capital assets; restricted and unrestricted) are properly classified and, if applicable, approved.
19. Investments held by endowments are properly valued.
20. Provisions for uncollectible receivables have been properly identified and recorded.
21. The basis for the allocation of functional expenses is reasonable and complies with the requirements of the System's various funding sources. In addition, the costs of joint activities are appropriately accounted for in accordance with the National Association of College and University Business Officers functional (programmatic) categories.

22. Revenues are appropriately classified in the statement of revenues, expenses and change in net position.
23. Interfund, internal, and intra-system activity and balances have been appropriately classified and reported.
24. Amounts due to and due from related components are valid payables/receivables and will be paid to/by respective System components.
25. Risk disclosures associated with deposit and investment securities and derivative transactions are presented in accordance with GASB requirements.
26. Capital assets, including infrastructure assets, are properly capitalized, reported, and if applicable, depreciated.
27. The accounting practice regarding whether to first apply restricted or unrestricted resources when an expense is incurred for purposes for which both restricted and unrestricted net position is available is appropriately disclosed.
28. The System's ability to continue as a going concern was evaluated and appropriate disclosures are made in the financial statements as necessary under GASB requirements.
29. There are no known actual or possible litigation, claims, or assessments that our legal counsel has advised us are probable of assertion whose effects should be considered by management when preparing the consolidated financial statements and that should be accounted for and disclosed in accordance with GASB Statement No. 62 (GASB-62), *Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989*, except as disclosed in the consolidated financial statements.
30. There are no other liabilities or gain or loss contingencies that are required to be accrued or disclosed in accordance with GASB-62.
31. The System has satisfactory title to all owned assets, and there are no liens or encumbrances on such assets, nor has any asset been pledged as collateral, except as disclosed in the consolidated financial statements.
32. We acknowledge our responsibility for the Management Discussion and Analysis, the Schedule of the System's Proportionate Share of the Net Pension Liability, and the Schedule of the System's Contributions, which Government Accounting Standards Board considers to be an essential part of financial reporting for placing the consolidated financial statements in an appropriate operational, economic, or historical context. Such required supplementary information is measured and presented in accordance with U.S. GAAP. The methods of measurement and presentation of the required supplementary information are consistent with those used in the prior period. We have disclosed to you the significant assumptions and interpretations underlying the measurement and presentation of the required supplementary information.
33. Except as disclosed to you, we believe any grant expenditures that could potentially be disallowed, and not reimbursed by the grantor, would be immaterial.
34. There were no material outstanding unemployment or workers' compensation claims pending at August 31, 2016.
35. There are no other receivables or payables that are greater than or equal to 5% of total receivables or payables and must be disclosed separately.

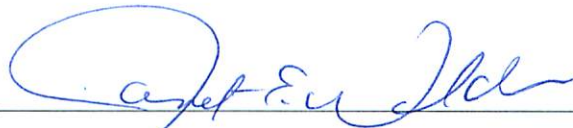
36. We believe that all information obtained from the Texas Retirement System (TRS), to include the audited financial statements, actuary reports, and disclosures related to pension and post-retirement liabilities and costs are appropriate in the circumstances, in accordance with GASB Statement No. 68 (GASB 68), Accounting and Financial Reporting for Pensions – an amendment of GASB Statement No. 27. The System has complied with all accounting and disclosure requirements of GASB 68.
37. In accordance with GASB Statement No. 72, Fair Value Measurements and Application, the University has categorized its financial instruments, based on the priority of inputs to the valuation technique, into a three-level fair value hierarchy. The fair value gives the highest priority to quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). If the inputs that are used to measure the securities fall within different levels of the hierarchy, the categorization is based on the lowest level input that is significant to the fair value measurement of the instrument.
38. The University invests in certain external investment pools that meet the requirements outlined in GASB Statement No. 79, 'Certain External Pools and Pool Participants' to measure their investments at amortized cost for financial reporting purposes. According to this Statement, if an external investment pool meets the criteria in this Statement and measures all of its investments at amortized cost, the pool's participants also should measure their investments in that external investment pool at amortized cost for financial reporting purposes. As a result, we believe these investment pools are appropriately excluded from the tiering requirements of GASB Statement 72.
39. Components of net position (net investment in capital assets, restricted, and unrestricted) are properly classified and, if applicable, approved.
40. All events subsequent to the date of the consolidated financial statements through the date of this letter and for which US GAAP requires recognition or disclosure have been recognized or disclosed.

Very truly yours,

UNIVERSITY OF NORTH TEXAS SYSTEM



Lee F. Jackson, Chancellor



Janet Waldron, Vice Chancellor for Finance

Attachment A

Schedule of Uncorrected Misstatements as of and for the year ended August 31, 2016

(1) Client PAJE 1 - Move building and equipment costs into CIP and out of Equipment

<u>Account Description</u>	<u>Amount DR/(CR)</u>
Construction in Progress – Non-depreciable	\$ 2,026,153.80
Furniture & Equipment – Depreciable	(1,688,692.14)
Building/Building Improvements – Depreciable	(337,461.66)

(2) Client PAJE 2 – NACUBO class reclassification (no GL impact)

<u>NACUBO Class Description</u>	<u>Amount DR/(CR)</u>
Instruction	\$ 704,676.24
Academic Support	230,825.29
Student Services	239,099.10
Operation and Maintenance of Plant	17,949.96
Institutional Support	(1,192,550.59)

Quarterly Report of Audit Activities

Activities reflected within are as of March 31, 2017

Summary Statement

The information below is presented in more detail on the following slides:

- Highlights of Internal Audit Activity-3rd Quarter 2017
- Audit and Management Advisory Services Reports Issued Matrix
- Fiscal Year 2017 Annual Audit Plan Progress (Formal Audit Plan and Management Requests)
- Fiscal Year 2017 Allocation of Audit Hours per UNTS Component Institution
- Summary of Follow-up Activity
- Detail for Follow-up Activity

In response to the Board of Regents and Senior Leadership, Internal Audit is strengthening financial processes to meet challenges and be a trusted and valuable business partner.

Internal Audit is making adjustments to enable the success of strategic plans across components.

- **Fiscal Year 2018 Risk Assessment**

- Interviews with senior leadership at UNT, UNTHSC, UNTD and UNT System
- Strategic risk
- Focus on financial and operational processes

- **Quality Assurance Review** (last performed March 2014 ; next QAR to be performed August 2017)

- Texas Internal Auditing Act 2102.007, *"...conduct quality assurance reviews in accordance with professional standards as provided by Section 2102.011 and periodically take part in a comprehensive external peer review"*
- Institute of Internal Auditors (IIA) IPPF 1312, *"External assessments must be conducted at least once every five years by a qualified, independent assessor or assessment team from outside the organization. The chief audit executive must discuss with the board:*
 - *The form and frequency of external assessment.*
 - *The qualifications and independence of the external assessor or assessment team, including any potential conflict of interest."*
- GAGAS Standard 3.82, *"Each organization performing audits in accordance with GAGAS must:*
 - establish and maintain a system of quality control that is designed to provide the audit organization with reasonable assurance that the organization and its personnel comply with professional standards and applicable legal and regulatory requirements, and*
 - have an external peer review performed by reviewers independent of the audit organization being reviewed at least once every 3 years."*

- **Staff Achievement**

- One staff member obtained both CPA and CFE certifications
- One staff member obtained both CIA and CISA certifications

Audit and Management Advisory Services Reports Issued Matrix



Audit Name	Component Institution				Risk Rating	Audit Score	Identified Risk
	UNTS	UNT	UNTHSC	UNTD			
THECB Faculty Development Grant - outsourced			X				Compliance; Financial; Operational; Reputational
(9) Investigations (3 formal reports; 6 case reports):							
• College of Information Payroll, Fee & Other		X					Management Oversight
• Parking Student Employee		X					Management Oversight
• University Relations, Communications and Marketing Promotional Item Competition		X					Reputational

Fiscal Year 2017 Annual Audit Plan Progress (Formal Audit Plan and Management Requests)



Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
			UNTS	UNT	UNTHSC	UNTD	
Chancellor's/President's Expenditure Reviews	Issued	November 2016	X	X	X	X	Compliance; Reputational; Financial; Operational
Investments	Issued	February 2017	X	X	X	X	Compliance; Reputational; Financial; Operational
Joint Admissions Medical Program (JAMP)	Issued	November 2016		X			Compliance; Reputational; Financial; Operational; Regulatory
THECB Plaza Medical Center Family Medicine Residency Program (FMRP)	Issued	February 2017			X		Compliance; Reputational; Financial; Operational; Regulatory
College of Visual Arts and Design Transitional Audit	Issued	February 2017		X			Financial; Operational; Reputational
Management Administrative Review	Issued	February 2017				X	Financial; Operational; Reputational
Residence Hall- Student Safety Practices	Draft Report			X			Student Safety; Operational; Compliance with Policies; Reputational
Financial Review of UNTHSC Reserves	Draft Report				X		Financial; Operational; Reputational
Revenue Cycle – Billing Process (Clinical Practice)	Cancelled				X		Financial; Operational; Reputational
Senate Bill 20 Conflict of Interest (SB 20)	In-Process		X				Contract Compliance; Reputational; Financial; Operational; Regulatory
Senate Bill 20 Mandated Internal Audit Assessment	In-Process		X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
Enrollment Audit	In-Process			X	X	X	Student Safety; Financial; Operational
Minor Capital Projects	In-Process		X	X	X	X	Financial; Operational; Contract Compliance; Economical and Efficient Use of Resources
Student-Managed Investment Fund (SMIF)	In-Process (Outsourced)			X			Compliance; Reputational; Financial; Operational
Cancer Prevention and Research Institute of Texas (CPRIT) (outsourced)	In-Process (Outsourced)			X	X		Compliance; Reputational; Financial; Operational; Regulatory
Virtual Server Environments	In-Process (Outsourced)		X				Information Technology Security; Safeguarding of Assets; Operational; Compliance with Policies; Reputational
Vulnerability Scanning & Penetration Testing Review	In-Process (Outsourced)		X				Information Technology Security; IT System Network Authorization and Access; Operational; Compliance with Policies; Reputational

Fiscal Year 2017 Annual Audit Plan Progress (Formal Audit Plan and Management Requests)



Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
			UNTS	UNT	UNTHSC	UNTD	
Health Care Data Security	Not Started				X		Information Technology Security; Safeguarding of Assets; Operational; Compliance with Policies; Reputational
Student Awareness and Training-Lab Safety	Not Started			X	X	X	Student Safety; Operational; Compliance with Policies; Reputational
Resource Protection Program Review	Not Started			X	X	X	Reputational; Asset Misappropriation; Physical Safety
Inventory Control Review	Not Started			X	X	X	Reputational; Asset Misappropriation; Compliance with Policies; Financial; Economical and Efficient Use of Resources
Registrar's Office – Business Process	Not Started					X	Operational; Reputational; Compliance with Policies
Payroll	Not Started		X				Financial; Operational
NCAA Compliance	Not Started			X			Regulatory; Reputational; Compliance with Policies; Operational

Fiscal Year 2017 Allocation of Audit Hours per UNTS Component Institution



	UNTS	UNT	UNTHSC	UNTD	Total
Allocated Audit Hours	2,475	2,793	3,191	2,041	10,500
Unallocated Audit Hours	1,225	3,650	3,650	2,475	11,000
Total Audit Hours Available	<u>3,700</u>	<u>6,443</u>	<u>6,841</u>	<u>4,516</u>	<u>21,500</u>
Unallocated Audit Hours	1,225	3,650	3,650	2,475	11,000
Audit Projects Completed:					
College of Visual Arts and Design Transitional Audit		350			
Management Administrative Review				200	
Sub-total	<u>0</u>	<u>350</u>	<u>0</u>	<u>200</u>	<u>550</u>
Audit Projects In Process:					
International Student Sponsorships Review Draft Report		250			
Financial Review of Graduate School of Biomedical Sciences			400		
Financial Review of Texas College of Osteopathic Medicine Draft Report			450		
Retirement Contributions Audit	500				
College of Music Transitional Audit		300			
Classroom Support Services		200			
Community Counseling Clinic Transitional Audit				300	
Sub-total	<u>500</u>	<u>750</u>	<u>850</u>	<u>300</u>	<u>2,400</u>
Audit Projects Identified:					
Accounts Payable	400				
Student Payroll Audit		400			
College of Information Dean's Follow-Up Audit		200			
College of Pharmacy Financial Review			450		
Financial Review of School of Health Professions			400		
Office of Finance Transitional Audit			450		
Office of Provost Transitional Audit			450		
Sub-total	<u>400</u>	<u>600</u>	<u>1,750</u>	<u>0</u>	<u>2,750</u>
Management Advisory Services:					
Information Technology	24	221	55		
Investigations	1	52	9		
Behavioral Analysis PhD Program		100			
Sub-total	<u>25</u>	<u>373</u>	<u>64</u>	<u>0</u>	<u>462</u>
Remaining Unallocated Audit Hours Balance	300	1,577	986	1,975	4,838

Summary of Follow-up Activity

	Beginning Balance Open Recommendations (Past Due and Not Yet Due)	New Recommendations During This Quarter	Total Closed Recommendations During This Quarter	Total Current Open Recommendations	Open Recommendations- Not Yet Due	Open Recommendations- Past Due
UNTS	28	0	(17)	11	10	1
UNT	35	0	(21)	14	10	4
UNTHSC	17	9	(5)	21	20	1
UNTD	8	0	(4)	4	4	0
Total	88	9	(47)	50	44	6

Questions?

UNT System Administration-Detail for Follow-up Activity



Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Low</p> <p>Report Name: FY 2015 Investment Compliance Audit</p> <p>Report Number: 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC</p> <p>Component Institution: UNT System, UNT, UNT Dallas, UNTHSC</p> <p>Department: Treasury</p> <p>Brief Description of Audit: This audit is required by the Public Funds Investment Act (PFIA) Texas Government Code, Section 2256.005 and UNT System Regulation 08.2000, Investment of System Funds. The objectives of this audit were to provide assurance that controls surrounding the investing activities are effective; as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and PFIA including State Auditor’s Office (SAO) Article III, Rider 5 reporting requirements.</p>	<p>There was no indication that Board of Regents reviewed and adopted a list of financial institutions for fiscal year 2015.</p> <p>Recommendation for Associate Vice Chancellor for Treasury:</p> <p>10a. Establish procedures to ensure compliance with System Regulation 08.2000, Section 2005, paragraph 10 or review the System Regulation to see if requirement is applicable as is and make changes as necessary.</p>	<p>Management will review the regulation to determine appropriateness of the wording as this is not a requirement in the Public Funds Investment Act. Based upon the findings, either the regulation will be revised or procedures will be modified to ensure compliance.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Expected Implementation Date: November 30, 2016</p> <p>Revised Implementation Date: June 30, 2017</p>	<p>6 months past due</p> <p>The investment policy will be revised to reflect that only the list of broker/dealers requires Board of Regents approval. This revision and the list of broker/dealers will be provided to the Board of Regents for review and approval at the May 2017 Board of Regents meeting.</p>

UNT-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Low</p> <p>Report Name: College of Information Dean’s Transitional Audit</p> <p>Report Number: 16-406 UNT</p> <p>Component Institution: UNT</p> <p>Department: College of Information</p> <p>Brief Description of Audit: Internal Audit completed an audit in the College of Information (COI) due to a transition in leadership. Internal Audit worked closely with the Interim Dean to assess the current state of the department and to develop recommendations to strengthen the controls in the college.</p>	<p>When the School of Library and Information Sciences became a department in College of Information, the existing scholarship agreements were not evaluated to determine the appropriate program of study for which the scholarship should be offered. Additionally, the UNT Division of Advancement and the College of Information had a different number of endowment scholarships within the College of Information.</p> <p>Recommendation for Interim Dean of the College of Information:</p> <p>7a. Coordinate with the Office of General Counsel and Advancement to examine the language and donor's intent to determine the appropriate program of study to which the scholarships can be offered.</p>	<p>Advancement did not provide information about the Mary Voegle endowed scholarship to the department and the scholarship was not listed in Cognos with the rest of the other scholarships. When the LIS budget was separated from the college budget in 2012, all endowed scholarships were awarded according to the MOUs. The Dean of the College of Information will ask UNT General Counsel to examine the language and donor intent. The College of Information’s Advancement representative will work closely with the College scholarship representative to ascertain the existing number of scholarships that are eligible to be awarded.</p> <p>Party responsible for implementation: Dean of the College of Information</p> <p>Expected Implementation Date: January 17, 2017 Revised Implementation Date: June 1, 2017</p>	<p>4 months past due</p> <p>COI has been in contact with the Division of Advancement. Advancement is coordinating with OGC and working to track the changes of COI’s oldest gift agreements/MOUs.</p>

UNT-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Low</p> <p>Report Name: College of Information Dean’s Transitional Audit</p> <p>Report Number: 16-406 UNT</p> <p>Component Institution: UNT</p> <p>Department: College of Information</p> <p>Brief Description of Audit: Internal Audit completed an audit in the College of Information (COI) due to a transition in leadership. Internal Audit worked closely with the Interim Dean to assess the current state of the department and to develop recommendations to strengthen the controls in the college.</p>	<p>When the School of Library and Information Sciences became a department in College of Information, the existing scholarship agreements were not evaluated to determine the appropriate program of study for which the scholarship should be offered. Additionally, the UNT Division of Advancement and the College of Information had a different number of endowment scholarships within the College of Information.</p> <p>Recommendation for Interim Dean of the College of Information:</p> <p>7b. Coordinate with UNT Division of Advancement to obtain a clear understanding of how many scholarships exist within the College of Information and determine which are eligible to be awarded.</p>	<p>Advancement did not provide information about the Mary Voegle endowed scholarship to the department and the scholarship was not listed in Cognos with the rest of the other scholarships. When the LIS budget was separated from the college budget in 2012, all endowed scholarships were awarded according to the MOUs. The Dean of the College of Information will ask UNT General Counsel to examine the language and donor intent. The College of Information’s Advancement representative will work closely with the College scholarship representative to ascertain the existing number of scholarships that are eligible to be awarded.</p> <p>Party responsible for implementation: Dean of the College of Information</p> <p>Expected Implementation Date: January 17, 2017 Revised Implementation Date: June 1, 2017</p>	<p>4 months past due</p> <p>COI has been in contact with the Division of Advancement. Advancement is coordinating with OGC and working to track the changes of COI’s oldest gift agreements/MOUs.</p>

UNT-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Moderate</p> <p>Report Name: Toulouse Graduate School Audit</p> <p>Report Number: 16-401 UNT</p> <p>Component Institution: UNT</p> <p>Department: Toulouse Graduate School</p> <p>Brief Description of Audit: Internal Audit performed an audit of the UNT Toulouse Graduate School at the request of the Interim Dean. The Toulouse Graduate School leads graduate education at UNT through a variety of services and programs designed to enhance the educational experience of graduate students.</p>	<p>Internal Audit was unable to locate any University policies that directly address the use of the Graduate School Application fee.</p> <p>Recommendation for Vice Provost of the Toulouse Graduate School:</p> <p>1a. Consult with the Vice President for Finance and Administration to develop a policy specifying appropriate uses for the Graduate School application fee.</p>	<p>Historically the majority of the application fee was used to fund staff positions in the Toulouse Graduate School. Within the last six months the funding of these staff lines were adjusted so that the staff directly responsible for application processing are paid from the application fee account. This is consistent with the intended use of the funds. In addition the residual funds will be directed toward processing of applications and the associated expenses. However, the application fee and the staff on that fee have moved under admissions and, consistent with the change in the budget line, we communicated with the VP of Enrollment Management and the Executive Director of Admissions about the need to continue the staff funding from the application fee account. In addition, with the transfer of the application fee account to the Executive Director of Admissions, the Graduate School communicated the expected outcomes and recommendations of this audit to the Executive Director so that policy development can be fulfilled by the new account holder.</p> <p>Party responsible for implementation: Rebecca Lothringer, Executive Director of Admissions</p> <p>Expected Implementation Date: January 15, 2017 Revised Implementation Date: August 31, 2017</p>	<p>4 months past due</p> <p>The policy is going through the vetting process.</p>

UNT-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Moderate</p> <p>Report Name: Business Process Operations – Athletic Department</p> <p>Report Number: 16-408 UNT</p> <p>Component Institution: UNT</p> <p>Department: Athletics</p> <p>Brief Description of Audit: Internal Audit completed a review of the Business Process Operations for the UNT Athletic department. This audit was performed at the request of UNT Management.</p>	<p>The following observations were noted with regards to Endowed Athletic Scholarships:</p> <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. <p>Recommendation for Associate Athletic Director, Compliance:</p> <p>7c. Written minutes should be maintained on Athletics endowed scholarship committee meetings.</p>	<p>Athletics will maintain official records for actions taken at committee meetings for endowed scholarships.</p> <p>Party responsible for implementation: Scott Hobbs, Sr. Associate Athletics Director – Compliance</p> <p>Expected Implementation Date: February 1, 2017 Revised Implementation Date: August 31, 2017</p>	<p>3 months past due</p> <p>The next scholarship committee meeting will take place in August 2017. Therefore, meeting minutes will not be recorded until that time.</p>

UNTHSC-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Moderate</p> <p>Report Name: School of Public Health (Unit Specific Management Control Review)</p> <p>Report Number: 16-022 HSC</p> <p>Component Institution: UNTHSC</p> <p>Department: School of Public Health</p> <p>Brief Description of Audit: Internal Audit completed a unit specific management control review of UNTHSC's School of Public Health (SPH). This audit was performed at the request of the UNTHSC President.</p>	<p>Safeguarding measures of student fee payments received are not adequate during the receipting and reconciliation processes at the Office of Admissions.</p> <p>Recommendation for Associate Dean of School of Public Health:</p> <p>3b. Develop procedures to help ensure that all fees collected are reconciled on a regular basis to the University accounting system and to the respective student account.</p>	<p>The School of Public Health, Office of Admissions will establish a procedure to:</p> <ol style="list-style-type: none"> Redirect on-site cash received to the Cashier's Office, located in the Student Services Center of the UNTHSC campus, in the same building as the Office of Admission. Student will make payment to the Cashier, obtain a receipt, and then provide proof of payment to the Office of Admission Redirect deposits by mail directly to the Cashiering Office, establishing a procedure for the Office of Admission to be notified when a deposit has been received Maintain a log of fees collected as notified by the Cashier's Office Work with Financial Services as a process improvement to automate items 1 and 2 above within their stipulated implementation date of August 1, 2017 <p>Party Responsible for Implementation: Matt Nolan Adrignola, Associate Dean of Administration & Student Services</p> <p>Expected Implementation Date: March 1, 2017 Revised Implementation Date: August 1, 2017</p>	<p>2 months past due</p> <ol style="list-style-type: none"> Fully Implemented b/c. Due to a major change in personnel, alternative approaches were decided in which a third party vendor will be utilized for deposits by mail and the log will be maintained. d. Currently working with IT to utilize a process that is already in use at Graduate School of Biomedical Sciences.

UNTS Enterprise Audit Report Inventory

Summary of UNTS Enterprise Audit Inventory



	Fiscal Year 2017				Fiscal Year 2016				Fiscal Year 2015				"Prior Years" or "Fiscal Year 2015 and Prior"			
	# of Audits	Recommendations			# of Audits	Recommendations			# of Audits	Recommendations			# of Audits	Recommendations		
		Total	Open	Closed		Total	Open	Closed		Total	Open	Closed		Total	Open	Closed
UNTS	3	16	10	6	5	31	1	30	2	2	0	2	1 ¹	2	0	2
UNT	4	15	6	9	9	63	8	55	6	12	0	12	0	0	0	0
UNTHSC	4	17	9	8	4	47	12	35	4	5	0	5	0	0	0	0
UNTD	1	2	0	2	2	41	4	37	2	2	0	2	0	0	0	0
Total Internal Audit Activity	12	50	25	25	20	182	25	157	14	21	0	21	1	2	0	2

	Fiscal Year 2017				Fiscal Year 2016				Fiscal Year 2015				"Prior Years" or "Fiscal Year 2015 and Prior"			
	# of Audits	Recommendations			# of Audits	Recommendations			# of Audits	Recommendations			# of Audits	Recommendations		
		Total	Open	Closed		Total	Open	Closed		Total	Open	Closed		Total	Open	Closed
Conducted by UNTS Component Institutions	0	0	0	0	1	1	0	1	2	3	0	3	0	0	0	0
State Auditor's Office	1	5	0	5	4	9	0	9	3	5	0	5	0	0	0	0
Other External Agencies	11	289	83	206	22	284	6	278	28	218	1 ²	217	0	0	0	0
Total Other Audit Agencies	12	294	83	211	27	294	6	288	33	226	1	225	0	0	0	0

1 HSC Advancement Office Follow-up Review: Recommendation 3a - Review and update the agreement between the Center and the Foundation including a "right to audit clause." Refer to Legal Counsel and the AGB-CASE model agreement for guidance and Recommendation 3b - Distribute or make available the reaffirmed agreement to stakeholders including Center administrators, Advancement Office employees, and the Foundation Board of Directors.

2 Texas Comptroller of Public Accounts Post-Payment Audit: Recommendation - System should verify months of service data for its employees and enhance its internal controls to prevent incorrect longevity payment amounts. In addition, the System should verify all personnel files and ensure that prior state service is properly verified and documented for its employees.

Questions?

UNTS Enterprise Audit Report Inventory



The repository represents the detailed audit activity supporting the “UNTS Enterprise Audit Report Inventory” presentation listed on the Schedule of Events for the Board of Regents Meeting May 18, 2017.

The repository includes audit activity from UNT System Internal Audit, Texas State Auditor’s Office and other external agencies from Fiscal Year 2013 through the current timeframe.

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2009	Finance	Advancement Office Follow-Up Review	UNT System	The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.	Low	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.	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.	Doug White, VP of Institutional Advancement	Original Date 11/30/2012 Revised Date 12/31/16	Closed
Internal	UNT System Internal Audit	Fiscal Year 2009	Finance	Advancement Office Follow-Up Review	UNT System	The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.	Low	Distribute or make available the reaffirmed agreement to stakeholders including Center administrators, Advancement Office employees, and the Foundation Board of Directors.	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.	Doug White, VP of Institutional Advancement	Original Date 11/30/2012 Revised Date 12/31/16	Closed
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc...), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope (impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected. Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system (and overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p>Recommendations/Activities to Consider for Observations 1 through 4: The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Establish a tracking and reporting system (e.g. spreadsheet) to document approved/rejected changes, communicate the status of requests (e.g. in-process, in testing, approved, completed). Make certain that approved changes are implemented as planned (or document explanations where changes deviate from original plan). 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, CIO, and stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) HSC Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc...), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected. Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system(and overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p><u>Recommendations/Activities to Consider for Observations 1 through 4:</u> The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Establish formal, standardized, Change Management procedures to administer all change requests for those applications/services that are both high risk and institutional in scope/impact (e.g. maintenance and patches, changes to hardware, networks, applications, procedures, processes, system and service parameters, and the underlying platforms) 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, CIO, and stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA
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External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	<p>During the Fall 2011 term, the University of North Texas (University) used full-time budgets to determine COA for all students receiving financial assistance who applied for Title IV assistance prior to the Fall 2011 census date, regardless of each student's actual or anticipated enrollment. In addition, for 1 (2 percent) of 60 students tested, the University incorrectly over awarded the student \$8,776 in Direct Loans associated with award P268K122293 as part of the student's Spring 2012 assistance.</p>	NA	<p>The University should:</p> <ul style="list-style-type: none"> Develop a process to determine each student's COA and financial need based on the student's expected or actual enrollment. 	<p>Management has developed a process to determine each student's COA and financial need based on the student's expected enrollment.</p>	Zelma DeLeon and Lacey Thompson	1/1/2012	Closed
External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	<p>During the Fall 2011 term, the University of North Texas (University) used full-time budgets to determine COA for all students receiving financial assistance who applied for Title IV assistance prior to the Fall 2011 census date, regardless of each student's actual or anticipated enrollment. In addition, for 1 (2 percent) of 60 students tested, the University incorrectly over awarded the student \$8,776 in Direct Loans associated with award P268K122293 as part of the student's Spring 2012 assistance.</p>	NA	<p>The University should:</p> <ul style="list-style-type: none"> Make adjustments to assistance when students attend only one semester to help ensure that it does not award assistance to students who are not eligible to receive that assistance. 	<p>Management has addressed the over award with the employee responsible for making the error for the student in question. The over award is being corrected.</p>	Zelma DeLeon and Lacey Thompson	12/1/2012	Closed

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External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	One (1 percent) of 70 direct cost transactions tested at the University of North Texas (University) was unallowable. For 1 (1 percent) of 70 direct cost transactions tested, the University incorrectly calculated the amount of the federal expenditure.	NA	The University should establish and implement procedures to ensure that it does not charge unallowable or incorrect costs to federal awards.	The UNT Business Service Center (BSC) agrees. The BSC has corrected the travel reimbursement and the payroll underpayment. The BSC has established business practices to address the recommendation, which include: Management Response and Corrective Action Plan: - Provided additional training to Travel staff regarding unallowable expenses on federal funds. - Will participate in ongoing collaboration with the UNT Office of Research Services to enhance the audit process of travel expenditures to avoid unallowable charges to federal funds. - ERP (PeopleSoft) system now calculates partial months using an annualized hourly rate of pay (2,080 hours). The manual calculation is no longer necessary.	Susan Sims and Connie Ross	2/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	The University of North Texas (University) did not ensure that vendors associated with 4 (40 percent) of 10 procurements tested that exceeded \$25,000 were not suspended or debarred.	NA	The University should document its vendor suspension and debarment verifications for all procurements of at least \$25,000.	The UNT System Business Service Center (BSC) agrees. The BSC has established business practices to address the recommendation, which include: Management Response and Corrective Action Plan: - Added a clause/condition to the UNT System Purchase Order Terms and Conditions on 10/26/12. - Provided additional training to Purchasing staff on EPLS Search and documentation requirements on 1/16/13. - Created a procedure to ensure all procurements of at least \$25,000 are documented appropriately and are audited by management daily on 1/22/13.	Carolyn Cross	2/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	The University of North Texas (University) did not send the required notification of Recovery Act information at the time of disbursement of funds to its one Recovery Act sub recipient.	NA	The University should establish and implement procedures to help ensure that it makes required notifications when it disburses Recovery Act funds to sub recipients.	The UNT Office of Research Services agrees. The sub recipient vendor record in PeopleSoft has been enhanced so that check stubs of future payments, if any, will include the following: Management Response and Corrective Action Plan: - Federal award number. -CFDA number. -Amount of ARRA recovery funds.	Britt Khovjak	2/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2013	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2012	UNT	NA	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2013	Finance	Statewide Single Audit Report for the Year Ended August 31, 2012	UNT	On its SEFA, the University of North Texas (UNT): - Incorrectly reported expenditures for four CFDA's in the Student Financial Assistance Cluster of federal programs using award year instead of fiscal year. As a result, UNT (1) incorrectly included \$6,257,520 and (2) incorrectly excluded \$278,738 in expenditures on its SEFA. UNT also incorrectly included \$6,255,520 of those expenditures in the notes to its SEFA and understated federal revenue by \$276,738 in the notes to its SEFA. - Could not provide adequate support for excluding \$361,374 in expenditures from its SEFA. UNT asserted that it excluded those expenditures because it had a vendor relationship with other state entities; however, UNT could not provide support for that assertion.	NA	UNT should: -Strengthen its review process to help ensure that it prepares its SEFA correctly and that the SEFA it submits to the Comptroller's Office is complete and accurate.	We concur with the auditor's findings and recommendations. Financial aid reporting procedures will be modified to ensure compliance with GASB 33 and the State Comptroller's reporting requirements for SEFA. Pass-thru confirmation processes will be modified to ensure the collection and retention of documentary evidence supporting our reporting assertions	Associate Vice President for Finance and Controller	8/31/2013	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Auditor's Office	Fiscal Year 2013	Finance	Statewide Single Audit Report for the Year Ended August 31, 2012	UNT	On its SEFA, the University of North Texas (UNT): - Incorrectly reported expenditures for four CFDA's in the Student Financial Assistance Cluster of federal programs using award year instead of fiscal year. As a result, UNT (1) incorrectly included \$6,257,520 and (2) incorrectly excluded \$278,738 in expenditures on its SEFA. UNT also incorrectly included \$6,255,520 of those expenditures in the notes to its SEFA and understated federal revenue by \$276,738 in the notes to its SEFA. - Could not provide adequate support for excluding \$361,374 in expenditures from its SEFA. UNT asserted that it excluded those expenditures because it had a vendor relationship with other state entities; however, UNT could not provide support for that assertion.	NA	UNT should: -Confirm all pass-through and vendor relationships with other state entities and maintain documentation of those pass-through and vendor relationships.	We concur with the auditor's findings and recommendations. Financial aid reporting procedures will be modified to ensure compliance with GASB 33 and the State Comptroller's reporting requirements for SEFA. Pass-thru confirmation processes will be modified to ensure the collection and retention of documentary evidence supporting our reporting assertions	Associate Vice President for Finance and Controller	8/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Salary Adjustments Review	UNT	Equity Adjustments - Documentation did not consistently, sufficiently, and clearly demonstrate how the equity adjustments were determined.	High	Maintain documentation that demonstrates the process was followed and validates how the determination was made for the compensation decision/salary adjustment.	Human Resources has developed a written standard operating procedure on this process and provided that to Internal Audit. Additionally, Human Resources now creates a written report for each equity adjustment request that outlines the data reviewed, the findings and the recommendation. This is in addition to the information Human Resources has always provided on the Equity Adjustment Request Form. The recommendation to add the term equity adjustment to the Salary Administration Procedures, Policy 1.6.2 will be moved forward by Human Resources to administration.	Marci Bailey, Human Resources Director, Denton Campus	3/19/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Salary Adjustments Review	UNT	Equity Adjustments - Documentation did not consistently, sufficiently, and clearly demonstrate how the equity adjustments were determined.	High	Document internal procedures for reviewing equity adjustments.	Human Resources has developed a written standard operating procedure on this process and provided that to Internal Audit. Additionally, Human Resources now creates a written report for each equity adjustment request that outlines the data reviewed, the findings and the recommendation. This is in addition to the information Human Resources has always provided on the Equity Adjustment Request Form. The recommendation to add the term equity adjustment to the Salary Administration Procedures, Policy 1.6.2 will be moved forward by Human Resources to administration.	Marci Bailey, Human Resources Director, Denton Campus	3/19/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Salary Adjustments Review	UNT	Equity Adjustments - Documentation did not consistently, sufficiently, and clearly demonstrate how the equity adjustments were determined.	High	Include the definition of equity adjustment in administrative procedures for policy 1.6.2	Human Resources has developed a written standard operating procedure on this process and provided that to Internal Audit. Additionally, Human Resources now creates a written report for each equity adjustment request that outlines the data reviewed, the findings and the recommendation. This is in addition to the information Human Resources has always provided on the Equity Adjustment Request Form. The recommendation to add the term equity adjustment to the Salary Administration Procedures, Policy 1.6.2 will be moved forward by Human Resources to administration.	Marci Bailey, Human Resources Director, Denton Campus	1/1/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Salary Adjustments Review	UNT	Position Reclasses – The Annual Position Classification Review Recommendation report did not consistently and clearly document the analysis related to how all of the position reclasses were determined.	Moderate	Maintain documentation that demonstrates the process was followed and validates how the determination was made for the compensation decision/salary adjustment.	Human Resources has discussed with Internal Audit the expectations of what they consider appropriate documentation and asked for suggestions or a recommended model and is awaiting that feedback. During the next reclassification review process, Human Resources will tweak documentation procedures to incorporate recommendations from this audit. Human Resources will ensure that any position that needs addressed after the formal 'call' for requests, has a completed position information questionnaire. The 28 data entry errors have been corrected in EIS.	Marci Bailey, Human Resources Director, Denton Campus	3/19/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Stadium Construction Review	UNT System	No Detail Review Of Invoice Support Documentation – UNT System Facilities performs only a high-level review of the monthly invoice (progress billing) including supporting documentation received from the primary contractor.	Moderate	Conduct periodic, sample based reviews of invoice support documentation to ensure the accuracy of the detail information and calculations pertaining to the category totals including labor charges.	UNT System Facilities will revise and implement payment application review procedures. For large projects, UNT System Facilities may utilize an independent Construction Auditing firm to review the multiple payment applications. For smaller projects, Departmental resources may be utilized. A project size threshold to determine large and small projects will be established in the procedures.	Don Lynch, Director of System Facilities Administration	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Stadium Construction Review	UNT System	No Detail Review Of Invoice Support Documentation – UNT System Facilities performs only a high-level review of the monthly invoice (progress billing) including supporting documentation received from the primary contractor.	Moderate	Ensure primary contractors provide adequate labor expense support documentation for future construction projects.	UNT System Facilities will revise and implement payment application review procedures. For large projects, UNT System Facilities may utilize an independent Construction Auditing firm to review the multiple payment applications. For smaller projects, Departmental resources may be utilized. A project size threshold to determine large and small projects will be established in the procedures.	Don Lynch, Director of System Facilities Administration	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Stadium Construction Review	UNT System	No Detail Review Of Invoice Support Documentation – UNT System Facilities performs only a high-level review of the monthly invoice (progress billing) including supporting documentation received from the primary contractor.	Moderate	Consider utilizing the services of a third party company that specializes in reviewing contractor construction documentation.	UNT System Facilities will revise and implement payment application review procedures. For large projects, UNT System Facilities may utilize an independent Construction Auditing firm to review the multiple payment applications. For smaller projects, Departmental resources may be utilized. A project size threshold to determine large and small projects will be established in the procedures.	Don Lynch, Director of System Facilities Administration	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Stadium Construction Review	UNT System	Incorrect Retainage Amount – The primary contractor did not apply the retainage percentage to contractor fees as required by the contract terms	Moderate	Review Application and Certificate for Payment forms and supporting documentation to verify that dollar amounts, including retainage, are accurate and in compliance with contract terms.	UNT System Facilities agrees with the report finding. UNT System Facilities will revise and implement payment application review procedures. For large projects, UNT System Facilities may utilize an independent Construction Auditing firm to review the multiple payment applications. For smaller projects, Departmental resources may be utilized. A project size threshold to determine large and small projects will be established in the procedures.	Don Lynch, Director of System Facilities Administration	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Annual Investments/Commercial Paper	UNT System	Non-Compliance with Yield Percentages of Investment Policy	Moderate	Reviewing the Investment yields and re-balancing the investments to comply with UNT System Investment Policy 04.100, Objective 6; and	Investment yields have been and continue to be at historically low levels. We do not anticipate that this condition will persist in the long term. However, please note that UNT System policy 8.20, which was adopted in August 2012, supersedes 10.007 for UNTD, 4.100 for UNT System and successfully resolves the finding noted above. As such, at this point, we feel that no further management action is required.	Allen Clemson, Vice Chancellor for Administration and Chief of Staff	8/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Annual Investments/Commercial Paper	UNT System	Non-Compliance with Yield Percentages of Investment Policy	Moderate	Reviewing the Investment yields and re-balancing the investments to comply with UNT Dallas Investment Policy 10.007, Objective 6.	Investment yields have been and continue to be at historically low levels. We do not anticipate that this condition will persist in the long term. However, please note that UNT System policy 8.20, which was adopted in August 2012, supersedes 10.007 for UNTD, 4.100 for UNT System and successfully resolves the finding noted above. As such, at this point, we feel that no further management action is required.	Carlos Hernandez, Vice President for Finance and Administration/CFO – UNT Dallas	8/1/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 17 cardholders reviewed, 15 (88%) were not in full compliance with purchasing card policies.	High	Require all personnel in the GSBS be retrained on purchasing card policies and procedures.	Management agrees. The Dean's office will ensure that all Purchasing Card holders in GSBS complete a refresher training course of the Purchasing Card requirements.	Aleta Wheeler, Senior Executive Assistant	11/30/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 17 cardholders reviewed, 15 (88%) were not in full compliance with purchasing card policies.	High	Follow procurement card program policies and procedures.	GSBS Dean's office does not authorize P-Cards and authorization and training is handled by BSC. Based on our correspondence with BSC, we were told that training and refresher training are required and offered by the BSC. It should be noted that beginning in 2009, refresher training was required every other year. However, with the creation of the BSC and subsequent move, that has not been tracked. The BSC goal is to start with 2013 and have every participant take refresher training annually.	Aleta Wheeler, Senior Executive Assistant	11/30/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	ProjID charges for equipment usage by the Department of Molecular Biology & Immunology had inconsistent rates, duplicate charges and lacked documentation.	Moderate	Work with the Office of Grant and Contract Management, and Office of Financial Planning and Budget to establish a service center	Management agrees. The Acting Chair will work with the Lab Director and Office of Grant and Contract Management, and Office of Financial Planning and Budget to establish a service center.	Johnny He, Acting Chair	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 102 travel vouchers reviewed, 53 were not in full compliance with travel policy.	Moderate	Request reimbursement of overpayments from traveler unless you determine it is not cost effective to do so.	Management Agrees. Management requested reimbursement of overpayments from traveler on October 5, 2012.	Thomas Yorio, Provost and Executive Vice President For Academic Affairs	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 102 travel vouchers reviewed, 53 were not in full compliance with travel policy.	Moderate	Establish a travel monitoring process to ensure that travel is properly approved, and that vouchers are submitted with supporting documentation.	Management Agrees. All administrative staff that prepare travel documents should complete a refresher course (from the BSC) within the next 6 months. Additionally, each department chair should discuss travel policies and procedures with their faculty	Anuja Ghorpade, Chair; Steve Mifflin, Chair; Art Eisenberg, Chair; Meharvan Singh, Chair; Johnny He, Chair; and Jamboor Vishwanatha, Dean.	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 102 travel vouchers reviewed, 53 were not in full compliance with travel policy.	Moderate	Provide training to faculty and staff on travel policies.	Management Agrees. All administrative staff that prepare travel documents should complete a refresher course (from the BSC) within the next 6 months. Additionally, each department chair should discuss travel policies and procedures with their faculty	Anuja Ghorpade, Chair; Steve Mifflin, Chair; Art Eisenberg, Chair; Meharvan Singh, Chair; Johnny He, Chair; and Jamboor Vishwanatha, Dean.	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Personal reimbursements to deptID holders did not have supervisor approval.	Low	Establish a process to ensure that personal reimbursements to the deptID/projID holders are properly approved.	Management Agrees. Each Chair and Dean's Office will work with their administrative staff to ensure that step by step procedures are followed.	Anuja Ghorpade, Chair; Steve Mifflin, Chair; Art Eisenberg, Chair; Meharvan Singh, Chair; Johnny He, Chair; and Jamboor Vishwanatha, Dean.	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Cash handling is not properly segregated or safeguarded in the Department of Forensic & Investigative Genetics, and cash receipts are not all deposited within one day as required by policy.	Low	Develop and implement cash handling procedures that ensure cash is protected and deposited in a timely manner.	Management agrees. The Chair will work with staff to develop and implement cash handling procedures that ensure cash is protected and deposited in a timely manner.	Art Eisenberg, Chair	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Three projIDs were overspent and deficits were not cleared within the 90 day close out period.	Low	Require all PIs to submit a default deptID (i.e. the PIs F&A deptID) at the time a projID is established that will be used if the grant is overspent.	Management agrees. OGCM is working with management to implement a process which utilizes the applicable F&A recovery deptID as the default funding source for all projID's.	LeAnn Forsberg, Executive Director, Office of Grant and Contract Management	12/21/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	UNTHSC travel policy regarding partial day meal rates is unclear.	Low	Develop in coordination with the Office of Financial Planning and Budget a clear partial day meal policy for UNTHSC.	Management Agrees. The Business Service Center will submit recommendations to the BSC Operations Committee for standardizing travel policy and procedure across the UNT System. The issue identified above will be addressed.	Susan Sims, BSC Director of Payments	1/31/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Cost Transfer Process Review	UNTHSC	Cost Transfers – Of the 28 transfers reviewed, 12 transfers had no explanation for why the correction was made over 90 days after the original charges.	Low	Develop a cost transfer form that collects all required information including reason for transfers occurring 90 days after the original charge.	Office of Grant and Contract Management (OGCM) agrees with the suggestion to develop a cost transfer form. However, we have reviewed federal regulations which state, “cost transfers should be accomplished within... 90 days from discovery of the error.” Our current policy statement of 90 days from transaction date is not in line with federal regulations and will be updated to reflect the language of the federal compliance documents. The cost transfer form will be in line with our modified policy and current federal regulations.	LeAnn Forsberg, Executive Director of the Office of Grant And Contract Management and Mazen Barakat, Manager, Grant and Contract Accounting	5/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Cost Transfer Process Review	UNTHSC	Cost Transfers – Of the 28 transfers reviewed, 12 transfers had no explanation for why the correction was made over 90 days after the original charges.	Low	Require all principal investigators to complete the cost transfer form prior to making the transfer.	We have developed a cost transfer form and will post on the OGCM website for use by faculty and staff.	LeAnn Forsberg, Executive Director of the Office of Grant And Contract Management and Mazen Barakat, Manager, Grant and Contract Accounting	5/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	NCAA APR Reporting Review	UNT	Based on the review, Internal Audit found the methods used by the Athletics Compliance Office and the NCAA Certifying Official in the Registrar’s Office to be effective.	NA	None	None	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Compliance Program Review	UNTHSC	Audit work completed by the former Director for Research Compliance was not available.	Moderate	Retain research compliance documentation in accordance with the UNTHSC Records Retention Schedule. Documentation should include, but not limited to: documentation of work performed, findings noted, and solutions implemented.	Management agrees. The Office for Research Compliance will maintain complete	Brian Gladue, Ph.D., Executive Director for Research Compliance	1/25/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Compliance Program Review	UNTHSC	The Institutional Compliance Office is not made aware of all compliance issues in research.	Moderate	Modify the reporting structure in the Office of Research to ensure that all compliance issues are reported to the Institutional Compliance Office.	Management agrees. Dr. Brian Gladue has joined the UNTHSC Compliance Council to ensure that research compliance matters and updates are communicated regularly to William LeMaistre and other members of the university compliance team.	Brian Gladue, Ph.D., Executive Director for Research Compliance	1/25/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Academic Programs Review	UNT	Based on results of the procedures performed, all new degree programs established during fiscal year 2011 and 2012 appeared to be in compliance with THECB requirements and University policy.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses Review	UNTHSC	Only one individual is managing cash payments to individuals participating in training exercises for TCOM students.	Moderate	Develop and implement procedures that ensure cash handling is properly segregated.	Management agrees. TCOM will add a second individual to the distribution process separating the responsibilities of verification of eligibility from distribution	D. Thomas Dayberry, Associate Dean for Academic Affairs	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses Review	UNTHSC	Of 12 personal reimbursements to the Dean, 11 were not in full compliance with purchasing policy related to documentation requirements.	Moderate	Ensure personal reimbursements for meals include a list of attendees by name and designation as well as the business purpose.	Management agrees. TCOM will assure full compliance with policy.	Don Peska, Dean of TCOM	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses Review	UNTHSC	Of 31 travel vouchers for the Dean, 23 did not have prior approval of travel or support for mileage reimbursements.	Low	Submit Requests for Approval of Travel prior to travel as required by policy.	Management agrees. TCOM will assure full compliance with policy.	Don Peska, Dean of TCOM	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses Review	UNTHSC	Of 31 travel vouchers for the Dean, 23 did not have prior approval of travel or support for mileage reimbursements.	Low	Submit mileage documentation with travel vouchers as required by policy.	Management agrees. TCOM will assure full compliance with policy.	Don Peska, Dean of TCOM	10/1/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Intra-System/Interagency Review	UNT	Documentation related to the Intra System Agreements between UNT and UNT Dallas does not meet best practice standards:	Moderate	Document amendments to Agreements with signature authorizations; and	Document all FY agreements before the beginning of the fiscal year. Agreements will include signature authorization.	Jean Bush, Senior Associate Vice President for Finance UNT Carlos Hernandez, CFO and Vice President for Finance and Administration UNT Dallas	8/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Intra-System/Interagency Review	UNT	Documentation related to the Intra System Agreements between UNT and UNT Dallas does not meet best practice standards:	Moderate	Discuss and document future Agreements before the beginning of the fiscal year.	Document all FY agreements before the beginning of the fiscal year. Agreements will include signature authorization.	Jean Bush, Senior Associate Vice President for Finance UNT Carlos Hernandez, CFO and Vice President for Finance and Administration UNT Dallas	8/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Mean Green Club Review	UNT	Non-Compliance with UNT Policy 7.2 – The procedure for accepting and processing Mean Green Club donations is not in compliance with UNT policy 7.2, Fundraising and Private Support.	Moderate	Coordinate with the Office of Development to be in compliance with UNT policy 7.2, Fundraising and Private Support.	Four years ago the Athletic Department met with Advancement to develop a system to handle Mean Green Club (MGC) Donations. The crux of the problem is two-fold. First most MGC members send in their ticket renewals and MGC renewals in the same envelope utilizing the same credit card or check. The current process was agreed upon to alleviate ticket orders from being sent to the foundation where there was no method of processing. Secondly, a large majority of our MGC members renew in August. With the need to immediately process MGC credit so that parking passes and tickets can be distributed, we cannot afford the lag time of those orders first going to advancement. This process was streamlined almost four years ago with the agreement of both parties. My remedy would be to modify the policy and I would agree with that recommendation. Management will meet with University Advancement to create a policy revision to be submitted for adoption.	Dan Johnston, Athletic Advancement, Director of Advancement, Mike Ashbaugh, Senior Associate Athletics Director for Business Operations, and Troy Taylor, Assistant Athletic Director Business Operations.	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Mean Green Club Review	UNT	Inappropriately Retaining Credit Card Information – The Mean Green Club is inappropriately retaining credit card information.	Moderate	Dispose of credit card information in a secure manner when there is no longer an immediate need for the information.	As discussed with the Audit staff, all but the last four digits of the credit card number submitted on Mean Green Club renewal forms will be redacted so as to protect the information. Currently stored data will be corrected beginning immediately.	Troy Taylor, Assistant Athletic Director, Business Operations and Jessica Hulsebosch, Mean Green Club Director.	7/30/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Endowment Review	UNT	Non-Compliance with Memorandum of Understanding (MOU) Requirements of The Lupe Murchison Foundation Scholarship Endowment – A report, containing academic year ending information about the fund, was not prepared and distributed to the Donor.	Low	Develop a process to ensure annual reports are prepared and distributed to the donor. In addition, monitor the process for effectiveness to ensure compliance with MOU requirements.	The Division of Advancement will generate endowment reports for all organizations in their annual reporting process.	Rachel Kimball, Assistant Director of Donor Relations under the management of Kim Wendt, Senior Director of Annual Giving and Donor Relations	3/15/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Endowment Review	UNT	Non-Compliance with Memorandum of Understanding (MOU) Requirements of The J.C. Penney Lectureship in Merchandising Endowment – Faculty development expenditures for FY 2011 exceeded the MOU provision that up to fifty percent (50%) of the annual distribution may be used to support faculty development.	Low	Develop a process to ensure Faculty development expenditures do not exceed fifty percent (50%) of the annual distribution. In addition, monitor the process for effectiveness to ensure compliance with MOU requirements.	CMHT has opened a new disbursement deptID 77851 so it will be easier to monitor spending. The percent of expense for faculty development is documented on a spreadsheet and maintained for this deptID.	Judith Forney, Ph.D., Dean of CMHT	12/31/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Work-Study Student Mentorship Contract	UNT Dallas	Three student workers were paid under the Work-Study Student Mentorship Program without meeting the eligibility requirements. Specifically, two students did not meet the enrollment requirement and one student did not meet the financial need requirement.	Moderate	Discuss with the Office of Research Services how to proceed with the sponsor regarding the funds already disbursed to ineligible students.	PI will discuss with the Office of Research Services how to proceed with the sponsor regarding funds disbursed to ineligible students follow sponsor's instructions.	Gloria B. Bahamon, Assistant Provost for College Readiness	2/28/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Work-Study Student Mentorship Contract	UNT Dallas	Three student workers were paid under the Work-Study Student Mentorship Program without meeting the eligibility requirements. Specifically, two students did not meet the enrollment requirement and one student did not meet the financial need requirement.	Moderate	Develop a consistent process for verifying student eligibility each semester.	Although there is a process in place to determine eligibility before mentors are hired, there is a need to improve the process and modify guidelines. Eligibility will be verified in EIS every semester after the 12th day of class (census day). Mentors will be required to inform the PI of changes in their academic status that may affect their eligibility to continue in the program. They will be required to report the change as soon as it occurs. Mentors will sign an acknowledgment to document that they received the guidelines and agree to follow those guidelines. The financial aid office will continue to determine financial need. The financial aid administrator verifying eligibility will take screen shots of the students need to document their financial aid eligibility.	Gloria B. Bahamon, Assistant Provost for College Readiness	2/28/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Animal Care Review	UNT	Animal care and use training is not sufficiently documented or monitored.	Moderate	Develop a System for monitoring and documenting the type of animal care and use training personnel have received.	ORED and the IACUC Chair will implement requirements for completion of online training for all personnel involved in an animal care and use protocol before the protocol can be approved by the IACUC. This training will be offered through the Collaborative Institutional Training Initiative (CITI) program administered by the University of Miami School of Medicine. Completion of both a CITI basic IACUC course and a species-specific course (as available) will be required.	Dr. Kenneth Sewell, Associate Vice President for Research	By the end of the fall 2012 semester	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Animal Care Review	UNT	The key pad entry code to the Science Research Building's Animal Care Facility is not changed periodically, or when personnel change.	Moderate	Develop a process and procedure for changing the entry codes into the Animal Care Facility of the Science Research Building.	The Office of Research & Economic Development will work with the Facility Manager for UNT's primary animal facility in the Science Research Building to implement a procedure under which the security code for the facility will be changed at least every three months.	Dr. Kenneth Sewell, Associate Vice President for Research	By the end of the fall 2012 semester	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Incorrectly Reporting Employment Waivers – Student Accounting and University Cashiering Services is incorrectly reporting the number of Employment Waivers awarded.	Moderate	Modify the process for Employment Waivers to ensure waivers are properly coded.	Management has modified the business process to ensure Employment Waivers are properly classified and accurately reported in IFRS reporting.	Kayle Godinez, Sr. Director Student Accounting and University Cashiering Services	12/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Incorrectly Reporting Employment Waivers – Student Accounting and University Cashiering Services is incorrectly reporting the number of Employment Waivers awarded.	Moderate	Modify the process for IFRS reporting to ensure Employment Waivers are reported in the correct category, either TEC 54.211 or TEC 54.212.	Management has modified the business process to ensure Employment Waivers are properly classified and accurately reported in IFRS reporting.	Kayle Godinez, Sr. Director Student Accounting and University Cashiering Services	12/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Insufficient Review and Approval – There is not sufficient, independent review and approval of Employment Waivers prior to processing.	Moderate	SAUCS, the Graduate School, and the Provost's Office should coordinate to identify a process for independent review/approval of Employment Waivers; and	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."	Mark Wardell, Dean, The Toulouse Graduate School	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Insufficient Review and Approval – There is not sufficient, independent review and approval of Employment Waivers prior to processing.	Moderate	The designated independent reviewer/approver should ensure that Employment Waivers are awarded in accordance with eligibility requirements.	Change Employment Waiver form to include three questions to help programs determine eligibility. Change Employment Waiver form to include graduate dean's signature.	Mark Wardell, Dean, The Toulouse Graduate School	8/1/2013	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Insufficient Review and Approval – There is not sufficient, independent review and approval of Employment Waivers prior to processing.	Moderate	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.	Change processing procedure to require graduate dean's signature prior to final approval by Student Accounting	Mark Wardell, Dean, The Toulouse Graduate School	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	There is no process in place to reasonably assure that individuals in positions that require enrollment are actually enrolled.	Low	The UNT Career Center, Provost's Office, and UNT Human Resources should coordinate to establish a process to reasonably assure that students in positions that require enrollment are actually enrolled.	Both the Career Center and Provost's Office will perform audits of student employment records in conjunction with the supplemental pay period following the first student payroll in the fall and spring semesters (specifically October 15 and March 1) to insure that those receiving paychecks are enrolled students. b. Work with EIS Team to develop an automated report that cross-checks when a student withdraws from UNT or drops all their classes with the student payroll records. Also, the ePAR system will check student status of an employee when hired into student job codes. If the person is not a student, the department is provided a warning. These two items should help prevent this in the future	Shaun Stoehr, Student Employment Coordinator Melinda Lilly, Assistant Director for Academic Resources	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	Internal Audit identified five UNT policies related to student employment that require enrollment; however, not all policies contain the same enrollment requirements.	Low	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.	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.	Yolanda Niemann, Senior Vice Provost Dan Naegeli, Executive Director, Career & Leadership Development Valerie (Robertson) Hodges, Assistant Director, Finance & Administration Marci Bailey, Director, UNT Human Resources	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	Internal Audit identified five UNT policies related to student employment that require enrollment; however, not all policies contain the same enrollment requirements.	Low	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.	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.	Yolanda Niemann, Senior Vice Provost Dan Naegeli, Executive Director, Career & Leadership Development Valerie (Robertson) Hodges, Assistant Director, Finance & Administration Marci Bailey, Director, UNT Human Resources	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	The Controller's Office does not notify an employee's supervisor and Vice President of indebtedness to the University as required by UNT Policy 2.2.26. Employee Indebtedness Owed to the University. Additionally, Student Accounting and Cashiering Services (SACS) is not sending a report detailing employee indebtedness to the Controller's Office, as required by UNT Policy 2.2.26.	Low	The Controller's Office should continue their process of evaluating and revising UNT Policy 2.2.26 to ensure compliance with UNT Policy 18.1.9 FERPA.	Suggested Management Action 4: We believe that the current policy as submitted complies with FERPA requirements. Once adopted, we will review the policy periodically (not less than every 5 years) for amendment as needed.	Carlos Hernandez, Ed D, CPA, Associate VP for Finance and Controller	11/1/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	The Controller's Office does not notify an employee's supervisor and Vice President of indebtedness to the University as required by UNT Policy 2.2.26, Employee Indebtedness Owed to the University. Additionally, Student Accounting and Cashiering Services (SACS) is not sending a report detailing employee indebtedness to the Controller's Office, as required by UNT Policy 2.2.26.	Low	SACS should produce an employee debt report that identifies all employees that owe money to the university. Subsequently, the Controller's Office should notify employees' supervisors and Vice Presidents of indebtedness to the University as required by policy.	A process has been adopted that allows identification of "career" employees with a past-due balance in student accounting records. It is important to note that student accounting records do not represent a complete record of all possible indebtedness (i.e. does not include parking fines). We will continue to collaborate with University departments as appropriate to facilitate collection of past due balances from employees and students alike.	Terri Miller, Assistant Director of SACS	6/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Noncompliance With Texas Education Code 54.5031 – UNT Dallas Administrators failed to establish a Student Service Fee Advisory Committee (SSFAC) as required by Texas Education Code 54.5031. Having no policy to govern and procedures to guide management of student service fees contributed to the noncompliance.	Moderate	Because the committee is now established, UNT Dallas administrators should develop a process to insure the SSFAC remains a formal, working committee and that input from the committee is obtained, regarding the establishment or changes to the type, amount, and expenditure of student service fees as provided by the Texas Education Code. The process should consist of establishing a University policy that is aligned with requirements of Texas Education Code 54.5031 and include operational procedures to govern activities of the SSFAC.	The Director of Student Life has reviewed TEC 54.5031 and Student Service Fee Advisory Committee (SSFAC) standards, which describes membership (elected & appointed), SSFAC charge, terms of service, operating procedures, and process by which the SSFAC effectively reviews, discusses, and renders its recommendation to the University Leadership. In an effort to clarify why the majority of implementation dates are prior to the date of the audit report, it's important to note that this audit occurred April 2012 through May 24, 2013, and a number of corrective steps had already occurred well before the audit report was available.	Dr. Jared Cobb, Director of Student Life	2/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Noncompliance With Texas Education Code 54.5031 – The UNT Dallas student body or the student government was not made aware of \$319,955.38 in student service fees that were transferred from UNT and recorded in UNT Dallas reserve account 301011.	Moderate	Obtain SSFAC recommendations regarding the allocation, disbursement and expenditure of the \$319,955.38 held in reserve account 301011.	Student Service Fee Advisory Committee (SSFAC) was informed of the additional funding from UNT Dallas reserve account 301011 and asked to consider various renovations which would enhance Student Life at UNT Dallas. After several discussions, forums, etc. SSFAC recommend five (5) projects to the President's office for approval. Cost of projects totaled \$191,000.00. Additional projects will be identified and voted on once the first slate of projects has been completed. This will allow us to properly evaluate the best use of the remaining \$128,955.38 and to provide additional funding in the event unforeseen expenses arise during implementation of the approved improvements.	Dr. Jared Cobb, Director of Student Life	1/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Training - Training provided did not adequately prepare the Student Service Fee Advisory Committee (SSFAC) members to perform the duties as outlined in Texas Education Code 54.5031.	Moderate	Provide SSFAC members the training opportunities needed for service on the Student Service Fee Advisory Committee and for performing the duties outlined in Texas Education Code 54.5031.	The Student Service Fee Advisory Committee (SSFAC) will go through training prior to the review, discussion, and recommendation in the use of any Student Service Fee monies. Training will be conducted by University liaison to the SSFAC and/or Associate Provost of Student Success.	Dr. Jared Cobb, Director of Student Life	2/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Conflict of Interest - The advisor to the Student Service Fee Advisory Committee has a conflict of interest in that the advisor's salary is subject to the committee's annual allocation and approval process.	Moderate	The advisor to the Student Service Fee Advisory Committee should consider the following management actions: o Resign as advisor to the committee; o Fund the advisor's salary through a source other than student Service fees; or o Reassign the advisor role to another employee whose salary is not dependent on the committee's annual allocation and approval decision.	University will assign a liaison to the Student Service Fee Advisory Committee (SSFAC) whose salary is not an item by which the committee would vote upon in its annual allocation and approval process. Liaison moving forward will be Director of Student Life and/or other designee by the Associate Provost of Student Success who meets the stipulations outlined above.	Dr. Charlotte Tullis, Associate Provost of Student Success	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Conflict of Interest - The chief student affairs administrator served in positions that present a potential conflict of interest between the UNT Dallas Administration and the Student Service Fee Advisory Committee.	Moderate	The chief student affairs administrator should consider the following management actions: o Resign as a voting member of the committee. o Reassign the membership position to another employee or student. o Recuse oneself from participating in committee activities. o Abstain from voting on conflicting interests.	The University will appoint the Director of Student Life and/or other designee by the Associate Provost of Student Success to serve as liaison to the Student Service Fee Advisory Committee (SSFAC). Designee to committee will act in a liaison capacity and not be eligible to be a voting member of the SSFAC.	Dr. Charlotte Tullis, Associate Provost of Student Success	10/1/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Coordinate with the individual responsible for research at UNT Dallas, the UNT Dallas CFO/Vice President Finance and Administration, and the ORS (UNT Office of Research Service), to clearly document Advancement’s role in managing and monitoring grants.	University Advancement disagrees that gifts and grants are being mismanaged and monitored. We believe that we have an effective system in place for gift management. With respect to grant management, University Advancement’s responsibility is to monitor and track grants to ensure donor intent is followed. University Advancement believes it is within its purview to manage private grants. Publicly funded grants should be managed by the Office of Research Services (ORS).	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	February 1, 2013.	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Coordinate with the UNT Dallas CFO and the ORS to update the intra-system cooperation agreement between UNT Dallas and ORS for services to support grant management. The updates should state the role of Advancement personnel in the grant management process.	University Advancement commits to contact ORS and work through the roles and definitions of gifts and grants, as well as work with ORS and the UNT Dallas CFO regarding the contract modification to reflect the agreed upon roles and definitions.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Review the current report of all gifts and grants for UNT Dallas with ORS staff and determine which should be managed by ORS as defined by the ORS policy, and make appropriate changes where necessary.	University Advancement commits to review current gifts and grants based on agreed-upon definitions and to delineate management/tracking roles after the meeting with ORS has concluded to ensure proper monitoring and management are in place.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Update all management reporting to the Board of Regents, where applicable, regarding UNT Dallas gifts to clearly delineate between gifts and grants as defined by ORS UNT.	University Advancement agrees to update reporting methods for the Board of Regents based upon the agreed-upon definitions of gifts and grants after the meeting with ORS has concluded.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Update UNT Dallas policies and procedures where applicable based on the updated agreement. Coordinate training for Advancement and faculty personnel from ORS to detail roles and responsibilities regarding grant management.	University Advancement agrees to update department policies and procedures after the meeting with ORS has concluded.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Update and reconcile current gift processing procedures with UNT policies and procedures already established. Ensure UNT policies and procedures are followed and referenced where required in relation to any and all intra-system cooperation agreement and accreditation requirements.	University Advancement continues to assess gift processing procedures to ensure they meet the highest industry standards that ensure safety, privacy and documentation. University Advancement will update and document controls and processing procedures that reflect Raisers Edge implementation.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Update and document controls and processing procedures for gifts in the new Raiser’s Edge fundraising and donor management system. Work with UNT Advancement personnel to implement the new system and coordinate user access and data entry procedures and controls.	University Advancement commits to update and document controls and processing procedures that reflect Raisers Edge implementation, the new relationship with UNT Dallas Foundation, and staffing resources.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Determine any changes to management reporting based on the implementation and use of the new system.	University Advancement commits to assess and continually update gift processing procedures.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Segregation of Duties – One individual was recording, depositing, and reconciling the cash received in the UCD Student Store.	Moderate	To the extent staffing levels permit, separate the duties of collecting, recording, depositing, and reconciling cash receipts among different individuals.	Monica Castillo will be in charge of duties during store operating hours. She will make all deposits and sign off on receipts at the end of the day. Araceli Cadena & Eva Randles will count the money every Friday morning before bank deposit is made. (Araceli is the only key holder to the safe deposit box.) Eva Randles will write the bank deposit slip and Araceli will make the deposit to Wells Fargo and return a receipt to Eva Randles to confirm correct deposit was made. Eva Randles will continue to email a UCD Student Store report that includes a detailed bank deposit slip, and any shortages or overages relevant for the week.	Monica Castillo, UCD Student Store Cashier Eva Randles, Office Manager Araceli Cadena, Coordinator of Recruitment and Advising	9/14/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Purchasing Cards – The use of purchasing cards was not consistent with policy.	Moderate	Follow the Purchasing Card Guide, specifically as it relates to: • Use of card for UNT business purposes only; • Completing Controlled Item Code Equipment Forms; • Unacceptable purchases such as memberships; and • Keeping a receipt for every purchase on file.	Review items before purchasing to identify that they are within Purchasing Card guidelines.	Berri O'Neal, Executive Director for the Universities Center at Dallas Monica Rodriguez, Assistant to the Executive Director Eva Randles, Office Manager Araceli Cadena, Coordinator of Recruitment and Advising	9/14/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Petty Cash – The change fund was used as petty cash.	Moderate	Follow policy as it relates to the use of petty cash: • Reimburse the change fund; and • Create a petty cash fund through PPS.	Universities Center at Dallas does not plan on creating a petty cash fund through PPS. UCD will continue to store \$100 in change for the register which is never to be used as petty cash. Only one individual has access to the change box used for the register at the UCD student store. The change fund was reimbursed and continues to have a balance of \$100.	Araceli Cadena, Coordinator of Recruitment and Advising Monica Castillo, UCD Student Store Cashier	9/14/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Passwords – All employees knew the password to access the cash register, including terminated employees.	Moderate	Deactivate the shared password for the cash register and assign each those needing access their own password.	Nick Schmitt, IT Specialist, has changed the UCD Student Store log in and each individual needing access to the computer has their own log-in username/password.	Nick Schmitt, Information Technology Specialist Monica Castillo, UCD Student Store Cashier	9/7/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Cash Register Funds – Cash was left overnight in the cash register inside the store.	Low	Safeguard cash by securing all funds outside of the student store when the store is closed.	Once register has been closed for the night the money will be locked in a closed file cabinet. Only one individual will have access to this key and money.	Monica Castillo, UCD Student Store Cashier	9/7/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Recreational Sports Office Cash Handling Review	UNT	The Recreational Sports Office has established effective and efficient procedures for handling cash. Additionally, controls have been established to comply with UNT Policies 2.2.1 and 2.2.31.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Transition Review Office of Research and Economic Development	UNT	Our review of the processes and related controls and our testing indicated that the major business procedures and controls are adequate.	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	UNT Dallas President's Expenditures Review	UNT Dallas	The UNT Dallas President's travel and non-travel expenditures were in compliance with his employment agreement. Additionally, his compensation for fiscal year 2012 was compliant with his employment agreement.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Joint Admission Medical Program Review	UNTHSC	Overall, UNTHSC was in compliance with policies, procedures, laws, and regulations that could have a significant impact on JAMP operations and reports. All expenditures were in compliance with the guidelines and were properly classified on the Annual Expenditure Report for the fiscal year ended August 31, 2012. In addition, the annual report submitted to JAMP accurately reflects the financial activities of the program.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Chancellor's Expenditure Review	UNT System	Internal Audit observed a proactive approach to monitoring expenses and reimbursements, with a strong attention to detail and adherence to policy. This level of detail was evidenced through support documentation retained by the Office of the Chancellor. No observations were made during the review that required management action.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	NCAA Minimum Agreed Upon Procedures	UNT	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	HSC President's Expenses Review	UNTHSC	Travel, entertainment, and business expenses for which the President was reimbursed, or that were paid on behalf of the President during fiscal year 2012, were in compliance with UNTHSC policies and the employment agreement. Additionally, expenditures reviewed were reasonable, appropriate, and documented as to business purpose.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Vice Chancellor and General Counsel Expenditures Review	UNT System	Based on the results of the procedures performed, Internal Audit noted the following: <ul style="list-style-type: none"> • Travel expenditures reimbursed to the Vice Chancellor and General Counsel were deemed appropriate, reasonable, and in compliance with UNT System Travel Policy 04-901 and UNT Travel Policy 2.1.15. • Travel expenditures for the employees of the Office of General were also deemed appropriate, reasonable, and in compliance with travel policies. • The Right to Travel form is prepared for out of state travel. • P-card purchases are performed by one p-card holder and reviewed by the p-card reconciler and approver. • Non-travel expenditures were deemed appropriate for the Office of General Counsel. • The process and procedure for selecting outside legal counsel includes a review by the Texas Attorney General's office. • Outside legal counsel invoices are reviewed by the requesting department, Office of General Counsel, and the Texas Attorney General's office. There were no suggested management actions.	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Purchasing Card Review	UNT Dallas	Non-compliance with Business Service Center Purchasing Card Program Guidelines. – The following instances of non-compliance with the BSC program guidelines were noted:	Moderate	Require purchasing cardholders, reconcilers and approvers to attend BSC-provided PCard training; and emphasize the importance of complying with purchasing guidelines, University policy, and state regulations.	We concur, cardholder and reconciler will be required to complete BSC PCard training.	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Annual UNTHSC Investment Review	UNTHSC	Overall, we found that investments were safeguarded, diversified, and provided sufficient liquidity to meet the reasonable anticipated financial needs of the UNTHSC. UNTHSC is in compliance with the Public Funds Investment Act (PFIA) and the state higher education investment reporting requirements.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	All expenditures were in compliance with the guidelines and were properly classified on the Annual Report for the fiscal year ended August 31, 2012. All THECB funds appropriated to UNTHSC were received and accounted for in accordance with the THECB guidelines.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	President's Expenditures Review	UNT	Overall, the President's travel, business and entertainment, and employment compensation comply with the employment agreement and UNT/System Policies. Expenditures appear to be reasonable, appropriate, and well documented to provide assurance as to their business purposes.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Audit – The Student Investment Group did not ensure that an annual audit was performed by UNT accounting majors as required by the donor agreement.	Moderate	Establish an audit committee and ensure an annual audit is performed.	Chair of FIREL will meet with the chair of the Department of Accounting to discuss means of encouraging participation in SIG and the audit function by accounting majors. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Audit – The Student Investment Group did not ensure that an annual audit was performed by UNT accounting majors as required by the donor agreement.	Moderate	Develop strategies to engage accounting and auditing students to perform the annual audit.	Chair of FIREL will meet with the chair of the Department of Accounting to discuss means of encouraging participation in SIG and the audit function by accounting majors. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Audit – The Student Investment Group did not ensure that an annual audit was performed by UNT accounting majors as required by the donor agreement.	Moderate	Consult with the advisor and accounting faculty to determine incentives that could be offered to encourage student participation in the annual audit.	Chair of FIREL will meet with the chair of the Department of Accounting to discuss means of encouraging participation in SIG and the audit function by accounting majors. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Maintaining Records – The Student Investment Group did not record and retain meeting minutes and voting records.	Moderate	The Student Investment Group should record and retain meeting minutes, including voting records.	Chair of FIREL will work with the SIG to develop a template for SIG meetings, including voting records. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Quarterly Reports – Quarterly reports contained inaccuracies related to expenses and revenues and were not completed timely.	Moderate	Consult with the faculty advisor to gain an understanding on how to properly report expenses and revenues in the quarterly reports.	The Chair of FIREL will continue to remind SIG leaders prior to the due dates of the reports. Reports will be signed by the preparer and one SIG officer. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	7/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Quarterly Reports – Quarterly reports contained inaccuracies related to expenses and revenues and were not completed timely.	Moderate	Develop a process to ensure reports are completed timely.	The Chair of FIREL will continue to remind SIG leaders prior to the due dates of the reports. Reports will be signed by the preparer and one SIG officer. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	7/1/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Quarterly Reports – Quarterly reports contained inaccuracies related to expenses and revenues and were not completed timely.	Moderate	Establish an audit committee to assist in preparing and reviewing the reports.	The Chair of FIREL will continue to remind SIG leaders prior to the due dates of the reports. Reports will be signed by the preparer and one SIG officer. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	7/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Financial Aid Review	UNTHSC	Overall, the Office of Financial Aid (OFA) has appropriate procedures and controls in place to comply with the UNTHSC policies, state laws and the U.S. Department of Education regulations.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Finance Review	UNTHSC	Overall, the Office of Student Finance has appropriate procedures and controls in place to comply with the UNTHSC policies and state laws.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Information Technology	Meaningful Use Stage 1 Attestation Review	UNTHSC	Overall, UNTHSC appropriately documented and attested to Meaningful Use Stage 1 requirements as defined by CMS & TMHP. No observations were made during the review that required management action.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dining Services A/P Audit	UNT	UNT Dining Services is not verifying that they have been billed in accordance with the contract terms with Ben E. Keith.	Moderate	Implement a process and procedure to audit the Ben E. Keith invoices to verify that UNT is billed in accordance with the contract terms.	We will be conducting periodic audits of the Ben E. Keith invoices and verifying the 6.5% margin is being enforced.	Suzan Cruz, Business Manager	2/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dining Services A/P Audit	UNT	UNT Dining Services is not scanning its Retail Dining Service invoices and supporting documentation as required by the Delegated Voucher Payable Agreement with the UNT System Business Service Center.	Low	Develop a procedure to scan Retail Dining Service invoices.	We are committed to completing the suggested electronic/scan Retail invoices as requested. We will be contacting our Retail Vendors and discussing the changes that are required by the University with regards to electronic/scanned invoicing and how we can streamline a process that will work for both parties.	Suzan Cruz, Business Manager	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Space Planning Review	UNT	OSMP has not completed a Space Inventory Survey since 2009 which was conducted by Facilities.	Moderate	Suggested Management Action for Director of Office of Space Management and Planning: Conduct periodically a Space Inventory Survey preferably annually if possible, and update information into the Space Management System data base in order to ensure that information recorded in the data base is complete and accurate.	Agreed at time of observation however Survey is currently in progress. OSMP has invested more than a year in discovery, specification and development of an expanded and more robust system that will not only allow us to complete a yearly space survey but will enable UNT to collect and disseminate valuable data that will benefit Research Services, the Registrar, Facilities, Risk Management, HR, Classroom Support, Asset Management and virtually every other unit on campus. Additional auditee comments: OSMP currently maintains the data for and completes THECB and Federal required reporting for the UNT Denton and Dallas campuses as well as some of the space occupied by the System. The combined total of approximately 7.3 million square feet of space, according to industry standards for staff required for CAFM systems, should require 3-4 people full time to maintain it after initial setup. At this time OSMP has 1 FTE dedicated to the role of system development project management and maintenance of all space data.	Cheryl Benningfield, Space Inventory Manager	4/26/2013	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Space Planning Review	UNT	UNT has only one employee who is fully knowledgeable in using and maintaining the Space Management System data base.	Moderate	Suggested Management Action for Director of Office of Space Management and Planning: Provide appropriate training to another employee in order to ensure continuity of the Space Management System.	Agreed. Although Jessica, the Office Manager has taken several training classes since May, the complexity and certain administrative rights of the Space Management System make training of existing regular staff difficult. Each member of the current OSMP staff has a full time position and associated workload and only one person's position includes the responsibility for the system. The amount of training and ongoing use that would be required to achieve competence in the maintenance of the system does not lend itself to an "additional duties as assigned" task or one that is a part-time on occasion role. Additional auditee comments: The need for additional personnel to be trained as well as another FTE for the Space Management System is crucial especially if our office is expected to continue State reporting for the UNT Dallas and System campuses. The addition of the new Law School, Shared Services under the System, and UNT Dallas campus failing their THECB space audit, cannot be achieved with the current staff in OSMP. We will need one additional FTE in order to address these critical issues.	Cheryl Benningfield, Space Inventory Manager	5/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Space Planning Review	UNT	OSMP does not have detailed operational written procedures addressing the assignment and re-assignment of University space.	Low	Suggested Management Action for Director of Office of Space Management and Planning: Develop detailed written departmental procedures, outlining the OSMP operational processes and controls.	Agreed at time of observation however certain written procedures have since been written. 1. OSMP now has written procedures for communications and processes concerning the Space Assessment Committee and Administration approval/non-approval of such requests. 2. Detailed written procedures have been completed for the Space Inventory Survey process and were published online in April, 2013. Additional written OSMP operational procedures have been identified and are being developed at this time.	Jessica Shumate, Office Manager	12/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Parking Meters - Parking operations does not have adequate controls over parking meter receipts. Under current procedures employee theft could occur and remain undetected. Reported Receipts from meter parking for fiscal year 2012 were \$448,884.	High	Parking and Transportation Services management should consider the following management actions: Do not provide keys to personnel responsible for collection of receipts which will allow them access to those receipts.	1. Agreed. Individuals collecting each meters locked storage container do not have access to the container. Once the coinage is dumped into the larger locked collection container via a mechanical process the meter coinage collection container is returned to the meter. The locked collection container is then returned to the Parking Office when collections are complete. The individuals collecting the coinage do not have access to the locked collection container.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	6/30/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Parking Meters - Parking operations does not have adequate controls over parking meter receipts. Under current procedures employee theft could occur and remain undetected. Reported Receipts from meter parking for fiscal year 2012 were \$448,884.	High	Reconcile revenue recorded in the Meter Manager system to deposit bank receipts.	Agreed. Revenue will be recorded and entered in the Meter Manager System. Upon receiving the bank deposit receipts they will be used to reconcile the revenue recorded in the Meter Manager system.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	12/31/2013	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Written Procedures - The Parking Office does not have written procedures addressing major business processes.	Moderate	Parking and Transportation Services management should consider the following management action: Develop detailed written procedures for applicable departmental business processes.	Agreed. Written procedures are being developed addressing the collection, recording, depositing, and reconciliation of parking revenue. The written procedures being drafted for the Parking and Transportation Services operations will provide consistency, and guidance with regards to established University and departmental controls and procedures. Additional auditee comments: The parking office previously had written procedures and prior managers had been directed to update those procedures to maintain consistency with UNT policies and maintain accountability within the operation. Management within the operation was realigned and a new Director was recruited and hired effective January 2013.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	12/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	The following equipment at the Union Circle garage facility is either inoperable or not fully operable since May 2012. <ul style="list-style-type: none"> •West Exit Booth – not operable, no power pad to perform transactions, currently out for repair. •West Exit Verifier (stand- alone equipment) – not operable, Internal Power Pad needs repair. In addition, access card reader not operable. •Middle Exit Booth – partly operable, Power Pad is able to process locally, however the local system has lost the ability to communicate information to the Scan Net data base. •Pay-Station Equipment – not operable, Power Pad needs repair. 	Moderate	Evaluate and determine Parking garage operational and reporting needs.	Agreed. Parking and Transportation Services has evaluated and determined the Parking garage operational and reporting needs.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	The following equipment at the Union Circle garage facility is either inoperable or not fully operable since May 2012. <ul style="list-style-type: none"> •West Exit Booth – not operable, no power pad to perform transactions, currently out for repair. •West Exit Verifier (stand- alone equipment) – not operable, Internal Power Pad needs repair. In addition, access card reader not operable. •Middle Exit Booth – partly operable, Power Pad is able to process locally, however the local system has lost the ability to communicate information to the Scan Net data base. •Pay-Station Equipment – not operable, Power Pad needs repair. 	Moderate	Determine whether to either maintain current garage operational systems and repair necessary equipment, or replace applicable equipment and/or software to meet the expectations and needs of the University parking garage operations.	Agreed. PTS is working with our software provider T2 Systems, Inc. to develop a plan to maintain current garage operational systems and repair necessary equipment. The plan will include replacing applicable equipment and software to meet the expectations and needs of the University parking garage operations.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	There is no reconciliation of the physical inventory of permits kept in the office to permits sold.	Moderate	Maintain a physical inventory record of permits with cumulative balances noting beginning balances, purchased additions, and permit removals for each type of parking permit stored and locked in the storage cage area and also for permits maintained in the cabinet in the front sales area.	Agreed. The maintaining of the physical inventory record of permits with cumulative balances noting beginning balances, purchased additions, and permit removals for each type of parking permit stored and locked in the storage cage area and also for permits maintained in the cabinet in the front sales area is being developed.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	There is no reconciliation of the physical inventory of permits kept in the office to permits sold.	Moderate	Reconcile office inventoried permit usage to office sales documentation.	PTS will reconcile office inventoried permit usage to office sales documentation	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Parking Office credit card receipts are not being reconciled to source transaction activity recorded in the T-2 and Scan-Net systems.	Moderate	Reconcile Parking Office credit card receipts to original source transaction activity. Implementation will ensure that credit card revenues are recorded and reconciled to transaction source documentation.	Agreed. PTS will reconcile Parking Office credit card receipts to original source transaction activity.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Enrollment Management Audit	UNT	None of the departments that process cash receipts were in compliance with UNT Policy 2.1.10.1 Cash Controls. Two departments had no written procedures and two other departments had inadequate written procedures.	Moderate	Revise cash handling written procedures to include, but not limited to: <ul style="list-style-type: none"> • a reconciliation process; • authorization of persons (named) to collect cash; • separation of duties; and • maintenance of cash receipts logs 	We will follow-through with the suggestion management action plan.	Dr. Elizabeth With, Vice President for Student Affairs	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Enrollment Management Audit	UNT	None of the departments that process cash receipts were in compliance with UNT Policy 2.1.10.1 Cash Controls. Two departments had no written procedures and two other departments had inadequate written procedures.	Moderate	Request assistance and a review by Student Accounting and University Cashiering Services.	We will follow-through with the suggestion management action plan.	Dr. Elizabeth With, Vice President for Student Affairs	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Enrollment Management Audit	UNT	The Student Financial Aid and Scholarships department does not redact bank account information on checks before scanning into Image Now.	Low	Amend the check receipting process to include redacting the bank account number and bank routing number before scanning into Image Now.	We will follow-through with the suggestion management action plan.	Dr. Elizabeth With, Vice President for Student Affairs	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Facilities Certification Review	UNT Dallas	Overall, based on the results of procedures performed, the facilities development projects and acquisitions of real property complied with rules established by the Texas Administrative Code and within the parameters specified in the project applications that were submitted to THECB.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	Students received scholarships from the Texas Apartment Association (TAA) that were not processed through the Office of Student Financial Aid and Scholarships (SFAS). Students enrolled in the Residential Property Management (RPM) degree program offered by the Department of Finance, Insurance, Real Estate and Law (FIREL) are eligible to apply for a scholarship from the TAA. Scholarships awarded by TAA are sent directly to the student. Consequently, the awards are not processed through SFAS.	Low	Recommendations for Chair of the FIREL Department: Coordinate with the Office of Financial Aid to determine if receipt of the TAA scholarships resulted in any over-awards in federal financial aid and if so, adjustments should be resolved and reported as required. Implementation will provide assurance that scholarships awarded by the Texas Apartment Association will be coordinated and processed through the Office of Student Financial Aid and Scholarships; compliance with Federal Regulations, University policy, SFAS guidelines, and MOU requirements will be achieved; and the overall control environment will be strengthened.	2: The donor established its own nonprofit organization to provide scholarships to students and makes the awards totally independent of the University. Management has no direct knowledge of which students receive the scholarships or in what amounts. To the best of management's knowledge and belief, the funds are paid directly to the students. However, management has no direct knowledge of any such receipt. Since the scholarships are provided by an independent third party, students are required to report the scholarship amounts to SFAS. Management is not aware of any mechanism by which it is required to and/or can report scholarships made by third parties to UNT students of which management has no direct knowledge. Management agrees to consult with the UNT Office of Financial Aid to determine University policy and procedures related to any required reporting of scholarships made to UNT students by third parties when the award is not made by the department or program and is administered by an independent third party. Management agrees to comply with the policies and procedures prescribed by the Office of Financial Aid.	Marcia J. Staff, Chair, FIREL	1/27/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	The scholarship committee waived the minimum 3.25 GPA requirement to award a scholarship to a student.	Low	Recommendations for Director of the Professional Leadership Program (PLP): Administer endowment distributions in accordance with provisions of the MOU.	We agree that the procedure was not followed, although the donor was consulted for approval. 3. We will consult the UNT General Counsel to determine whether corrective action is needed for the award that was made.	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	The scholarship committee waived the minimum 3.25 GPA requirement to award a scholarship to a student.	Low	Recommendations for Director of the Professional Leadership Program (PLP): Obtain documented approval (agreement) from stakeholders (donor, university, students, faculty, staff) as appropriate before modifying the provisions of an existing MOU. Generally, the approval should be documented in the same form as the original agreement.	We agree that the procedure was not followed, although the donor was consulted for approval. 4. We will call a meeting including the donor, the PLP director and the PLP assistant director to discuss compliance for future awards and whether MOU modifications are needed, and document the results of the meeting.	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	The scholarship committee waived the minimum 3.25 GPA requirement to award a scholarship to a student.	Low	Recommendations for Director of the Professional Leadership Program (PLP): Consult with Legal Counsel to determine if any or what corrective action needs to be taken. Implementation will provide assurance that stakeholders will be made aware of modifications to the gift agreement; compliance with provisions of the gift agreement will be achieved; potential loss of endowment funds and other gifts will be minimized; strained relations between donors and the University, which might affect future gifts will be deterred; and negative publicity and damage to the University's reputation will be prevented.	We agree that the procedure was not followed, although the donor was consulted for approval. 5. In the future, the PLP director and staff will work closely with the Dean's office to be sure that all scholarships are appropriately awarded in compliance with the MOU provisions.	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following: •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11 instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed. For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following: •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and	Moderate	Suggested Management Actions for the Vice President for Finance and Administration/CFO: Review the PCard guidelines with cardholders, reconcilers, and approvers to help ensure compliance. Ensure all parties understand their responsibilities. BSC provided training should be attended to understand any changes or updated to the process.	We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC policies related to travel and business related reimbursements instead of establishing separate practices.	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<p>Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following:</p> <ul style="list-style-type: none"> •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. <p>In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed.</p> <p>For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following:</p> <ul style="list-style-type: none"> •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and 	Moderate	<p>Suggested Management Actions for the Vice President for Finance and Administration/CFO:</p> <p>Clearly delineate responsibilities to designees who process travel, reimbursements, and PCard transactions. Ensure the processors understand their responsibilities, and have an established method for complying with guidelines and expectations.</p>	<p>We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC polices related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<p>Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following:</p> <ul style="list-style-type: none"> •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. <p>In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed.</p> <p>For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following:</p> <ul style="list-style-type: none"> •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and 	Moderate	<p>Suggested Management Actions for the Vice President for Finance and Administration/CFO:</p> <p>Review trends in PCard usage and continue to move expenses to the normal purchase order process for transactions that recur, that have an associated contract, or need to have an updated contract with the vendor. Continue to work with the BSC staff to identify required or suggested transaction changes.</p>	<p>We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC polices related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<p>Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following:</p> <ul style="list-style-type: none"> •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11 instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. <p>In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed.</p> <p>For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following:</p> <ul style="list-style-type: none"> •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and 	Moderate	<p>Suggested Management Actions for the Vice President for Finance and Administration/CFO:</p> <p>Continue to develop and refine campus specific policies related to travel and business related reimbursements for all employees. This could include limits and or detailed expectations on business meals and other business related purchases. Implementation of these suggested actions will help assure compliance with PCard guidelines, as well as improve the overall control environment in the UNT Dallas Finance and Administration Office and campus.</p>	<p>We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC policies related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	NCAA Compliance Review – Eligibility Certification	UNT	<p>The review and testing of operational processes and controls indicated that business procedures and controls pertaining to the determination of student-athlete eligibility certification are effective and operating as intended. For the sample tested, information recorded and maintained to determine student athlete eligibility for the Fall 2012 and Spring 2013 semesters was accurate.</p> <p>The Office of the Registrar and the Athletics department are proactive in ensuring that the University has complied with NCAA eligibility requirements and maintain accurate information used in determining student-athlete eligibility. Meetings are often held between the two departments to ensure UNT compliance. The Office of the Registrar recently developed a control schedule called “Student-Athlete Checklist for Continuing Students” to assist in documenting that NCAA requirements have been met. Internal Audit noted a need to improve the recording of signatures and dates on some supporting documentation; this was discussed during the Exit Meeting.</p>	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dining Services A/P Audit	UNT	UNT Dining Services is not verifying that they have been billed in accordance with the contract terms with Ben E. Keith. Ben E. Keith, Dining Services main food vendor, is required to bill Dining Services the identical amount that Ben E. Keith pays for food products purchased from other vendors. On top of this amount, Ben E. Keith is allowed to charge a profit margin, not greater than 6.5%. The method by which the margin is calculated is detailed in the contract. Currently, in processing payments to Ben E. Keith, Dining Services is not verifying that the 6.5% margin has been calculated correctly and in accordance with the contract terms. Also, the contract includes a right to audit clause so that UNT can verify that it has been charged the same amount that Ben E. Keith has paid. Dining Services has never exercised this option.	Moderate	Suggested Management Action for the Executive Director of Dining Services: 1. Implement a process and procedure to audit the Ben E. Keith invoices to verify that UNT is billed in accordance with the contract terms. Implementation will provide assurance that UNT Dining Services is verifying and paying no more than the agreed six and one half percent (6.5%) margin.	We will be conducting periodic audits of the Ben E. Keith invoices and verifying the 6.5% margin is being enforced.	Suzan Cruz, Business Manager	2/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Research	Restricted Research Review	UNT	Expenditures for one research project were not included in the 2012 annual report to the Texas Higher Education Coordinating Board. (THECB). At the time of initial setup, a research project was inadvertently assigned a National Association of College and University Business Officers (NACUBO) class code that identified the project as public service instead of restricted research in the University's general ledger (GL) system. Subsequently, when restricted research expenditures data were extracted from the GL to report to the THECB, expenditures for the project coded as public service were not included.	Moderate	Suggested Management Action for the Director of the Office of Research Services: 1. Develop a process to match and reconcile restricted research awards with corresponding restricted research expenditures prior to reporting to the THECB or other regulatory entities. Implementation will provide assurance that restricted research awards are accurately matched or reconciled to restricted research expenditures prior to reporting to the THECB.	Develop and use a control report on a consistent basis to ensure that NACUBO class coding for restricted research awards matches corresponding reporting for restricted research expenditures.	Britt Khovjak, Assistant Director for Research Accounting	11/30/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP: • The department withdraws cash to pay research/simulated patients a fee for participation in a study of class. After the cash is provided to the SHP, no record of custody is maintained when cash is passed from one employee to another. • There was no log showing entrance into the safe where these funds were kept. • Funds were not in the location indicated on the 'Research Participation Custodial Agreement' form. • Large cash balances were withdrawn and held for periods exceeding three months. In our sample of withdrawals for research or training patients, three institutionally funded projects had cash outstanding of \$16,190.	Moderate	Suggested Management Action For Controller and Chief Budget Officer: Develop comprehensive cash handling policies and/or procedures that ensure cash is safeguarded. The procedure should include processes for: Maintaining a chain of custody, storing cash in a safe, entrance into the safe, disbursing cash to patients, returning all unused funds, and establishing an independent reconciliation.	Management agrees that UNTHSC does not have comprehensive procedure for cash handling, although there is a procedure for handling petty cash. Management will develop a general policy for instances that are outside the scope of petty cash. The suggestion will be made to the BSC Director of Purchasing to add instructions regarding securing funds to the simulated patient and research participant procedures.	Kim Schaade, Associate Controller	1/31/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP:</p> <ul style="list-style-type: none"> • The department withdraws cash to pay research/simulated patients a fee for participation in a study of class. After the cash is provided to the SHP, no record of custody is maintained when cash is passed from one employee to another. • There was no log showing entrance into the safe where these funds were kept. • Funds were not in the location indicated on the 'Research Participation Custodial Agreement' form. • Large cash balances were withdrawn and held for periods exceeding three months. <p>In our sample of withdrawals for research or training patients, three institutionally funded projects had cash outstanding of \$16,190.</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Ensure the cash handling policies and/or procedures are distributed to all department personnel handling cash.</p>	<p>Management agrees that UNTHSC does not have comprehensive procedure for cash handling, although there is a procedure for handling petty cash. Management will develop a general policy for instances that are outside the scope of petty cash. The suggestion will be made to the BSC Director of Purchasing to add instructions regarding securing funds to the simulated patient and research participant procedures.</p>	Kim Schaade, Associate Controller	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP:</p> <ul style="list-style-type: none"> • The department withdraws cash to pay research/simulated patients a fee for participation in a study of class. After the cash is provided to the SHP, no record of custody is maintained when cash is passed from one employee to another. • There was no log showing entrance into the safe where these funds were kept. • Funds were not in the location indicated on the 'Research Participation Custodial Agreement' form. • Large cash balances were withdrawn and held for periods exceeding three months. <p>In our sample of withdrawals for research or training patients, three institutionally funded projects had cash outstanding of \$16,190.</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Update departmental cash handling procedures to follow policies and/or procedures developed by the Office of Accounting.</p>	<p>Management Agrees and will ensure that each department has written procedures for handling cash. The suggestions mentioned in Item #4 will be included in the guidelines that the school will present prior to February 28, 2014.</p>	Synda Espinoza, Assistant to the Chair (PT) Kim Williams, Assistant to the Chair (PA)	02/28,/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP:</p> <ul style="list-style-type: none"> • The department withdraws cash to pay research/simulated patients a fee for participation in a study of class. After the cash is provided to the SHP, no record of custody is maintained when cash is passed from one employee to another. • There was no log showing entrance into the safe where these funds were kept. • Funds were not in the location indicated on the 'Research Participation Custodial Agreement' form. • Large cash balances were withdrawn and held for periods exceeding three months. <p>In our sample of withdrawals for research or training patients, three institutionally funded projects had cash outstanding of \$16,190.</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Determine the funds needed for a three month period and return all excess funds to the original ProjIDs or DeptIDs. Implementation will protect staff members and cash by ensuring that cash is adequately safeguarded.</p>	<p>Management Agrees and will ensure that each department has written procedures for handling cash. The suggestions mentioned in Item #4 will be included in the guidelines that the school will present prior to February 28, 2014.</p>	<p>Syndi Espinoza, Assistant to the Chair (PT) Kim Williams, Assistant to the Chair (PA)</p>	02/28,/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	<p>Students received scholarships from the Texas Apartment Association (TAA) that were not processed through the Office of Student Financial Aid and Scholarships (SFAS). Students enrolled in the Residential Property Management (RPM) degree program offered by the Department of Finance, Insurance, Real Estate and Law (FIREL) are eligible to apply for a scholarship from the TAA. Scholarships awarded by TAA are sent directly to the student. Consequently, the awards are not processed through SFAS.</p>	Low	<p>Recommendations for Chair of the FIREL Department:</p> <p>Establish procedures to work in conjunction with the TAA to identify recipients of scholarships, ascertain the amount of each scholarship awarded, and direct scholarship payments to the Office of Student Financial Aid and Scholarships for coordination and processing; or consult with the donor, Office of General Counsel, and SFAS to amend the MOU so that the requirements conform to current practice.</p>	<p>1: Management agrees that the following portion of the MOU has not been implemented: "The University agrees to establish a RPM Program scholarship to be funded by the Donor, and to work in conjunction with the Donor to identify candidates and recipients for the scholarship." Since the donor chose to not fund the program, the University could not establish the program scholarship as described in the MOU. Since the program was never created, no scholarships were ever awarded as UNT RPM program scholarships. Management agrees to consult with the donor and the Office of General Counsel to amend the MOU to delete the reference in the statement quoted above.</p>	<p>Michael Braswell, TAA Professor and Marcia J. Staff, Chair, FIREL</p>	3/1/2014	Closed
External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	<p>High mercury content in water sample collected.</p>	NA	<p>Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the reoccurrence of the problem.</p>	<p>The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.</p>	NA	NA	Closed

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External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	On November 1, 2013, a sample of wastewater discharged from the university Chemistry Building (outfall 004) had a value of 0.00478 mg/L of mercury which exceeded the state and local limit of 0.0006 mg/L.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	On October 15, 2013, a sample of wastewater discharged from the university Chemistry Building (outfall 004) had a value of 1.9199 mg/L of copper, which exceeded the state and local limit of 0.84 mg/L.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the reoccurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	On October 25, 2013, a sample of wastewater discharged from the university Discovery Park Building (outfall 005) had a value of 1.3256 mg/L of molybdenum which in excess of the state and local limit of 1.18 mg/L.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the reoccurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	High mercury content in water sample collected.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the reoccurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	UNTHSC and the Foundation deposits received and processed by the UNTHSC advancement function are deposited into separate bank accounts owned by UNTHSC and swept nightly into the general operating account for UNTHSC. In addition, UNTHSC and the Foundation share a Federal Employer Identification Number (FEIN). As UNTHSC and the Foundation are separate legal entities, deposits related to the Foundation receipts should not be combined with UNTHSC funds. Specifically: <ul style="list-style-type: none"> • 55 of 60 contributions sampled totaling \$6,403,499.71 were deposited into the UNTHSC bank account that were intended for the Foundation. • Of that amount, 45 contributions totaling \$5,513,999.71 were made payable to the Foundation and 10 contributions totaling \$889,500.00 were made payable to UNTHSC. 	NA	The Foundation should establish a unique FEIN.	Application for new FEIN and related tax exempt status to be completed.	Doug White, Vice President UNTHSC Institutional Advancement	8/31/2014	Closed

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	UNTHSC and the Foundation deposits received and processed by the UNTHSC advancement function are deposited into separate bank accounts owned by UNTHSC and swept nightly into the general operating account for UNTHSC. In addition, UNTHSC and the Foundation share a Federal Employer Identification Number (FEIN). As UNTHSC and the Foundation are separate legal entities, deposits related to the Foundation receipts should not be combined with UNTHSC funds. Specifically: <ul style="list-style-type: none"> • 55 of 60 contributions sampled totaling \$6,403,499.71 were deposited into the UNTHSC bank account that were intended for the Foundation. • Of that amount, 45 contributions totaling \$5,513,999.71 were made payable to the Foundation and 10 contributions totaling \$889,500.00 were made payable to UNTHSC. 	NA	The Foundation should establish a separate bank account to act as an operating account and create procedures for determining that UNTHSC and Foundation funds are deposited in the correct bank account to ensure that funds are properly segregated by legal entity.	Establishment of separate bank account for Foundation operations to be completed.	Doug White, Vice President UNTHSC Institutional Advancement	8/31/2014	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	UNTHSC and the Foundation deposits received and processed by the UNTHSC advancement function are deposited into separate bank accounts owned by UNTHSC and swept nightly into the general operating account for UNTHSC. In addition, UNTHSC and the Foundation share a Federal Employer Identification Number (FEIN). As UNTHSC and the Foundation are separate legal entities, deposits related to the Foundation receipts should not be combined with UNTHSC funds. Specifically: <ul style="list-style-type: none"> • 55 of 60 contributions sampled totaling \$6,403,499.71 were deposited into the UNTHSC bank account that were intended for the Foundation. • Of that amount, 45 contributions totaling \$5,513,999.71 were made payable to the Foundation and 10 contributions totaling \$889,500.00 were made payable to UNTHSC. 	NA	Determine the amount of existing Foundation funds held in UNTHSC bank accounts and transfer these funds to the new Foundation bank account once the separate FEIN and letter of determination from the IRS are obtained.	Establishment of separate bank account for Foundation operations to be completed.	Doug White, Vice President UNTHSC Institutional Advancement	8/31/2014	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	10 of 60 contributions sampled totaling \$889,500.00 were written to UNTHSC and deposited to the UNTHSC bank account; however, they were posted to the general ledger as a Foundation contribution as the donor intent indicated the contribution was for the Foundation. The advancement function process consists of depositing contributions based on the donor's intent instead of how the check was made payable.	NA	Donor intent should be followed; however, the check should be made payable to the correct legal entity prior to deposit. Working in collaboration with the Office of General Counsel, the UNTHSC advancement function should establish a process to resolve issues where donors' checks are made payable to a legal entity in contradiction to supporting documentation, such as the donor's letter of intent.	<ul style="list-style-type: none"> • All fundraising materials will state clearly that checks should be made payable to "UNTHSC Foundation" as a first step toward confirming donor intent. • All donor acknowledgement letters to donors will be sent on UNTHSC Foundation letterhead and contain explicit language confirming deposit of funds to the Foundation. • On occasions when checks are made payable to UNTHSC but clear intent is for deposit to UNTHSC Foundation, donor will be contacted to either reissue check or provide written confirmation (email) of intent to make gift payable to Foundation. 	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	10 of 60 contributions sampled totaling \$889,500.00 were written to UNTHSC and deposited to the UNTHSC bank account; however, they were posted to the general ledger as a Foundation contribution as the donor intent indicated the contribution was for the Foundation. The advancement function process consists of depositing contributions based on the donor's intent instead of how the check was made payable.	NA	The UNT advancement function should provide training and education to UNTHSC advancement personnel to communicate with donors on deposit requirements.	NA	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	There is a cash handling policy for UNTHSC which requires cash or check deposits to be sent to the Cashier's Office within 3 business days upon receipt to reduce the risk that checks could be misplaced, misused, or not deposited; however, through interviews, it was noted the UNTHSC advancement function does not strictly adhere to this policy, which presents a risk that checks could be misplaced, misused, or not deposited.	NA	The UNTHSC advancement function should follow the UNTHSC Cash Handling policy and establish a monitoring process to provide assurance donations are submitted to the Cashier's Office within 3 business days of receipt.	Recommendation has been implemented, with a check jogging system now in use to confirm compliance with this policy.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	Current business practice is to record contributions received in Raiser's Edge within 3 days of receipt; however, there is no UNTHSC advancement policy requiring contributions to be recorded in a timely manner, resulting in a risk that contributions received are lost or misplaced and not recorded in Raiser's Edge and subsequently to the general ledger.	NA	The UNTHSC advancement function should establish a policy and communicate requiring contributions to be recorded in Raiser's Edge within 3 business days of receipt.	Practice has been formalized with appropriate staff.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	7 of 56 general ledger postings sampled totaling \$1,896,910.42 were posted to the clearing or operating DeptID of the advancement function and not to the permanent DeptID. The review process for the clearing account DeptID is not performed monthly and does not receive appropriate approvals. A running balance is maintained in the clearing DeptID and expenditures are being made out of the account, which could potentially misstate the financial position if contributions recorded to this Foundation DeptID are meant for UNTHSC. This issue has also been noted on previous UNTS Internal Audit reports to UNTHSC.	NA	The UNTHSC advancement function should document the purpose of the Clearing DeptID and determine the DeptID is only used for those purposes.	Monthly reconciling has been enacted, with all transfers from of the Clearing Dept/D requiring review and approval of the VP of Institutional Advancement.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	7 of 56 general ledger postings sampled totaling \$1,896,910.42 were posted to the clearing or operating DeptID of the advancement function and not to the permanent DeptID. The review process for the clearing account DeptID is not performed monthly and does not receive appropriate approvals. A running balance is maintained in the clearing DeptID and expenditures are being made out of the account, which could potentially misstate the financial position if contributions recorded to this Foundation DeptID are meant for UNTHSC. This issue has also been noted on previous UNTS Internal Audit reports to UNTHSC.	NA	The UNTHSC advancement function should prepare a reconciliation of the clearing DeptID identifying gifts, deposits, and expenditures that make up the balance.	Monthly reconciling has been enacted, with all transfers from of the Clearing Dept/D requiring review and approval of the VP of Institutional Advancement.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	7 of 56 general ledger postings sampled totaling \$1,896,910.42 were posted to the clearing or operating DeptID of the advancement function and not to the permanent DeptID. The review process for the clearing account DeptID is not performed monthly and does not receive appropriate approvals. A running balance is maintained in the clearing DeptID and expenditures are being made out of the account, which could potentially misstate the financial position if contributions recorded to this Foundation DeptID are meant for UNTHSC. This issue has also been noted on previous UNTS Internal Audit reports to UNTHSC.	NA	The UNTHSC advancement function should reconcile the Clearing DeptID monthly, and move identified outstanding gifts or deposits to permanent DeptIDs.	Monthly reconciling has been enacted, with all transfers from of the Clearing Dept/D requiring review and approval of the VP of Institutional Advancement.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	<ul style="list-style-type: none"> A lack of segregation of duties exists between the personnel responsible for receiving contributions and recording in Raiser's Edge. There is not a current process to record mail or in-hand contributions on a receipt log as they are received by the UNTHSC advancement function, which increases the risk of contributions not being deposited upon receipt. 	NA	The UNTHSC advancement function should establish a segregation of duties between receiving contributions and entering contributions into Raiser's Edge to provide for adequate checks and balances.	A contribution log has been created and is assigned to a distinct member of the Advancement team for receipt and recording of all gifts received in person or through the mail.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	<ul style="list-style-type: none"> A lack of segregation of duties exists between the personnel responsible for receiving contributions and recording in Raiser's Edge. There is not a current process to record mail or in-hand contributions on a receipt log as they are received by the UNTHSC advancement function, which increases the risk of contributions not being deposited upon receipt. 	NA	The UNTHSC advancement function should establish a contribution receipt log to record donations received in person or through mail. The log should include, at a minimum, the check number, payee name, amount, and date received.	The contribution log is being reconciled monthly to ensure that all gifts on the log have been recorded in Raiser's Edge.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	<ul style="list-style-type: none"> A lack of segregation of duties exists between the personnel responsible for receiving contributions and recording in Raiser's Edge. There is not a current process to record mail or in-hand contributions on a receipt log as they are received by the UNTHSC advancement function, which increases the risk of contributions not being deposited upon receipt. 	NA	The UNTHSC advancement function should establish a process to reconcile the contribution receipt log monthly to Raiser's Edge and EIS to determine that contributions received have been recorded in Raiser's Edge.	The contribution log is being reconciled monthly to ensure that all gifts on the log have been recorded in Raiser's Edge.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	The bank reconciliation process performed by the UNTHSC Accounting function does not resolve unreconciled items in a timely manner due to delays in receiving necessary transaction information from the Foundation. The August 2013 bank reconciliation for the Advancement account had two reconciling items over three months old in the total amount of \$18,308.46, which could potentially misstate the financial position of UNTHSC if the reconciling items are determined inaccurate.	NA	The UNTHSC advancement and accounting functions should establish a policy indicating reconciling items should be resolved within one month. The UNTHSC advancement function should provide timely recording of transactions to facilitate timely reconciliations.	The practice has been established and is in place.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	2 of 60 contributions reviewed totaling \$220,000 were not recorded in Raiser's Edge to the proper DeptID. One contribution totaling \$10,000 was unable to be tested due to lack of supporting documentation provided. Without a review process prior to contributions being entered into Raiser's Edge, a risk exists that contributions are not recorded to the correct DeptID and potentially misstating the financial position of UNTHSC.	NA	The UNTHSC advancement function should research and resolve the three exceptions noted.	NA	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	Research and resolve the three exceptions noted.	NA	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	The Foundation should work with the UNTHSC Accounting Office to establish a policy to perform a monthly reconciliation between the general ledger and Raiser's Edge to assess whether contributions recorded in Raiser's Edge were recorded to the correct DeptID in the general ledger.	A monthly reconciliation is now being conducted.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	The Foundation shall provide to the UNTHSC Accounting Office an adequate level of support for all journal entries prior to their posting to the general ledger.	A monthly reconciliation is now being conducted.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A policy does not exist requiring an executive level review and approval of transfers from the UNTHSC operating account where general contributions are maintained to the Foundation investment account. Currently, the accounts are owned by UNTHSC and Foundation, respectively, and the legal ownership of the funds change through these transfers. The ability to transfer funds between bank accounts provide for an increased risk to the misuse of funds.	NA	The UNTHSC advancement function should establish a policy requiring documentation of executive level review and approval of transfer requests prior to the transfer being executed.	A practice requiring executive level review and approval has been implemented.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A policy does not exist requiring review and approval of transfer transactions between DeptIDs prior to being posted to the general ledger. The ability to transfer funds between DeptIDs provides for an increased risk of misrepresentation of funds on the UNTHSC financial statements.	NA	The UNTHSC advancement function should establish a policy requiring executive level review and approval of DeptID transfers prior to their posting to Raiser's Edge and the general ledger.	A practice requiring executive level review and approval of Dept/D transfers has been implemented.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	There is currently not a policy within the advancement function related to the review and approval of DeptID addition, deletion, and modifications in the system. The ability to add, delete, or modify DeptIDs increases the risk that funds are misrepresented on the UNTHSC financial statements or that funds are recorded for a purpose in contradiction to the intent of the contribution.	NA	The UNTHSC advancement function should establish a policy requiring review and approval of additions, deletions, or modifications of DeptID code prior to effecting Raiser's Edge or the general ledger.	A practice requiring executive level review/approval of Dept/D creation or alterations has been implemented.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Food and Drug Administration	Fiscal Year 2014	Governance and Regulatory Compliance	Protocol Compliance; TCOM/Medical Education	UNTHSC	None	NA	NA	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2013	UNT	For 5 (8 percent) of 60 students tested, the University of North Texas (University) did not submit corrections for changes in education credit amounts to the U.S. Department of Education as required; however, the University accurately verified all required information.	NA	The University should correct the batch process in its financial aid system so that it submits changes in education credit amounts to the U.S. Department of Education and adjusts applicants' financial aid packages accordingly.	Management made changes to the batch process in EIS which allow education credit changes to be reported. All students affected were corrected.	Dena Guzman-Torres and Lacey Thompson	7/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2014	UNT	For 13 (22 percent) of 60 students tested, the University did not accurately report the students' enrollment status to NSLDS.	NA	The University should implement a formal process to accurately report status changes and effective dates for unofficially withdrawn students to NSLDS.	Management is attentive to the U.S. Department of Education requirements associated with Student Status Changes resulting from unofficial withdrawals. Management Response and Corrective Action Plan: Management has implemented business controls to ensure accurate and timely reporting to the National Student Clearinghouse and the National Student Loan Data System for this population of students	Bryan Heard	6/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2013	UNT	One (1 percent) of 70 direct cost transactions tested at the University of North Texas (University) was unallowable. For 1 (1 percent) of 70 direct cost transactions tested, the University incorrectly calculated the amount of the federal expenditure.	NA	The University should establish and implement procedures to ensure that it does not charge unallowable or incorrect costs to federal awards.	The UNT Business Service Center (BSC) agrees. The BSC has corrected the travel reimbursement and the payroll underpayment. The BSC has established business practices to address the recommendation, which include: <u>Management Response and Corrective Action Plan 2012:</u> -Provided additional training to Travel staff regarding unallowable expenses on federal funds. -Will participate in ongoing collaboration with the UNT Office of Research Services to enhance the audit process of travel expenditures to avoid unallowable charges to federal funds. -ERP (PeopleSoft) system now calculates partial months using an annualized hourly rate of pay (2,080 hours). The manual calculation is no longer necessary. The University has implemented a process to calculate partial month salary payments. Auditors tested a sample of payroll transactions and determined that each transaction was allowable and calculated correctly. However, 1 of 15 travel expenditures tested was unallowable. The University reimbursed gratuity charges as part of a travel reimbursement. <u>2013 Update:</u> The UNT Office of Research Services has a written procedure and training in place covering unallowable expenditures on federal awards, including tips. The employee that approved the travel reimbursement that included the \$19 was already aware of the procedure, but didn't detect the unallowable charge during his regular	Britt Khovjak and Debbie Reynolds	12/5/2013	Closed

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External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2013	UNT	The University of North Texas (University) did not ensure that vendors associated with 4 (40 percent) of 10 procurements tested that exceeded \$25,000 were not suspended or debarred.	NA	The University should document its vendor suspension and debarment verifications for all procurements of at least \$25,000.	The UNT System Business Service Center (BSC) agrees. The BSC has established business practices to address the recommendation, which include: Management Response and Corrective Action Plan 2012: -Added a clause/condition to the UNT System Purchase Order Terms and Conditions on 10/26/12. - Provided additional training to Purchasing staff on EPLS Search and documentation requirements on 1/16/13. - Created a procedure to ensure all procurements of at least \$25,000 are documented appropriately and are audited by management daily on 1/22/13. All Business Service Center Purchasing staff will be re-educated on the EPLS requirements and the need to maintain verification documentation. Purchasing Director/Manager will continue to audit for compliance on a daily basis. Management Response and Corrective Action Plan	Debbie Reynolds, Carolyn Cross, and Tina Koenig	12/16/2013	Closed
External	State Auditor's Office	Fiscal Year 2014	Finance	State Agency, University, and Community College District Compliance with the Public Funds Investment Act and Investment Reporting Requirements	UNT	Not Fully Compliant with the Public Funds Investment Act * (*Source: Findings listed are based upon reviews of the audit reports issued by the universities' internal or external auditors.)	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2014	Finance	State Agency, University, and Community College District Compliance with the Public Funds Investment Act and Investment Reporting Requirements	UNT HSC	Not Fully Compliant with the Public Funds Investment Act * (*Source: Findings listed are based upon reviews of the audit reports issued by the universities' internal or external auditors.)	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2014	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2013	UNT	NA	NA	None	NA	NA	NA	NA

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External	State Auditor's Office	Fiscal Year 2014	Finance	Statewide Single Audit Report for the Year Ended August 31, 2013	UNT	On its SEFA, the University of North Texas (UNT): - Incorrectly reported expenditures for four CFDA's in the Student Financial Assistance Cluster of federal programs using award year instead of fiscal year. As a result, UNT (1) incorrectly included \$6,257,520 and (2) incorrectly excluded \$278,738 in expenditures on its SEFA. UNT also incorrectly included \$6,255,520 of those expenditures in the notes to its SEFA and understated federal revenue by \$276,738 in the notes to its SEFA. - Could not provide adequate support for excluding \$361,374 in expenditures from its SEFA. UNT asserted that it excluded those expenditures because it had a vendor relationship with other state entities; however, UNT could not provide support for that assertion.	NA	None	Corrective action was taken.	NA	NA	NA
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-01 Safety: Electrical Safety: GFCI Outlets - SORM noted during the consultation that an outlet in the welding shop within six feet of a sink did not have a GFCI receptacle nor was it on a GFCI circuit.	NA	SORM recommends providing GFCI protection as per the National Electrical Code.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT Dallas	14-08-01 Safety: Fire Safety: Box Stacking in Kitchen Storage Room SORM noted during this consultation that boxes were stacked on racks in the kitchen storage room such that the sprinkler heads would not have the required 18 inches of clearance space needed to function properly, as per the NFPA standard.	NA	NA	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT System	14-08-01 Safety: Fire Safety: Fire Wall Penetrations SORM noted during the consultation that some of the fire wall penetrations in the seventh floor electrical room have not been sealed with fire-resistant sealant.	NA	SORM recommends that these areas be sealed with the properly rated fire sealant, as per the NFPA standard.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT Dallas	14-08-02 Safety: Electrical Safety: Daisy-Chaining Power Strips SORM noted during the consultation that in the manager's office of the kitchen, three power strips were daisy-chained into each other, thereby creating an electrical load-capacity hazard.	NA	SORM recommends that UNT-Dallas coordinate with the third-party vendor to ensure that these power strips are not daisy-chained together.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT System	14-08-02 Safety: Policies/Procedures: Documented Scheduled Inspections and Maintenance of Safety Equipment SORM noted during the consultation that the portable fire extinguishers have not been documented as inspected monthly, as per the NFPA standards.	NA	SORM recommends that UNT-System coordinate with the property manager to ensure that the extinguishers and all other safety-related pieces of equipment (such as emergency lighting, eyewash stations, etc.) are properly documented as inspected and/or maintained with a frequency as required by the manufacturer or a recognized safety standard. References: NPFA-101 (2012), "Life Safety Code," Chapters 9.7.4.1 and 39.3.5; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 7 and 8.	NA	NA	NA	Closed

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External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-02 Safety: Walking/Working Surfaces: Load Capacity Signage - SORM noted during the consultation that an overhead storage area in the welding shop was lacking a weight capacity sign, as per the OSHA standard.	NA	SORM recommends that UNT-Denton either: a) determine the load capacity for this area and then post an appropriate sign; or, b) cease storing items in the overhead area.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-03 Safety: Hazard Communication Program: Bottle Labeling and Auxiliary Eyewash Bottles SORM noted that in several locations secondary bottles were unlabeled and auxiliary eyewash bottle-solutions had expired.	NA	SORM recommends that UNT-Denton ensure that these areas meet the OSHA Hazard Communication standard and the ANSI/ISEA eyewash standard.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT Dallas	14-08-03 Safety: Hazard Communication: OSHA Global Harmonization System (GHS) Training SORM noted during the consultation that the third-party vendor contracted to conduct commercial kitchen operations for the dining services on campus has not conducted OSHA Global Harmonization System (GHS) training for its employees.	NA	SORM recommends that UNT-Dallas coordinate with this vendor and UNT Risk Management Services to ensure that all employees receive this training, as per the OSHA standard. Reference: OSHA, 29 CFR 1910.1200 (2012 Update to Federal Register); United Nations, "Globally Harmonized System of Classification and Labelling of Chemicals"	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-04 Safety: Electrical Safety: Missing Knockouts (Sycamore Hall) SORM noted that in Sycamore Hall, an electrical panel was missing the required "knockouts."	NA	SORM recommends that all blanks in electrical panels are covered by knockouts, as per the National Electrical Code.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT Dallas	14-08-04 Safety: Hazard Communication: Eyewash Stations (Kitchen) SORM noted during the consultation that corrosive chemicals are being used in the kitchen. However, no eyewash stations are provided to comply with the safety instructions on the chemicals' Safety Data Sheets.	NA	SORM recommends that UNT-Dallas install eyewash stations in this area or work with the third-party vendor to remove these chemicals from the workplace, as per the OSHA and ANSI/ISEA standards. UNT-Dallas should ensure that all employees who work with these chemicals, including third-party vendor employees, be trained on the location(s) and operation of these stations once installed. References: OSHA, 29 CFR 1910.1200; OSHA, 29 CFR 1910.151 (c); ANSI/ISEA 2358.1 (2009), "Standard for Emergency Eyewashes and Shower Equipment"	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-05 Safety: Fire Safety: Fire Wall Penetrations (Hurley Administration Building) - SORM noted during the consultation that several penetrations through a fire wall in the Hurley Administration Building were not properly sealed, as per the NFPA standard.	NA	SORM recommends that UNT-Denton seal the penetrations with the properly-rated sealant.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-06 Safety: Fire Safety: Maximum Occupancy Load Sign - SORM noted during the consultation that a maximum occupancy sign in the Ken Bohlsen Gymnasium was not present.	NA	SORM recommends the posting of this sign as per the NFPA standard.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-07 Safety: Electrical Safety: Labelling and Knockouts (Music Practice Mechanical Room and Zone Maintenance) - SORM noted during the consultation that electrical panels in the Music Practice Mechanical Room and Zone Maintenance were missing proper labels and/or knockouts.	NA	SORM recommends correcting this deficiency, as per the National Electrical Code.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-08 Safety: Machine Safety: Guarding of Moving Parts (General Academic Building) - SORM noted during the consultation that the large return air fans in the General Academic Building were missing guards for their exposed moving parts.	NA	SORM recommends that the university guard the moving parts, as per the OSHA standard.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-09 Safety: Walking/Working Surfaces: Dumpsters - SORM noted during the consultation that outside of Central Receiving wooden steps have been erected to allow staff members to dump trash into a large dumpster.	NA	SORM recommends that the university destroy these steps and implement a procedure for dumping trash that does not present such a hazard to employee health and safety.	NA	NA	NA	Closed

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External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-10 Safety: Walking/Working Surface: Mezzanine Storage - SORM noted during the consultation that items were being stored on top of a metal cage in the Concrete Bay without a load capacity sign.	NA	SORM recommends that the university either remove these items from this location or determine and post the load capacity of the roof of the metal cage.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-11 Safety: Electrical Safety: Federal Pacific Electric Electrical Panels - SORM noted during the consultation that seven buildings on campus contain Federal Pacific Electric Company electrical panels as part of their electrical systems. These kinds of panels have been noted to present a latent hazard and fire danger by malfunctioning under certain conditions. In addition, this particular manufacturer was found liable in a class-action lawsuit of fraudulently obtaining the Underwriters Laboratory (UL) certification for some of their electrical panels. There is controversy over these panels. Some electricians believe the panels are safe and others believe they are not. UNT-Denton has already begun the process of identifying these panels and replacing them where the budget allows. The others have been placed in the capital plan for replacement when funds become available.	NA	SORM recommends that UNT-Denton consider the feasibility of expediting the funding for this ongoing project. Reference: OSHA, 29 CFR 1910.303 (b)(1)	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-12 Safety: Policies/Procedures: Respiratory Protection Program (Medical) - SORM noted during the consultation that for paint-shop employees, the university is using a third-party vendor to conduct fit-testing for respirators. However, it was not clear whether medical evaluations were being conducted to determine that employees are physically capable of wearing respirators.	NA	SORM recommends that the university review their procedures in this area and ensure that they comply with the OSHA standard. Reference: OSHA, 29 CFR 1910.134	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-13 Safety: Policies/Procedures: Occupational Noise Exposure - SORM noted during the consultation that in the North Chiller Plant noise levels warranted measurement for a potential occupational noise exposure program.	NA	SORM recommends that the university measure all such areas for noise exposure and if they are above the action threshold, then the university should take the additional measures required by OSHA to determine if the exposures are above the action threshold for an 8-hour Time-Weighted Average. If they are, then a compliant hearing conservation program should be implemented. Reference: OSHA, 29 CFR 1910.95	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-14 Risk Management: Policies/Procedures: Facilities Department Notification - SORM noted during the consultation that there are some building issues (such as I.T. projects) that do not necessarily require the notice of the Facilities Department even though they can affect structural issues within a building.	NA	SORM recommends that the university consider the feasibility of requiring all issues having to do with any aspect of a building's functions to be coordinated through the Facilities Department in some formal manner. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.3	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-15 Safety: Electrical Safety: Extension Cords, Water, and General Housekeeping (Physical Education Building/Basement & Kinesiology Storage Room) - SORM noted during the consultation that extension cords were being used as a permanent source of power near draining water in the basement of the Physical Education Building, and that old, rusting equipment was being stored in the kinesiology room.	NA	SORM recommends that the housekeeping in this area be improved to ensure that these hazards are eliminated. References: OSHA, 29 CFR 1910.305(g)(1)(iii)[A]	NA	NA	NA	Closed

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External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-16 Risk Management: Policies and Procedures: Memorandum of Understanding with Texas State Fire Marshal's Office SORM noted during the consultation that although the university has an excellent, qualified team of fire safety professionals, no Memorandum of Understanding exists between the university and the Authority Having Jurisdiction over state assets, the Texas State Fire Marshal's Office, as to the day-to-day decision-making with regard to life safety and fire issues.	NA	SORM recommends that the university approach the Texas State Fire Marshal's Office to determine if they would consider a written Memorandum of Understanding to this effect. References: NFPA-101 (2012), "Life Safety Code," Chapter 1.6, "Enforcement;" Chapter 4.6.1.1 "Authority Having Jurisdiction."	NA	NA	NA	Closed
External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2014	Governance and Regulatory Compliance	Loss Prevention Report	UNT	15 reports were prepared; 1 finding identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2014	Governance and Regulatory Compliance	Loss Prevention Report	UNTHSC	5 reports were prepared; no findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	1. Violation of 25 TAC 289.252(f)(3)(M) and license condition #13: The radiation safety officer (RSO) failed to ensure that personnel comply with this chapter, the conditions of the license and the operating, safety and emergency procedures of the licensee.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	• Dr. Thomas Harrison was relieved of the duties of RSO and replaced by Charles Fox. With assistance from external consultants, Mr. Fox is establishing procedures to assure compliance with license condition #13 no later than May 1, 2014. • The present RSO is a full-time employee of UNT.	NA	7/1/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	2 Violation of 25 TAC 289.202(e)(5): No documented assessment was made to determine the monitoring requirements of 25 TAC 289.202(q)(1) and (3) were not applicable and individuals were not being monitored for occupational exposure to radiation. Dr. Thomas Harrison who had been using and transporting radioactive material was observed not wearing whole body or extremity monitoring devices as required	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	• Public dose assessments are being prepared and documentation to be completed by July 1, 2014. • The RSC is fully aware of the issues with the radiation safety program, is meeting quarterly and is actively providing program oversight.	NA	7/1/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	3. Violation of 25 TAC 289.202(r)(2) and license condition #16: Individual monitoring devices were not returned to the dosimetry provider for proper processing. Monitoring devices for the monitoring period of July 1 – October 1, 2013 were not returned at the prescribed quarterly interval.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	• Individual monitoring devices that were overdue to be exchanged were collected and returned for processing and the current monitoring period dosimeters issued • External consultants have been engaged for an in depth audit of the program and to assist with development of procedures and implementation of corrective actions. • An annual audit of the radiation safety program will be planned using external consultants.	NA	7/1/2014	Closed

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External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	Violation 1 – Entrance exposure exceeded limits for PA Chest (Grid) procedure	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	a. Specific Steps Taken to Correct Violation: The PA Chest x-ray system has preprogrammed techniques. The individual the University hired to be the Radiation Safety Officer (TDSHS approval pending), in consultation with the University Wellness Center Director of Medicine, have reviewed the preprogrammed techniques and selected techniques with lower exposures for the chest. The technique chart the x-ray technologist now uses is below 30 milliroentgens. b. Steps Taken to Prevent Violation from Reoccurring: The x-ray technologist has reviewed the technique chart and certified that she has read the manufacture-issued operations manual. In addition, the technologist has been directed not to alter the current setting for chest x-rays c. Date Full Compliance Was or Will be Achieved: The correct preprogrammed techniques were selected on August 26, 2014 and the x-ray technologist certified she has read the manufacturer's operation manual on that same date. The vendor inspected the machine on March 15, 2014. Operation and safety procedures will be developed and a verification (sign-off) procedure implemented no later than October 31, 2014.	NA	10/31/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	Violation 2 – Entrance exposure exceeded limits for Abdomen (KUB) procedure	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	a. Specific Steps Taken to Correct Violation: The Abdomen (KUB) system has preprogrammed techniques. The individual the University hired to be the Radiation Safety Officer (TDSHS approval pending), in consultation with the University current setting for chest s Center Director of Medicine, have reviewed the preprogrammed techniques and selected techniques with lower exposures for the abdomen. The technique chart the x-ray technologist now uses is below 450 milliroentgens. b. Steps Taken to Prevent Violation from Reoccurring: The x-ray technologist has reviewed the technique chart and certified that she has read the manufacture-issued operations manual. In addition, the technologist has been directed not to alter the current setting for chest X-rays. c. Date Full Compliance Was or Will be Achieved: The correct preprogrammed techniques were selected on August 26, 2014; and the x-ray technologist certified she has read the manufacturer's operation manual on that same date. The vendor inspected the machine on March 15, 2014. Operation and safety procedures and a verification (sign-off) procedure for the radiation machine will be implemented no later than October 31, 2014.	NA	10/31/2014	Closed

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External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	Violation 3 – No documentation showing individual radiation machine operators read operating and safety procedures	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	a. Specific Steps Taken to Correct Violation The University is in the process of developing operating and safety procedures for all radiation producing devices, including for the machine operated by Dr. Michael House that was inspected on August 4, 2014. We have requested that the Team Physician who uses the equipment to minimize the exposure during the use of the machine. We have provided quotes for newer machines that will better minimize the radiation needed to perform the scans. The team physician will be developing and signing off on new operating procedures to insure documentation of this process is available. The current machine is scheduled to be decommissioned by October 31, 2014 with local hospital machines being used until an up-to-date machine is purchased. b. Steps Taken to Prevent Violation from Reoccurring The University will require all individuals who operate radiation machines to read the operating and safety procedures for each device they operate and sign a document verifying they have read and understand the procedures. The Radiation Safety Officer will sign or initial the verification document, which will be maintained in accordance with the university's record retention policy.	NA	10/31/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	1. We had not had the Fluoroscopic Entrance Skin Exposures measured within 14 months.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	This citation is an error. We had an inspection of this system on 3 September 2013 and again on 31 July 2014. As required the Entrance Skin Exposures were posted on the machine.	NA	NA	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	2. We had not created specific Operating and Safety Procedures for all radiation producing devices and had them signed annually by the operators and initialed by the RSO.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	Since this system is only operated by one individual (Dr. Michael House), I did not feel it was necessary to develop Operating and Safety Procedures for him to sign. Based on this violation, however, I will develop an Operating and Safety Procedure for this system and have it signed by Dr. House and I will initial it too. I will ensure that on an annual basis this document is reviewed and signed by Dr. House and initialed by the RSO.	NA	NA	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	3. The agency was not notified of the change in RSO within 30 days following the change.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	This was an oversight of the interim RSO. I've drafted a letter requesting a major adjustment to our two radiation producing device registrations. One registration R19956 will now contain ONLY human use x-ray devices. The second registration R04611 will contain ONLY the industrial radiation producing devices.	NA	NA	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or scholarships.	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Establish a team with the knowledge and expertise to evaluate the KFAC's Business Plan;	The Vice Provost for Academic Resources agrees with all the recommendations. 1. The Vice Provost for Academic Resources with the Dean of the College of Education to compose an evaluation team with the knowledge and expertise to evaluate the KFAC's Business Plan. This team will consist of members of UNT and the community who can help to advise on individual components of the plan.	Dr. Allen Clark, Vice Provost for Academic Resources	4/01/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or scholarships.	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Assure that all sources of revenue have been identified and validated;	2. Assure that all sources of revenue have been identified and validated through the development of a funding model of service provided by the center.	Dr. Kevin Callahan, Executive Director of the Kristen Farmer Autism Center	4/01/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or scholarships.	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Perform a cost/benefit analysis of the KFAC; and	The Vice Provost for Academic Resources agrees with all the recommendations. 3. A cost/benefit analysis will be included as part of the updated business plan.	Dr. Kevin Callahan, Executive Director of the Kristen Farmer Autism Center	4/01/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or scholarships.	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Prepare a Memorandum of Understanding to document the financial funding agreements between the KFAC, the Provost Office and the University. Implementation will provide assurance that a thorough evaluation of future Centers and Institutes will be performed. Additionally, a cost/benefit analysis of the KFAC will be performed.	The Vice Provost for Academic Resources agrees with all the recommendations. 4. Prepare a Memorandum of Understanding to document the financial funding agreements between the KFAC, the Provost, and the University. A cost/benefit analysis will be included as part of the updated business plan.	Dr. Allen Clark, Vice Provost for Academic Resources	3/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	None	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	We performed a limited review of the control environment related to football ticket sales. We noted weaknesses related to complimentary and student tickets. These weaknesses included a lack of procedures for complimentary tickets and no reconciliations of complimentary tickets or unsold student tickets.	NA	We recommend that the Athletics department strengthen the controls related to complimentary tickets (including student tickets), develop procedures relating to complimentary tickets which should include documentation of each complimentary ticket recipient, and perform reconciliations of complimentary and student tickets.	The athletic department agrees with a recommendation that additional steps can be taken to further assure reconciliation/security of comp/students tickets. The athletic department will: 1. On a weekly basis reconcile a. student tickets b. student athlete tickets 2. Work with Ticketmaster to assure that all protocols are in place to link personnel who can print or distribute comp tickets. 3. On a monthly basis, spot check and report on comp ticket distributions to assure proper approvals are in place.	Mike Ashbaugh, Troy Taylor	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Future game guarantees are not accrued when contracts are executed.	NA	We recommend that game guarantees be accrued in the financial reporting period when the contracts are executed.	The athletic department agrees to create accounts receivable for game contracts. We will consult with Financial Reporting to record existing and future contracts using GAAP as a guideline for recording these amounts. The athletic department notes that in most cases the guaranteed amount in the event a scheduled contest is not played is not the same as the face value of the contract when the game is played. Again we will consult with Financial Reporting to determine the amount to be recorded.	Mike Ashbaugh	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	NCAA Bylaw 11.2.2, Athletically Related Income, requires annual reporting of all athletically related income and benefits from sources outside the institution. This reporting is to also be provided to the President. During the audit, Athletics did not have all required reports on file for fiscal year 2013. The forms were subsequently completed and no third-party compensation was received by the Athletics Department employees that met the criteria to be disclosed in the financial statements.	NA	We recommend that the Athletics Department develop a process for assuring that all reports are obtained and completed appropriately, and determine if any additional steps are necessary for this process to be fully compliant with NCAA Bylaw 11.2.2.	The athletic department has always collected all forms in a timely manner through the Compliance Office. This year due to a change in the Compliance Officer, all forms were not collected. To alleviate this from happening again the athletic department will: 1. Reinforce the responsibility of the Compliance Officer to create a list of staff required to submit forms. 2. Meet with staff and department personnel to get each form signed and recorded on an Excel spreadsheet. 3. Athletic Director and Senior Associate Athletic Director for Business Affairs will set calendar reminders to meet with Compliance Officer and complete certification two weeks prior to required submission date. Athletics notes that forms for 2011 and 2012 were requested after the review and all forms were provided immediately. This is reinforcement that our procedures under normal circumstances have been followed.	Rick Villarreal, Mike Ashbaugh, Scott Hobbs	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Future game guarantees are not recorded when contracts are executed.	NA	We recommend that game guarantees be recorded when the contracts are executed.	We will consult with Financial Reporting to record existing and future contracts using GAAP as a guideline for recording these amounts. The athletic department notes that in most cases the guaranteed amount in the event a scheduled contest is not played is not the same as the face value of the contract when the game is played. Again we will consult with Financial Reporting to determine the amount to be recorded.	Mike Ashbaugh	1/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Non-cash benefits for Athletic Department Employees - When recalculating a sample of the calendar year 2012 W-2s and reviewing other supporting documentation, temporary housing benefits for several of the recently hired coaches should be evaluated for inclusion on the employees' W-2s as taxable income.	NA	We recommend that any necessary corrections be made to prior year W-2's.	The UNT System BSC agrees and will review the documentation provided by Internal Audit.	Carol McFarland, BSC Tax Accountant	3/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	In calendar year 2011, the tax treatment for employee cell phone allowances and cell phone purchase reimbursements was changed entity-wide to a non-taxable allowance. However, procedures have not been established requiring documentation to ensure that the cell phone expense reimbursements do not exceed the employee's actual business expense and the reimbursement is provided for the IRS required business purposes. The current cell phone allowance policies are not consistent with the current tax-treatment and practices, and need to be revised.	NA	We recommend that the Vice President for Information Technology and CIO, in conjunction with the Business Service Center, review the current tax treatment practice for cell phone allowances and cell phone purchase reimbursements, and update the cell phone policy accordingly. Additionally, policy training to cell phone allowance recipients should be provided to ensure compliance with policy requirements.	The Vice Provost for Information Technology and CIO, in conjunction with the Business Service Center and IT Shared Services, will review the current tax treatment practice for cell phone allowances and cell phone purchase reimbursements and update the cell phone policy accordingly. Further, appropriate policy training for cell phone allowance recipients will be developed to ensure compliance with policy requirements.	John Hooper, UNT Vice Provost for Information Technology and CIO	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	When recalculating a sample of the calendar year 2012 W-2s and reviewing other supporting documentation, an overstatement of wages in one employee's W-2 Box 1 wages was identified. After consulting with the Business Service Center (BSC), it was determined that a year-end adjustment was made twice for covered wages. The BSC will issue a W-2c reducing covered wages by \$1,765.93.	NA	We recommend that the Business Service Center review the current process for making year-end adjustments to all employee wages to ensure that all wages reported on the Institutions' W-2s are accurate.	The UNT System BSC agrees	Carol McFarland, BSC Tax Accountant	3/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	During the review of recruiting policies, it was noted that no policy manual exists, just a collection of documents. These documents did not address recruiting expenses.	NA	We recommend that policies be developed specific to recruiting expenses to assist in assuring compliance with all NCAA regulations.	The Athletic Department currently has documented procedures given to every new coach upon arrival at the University. The department currently: 1. Has a training session with each coach or staff as hired to cover policies 2. Gives each coach a NCAA Rule Book which lists all applicable rules and bylaws 3. Provides a hardcopy and online file of department policies on travel and credit card use 4. Annually test coaches on rules The athletic department agrees to review other university policy manuals to strengthen our existing policies and manuals.	Rick Villarreal, Mike Ashbaugh, Patty Wells, Becky Hall, Scott Hobbs	8/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	During the review of team travel policies, it was noted that the policies specific to team travel do not address all relevant NCAA Bylaws.	NA	We recommend that the policies be reviewed and updated to assure all significant team travel NCAA regulations are addressed.	The Athletic Department currently has documented procedures given to every new coach upon arrival at the University. The department currently: 1. Has a training session with each coach or staff as hired to cover policies 2. Gives each coach a NCAA Rule Book which lists all applicable rules and bylaws 3. Provides a hardcopy and online file of department policies on travel and credit card use 4. Annually test coaches on rules The athletic department agrees to review other university policy manuals to strengthen our existing policies and manuals.	Rick Villarreal, Mike Ashbaugh, Patty Wells, Becky Hall, Scott Hobbs	8/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	During the course of the review, we noted that detailed supporting documentation for two transactions was not available. These transactions were journal entries prepared by Athletics Department staff to move an expense into one account from another.	NA	We recommend that Athletics retain detailed supporting documentation for all journal entries.	It is not the practice of the Athletic Department to process journal entries without proper backup documentation. To ensure in the future there are no journal entries without documentation the Athletic Department agrees to do the following: 1. Require documentation review on all transactions with spot department checks. 2. The Athletic Department will follow the policy set by Financial Reporting for journal entry documentation.	Mike Ashbaugh, Troy Taylors	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	One expense was not fully supported by the supporting documentation. A travel voucher was reimbursed at \$11,306.45, however only \$9,873.34 of that expense could be matched to travel receipts. However, the documentation submitted included an explanation that there were issues with the billing from the hotel. This voucher was for hotel charges for temporary housing for new coaches. This expense was reclassified from Other Operating Expenses to Coaching Salaries, Benefits and Bonuses Paid by the University and Related Entities	NA	We recommend that only expenses that can be supported by receipts be paid. Additionally, temporary housing expenses should be handled via a purchase order.	The supporting documentation reviewed was only the partial items available at the time of the filing of the expense report. The balance of the documentation was available during the next month's expense statements. In addition, this particular bill was problematic due to a breach in normal hotel billing policies; the proper receipts and accounting were not available from the hotel. Documentation of these irregularities, including e-mails from hotel management, was attached to expense report. Concerning the travel voucher, housing was supplied and required by the Athletic Department during the recruiting period. The reclassification of expenses is a necessary process due to a number of factors both in athletics and other departments. The athletic department will conduct a review of why reclassifications were required. The athletic department will continue to reduce the number of reclassifications by: 1. Performing monthly reviews of accounts and account numbers to insure better accuracy. 2. Review changes of account numbers made once transactions leave the athletic department.	Mike Ashbaugh, Troy Taylor	5/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Twenty-eight percent of the invoices reviewed in our samples were paid more than 30 days from the date of the invoice. Additionally, 10% of the invoices, totaling \$167,126.10, spanned two fiscal years resulting in expenses reported in the wrong financial reporting period.	NA	We recommend that the Athletics Department assure that all invoices are paid in a timely manner and that goods and services are paid and expensed in the year in which the expense occurred.	The first two bills reviewed were those with the longest pay date. Both were found to be delinquent from the company's issuing, one that had been sold 13 months ago. The athletic department intends to review each of the specified bills that were late in payment to identify where the delays are taking place in order to make sure that all bills are paid within the terms listed from the vendor. This process will take some time but will be completed by the end of March. The athletic department will immediately take the following actions: 1. Will conduct thorough review of payment process from P.O. to payment and each step in between. 2. Review and check the statement date of each bill submitted for payment. 3. Retain records of dates bills are transmitted for payment to campus or the BSC.	Mike Ashbaugh, Troy Taylor, Clara Richard	1/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	It was noted during the course of the review that all journal template entries booked by the any UNT department, including the Athletic Department, are booked on the general ledger without inclusion and review of supporting documentation by Financial Reporting. The current process of booking journal entries is for an employee to submit a journal template to Financial Reporting for review that consists of an account type match and a budget check. It is expected that the department has and maintains the supporting documentation for every journal template entry submitted. Lack of review of supporting documentation can result in inappropriate, inaccurate journal entries and/or errors and discrepancies going undetected.	NA	We recommend that Financial Reporting develop a written standard for journal entry documentation and review the supporting documentation for journal entries.	The Controller's Office and Financial Reporting are developing a written standard for journal entry documentation that will require all submitted journals with line item amounts \$5K and above to include appropriate supporting documentation that fully explains the journal being booked to the system. Supporting documentation for journals with line item amounts less than \$5,000 will continue to be retained within the originating department in accordance with UNT's Records Management and Retention policy 10.10. This will require a culture change throughout campus and numerous training sessions.	Lee Miara, Associate Vice President for Finance and Controller	6/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNT System	As of August 31, 2013, UNT reported an investment in both agency securities and Small Business Administration (SBA's) bonds, however; UNT System Regulation 08.2000 does not include these investments as authorized investments. These investments were authorized by the policy in effect at the time of purchase. In fiscal year 2013, no new securities were purchased and future purchases are not planned. Two of the three agency securities matured in FY 2013, and one matured in September 2013.	Low	Recommended Management Action for Andrew Harris, Vice President for Finance and Administration (UNT): Assure all investments are authorized by current policy. Implementation will ensure that all investments are supported by a Board approved regulation.	Agree. The SBA investment will mature 9/25/2014. UNT will reinvest in compliance with the current investment regulations.	Jean Bush, Sr. Associate VP for Finance	9/25/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNT System	UNT System, UNT, and UNT Dallas do not have fully executed bank depository agreements with Wells Fargo. The bank depository agreement with Wells Fargo expired August 31, 2013. A draft agreement has been completed, but the agreement has not been finalized and executed.	High	Recommendation for Allen Clemson, Vice Chancellor for Administration and Chief of Staff (UNT System), Andrew Harris, Vice President for Finance (UNT), and Carlos Hernandez, Vice President of Finance and Administration/CFO (UNT Dallas): Finalize the UNT System, UNT, and UNT Dallas Bank Depository Agreements with Wells Fargo. Implementation will help ensure that Board of Regents expectations are met, bank deposits are safeguarded, and any favorable terms are in force.	UNT Response: Although the written agreement between Wells Fargo bank and UNT expired in 2013, the parties have continued to operate under the existing agreement with the same terms until the new contract can be finalized. Management will continue to work with the Office of the General Counsel to finalize the written agreement and expects to have a newly executed agreement by April 1, 2014. UNT Dallas Response: Agree. Management will continue to work with the Office of the General Counsel to finalize the written agreement and expects to have a newly executed agreement by UNT System Response: Agree. Bring closure to all unresolved issues and finalize depository agreements.	UNT: Allen Clemson, Vice Chancellor for Administration UNT Dallas :Carlos Hernandez, Vice President for Finance and Administration/CFO – UNTD UNT System: Alan Stucky	4/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNT System	The Investment Portfolio Summary graph reported in the UNT the Quarterly Investment Report for the period ending May 31, 2013 was not accurate. Additionally the earned income figure should have been \$148,566.64 versus the \$304, 933.53 reported.	Low	Recommended Management Action for Andrew Harris, Vice President for Finance and Administration (UNT): Review the UNT Quarterly Investment Report 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. Implementation will ensure that the information reported on a Quarterly Investment Reports is complete and accurate.	Agree. A correction to the May 31, 2013 quarterly investment report will be included with the next presentation of quarterly investment reports for the Board of Regents.	Jean Bush, Sr. Associate VP for Finance	5/20/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNT System	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.	Moderate	Recommended Management Action for Allen Clemson, Vice Chancellor for Administration and Chief of Staff (UNT System): 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. Implementation will assure compliance with UNT System Regulation, 08.2000.	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. Expected Implementation Date: Immediately	Carolyn Whitlock	2/7/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	UNTHSC did not include disclosure of an external investment advisor in response to the SAO's disclosure requirement question. UNTHSC answered "no" to the question "Does the institution employ outside investment advisors or managers." However, the response should be revised to yes, since the UNTHSC uses the UNTHSC Foundation for management of its endowment funds.	Moderate	Recommended action for Senior Vice President of Finance and Chief Finance Officer: Update the UNTHSC website investment disclosure to document use of an external advisor or managers pertaining to the use of the independent UNTHSC Foundation as an external investment advisor or manager. Compliance will ensure that regulatory reporting requirements are met and responses to requires questions have been properly noted.	Management agrees with recommendation. Management will update its website investment disclosures to reflect that UNTHSC uses an external advisor/manager, the UNTHSC Foundation, for management of some endowment funds.	Geoffrey Scarpelli, Controller and Chief Budget Officer	2/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	The first three quarterly investment reports for fiscal year 2013 were not published to the institution's website within the timeframe required by the SAO. The quarterly investment reports for November 30, 2012, February 28, 2013, and May 31, 2013 were not published to the institution's website until November 7, 2013. The SAO requires that quarterly reports be published on the institution's website within 90 days of the end of the quarter or 7 days after the investment report is presented to the Board, whichever occurs first. The August 31, 2013 quarterly report was published within SAO guidelines.	Low	Recommended action for Director of Financial Reporting: Publish Quarterly Investment Reports to the institutions website within 90 days after the end of the quarter or 7 days after the investment report is presented to the Board, whichever occurs first. Implementation will help ensure transparency and that SAO reporting requirements are met.	Management agrees with recommendation. Management will implement procedures to ensure that Quarterly Investment Reports are published to the institution's website within 90 days of the end of the quarter or 7 days after the report is presented to the Board, whichever occurs first. Expected Implementation Date: Previously Implemented. Individual Responsible for Implementation: Geoffrey Scarpelli, Controller and Chief Budget Officer	Geoffrey Scarpelli, Controller and Chief Budget Officer	2/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	UNTHSC Annual Tracking Report for Investment Reporting for fiscal year 2012 was not submitted within the timeframe required by the SAO. The Annual Tracking Report for Investment Reporting sends investment website locations to the SAO. For fiscal year 2012, the report was not submitted to the SAO until February 1, 2013. The fiscal year 2013 annual tracking report was submitted on December 11, 2013.	Low	Recommended action for Director of Financial Reporting: Send the Annual Tracking Report for Investment Reporting to the SAO by December 31 of each year. Implementation will help ensure that Rider 5 reporting requirements are met.	Management agrees with recommendation. Management will implement procedures to ensure that the Annual Tracking Report for Investment Reporting is submitted to the SAO by December 31st of each year. Expected Implementation Date: Previously Implemented Individual Responsible for Implementation: Geoffrey Scarpelli, Controller and Chief Budget Officer	Geoffrey Scarpelli, Controller and Chief Budget Officer	2/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	UNTHSC does not have a current executed bank depository agreement with JPMorgan Chase. The current depository for UNTHSC is JPMorgan Chase. The bank depository agreement with JPMorgan Chase expired on August 31, 2012. The expired agreement states: "The term may be extended until such time as the successor shall have been duly selected and qualified, such extension not to exceed 60 days." According to the Chief Finance Officer of UNTHSC, a draft agreement has been completed, but the agreement has not been executed.	High	Recommended action for Senior Vice President of Finance and Chief Finance Officer: 4. Finalize and fully execute the UNTHSC Bank Depository Agreement with JPMorgan Chase. Implementation will help ensure that BOR expectations are met, bank deposits are safeguarded, and any favorable terms are in force.	Management agrees with recommendation. Although the written agreement between J.P. Morgan Chase Bank expired in 2012, the parties have continued to operate under the agreement with the same terms until the new contract can be finalized. Management will continue to work with the Office of General Counsel to finalize the written agreement.	John A. Harman, Senior Vice President for Finance and CFO	4/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	UNTHSC does not have a Management Agreement with the UNTHSC Foundation to manage UNTHSC Medical Professional Liability Self-Insurance Funds. UNTHSC has an executed management agreement with the UNTHSC Foundation for the management of institutional tobacco funds, but this agreement does not include the management of Medical Professional Liability Self-Insurance Funds.	Moderate	Recommended action for Senior Vice President of Finance and Chief Finance Officer: Execute a new exhibit to the current agreement with the UNTHSC Foundation to include the management of Medical Professional Liability Self-Insurance Funds. Implementation will help ensure that Medical Professional Liability Self-Insurance Funds are adequately safeguarded and invested.	Management agrees with recommendation. Prior to January 17, 2014 an Exhibit did not exist. However, management executed Exhibit C to the Investment Management Agreement between the UNTHSC and the UNTHSC Foundation on January 17th for the management of the Medical Professional Liability Self Insurance Funds. The change in institutional Finance leadership in early FY2013 may have contributed to the delay in submittal since funds were initially invested with the Foundation prior to the transition in leadership.	John A. Harman, Senior Vice President for Finance and CFO	2/7/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	Signatory authority for the former UNTHSC Vice President of Finance and CFO was not removed from the bank account until ten months after he left his position. The former Vice President of Finance and CFO for UNTHSC remained with signatory authority over ten months while not in a role warranting that authority.	Low	Recommended actions for Controller and Chief Budget Officer: Develop a process to ensure that banking signatory authority cards are updated immediately to accurately reflect changes to personnel and only individuals with proper authority are active. Implementation will help ensure funds are adequately safeguarded and controlled.	Management agrees with recommendation. Management will work with system business service center and commercial banking personnel to ensure that banking signature cards submitted for changes in authorized personnel are updated in the electronic signature system in a timely fashion and only individuals with proper authority are active.	Geoffrey Scarpelli, Comptroller and Chief Budget Officer	3/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	During the prior administration, contract Amendments required for the NextGen EPM System functionality totaling more than \$1.02 million were approved and executed internally, but without the consent of UNT System Board of Regents. The NextGen EPM system implementation included two original contract amendments. The two contract amendments were presented and approved by the Board of Regents on May 12, 2011 in the amount of \$2.45 Million (\$2 Million for professional services and \$450,000 for hardware and infrastructure). Beginning on January 20, 2012, the first of an additional 17 contract amendments totaling \$1,058,112 were approved and executed due to the unforeseen need to 1) implement a separate bill center for Correctional Medicine and 2) additional applications licenses related to medical student and resident activity. Each individual contract amendment was approved and executed by the management of UNTHSC leadership; however, no additional approval or Board Order was provided to the Board of Regents noting the additional amendments and cost.	High	Recommendations for the current Senior Vice President for Finance and CFO: Ensure procedures are established for the new UNTHSC Administration to ensure approval of the UNT System Board of Regents related to Regents Rules requiring Board approval for all purchases exceeding \$1 million. Implementation will provide assurance that the Board of Regents are aware of and approve all contract amendments related to projects that in aggregate total more than \$1 million.	Management agrees. Additional contract amendments were executed over an eleven month period that in total exceeded \$1M. This was necessary to expand functionality and include the Correctional Medicine practice which was not envisioned in the original project scope. Management will develop a written procedure to be followed by all areas of the institution and, in support of Regents Rule 3.9, that reinforces the importance of management fully evaluating project scope and related estimated expenditures for contracted services. If, subsequent to Board approval, project scope is materially expanded or enhanced by an amount or cumulative amounts exceeding \$1M, management will inform the Board and seek advance approval where required.	John A. Harman- Senior Vice President for Finance and CFO	6/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	Moderate	<p>Recommendations for the Director, Process Improvement:</p> <p>Develop and implement a termination checklist for supervisors' that includes a step to notify Information Technology and Records and Information Management of a user's termination so network access can be disabled immediately.</p>	<p>What Action Management Commits To Do:</p> <p>1. A termination checklist for UNT Health Clinic Supervisors that includes notification to terminate a user's NextGen access and network access will be created and distributed.</p> <p>UNT Health has also approved the implementation of the following to address the recommendations above:</p> <p>1. NextGen has been configured to disable a user that has not logged into NextGen within a 30 day time period. these scenarios require intervention/review by the HIM Security Division.</p>	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	Moderate	<p>Recommendations for the Director, Process Improvement:</p> <p>Submit notifications to deactivate network access for active EPM users who are no longer employed with UNT Health.</p>	<p>What Action Management Commits To Do:</p> <p>2. Network access for users who are no longer employed has already been deactivated.</p> <p>UNT Health has also approved the implementation of the following to address the recommendations above:</p> <p>2. NextGen also forces a user to change their password after 120 days. If the password is not changed, the account locks and disables the user from logging in. (This follows the network security protocol as well.) these scenarios require intervention/review by the HIM Security Division.</p>	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	Moderate	<p>Recommendations for the Director, Records and Information Management:</p> <p>Update the UNT Health NextGen User Request Form to include a field for expiration dates.</p>	<p>What Action Management Commits To Do:</p> <p>3. The UNT Health NextGen User Request form will include a field for an expiration date which will be filled in for those users who are given authorized access for a limited period of time.</p>	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	Moderate	<p>Recommendations for the Director, Records and Information Management:</p> <p>Provide training to supervisory personnel regarding the updated UNT Health NextGen User Request Form and process. Implementation will provide assurance that network and NextGen EPM user accounts are immediately disabled and active NextGen EPM users are current employees and residents.</p>	<p>What Action Management Commits To Do:</p> <p>4. Training will be provided to UNT Health supervisors regarding the changes made to and the purpose of the UNT Health NextGen User request Form and process.</p>	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	NA	NA	<p>What Action Management Commits To Do:</p> <p>5. The Chief Compliance and Risk Management Officer and the Director of IT Infrastructure and Security will conduct a review of the process in UNT Health of deactivating a user's access to the EPM /NextGen and the network once the user is no longer authorized to access those systems or other UNTHSC network resources. If needed, changes in the process will be implemented in addition to the changes outlined in this Action Plan. Implementation oversight for any changes recommended will be provided by the Dean of TCOM/Interim Chief Medical Officer for UNT Health</p> <p>Since the audit, UNT Health has also approved the implementation of the following to address the recommendations above:</p>	Anthony Tissera, Director of IT Infrastructure and Security Anne E. Long, Chief Compliance and Risk Management Officer Dr. Don Peska, Dean – TCOM and Interim Chief Medical Officer - UNT Health	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Approval of Incidental Fees Review	UNTHSC	<p>UNTHSC does not have documentation in place to formally delegate authority for approval and review of incidental fees.</p> <p>The incidental fees at UNTHSC are split into three different categories: course fees, library fines, and all other incidental fees. Each category of incidental fees currently has its own approval process. The following are the results of testing for each category tested.</p> <p>Of the 20 course fees tested:</p> <ul style="list-style-type: none"> •Eight were appropriately approved by the BOR. •Ten were approved by the Provost without any formal delegation of authority from the President. •Two did not have approval documentation available. •Ten have not been reaffirmed since 1993. <p>Of the seven library fees tested:</p> <ul style="list-style-type: none"> •All seven were approved by the Library Director without any formal delegation of authority from the President. •Library fines were reviewed annually. <p>Of the 29 other incidental fees tested:</p> <ul style="list-style-type: none"> •Twenty-four were appropriately approved by the President. •Five did not have approval documentation available. 	Moderate	<p>Recommendations for Vice President of Administration & Chief of Staff:</p> <p>If the President elects to delegate authority to approve incidental fees, ensure appropriate documentation is in place to evidence such delegation. Further guidelines should also be documented outlining how often incidental fees are reviewed and reaffirmed.</p>	<p>Management Agrees. Management commits to work with the President and Provost to develop proper documentation of delegation of approval of incidental fees to the Provost from the President. In addition, Management will also develop and implement appropriate guidelines to ensure the required review and reaffirmation process occurs in compliance with state law and Regents Rules.</p> <p>Additional Comments: Once made aware of this compliance issue and prior to completion of this audit, the Provost's Office re-established procedures to ensure that incidental fees are being approved appropriately by the President until further documentation is developed.</p>	Jennifer Treviño, Vice President of Administration & Chief of Staff	7/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Approval of Incidental Fees Review	UNTHSC	<p>UNTHSC does not have documentation in place to formally delegate authority for approval and review of incidental fees.</p> <p>The incidental fees at UNTHSC are split into three different categories: course fees, library fines, and all other incidental fees. Each category of incidental fees currently has its own approval process. The following are the results of testing for each category tested.</p> <p>Of the 20 course fees tested:</p> <ul style="list-style-type: none"> •Eight were appropriately approved by the BOR. •Ten were approved by the Provost without any formal delegation of authority from the President. •Two did not have approval documentation available. •Ten have not been reaffirmed since 1993. <p>Of the seven library fees tested:</p> <ul style="list-style-type: none"> •All seven were approved by the Library Director without any formal delegation of authority from the President. •Library fines were reviewed annually. <p>Of the 29 other incidental fees tested:</p> <ul style="list-style-type: none"> •Twenty-four were appropriately approved by the President. •Five did not have approval documentation available. 	Moderate	<p>Recommendations for Vice President of Administration & Chief of Staff:</p> <p>Review all incidental fees to ensure appropriate approval and supporting documentation is in place. Implementation will help ensure that all incidental fees are properly approved in accordance to state law, and reviewed and reaffirmed periodically.</p>	<p>Management Agrees. Management commits to work with the President and Provost to develop proper documentation of delegation of approval of incidental fees to the Provost from the President. In addition, Management will also develop and implement appropriate guidelines to ensure the required review and reaffirmation process occurs in compliance with state law and Regents Rules.</p> <p>Additional Comments: Once made aware of this compliance issue and prior to completion of this audit, the Provost's Office re-established procedures to ensure that incidental fees are being approved appropriately by the President until further documentation is developed.</p>	Jennifer Treviño, Vice President of Administration & Chief of Staff	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	<p>Required forms and fees were not processed to the SAB. Additionally, documentation was not retained or updated to evidence the Annual Cadaver and Use Report was filed for the period ended July 31, 2013. For four of the 18 files reviewed, a Form A indicating receipt of a donor cadaver had not been filed and the \$8 SAB fee had not been remitted to the SAB. These donors were received in the lab during January 2013. Additionally, the Department did not retain a copy of the Annual Cadaver and Use Report filed with the SAB for the period ended July 31, 2013. Internal Audit could not confirm that the report was filed or was filed in a timely manner.</p>	Moderate	<p>Recommendations for the Director of Anatomical Services:</p> <p>Review donor records to ensure that all required forms and fees have been filed and submitted for all donors to the SAB.</p>	<p>Management agrees. A procedure plan is in the process of being created to address the SAB Coordination. Additionally, going forward a confirmation from the SAB will be obtained to evidence receipt of all required reports and will maintain copies of all documents filed with the SAB.</p>	Robin Belcher, Director of The Willed Body Program	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	<p>Required forms and fees were not processed to the SAB. Additionally, documentation was not retained or updated to evidence the Annual Cadaver and Use Report was filed for the period ended July 31, 2013. For four of the 18 files reviewed, a Form A indicating receipt of a donor cadaver had not been filed and the \$8 SAB fee had not been remitted to the SAB. These donors were received in the lab during January 2013. Additionally, the Department did not retain a copy of the Annual Cadaver and Use Report filed with the SAB for the period ended July 31, 2013. Internal Audit could not confirm that the report was filed or was filed in a timely manner.</p>	Moderate	<p>Recommendations for the Director of Anatomical Services:</p> <p>Develop a process to ensure forms and fees are processed with the SAB and recorded properly</p>	<p>Management agrees. A procedure plan is in the process of being created to address the SAB Coordination. Additionally, going forward a confirmation from the SAB will be obtained to evidence receipt of all required reports and will maintain copies of all documents filed with the SAB.</p>	Robin Belcher, Director of The Willed Body Program	9/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	Required forms and fees were not processed to the SAB. Additionally, documentation was not retained or updated to evidence the Annual Cadaver and Use Report was filed for the period ended July 31, 2013. For four of the 18 files reviewed, a Form A indicating receipt of a donor cadaver had not been filed and the \$8 SAB fee had not been remitted to the SAB. These donors were received in the lab during January 2013. Additionally, the Department did not retain a copy of the Annual Cadaver and Use Report filed with the SAB for the period ended July 31, 2013. Internal Audit could not confirm that the report was filed or was filed in a timely manner.	Moderate	Recommendations for the Director of Anatomical Services: Obtain confirmation with the SAB to evidence their receipt of all required reports such as the Annual Cadaver and Use Report. Maintain copies of all documents filed with the SAB. Implementation will provide assurance that SAB forms, fees and reports are filed for each donor.	Management agrees. A procedure plan is in the process of being created to address the SAB Coordination. Additionally, going forward a confirmation from the SAB will be obtained to evidence receipt of all required reports and will maintain copies of all documents filed with the SAB.	Robin Belcher, Director of The Willed Body Program	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	Unauthorized individuals have card key access to the Laboratory and Embalming Room. As of January 30, 2014, the list of individuals with authorized card access to the Embalming room (RES 228) was 303 and the Gross Anatomy Lab (RES 242) was 2,380. Based on the review performed by the Department and Internal Audit of these lists, it was determined that there were 176 unauthorized users for the Embalming room and 1,839 unauthorized users for the Gross Anatomy Lab.	Moderate	Recommended action for the Director of Anatomical Services and Chair of Integrative Physiology: Remove access to the Laboratory and Embalming Room where bodies and anatomical specimens are held for unauthorized individuals.	Management agrees to review the Access List immediately and at the end of each semester, and send a list to Campus Police of individuals who need to have their badge access deactivated.	Sandra Clapp, Sr. Administrative Coordinator.	5/30/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	Unauthorized individuals have card key access to the Laboratory and Embalming Room. As of January 30, 2014, the list of individuals with authorized card access to the Embalming room (RES 228) was 303 and the Gross Anatomy Lab (RES 242) was 2,380. Based on the review performed by the Department and Internal Audit of these lists, it was determined that there were 176 unauthorized users for the Embalming room and 1,839 unauthorized users for the Gross Anatomy Lab.	Moderate	Recommended action for the Director of Anatomical Services and Chair of Integrative Physiology: Develop a process to periodically review the lists of individuals with Laboratory and Embalming Room access and remove unauthorized individuals. Implementation will provide assurance that only authorized individuals have access to the laboratories.	Management agrees to review the Access List immediately and at the end of each semester, and send a list to Campus Police of individuals who need to have their badge access deactivated.	Sandra Clapp, Sr. Administrative Coordinator.	5/30/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	The Department did not perform an informal bid process for selecting a vendor to perform crematorium services during the review period. The Department did not perform an informal bid process to obtain cremation services during the period under review. The Department has used the same vendor for many years.	Low	Recommendation for the Director of Anatomical Services: The Department should proceed through an informal bid process for crematorium services. Implementation will provide assurance that UNTHSC obtains the best value for services purchased and compliance with the UNTHSC Purchasing Guidelines.	Management agrees. At least 3 informal bids will be requested before issuing contract.	Robin Belcher, Director of The Willed Body Program	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	The Department does not have written policies and procedures for its operations including maintenance or records and for the proper disposal non-return cremains. The files and spreadsheets maintained by the Department noted many items that were incomplete and not updated in a timely manner. It was noted in 8 of 18 files in our sample that the donor checklist forms were not always fully completed or updated. Many were missing dates, for example, date of cremation, return of cremains, and cremains received by/sent were often not updated in the files. Some of the same items were noted in the spreadsheets maintained by the Department. The Department is currently storing non-return cremains in a storage cabinet.	Low	Recommendation for the Director of Anatomical Services: In consultation with the Office of General Counsel, develop policies and written processes for all processes of the Department including maintenance of records and for the proper disposal of non-return cremains. Implementation of written procedures will provide for consistency and guidance with Departmental processes.	Management agrees. A Policy and Procedures document is being created.	Robin Belcher, Director of The Willed Body Program.	9/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	The Department does not maintain an inventory of anatomical specimens. The Department does not maintain an inventory of anatomical specimens. Anatomical specimens are removed from donors and retained in labeled boxes, in the lab, for teaching purposes. They are not numbered with the donors SAB number and can be retained in the lab after the donor has been cremated. Specimens are cremated when they are no longer usable. The cremains are not returned.	Low	Recommended action for the Director of Anatomical Services: Consider maintaining an inventory of anatomical specimens that contains an item number, date specimen retained, description and location. Implementation will provide assurance that the Department has a record of anatomical specimens.	Management agrees. A spread sheet will be created to document specimens and their locations. A form will be created for each specimen with a description and columns for: Date of check out, Name of person checking out, Date of check in, Name of person checking specimen back in.	Robin Belcher, Director of The Willed Body Program and Sandra Clapp, Sr. Administrative Coordinator.	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	A policy has not been established requiring executive level approval of checks exceeding a set monetary threshold.	High	Recommended action for the Vice Chancellor for Finance: Create a formal UNT System regulation or policy requiring executive level review and signature of checks for all transactions exceeding an established dollar threshold.	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.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	Employees with signature card authority also have access to alter the general ledger through the ability to process journal entries within the EIS PeopleSoft system. Internal Audit noted three instances where an authorized signer on the UNT general fund account and payroll account also had the authority to create and approve journal entries directly in the system.	High	Recommended actions for the Vice Chancellor for Finance: Review all current employees with bank signature authority and confirm appropriate segregation of duties exist.	Management concurs with the recommendation to review all current employees with bank signature authority and confirm appropriate segregation of duties exist. Immediate review is being completed in high priority areas with action being taken as warranted. A comprehensive review has also begun that will address all areas. An interim policy is being immediately established that the System Treasurer will be responsible for adding and deleting all bank signatory authority. This immediate provision will include scheduled inventory and segregation of duties.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	The removal of signatory authority access for terminating employees from University bank accounts was not completed timely. Of the nine employees that left their signatory role during fiscal year 2013, five were not removed immediately from University bank accounts. Three employees were removed within two weeks. Additional review of the two remaining employees revealed the following: • One UNT employee remained with signatory authority over two years after retiring from the University. • One HSC employee held signature authority for over ten months while not in a role to warrant that authority, as also identified in the recent Fiscal Year 2013 Investment Review (Audit No. 14-002 HSC).	High	Recommended actions for the Vice Chancellor for Finance: Develop a process to ensure that banking signatory authority cards are updated immediately to accurately reflect personnel changes and only individuals with current fiduciary responsibility have bank signatory authority.	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.	VC for Finance	7/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	The removal of signatory authority access for terminating employees from University bank accounts was not completed timely. Of the nine employees that left their signatory role during fiscal year 2013, five were not removed immediately from University bank accounts. Three employees were removed within two weeks. Additional review of the two remaining employees revealed the following: • One UNT employee remained with signatory authority over two years after retiring from the University. • One HSC employee held signature authority for over ten months while not in a role to warrant that authority, as also identified in the recent Fiscal Year 2013 Investment Review (Audit No. 14-002 HSC).	High	Recommended actions for the Vice Chancellor for Finance: 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.	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.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	UNT System, UNT, and UNT Dallas were not compliant with the records retention requirements outlined in 13 Tex. Admin. Code § 6.10 by not retaining historical signature cards. Signature cards for UNT, UNT Dallas, and UNT System bank accounts are shredded once they are superseded and not retained by UNT Financial Reporting personnel as required by the TAC.	Moderate	Recommended actions for the Vice Chancellor for Finance: Establish a process to ensure retention of signature cards, once superseded, through the end of the fiscal year and an additional three years in accordance with the state record retention requirements.	Management concurs with the recommendation and will ensure that policies, procedures, and processes are in place along with adequate staff training to retain records in compliance with The Texas State Records Retention Schedule.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	The Office of Financial Reporting & Operations discovered a University bank account which was being maintained at the department-level. In May of 2013, the UNT Financial Reporting personnel discovered the UNT's Federal Perkins Loans bank account was being managed in the Student Financial Aid and Scholarships Office.	Moderate	Recommended actions for the Vice Chancellor for Finance: Develop a UNT System policy that documents the authority and requirements to establish, maintain, update, and close bank accounts, which includes: • An annual confirmation verifying directly with the bank, all bank accounts bearing the name University of North Texas in their title, listed as their customer, or with a UNT tax ID number, and • A statement of where each entity's signature cards and policy statements are to be maintained.	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.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Chancellor's and Presidents' Reviews Audit	UNT System	Certain services over a several year period provided to or paid on behalf of the former UNT President qualify as a non-cash fringe benefit and may be subject to taxation under Internal Revenue Code. Services provided to or paid on behalf of the President include rent, electricity, water and waste services, automobile, automobile insurance, lawn service, maid service, NTTA toll service, and residential telephone service among others.	High	It is recommended that the Associate Vice Chancellor for Business Services: Coordinate with the Office of General Counsel to evaluate whether certain services provided to or paid on behalf of the former UNT President qualify as fringe benefits subject to taxation under the Internal Revenue Code (IRC) and amend any prior period tax reporting, as required. Implementation will ensure compliance with Internal Revenue Code.	The UNT System Business Service Center agrees with the recommendation. The UNT System Business Service Center will coordinate with the UNTS Office of General Counsel to evaluate any taxation required for the services provided to or on behalf of the former UNT President. If required, a W-2C will be issued to the individual and the IRS for each calendar year as necessary.	Carol McFarland, Tax Accountant	5/30/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Chancellor's and Presidents' Reviews Audit	UNT System	Policies do not specifically require itemized business meal receipts in accordance with IRS requirements. Some of the receipts submitted for reimbursement of business meals were not itemized and did not identify the number of meals provided or the number of individuals served on the vendor receipt. However, in accordance with institutional policies, the Chancellor's and Presidents' Offices noted the names of the individuals that were served.	Moderate	<p>It is recommended that the Associate Vice Chancellor for Business Services:</p> <p>In coordination with the Business Services Operations Committee, develop and implement a comprehensive system-wide travel and expense policy that includes a requirement that individuals seeking reimbursement for business meals to submit itemized meal receipts from the vendor that either lists the meals or the number of individuals served in support of reimbursement requests. Further, this travel and expense policy should be comprehensive and ensure compliance with all IRS requirements for travel and expenditure reimbursements. Implementation of a requirement that itemized receipts for business meals be included with all reimbursement requests should assure any tax issues related to business meals are addressed and it will assure that only allowable expenses are processed against certain fund types. Further, implementation will outline all IRS requirements for travel and expenditure reimbursements.</p>	<p>The UNT System Business Service Center agrees with the recommendation.</p> <p>The BSC has submitted a draft travel management policy to the UNT System Administration for review. The standardized procedures outlining receipt requirements for business meals and meals while in a travel status will be updated in the Purchasing Guidelines and Travel Guidelines published on the BSC website to reflect this requirement.</p>	Debbie Reynolds, Executive Director of Procurement Services	5/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	<p>Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below:</p> <p>1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required.</p> <p>2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required.</p> <p>3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing:</p> <p>A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation.</p> <p>B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication</p>	Moderate	<p>Recommendations for AVP of Research Administration at UNTHSC:</p> <p>Evaluate and improve the process for notifying:</p> <p>a) Principal Investigators of upcoming due dates, and b) Administration personnel when due dates have passed and a report has not been filed.</p> <p>Implementation will provide assurance that grant conditions for reporting requirements and allowable</p>	<p>Notifications: Progress Reports HSC currently distributes a 90 and 30 day courtesy notification to all Principal Investigators (PIs) for final progress reporting as part of the award close-out process. A copy of the report for the file is requested from the PI. For CPRIT awards, OGCM will enhance this process by tracking submission dates for quarterly and annual progress reports and sending an additional email reminder to the PI with a copy to the department chair if the PI has not submitted the progress report 30 days past the sponsor due date.</p> <p>Additional Comments: Progress reporting is the responsibility of the PI with the support of department administration. Progress reports do not require institutional level signatures. This PI responsibility is documented in university policies and procedures.</p> <p>Notifications: Financial Reports OGCM will set up milestones in EIS for all quarterly and final reporting periods and generate a monthly query to better track sponsor due dates. The query will be reviewed monthly by the Accountant and the Director of Grants and Contracts to provide better monitoring of sponsor due dates.</p> <p>Notifications: Effort Reports OGCM developed and implemented a new on-line effort reporting system in June 2014 with supporting policies and procedures. Campus training was completed February 2014.</p>	Mazen Barakat, Director of Grants and Contract Management	9/30/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	<p>Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below:</p> <p>1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required.</p> <p>2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required.</p> <p>3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing:</p> <p>A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation.</p> <p>B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication</p>	Moderate	Maintain supporting documentation in accordance with record retention guidelines to evidence the dates of required report submission as well as for funds expended on CPRIT grants. Implementation will provide assurance that grant conditions for reporting requirements and allowable	Maintain supporting documentation: Report Submissions For CPRIT awards, OGCM will request and maintain all quarterly and annual progress reports. OGCM already maintains all quarterly and final financial reports and final progress reports.	Mazen Barakat, Director of Grants and Contract Management	9/30/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	<p>Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below:</p> <p>1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required.</p> <p>2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required.</p> <p>3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing:</p> <p>A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation.</p> <p>B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication</p>	Moderate	Remove telecommunication service charges from CPRIT grants. Implementation will provide assurance that grant conditions for reporting requirements and allowable	Remove Telecommunication Services Charges OGCM will remove the telecommunication service charge for \$20 from the CPRIT grant.	Mazen Barakat, Director of Grants and Contract Management	8/15/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	<p>Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below:</p> <ol style="list-style-type: none"> 1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required. 2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required. 3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing: <ul style="list-style-type: none"> A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation. B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication 	Moderate	Work with CPRIT to resolve expended funds that could not be substantiated. Implementation will provide assurance that grant conditions for reporting requirements and allowable	<p>Work with CPRIT to resolve expended funds that could not be substantiated OGCM will work with CPRIT to resolve the expended funds on the hourly paid individual for which we were unable to locate timesheets.</p> <p>Additional Comments: Human Resources (HR) was unable to locate timesheets for one hourly paid individual; however, through a written letter to OGCM, the Director of Human Resources indicated during the specific dates of the requested timesheets, the employees who maintained the timekeeping records were relocated to a new building on campus. The letter also indicates a filing system has been established at the new location that ensures future compliance with record retention requirements for timekeeping records in accordance to university policy.</p>	Mazen Barakat, Director of Grants and Contract Management	12/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	UNT Endowment Review Audit	UNT	<p>The composition of the scholarship committee does not conform to requirements outlined in the Frank Bracken PLP Endowment MOU. The Director for Budget and Administration in the College of Business Dean's Office stated that "the committee does not fully meet the criteria included in the Gift Agreement." The conclusion was based on an email communication from an Administrative Coordinator in the Professional Leadership Program (PLP) College of Business, who described the composition of the Scholarship Committee as the Executive Director, the Assistant Director, and the Chairman of the PLP Advisory Board.</p>	Low	<p>Recommend for Director of the Professional Leadership Program (PLP):</p> <p>Reorganize the Frank Bracken PLP Endowment scholarship committee to include those individuals as prescribed by and agreed to in the Gift Agreement as follows:</p> <ul style="list-style-type: none"> • At least three (3) College of Business faculty members; • Representatives of the PLP Advisory Board; • PLP Community Partners, and • College of Business Administration staff. <p>Implementation will provided assurance of compliance with the gift agreement, and minimize the potential loss of endowment funds and other gifts, strained relations between donors and the University affecting future gifts, and negative publicity and damage to the University's reputation.</p>	<p>We agree that the scholarship committee was not properly constituted in accordance with the MOU. Because of difficulty in convening such a large group, the PLP director will first meet with the donor to discuss revising the MOU to allow a more streamlined committee, and will document the outcome appropriately. Following that meeting, the PLP director will closely adhere to the current or revised MOU, as applicable, in organizing the scholarship committee with oversight by the Dean's office.</p>	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Adjusting Journal Entry Investigation	UNT	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.	High	Develop and document a UNT Allowance for Doubtful Accounts Policy, based on historical receivable information, to establish guidelines for accurately estimating uncollectible amounts.	UNT/UNTS concur and will review the current UNT Allowance for Doubtful Accounts Policy in comparison to historical receivable collectability to ensure the Policy and related process results in an accurate estimate. Any required revisions to the current Policy will be completed before August 31, 2014. UNT/UNTS will periodically evaluate all receivables in light of this Policy to determine receivable collectivity and appropriate asset value. UNT/UNTS will also ensure all necessary action is taken relative to the referenced UNT adjusting journal entry and will recalculate the Allowance for Doubtful Accounts estimate presented in the FY 2013 UNT and UNTS consolidated financial statements to ensure the net accounts receivable balance was presented accurately. Any necessary adjustments to prior period UNT and UNTS consolidated financial statements will be completed by August 31, 2014.	Dan Stephens, Assistant Vice-Chancellor Finance/Controller	Original 08/31/14 Revised 08/31/16 Actual 08/16/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	The name of a former employee is listed as the contact on monthly statements	Moderate	Recommendation for the Chair of Finance, Insurance, Real Estate, and Law: Coordinate with the Vice President for Finance and Administration to correct the contact name on the monthly statement. Implementation will provide assurance that the current Vice President of Finance and Administration will be listed on the monthly statements and assist in assuring compliance with Section 3-2.	1. Management agrees. The chair of the FIREL department has scheduled a meeting for January 29, 2015 with the Vice President for Finance to discuss the issue.	The Chair of FIREL with assistance from the Vice President for Finance and Administration	1/29/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Construction Close-out Process Review	UNT System	Three construction project accounts associated with completed projects at UNT Dallas remain open with deficit balances totaling \$214,807. When a construction project has been determined to be substantially complete, this starts the beginning of the one year project warranty period. During this warranty period steps are usually taken by System Facilities to close the project by the end of the warranty period. However, this process has been delayed due to the deficit balances.	Low	Suggested Management Action for James Maguire, Vice Chancellor for Facilities Planning and Construction & Chief Architect: Work with UNT Dallas personnel and take appropriate steps to identify funding to cover the account deficits, and then close the open accounts associated with the construction of the buildings at UNT Dallas.	UNT System Facilities agrees with the report finding. 1)There are multiple accounts associated with the construction of the buildings at UNT Dallas. UNT System Facilities will meet with UNT Dallas budget personnel to identify appropriate expenditures that can be moved from deficit accounts to accounts with available funds and then assist them in the closing the associated accounts.	Don Lynch, Director of System Facilities Administration	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Construction Close-out Process Review	UNT System	Three construction project accounts associated with completed projects at UNT Dallas remain open with deficit balances totaling \$214,807. When a construction project has been determined to be substantially complete, this starts the beginning of the one year project warranty period. During this warranty period steps are usually taken by System Facilities to close the project by the end of the warranty period. However, this process has been delayed due to the deficit balances.	Low	Suggested Management Action for James Maguire, Vice Chancellor for Facilities Planning and Construction & Chief Architect: Develop procedures and controls to assure that construction accounts are closed in a timely manner and expenditures cannot be charged to accounts that will result in deficit spending. Implementation will ensure that UNT Dallas project accounts are closed and the deficit spending is addressed.	UNT System Facilities agrees with the report finding. 2)At the end of a project warranty period, UNT System Facilities will close all associated general ledger project accounts out within 12 months. In addition, a project close out checklist will be developed documenting the action steps taken to close the project and the date completed.	Don Lynch, Director of System Facilities Administration	1/31/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	JAMP Review	UNT	Based on the results of the procedures performed, processes and controls related to JAMP financial activity appear to be effective and functioning as intended. Expenditures were in compliance with the JAMP Agreement and JAMP Expenditure Guidelines. In addition, the final FY 2013 JAMP Expenditure Report prepared by the Office of Research Services and submitted to the JAMP Council was accurate. Expenditures for fiscal year 2013 totaled \$16,135; resulting in \$677 in unspent funds. These funds are in the process of being returned to the JAMP Council.	NA	None	NA	NA	NA	NA
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-01 Safety: Chemical Safety: Respiratory Protection Program - During the consultation, SORM noted that according to their Safety Data Sheets, chemicals being used on campus have been assigned OSHA Permissible Exposure Limits and/or ACGIH Threshold Limit Values. However, no testing has been conducted to determine the level of the employees' exposure to these hazards.	NA	SORM recommends that UNTHSC measure the levels that the employees are exposed to. Based on the results of the testing, an OSHA-compliant respiratory protection program may need to be implemented.	We will partner with our School of Public Health to perform exposure assessments on employees.	Matthew Moncus, Director, Safety Office	9/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-02 Safety: Fire Safety: Sprinkler System Maintenance - During the consultation, SORM noted that UNTHSC has a functional sprinkler system in most of the buildings on campus. Annual maintenance is being conducted by a third-party vendor. Upon review, some of the quarterly tasks listed in NFPA-25 are not listed on the vendor-provided checklists, and therefore, are not being completed.	NA	SORM recommends that UNTHSC work with the third-party vendor and the UNTHSC maintenance personnel to ensure that all inspections, testing, and maintenance of the sprinkler systems conform to NFPA-25. If the vendor's procedures are out of compliance with this standard, SORM recommends that the university consider terminating the contract with this vendor as soon as possible, and contracting with a vendor who will comply with the standard.	We will meet with the vendor and discuss inspection procedures, requirements, and evaluate if the vendor can meet our needs. If they cannot we will begin the process of selecting a new vendor.	Matthew Moncus, Director, Safety Office	6/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-03 Safety: Hazard Communication: Eyewash Nozzle Caps (EAD Building) - SORM noted during the consultation that required nozzle caps on eyewash stations in the EAD Building were missing. Without these nozzle caps, dust and other debris can present an additional hazard to an employee flushing their eyes from a chemical exposure.	NA	SORM recommends that UNTHSC replace the required nozzle caps, as per the OSHA and ANSI standards.	Submitted work orders to have the nozzle caps replaced with a type that is not easily broken.	Matthew Moncus, Director, Safety Office	5/13/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-04 Safety: Fire Safety: GFCI (Electronic Water Fountain) - SORM noted during the consultation that an electronic water fountain in the library was not protected by a Ground Fault Circuit Interrupter, as required by the National Electrical Code.	NA	SORM recommends that UNTHSC provide this protection, either in the receptacle or on the circuit breaker.	Work order has been submitted to replace all outlets near water fountains with GFCI outlets.	Matthew Moncus, Director, Safety Office	6/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-05 Safety: Fire Safety: Standpipe Cap - SORM noted during the consultation that a standpipe in front of the cooling towers on Montgomery Street was missing one of its required caps. Without the required cap, debris may accumulate in the hose connection such that the system may malfunction.	NA	SORM recommends that UNTHSC replace this cap, as per the NFPA standard.	A work order has been issued to replace the cap.	Matthew Moncus, Director, Safety Office	5/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-06 Safety: Fire Safety: Sprinkler Heads - SORM noted during the consultation that two sprinkler heads in the EAD Building (one on the fourth floor, one on the fifth floor) were covered in dirt and debris. One sprinkler head on the fifth floor was ingressed into the ceiling tile. In these conditions, these sprinkler heads will not function as designed by the manufacturer, and thereby present a fire hazard.	NA	SORM recommends that UNTHSC repair these sprinkler heads, ensure that all inspections are done according to NFPA-25, and promptly correct any deficiencies once they are noted.	We will inspect the sprinkler heads more thoroughly and correct the deficiencies found. The Safety Office will assist in inspections to provide greater oversight in this task. A work order has been placed to repair the items observed during the inspection.	Matthew Moncus, Director, Safety Office	8/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-07 Safety: Fire Safety: Electrical Panelboard - SORM noted during the consultation that an electrical panelboard in the Internal Audit Building was missing a required knockout, thereby creating a fire hazard.	NA	SORM recommends that UNTHSC insert the required knockout, as per the National Electrical Code.	A work order has been submitted to replace the knockout in the panel.	Matthew Moncus, Director, Safety Office	5/31/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-08 Safety: Fire Safety: Exit Sign - SORM noted during the consultation that an exit sign on the 5th floor of the MET was incorrectly indicating a path of travel.	NA	SORM recommends that UNTHSC correct this sign to properly direct the flow of traffic in an emergency.	A work order has been submitted to change the signage.	Matthew Moncus, Director, Safety Office	5/31/2015	Closed
External	Counsel on Education for Public Health Accreditation Committee	Fiscal Year 2015	Governance and Regulatory Compliance	National CEPH Certification	UNTHSC	Accreditation approved through 12/31/2022.	NA	None	NA	NA	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System - University of North Texas Health Science Center Benefits Funding Proportionality Analysis University of	UNTHSC	Based on the methodology used, the analysis identified no excess benefit expenditures or ineligible salary expenditures reimbursed paid to UNTHSC. Additionally, the AY2012 & AY2013 Accounting Policy Statement 011 forms submitted by UNTHSC were reviewed with no material issues identified.	NA	None	NA	NA	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Benefits Funding Proportionality Analysis University of	UNT System	Based on the methodology used, the analysis identified no excess benefit expenditures or ineligible salary expenditures reimbursed to UNTS.	NA	None	NA	NA	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System - University of North Texas at Dallas Benefits Funding Proportionality Analysis University of	UNT Dallas	The following exceptions were identified through the analysis of the appropriation year 2012 APS 011 form submitted to the TXCPA and should be discussed with TXCPA for any required remediation steps: - The appropriated amount for TRS expenditures through Fund 0001 was not included in Section 2.c of the finalized form. This amount was recorded as \$0.00 instead of \$353,077.69. - The TRS expenditure component of the local funds adjustment section of the APS 011 was reported as \$41,430.00 instead of \$394,507.69, which resulted in the GRD local funds adjustment in Section 1 being reported as (\$166,137.00) instead of (\$210,107.00).	NA	None	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Compliance with Generally Accepted Accounting Principles (GAAP): The process related to the preparation of the combined financial statements and related footnotes is not well defined and documented and does not require a detailed review and verification of financial information to substantiate the accuracy and completeness of the information presented. As a result, there is a risk that information is not properly presented or disclosed in accordance with GAAP. Some of the specific issues noted throughout this report point to specific errors identified, however there is a risk that other errors in the financial statements may exist and should be addressed to determine the proper presentation in accordance with GAAP.	High	Implement a process to validate financial statements are prepared and presented in accordance with GAAP. This should include implementing a process for proper detailed review by management of the financial statements. This process should include: -The definition of roles and responsibilities relative to the preparation and review of the financial statements; -The use of a footnote disclosure checklist to evaluate relevant footnotes are included; and -A detailed review of schedules supporting the financial statements, including the cash flow statement, the footnotes to the financial statements, and the management discussion and analysis. - Independently review the detail of the consolidation working papers for the financial statement line items and related footnotes for the fiscal year 2013 financial statements to identify errors or missing disclosures. - Perform an analysis of the Chart of Accounts to deactivate unnecessary or unused accounts, and implement procedures to review the Chart of Accounts on a periodic basis.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Financial Statement Integrity Thread and Account Reconciliation and Validation Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Compliance with Generally Accepted Accounting Principles (GAAP): The process related to the preparation of the combined financial statements and related footnotes is not well defined and documented and does not require a detailed review and verification of financial information to substantiate the accuracy and completeness of the information presented. As a result, there is a risk that information is not properly presented or disclosed in accordance with GAAP. Some of the specific issues noted throughout this report point to specific errors identified, however there is a risk that other errors in the financial statements may exist and should be addressed to determine the proper presentation in accordance with GAAP.	High	Independently review the detail of the consolidation working papers for the financial statement line items and related footnotes for the fiscal year 2013 financial statements to identify errors or missing disclosures.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Financial Statement Integrity Thread and Account Reconciliation and Validation Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Compliance with Generally Accepted Accounting Principles (GAAP): The process related to the preparation of the combined financial statements and related footnotes is not well defined and documented and does not require a detailed review and verification of financial information to substantiate the accuracy and completeness of the information presented. As a result, there is a risk that information is not properly presented or disclosed in accordance with GAAP. Some of the specific issues noted throughout this report point to specific errors identified, however there is a risk that other errors in the financial statements may exist and should be addressed to determine the proper presentation in accordance with GAAP.	High	Perform an analysis of the Chart of Accounts to deactivate unnecessary or unused accounts, and implement procedures to review the Chart of Accounts on a periodic basis.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Financial Statement Integrity Thread and Account Reconciliation and Validation Thread.	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Inadequate Financial Reporting and Accountability Practices: Recent finance organizational changes, such as personnel departures, have left the finance organization without consistent leadership and process accountability.	High	Perform personnel assessments to determine whether knowledgeable employees with requisite higher education and governmental accounting and financial reporting experience are assigned to critical financial reporting positions. In addition, management should consider its current hiring practices in the evaluation, including minimum requirements for supervisory/managerial positions in order to promote accountability of financial processes.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Change Management and Governance Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Undocumented or Insufficiently Established Financial Policies and Procedures: While some financial policies and procedures have been established, there is currently no formal process in place to review, revise, and evaluate these guidelines on a periodic basis to facilitate applicability and pertinence and determine that they are consistently applied across the component institutions. In addition, the lack of formal review over policies and procedures subjects UNTS to potential non-compliance with GAAP, as well as regulatory and compliance requirements.	High	Institute an initiative to fully inventory and review existing financial policies and procedures. Additionally, consideration should be given, as part of this review, to determine whether policies and procedures fully meet management's intention and are in accordance with GAAP. A formal review process should be established to confirm policies and procedures are reviewed on periodic basis going forward (at least annually).	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, management has identified financially significant policies that are currently being drafted within the Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Improper Segregation of Duties (SOD) Between Job Responsibilities: Current practices indicate that measures to prevent or detect SOD conflicts have not been established by management. This includes preventative or detective measures within applications, business process, and recording of transactions to the general ledger.	High	Management should promptly establish policies and procedures to prevent the assignment of conflicting job duties. Consideration should be given to personnel job duties within individual applications, between applications, and manual activities performed outside of an application. Additionally, an initiative should be instituted to analyze current job responsibilities in order to identify and terminate SOD conflicts, including canceling system access for personnel that are no longer employed by UNTS or do not require access to particular application roles based on their job responsibilities.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and IT Alignment Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Untimely, Incomplete, and Inaccurate Account Reconciliation Management Practices: Management of the account reconciliation process does not provide proper oversight of the accuracy of UNTS's general ledger and the financial statements. Specifically: <ul style="list-style-type: none"> · Account balances were not reconciled as of August 31, 2013; · The balances on the reconciliations did not agree to the general ledger and, if applicable, respective subsidiary ledgers; · The reconciliations were not reviewed in detail; · Reconciling items were not researched and cleared on a timely basis; and · The reconciliations were not performed on a timely basis. 	High	Management should promptly establish procedures governing account reconciliation practices to confirm significant accounts are reconciled completely and on a timely basis. In addition, management should issue guidance on researching and resolving reconciling differences to confirm that such differences are investigated for proper accounting treatments. Management should also consider implementing processes to require a supervisor or manager with requisite knowledge of the account to review the reconciliation for completeness and accuracy, as well as standardize and define an appropriate account reconciliation.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Account Reconciliation and Validation Thread.	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Promptly implement the following practices: Require that proper documentation be maintained with journal entries with financial reporting office.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Perform an analysis of journal entries recorded in FY2013 and FYE 2014 to date to identify errors in reporting.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Configure PeopleSoft to enforce that bookkeepers and approvers can only post/approve journal entries into the specific accounts to which they are assigned. Management should regularly review the list of accounts for which each bookkeeper is authorized to create entries.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Configure PeopleSoft so that approvers cannot approve their own entries.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Establish a formal written policy that disallows approvers from approving their own entries and/or from creating entries, sending them to a bookkeeper to place into PeopleSoft, and then approving them.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Establish formal written policies that require entries to be reviewed by someone at least one level higher than their original creator.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Establish dollar amount thresholds that each level of bookkeeper can create, as well as the minimum level of review required prior to posting.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Restrict the preparation and review of journal entries to individuals with financial accounting and reporting responsibilities.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Undocumented Business Processes: UNTS has not maintained written documentation for certain business processes identified as key by UNTS management. Management cannot efficiently identify, nor do they have sufficient documentation on, the significant flow of transactions, including ownership of the processes impacting its components and the consolidated financial statements.	High	Implement an initiative to document business processes to validate that current documentation is properly prepared and maintained.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Undocumented Business Processes: UNTS has not maintained written documentation for certain business processes identified as key by UNTS management. Management cannot efficiently identify, nor do they have sufficient documentation on, the significant flow of transactions, including ownership of the processes impacting its components and the consolidated financial statements.	High	Additionally, management should consider preparing desired end-state documentation, such as narratives and graphical process flows, as part of its finance transformation objectives to address identified process gaps.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread.	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Ineffective Internal Control Design and Implementation: There are currently no governing practices to determine proper internal controls over financial reporting have been established by UNTS management to meet management's financial reporting assertions. Additionally, upon comparison of UNTS's current internal control environment to industry leading practices, considerable gaps in the design and implementation of internal controls needed to facilitate the preparation of accurate and reliable financial reporting were identified.	High	Implement an initiative to re-engineer business processes to verify internal controls over financial reporting are appropriately identified, implemented, and monitored by leveraging a risk-based assessment methodology. As part of this initiative, management should determine that internal controls for the key processes identified by UNTS management meet the circumstances for its financial statement assertions. Management should consider adopting the Committee of Sponsoring Organizations of the Treadway Commission (COSO) Internal Control-Integrated Framework as their basis for implementing effective internal controls.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Mock Audit Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Improper Design of Information Technology Controls: Management currently has internal control design gaps in the database security procedures supporting the PeopleSoft Financials application. Security administration roles have not been fully and formally defined, and the logging and review of security events are not performed. Additionally, management has not performed a review of the following applications related to financial statement audit: Blackbaud; HSC Health – UNT Health Epicor; Dining Services; Facilities; Telecom – MySoft; and Residential Management System (Housing).	Moderate	Implement a unified General Information Technology Controls (GITCs) framework for applications, databases, and operating systems that directly or indirectly impact the financial statements.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the IT Alignment Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Improper Design of Information Technology Controls: Management currently has internal control design gaps in the database security procedures supporting the PeopleSoft Financials application. Security administration roles have not been fully and formally defined, and the logging and review of security events are not performed. Additionally, management has not performed a review of the following applications related to financial statement audit: Blackbaud; HSC Health – UNT Health Epicor; Dining Services; Facilities; Telecom – MySoft; and Residential Management System (Housing).	Moderate	Management should perform a similar review of financially significant applications to assess the design and implementation of GITCs outside of PeopleSoft.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the IT Alignment Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Continuous Accounting and Technical Training for Financial Reporting Personnel: Financial reporting office staff and management receive insufficient training on accounting methodologies, generally accepted accounting principles, financial reporting, internal controls, PeopleSoft, and the application of policies and procedures.	High	Research and implement regular financial reporting office-wide trainings for staff and managers on GAAP, Texas accounting code, internal controls, PeopleSoft, and other pertinent issues. Management should foster a culture of learning and continuous improvement.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Change Management Thread.	NA	NA	NA
External	Grant Thornton	Fiscal Year 2015	Finance	Consolidated Annual Financial Report of the University of North Texas System	UNT System	In our opinion, based on our audit and the report of the other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and the discretely presented component unit of the System as of August 31, 2014, and the respective changes in financial position and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.	NA	None	NA	NA	NA	NA

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External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Report on the Schedule of Expenditures of State Awards	UNTHSC, UNT	In our opinion, the financial statement referred to above presents fairly, in all material respects, the expenditures of state awards for the CPRIT program of the University for the years ended August 31, 2013 and 2014, in accordance with accounting principles generally accepted in the United States of America.	NA	None	NA	NA	NA	NA
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) program Report on Compliance for Cancer Prevention & Research Institute of Texas Financial Assistance Program	UNTHSC, UNT	As a result of our audit, we noted that the University had incomplete support for four out of the twenty-two and one out of twenty-five judgmentally selected expenditures for fiscal years 2013 and 2014, respectively. To be allowable under State awards, costs must have complete and adequate documentation.	NA	We recommend that the University maintain supporting documentation in accordance with record retention guidelines to evidence that funds were properly expended relative to all CPRIT grants. We also recommend that the University work with the grantor agency to resolve expended funds that could not be substantiated.	Management agrees with the recommendation and will work with the Principal Investigators (PIs) and department administrators with CPRIT awards to review procedures for tracking and retaining appropriate documentation for participant incentive expenditures.	NA	NA	Closed
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) program Report on Compliance for Cancer Prevention & Research Institute of Texas Financial Assistance Program	UNTHSC, UNT	As a result of our audit, we noted that the University was reimbursed for one travel related expenditure, in which the travel did not occur, out of the twenty-five expenditures judgmentally selected for testing. The University did not subsequently reimburse CPRIT for the expenditure.	NA	We recommend that the University implement controls that will identify all grant related travel credits so that they may be applied to the grant department. Any credits should be refunded in the financial status report.	BSC identified this problem and has changed the procedure to ensure payments are only made against actual receipts on rental vehicles. The Office of Grant and Contract Management is in the process of requesting a refund check to send to CPRIT.	NA	NA	Closed
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) program Report on Compliance for Cancer Prevention & Research Institute of Texas Financial Assistance Program	UNTHSC, UNT	As a result of our audit, we noted that one employee listed on the FY 2014 Time and Effort Report was not included in the Personnel Level of Effort in the approved budget. Additionally, we noted two Research Assistants were not included in the approved Personnel Level of Effort budget.	NA	We recommend that the University review their policies and procedures to inform CPRIT of any changes made in personnel to the original approved grant budget. All employees who dedicate time to the project should either be included in the Personnel Level of Effort section of the approved grant budget or communicated to and approved by CPRIT.	Management agrees with the recommendation and will work with the PIs and department administrators to review procedures for managing the Personnel Level of Effort budget.	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2014 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2014 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Re-class all amounts listed on line 26 (equipment, uniforms and supplies) under Non-Program Specific report appropriately. Per the NCAA there should be no amounts on this line item for the Non-Program Specific report.	None	NA	NA	Closed

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External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2014 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2014 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Re-class all amounts listed on Line 25 (Team Travel) under department ID 60800 and 60816 in the Non-program Specific report to Line 35 (Other Operating Expenses).	None	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2014 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2014 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Provide explanations for the highlighted variances on each attached report. If any items need to be re-classified after examination of the variances please do so accordingly and re-submit the appropriate report(s) to our firm.	None	NA	NA	Closed
External	State Auditor's Office	Fiscal Year 2015	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2014	UNT	<p><u>Cost of Attendance</u>: Eligibility - Cost of Attendance - For 28 (47 percent) of 60 students tested, the University of North Texas (University) incorrectly or inconsistently calculated COA. Specifically, the University included loan fees for Direct PLUS Loans in the COA budget for all dependent students, regardless of whether those students received that type of loan. The University does not have a process to remove the loan fees from the COA budget if a student does not accept a Direct PLUS loan.</p> <p>Because the University included loan fees for those students, it over awarded financial assistance to 3 of those 28 students.</p> <p>Not removing Direct PLUS loan fees from COA when necessary could result in higher COA budgets and increases the risk of over awarding financial assistance.</p>	NA	<p>The University should:</p> <p>- Include loan fees in COA only for students who receive loans.</p>	<p><u>Cost of Attendance</u> Management made changes to include loan fees in the COA budget only for students who receive loans. Implementation Date: August 2014 Responsible Persons: Dena Guzman-Torres and Lacey Thompson</p>	Dena Guzman-Torres and Lacey Thompson	8/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Auditor's Office	Fiscal Year 2015	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2014	UNT	<p><u>Satisfactory Academic Progress</u> : The University's SAP policy does not meet all federal requirements. As a result, for 6 (11 percent) of 54 students tested, the University did not correctly determine their SAP status. The University incorrectly disbursed financial assistance to five of the six students tested who did not meet SAP requirements.</p> <p>Having a policy that allows students to progress through their program at a pace that does not ensure that they will graduate within the maximum time frame increases the risk of federal assistance being disbursed to ineligible students.</p> <p>In addition, the University's SAP policy is less strict than its academic policy for graduate students. In addition, the University's SAP policy is less strict than its academic policy for graduate students.</p>	NA	<p>The University should:</p> <p>- Ensure that its SAP policy meets federal requirements by calculating the quantitative pace requirement on a cumulative basis, rather than an annual basis; ensuring that the policy requires students to graduate within the maximum time frame; and making the policy at least as strict as its academic policy.</p>	<p><u>Satisfactory Academic Progress</u> Management made changes to its SAP policy to meet federal requirements by calculating the quantitative pace requirement on a cumulative basis to ensure students graduate within the maximum time frame. For graduate students, management made changes to the policy to make it at least as strict as UNT's academic policy.</p>	Dena Guzman-Torres and Lacey Thompson	8/1/2014	Closed
External	State Auditor's Office	Fiscal Year 2015	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2014	UNT	<p>For 1 (3 percent) of 40 students tested, the University of North Texas (University) did not correctly verify all required information on the student's FAFSA and did not correct student ISIR information when required. The University incorrectly categorized Social Security benefits as untaxed income for that student, which resulted in an overstatement of the student's EFC. That error occurred as a result of a manual error in the University's verification process. When auditors brought that issue to the University's attention, it removed the Social Security benefits as untaxed income and submitted corrections to the student's ISIR. Not properly verifying FAFSA information can result in the University over awarding or under awarding student financial assistance.</p>	NA	<p>The University should accurately verify all required FAFSA information for students selected for verification and request updated ISIRs when required.</p>	<p>Management made changes to accurately categorize Social Security benefits for students selected for verification. Management corrected the ISIR information for the one student.</p>	Dena Guzman-Torres and Lacey Thompson	12/1/2014	Closed
External	State Auditor's Office	Fiscal Year 2015	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2014	UNT	None	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2015	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2014	UNT	NA	NA	None	NA	NA	NA	NA
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	COOP Plan Evaluation	UNTHSC	<p>COOP-15-01 Continuity of Operations (COOP) Plan - Emergency Operations procedures are incorporated throughout the University's COOP Plan. A COOP Plan should be a stand-alone plan.</p>	NA	<p>UNTHSC should have a separate Emergency Operations Plan to respond to and recover from an emergency. The primary goal of continuity is the continuation of essential functions during all-hazards emergencies or other situations that may disrupt normal operations.</p>	<p>Greater distinction will be made between the COOP and the EOP.</p>	Brandi Lara, Associate Director of Emergency Management and Business Continuity	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	COOP Plan Evaluation	UNTHSC	<p>COOP-15-02 Emergency Relocation Group (ERG) - UNTHSC should identify alternates for the ERG.</p>	NA	<p>UNTHSC should identify alternates for the ERG. For key positions and leadership, Orders of Succession should be used instead of alternates. Also, ERGs should be informed of and officially accepted their roles and responsibilities, in writing.</p>	<p>The terminology has been changed and Orders of Succession has been implemented.</p>	Brandi Lara, Associate Director of Emergency Management and Business Continuity	8/31/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	COOP Plan Evaluation	UNTHSC	COOP-15-03 Consideration should be given to the University of North Texas System Enterprise COOP to include all campuses.	NA	In the future, the University of North Texas may want to consider creating an enterprise COOP Program to include all campuses. Uniform standards would assist in limiting redundancy and creating an effective model for the system and its campuses.	This has been discussed between the campus emergency managers, but the System does not have a position responsible for coordination of a COOP program.	Matthew Moncus, Director, Safety Office	2/1/2016	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT Dallas	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The University must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <ul style="list-style-type: none"> Personnel transactions are timely when they are successfully reported to HRIS on or before the seventh day of the month following their effective date. 	The University agrees with this finding and requirements. HRIS reporting is managed by the payroll area in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, the delayed reporting issue was corrected shortly after the system conversion was complete. New and existing employees are receiving training to ensure timely reporting is maintained.	Mary Davis, Director of Payroll	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT Dallas	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The University must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <ul style="list-style-type: none"> Payroll transactions are timely when they are reported and posted by the seventh day of the month following their payment date. 	The University agrees with this finding and requirements. HRIS reporting is managed by the payroll area in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, the delayed reporting issue was corrected shortly after the system conversion was complete. New and existing employees are receiving training to ensure timely reporting is maintained.	Mary Davis, Director of Payroll	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT Dallas	Security: One employee who retained the security to expend funds after authority expired.	NA	The University must ensure that the person responsible for sending these requests to the Comptroller's office is aware of the designated employee's termination or revocation on or before the date the termination or revocation becomes effective. The University must also follow through with the Comptroller's office to ensure receipt of the request and removal of the employee's security.	The University agrees with this finding and recommendation. Despite UNT Dallas promptly initiating internal notices of terminated employees via an electronic payroll request, there was a breakdown of automatic electronic communication between the campus and UNT System which has since been remediated. Furthermore, the USAS security processing for all employees under the UNT System will be formally centralized by Sept. 1, 2015. The formalization of centralization will allow for improved communication and monitoring of employee terminations or revocations. Processes within the System will be established to ensure confirmation is received from the Comptroller's office after revocation requests are submitted and matched with employee terminations or USAS revocations.	Randall J. Saxon, Senior Director UNT System Business Support Services	9/1/2015	Closed

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External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNTHSC	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The Center must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: • Personnel transactions are timely when they are successfully reported to HRIS on or before the seventh day of the month following their effective date.	The UNT Health Science Center agrees with this finding and requirements. HRIS reporting is currently managed by the Payroll Department in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, it is important to note that the delayed reporting issue was corrected shortly after the system conversion was complete and all employees (new and existing) continue to receive ongoing training to ensure timely reporting is maintained.	Mary Davis, Director of Payroll	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNTHSC	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The Center must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: • Payroll transactions are timely when they are reported and posted by the seventh day of the month following their payment date.	The UNT Health Science Center agrees with this finding and requirements. HRIS reporting is currently managed by the Payroll Department in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, it is important to note that the delayed reporting issue was corrected shortly after the system conversion was complete and all employees (new and existing) continue to receive ongoing training to ensure timely reporting is maintained.	Mary Davis, Director of Payroll	NA	Closed
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Governance and Regulatory Compliance	Compliance Audit of Formula Funding (Division of Enrollment)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	CPRIT Grant financial and compliance audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	OneStar	Fiscal Year 2015	Governance and Regulatory Compliance	OneStar financial and compliance audit (Federal) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Academic and Students	College Readiness Grant financial audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Academic and Students	College Access Challenge Grant financial audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Governance and Regulatory Compliance	Sandia National Lab (Federal) financial and compliance audit (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA

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External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Provide Direct Institutional Support budget vs actual figures for the year ended August 31, 2015 and explain any variances above 10% and \$50,000.	None	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Confirm the placement of Medical Expenses and Insurance is in line with NCAA and University standards and best practices.	None	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Provide explanations for any variances that exceed 10% and \$50,000. If any items need to be reclassified after examination of the variances, please do so accordingly and re-submit the appropriate reports.	None	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Confirm the placement of all NCAA distributions is in line with NCAA and University standards and best practices.	None	NA	NA	Closed

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External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Confirm no Prepaid Expenses exist for FY2016 that need to be moved to FY2015.	None	NA	NA	Closed
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement Project #138980111.2.6	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement Project #138980111.1.7	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement Project #138980111.1.8	NA	Possible Plan Modification: Provider (HHSC) should consider revising the language for the goal I-18.3 to make clear they are reporting on individuals. NOTE: HHSC completed revision.	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement Project #138980111.1.4	NA	None	NA	NA	NA	NA
External	Booze-Allen-Hamilton	Fiscal Year 2015	Governance and Regulatory Compliance	National Science Foundation (NSF) Desk Review of all NSF Awards (OGCA)	UNT	NA	NA	None	NA	NA	NA	NA

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External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Incorrect payment of accrued vacation time.	NA	<p>We recommend the System enhance its internal controls to prevent incorrect payments of accrued vacation time.</p> <p>The System should consider recovering the amount of overpayments in accordance with Texas Government Code, Chapter 666, unless it determines it is not cost effective to do so. In addition, the System must compensate the employee for the underpaid amount.</p>	<p>The UNT System Administration agrees with this finding and requirements. During the time period audited, the Payroll Department was in a stage of transition to a centralized, shared service organization established to provide payroll services to all UNT System institutions.</p> <p>The UNT System is also currently undergoing a major financial transformation to review all financial-related processing activities throughout all institutions. All payroll processing activities are being reviewed to establish best practices and controls that will help minimize errors in the future.</p> <p>Vacation payouts were calculated using an annualized approach. The underpayment error identified an unknown weakness in this approach and therefore identified a need to change the methodology, which has since been made. Also, under the historical practice, individual vacation payout calculations were completed with no review. A new process has been implemented that provides for a secondary review of payout calculations.</p> <p>The two overpayments that were the results of human error were analyzed to determine the cost/benefit for attempting to collect overpayments from past employees.</p>	Abdul Mohammad, Senior Director of Operations	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Incorrect longevity payment amount.	NA	<p>The System should verify months of service data for its employees and enhance its internal controls to prevent incorrect longevity payment amounts.</p> <p>In addition, the System should verify all personnel files and ensure that prior state service is properly verified and documented for its employees.</p>	<p>The UNT System Administration agrees with this finding and requirements. During the time period audited, the Human Resources Department was in a stage of transition to a centralized, shared service organization established to provide HR related services to all UNT System institutions.</p> <p>The UNT System is currently undergoing a major financial transformation to review all financial-related processing activities throughout all institutions. Longevity processing is being reviewed to establish best practices and controls that will help minimize errors in the future.</p> <p>The Human Resources Department will finalize implementation of an automated process that calculates state service date and create a Prior State Service web page on our Human Resources website to provide each employee with general information about Prior State Service and prior state service periods we have on record.</p> <p>The overpayment amounts identified during the audit were collected from the employees.</p>	Luis Lewin, Associate Vice Chancellor Human Resources	Original 09/01/2016 Revised 9/1/2017	Open

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External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The System must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: • Personnel transactions are timely when they are successfully reported to HRIS on or before the seventh day of the month following the effective date.	The UNT System Administration agrees with this finding and requirements. HRIS reporting is currently managed by the Payroll Department in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, it is important to note that the delayed reporting issue was corrected shortly after the system conversion was complete and all employees (new and existing) continue to receive ongoing training to ensure timely reporting is maintained.	Abdul Mohammad, Senior Director of Operations	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The System must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: • Payroll transactions are timely when they are reported and posted in HRIS by the seventh day of the month following the payment date.	The UNT System Administration agrees with this finding and requirements. HRIS reporting is currently managed by the Payroll Department in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, it is important to note that the delayed reporting issue was corrected shortly after the system conversion was complete and all employees (new and existing) continue to receive ongoing training to ensure timely reporting is maintained.	Abdul Mohammad, Senior Director of Operations	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Security: • Four employees who retained the ability to expend funds after termination.	NA	The System must ensure that the person responsible for sending the Comptroller's office the notifications is aware of the designated employee's revocation on or before the date the revocation becomes effective. The System must also follow through with the Comptroller's office to ensure receipt of the request and removal of the employee's security.	The UNT System Administration agrees with this finding and requirements. The process and oversight of managing approvers for expenditures was placed under scrutiny and a new centralized tracking process has been identified to improve controls in this area. This new centralization process will be implemented next fiscal year (beginning Sept. 1, 2015) to better monitor employee terminations and remove expenditure authorization in a timely manner. Future system enhancements are planned to include automated notification of employees terminating who have senior level authority for expenditure approvals and access to critical systems, including USAS, HRIS, banking and internal systems. The UNT System Administration will also work closely with the State Comptroller's Office to confirm receipt of requests related to terminating access in the future.	Joey Saxon, Senior Director UNT System Business Support Services	12/31/2015	Closed

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External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Security: • One employee who retained the security to expend funds after authority expired.	NA	The System must ensure that the person responsible for sending the Comptroller these notifications is aware of the designated employee's revocation on or before the date the revocation becomes effective. The System must also follow through with the Comptroller to ensure the receipt of the notification and that the removal of the employee's security occurs.	The UNT System Administration agrees with this finding and requirements. The process and oversight of managing USAS access was placed under scrutiny and a new centralized tracking process has been identified to improve controls in this area. This new centralization process will be implemented next fiscal year (beginning Sept. 1, 2015) to better monitor employee terminations and remove access in a timely manner. Future system enhancements are planned to include automated notification of employees terminating who have senior level authority for expenditure approvals and access to critical systems, including USAS, HRIS, banking and internal systems. The UNT System Administration will also work closely with the State Comptroller's Office to confirm receipt of requests related to terminating access in the future.	Joey Saxon, Senior Director UNT System Business Support Services	12/31/2015	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Internal Control Structure: Two employees can adjust payment instructions in the Texas Identification Number System (TINS) and approve paper vouchers.	NA	The System should periodically review the controls over expenditure processing and segregate each task to the extent possible to ensure that no individual is able to process payments without oversight.	The UNT System Administration agrees with this finding and requirements. The UNT System is also currently undergoing a major financial transformation to review all financial related processing activities throughout all institutions. All USAS, TINS and signature card processing activities are being reviewed to establish best practices and controls that will help minimize errors in the future.	Joey Saxon, Senior Director UNT System Business Support Services	12/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-01 Safety: Electrical Safety: Adequate Power (Chemical Bunker) SORM noted during the consultation that UNT-Denton was utilizing an extension cord as a permanent conduit of power in the chemical bunker outside of the Chemistry Building.	NA	SORM recommends that UNT-Denton install the correct number and array of electrical power receptacles and circuits to meet the electrical needs of the chemical bunker, as per the OSHA standard referenced below. Reference: OSHA, 20 CFR 1910.305(g)(1)(iii)[A]	NA	Charlie Fox, Director of Environmental Management	9/19/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT Dallas	15-07-01 Safety: Electrical Safety: Knockouts in Electrical Panelboard SORM noted during the consultation that knockouts were missing from a panelboard on the fourth floor of Building 1 in the mechanical room.	NA	SORM recommends that UNT-Dallas insert the proper knockouts per the electrical code. Reference: NFPA-70 (2014), "National Electrical Code," Article 110.12[A]	This recommendation was completed on 08/12/2015	Wayne McInnis, Assistant Director for Facilities	8/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT System	15-07-01 Safety: Emergency Management: Shelter-in-Place Drill SORM noted during the consultation that UNT-System has not yet conducted a shelter-in-place drill for employees located in the building at 1901 Main Street in Dallas.	NA	SORM recommends that UNT-System conduct a shelter-in-place drill for these employees in order to enhance their knowledge of appropriate protocols in the event of an emergency. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.5	A shelter-in-place drill will be conducted for the UNT System building.	Justin Stewart, Assistant Director Emergency Programs & Investigations Coordinator	9/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-02 Safety: Electrical Safety: GFCI for Vending Machines (Terrill Hall) SORM noted during the consultation that the cord-and plug-connected vending machines in Terrill Hall did not have a ground-fault circuit interrupter as an integral part of the attachment plug.	NA	SORM recommends that UNT-Denton protect these machines by complying with the relevant section of the National Electrical Code, as referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 422.51(A) and (B)	NA	Randy Fite, Senior Director, Facilities Maintenance	12/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT Dallas	15-07-02 Safety: Fire Safety: Fire Door Rating SORM noted during the consultation that the walls in Room 361 of Building 1, the server room, were 1-hour fire rated. However, the door of the room was missing the correct marking to determine its fire rating.	NA	SORM recommends that UNT-Dallas work with the door manufacturer to determine its fire rating, mark it properly, or replace it if it is insufficient for this location. References: NFPA-101 (2015), "Life Safety Code," Chapter 7.2.1.15.2; NFPA-80 (2016), "Fire Doors and Opening Protectives," Chapters 4.1.4, 4.1.4.2.1, and 4.2.1.1	Dallas Facilities will work with DFW Door to determine the fire rating.	Wayne McInnis, Assistant Director for Facilities	9/30/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-03 Safety: Accessibility: Fire Extinguisher Containers (Terrill Hall) SORM noted during the consultation that the metal fire extinguisher containers in Terrill Hall, which were between 27 and 80 inches from the floor, appeared to be protruding more than 4 inches from the wall into the circulation path. After measurement, if they are indeed protruding 4 inches or greater from the wall.	NA	SORM recommends that UNT-Denton install boxes from the bottom of the fire extinguisher containers to the floor to meet Texas Accessibility Standard requirements. If they are fewer than 4 inches from the wall, no action would be necessary. Reference: Texas Accessibility Standards, Chapter 3, Section 307, "Protruding Objects"	NA	Randy Fite, Senior Director, Facilities Maintenance	3/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT Dallas	15-07-03 Safety: Electrical Safety: Vending Machines/GFCI SORM noted during the consultation that the cord-and plug-connected vending machines on the UNT-Dallas campus did not have a ground-fault circuit interrupter as an integral part of the attachment plug.	NA	SORM recommends that UNT-Dallas protect these machines by complying with the relevant section of the National Electrical Code, as referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 422.51(A) and (B)	Inline GFCI Cord sets have been ordered for the vending machines.	Wayne McInnis, Assistant Director for Facilities	9/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-04 Safety: Fire Safety: Housekeeping (Terrill Hall - Basement) SORM noted during the consultation that a large quantity of bankers' boxes and other paperwork has accumulated in the basement of Terrill Hall, representing an increased fire load for the building.	NA	SORM recommends that UNT-Denton remove these items from this area and store them in a manner that does not represent such a hazard. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.8	NA	Vicki Campbell, Psychology Chair	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-05 Safety: Fire Safety: Exit Signage (Terrill Hall) SORM noted during the consultation that one emergency egress in Terrill Hall lacked code-compliant exit signage.	NA	SORM recommends that UNT-Denton erect and maintain exit signage in this area that meets the requirements of the Life Safety Code, as referenced below. References: NFPA-101 (2014), "Life Safety Code," Chapters 39.2.10; 7.10.2.1; 3.3.188.6	NA	Randy Fite, Senior Director, Facilities Maintenance	12/15/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-06 Safety: Fire Safety: Marking of Kitchen Appliances SORM noted during the consultation that some of the mobile cooking appliances in the kitchen of Bruce Hall had not had their proper locations marked relative to the fire suppression nozzles in the ventilation hoods.	NA	SORM recommends that UNT-Denton have a qualified professional determine the proper locations for these (and all) mobile kitchen appliances relative to the fire suppression system's nozzles, and then mark the locations in some manner, as per the NFPA referenced below. Once marked, all appliances should be returned to their proper locations after cleaning, etc., to maintain the integrity of the ventilation-hood fire suppression system. References: NFPA-96 (2014), "Standard for Ventilation and Fire Protection of Commercial Cooking Operations," Chapters 12.1.2.2; 12.1.2.3.1	NA	Bill McNeace	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-07 Safety: Fire Safety: Emergency Egress (Bruce Hall Kitchen - Serving Area) SORM noted during the consultation that the emergency egress for employees working the serving lines in the Bruce Hall Dining Facility does not appear to comply with the Life Safety Code with regard to unobstructed access to an exit point in the event of an emergency.	NA	SORM recommends that UNT-Denton arrange the egress in this area such that the Authority Having Jurisdiction (the State Fire Marshal's Office) finds the required path of travel to be acceptable and in accordance with the requirements of the Life Safety Code. References: NFPA-101 (2014), "Life Safety Code," Chapters 39.2.1.1; 7.1.10.2.2; 7.5.2.1	NA	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-08 Safety: Hazard Communication/Chemical Safety/GHS: Pool Chemicals a) SORM noted during the consultation that the Material Safety Data Sheets being used in the training room are outdated, and do not meet the requirements of the current OSHA Hazard Communication Standard with regard to the Globally Harmonized System of Classification and Labelling of Chemicals (GHS.)	NA	SORM recommends that UNT contact all of their chemical manufacturers (for all campuses/locations where chemicals are being used) and request GHS-compliant Safety Data Sheets, which are mandatory for manufacturers to supply to employers as of June 1, 2015.	NA	Charlie Fox, Director of Environmental Management	9/19/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-08 Safety: Hazard Communication/Chemical Safety/GHS: Pool Chemicals b) SORM noted during the consultation that no measurements of levels of exposure to the pool chemicals being used in the training room have been conducted and documented to determine if established threshold limits could be exceeded by employees using these chemicals as part of their job duties.	NA	SORM recommends that UNT-Denton determine and document the level of exposure that these employees have and then determine (based on information contained within the new Safety Data Sheets to be provided by the chemical manufacturers) how to protect the employees with administrative, engineering, and/or Personal Protective Equipment controls. Additionally, the university could also choose to transfer this risk via contracting with a third-party vendor, or by using less hazardous chemicals. References: OSHA, 29 CFR 1910.1200, "Hazard Communication Standard" (Revised, 2012); United Nations (2003), "Globally Harmonized System of Classification and Labelling of Chemicals (GHS)"; https://www.osha.gov/dsg/hazcom/effectivedates.htm	NA	NA	NA	Closed
External	Hartford Steam Boiler Inspection and Insurance Company (HSB), Steritech Group Inc.	Fiscal Year 2015	Governance and Regulatory Compliance	Loss Prevention Report, Food Safety Audit	UNT	21 reports/audits performed; 34 findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA

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External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2015	Governance and Regulatory Compliance	Loss Prevention Report	UNTHSC	2 reports prepared; no findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 The basement area located under the kitchen has only one means of egress and was formally considered a normally unoccupied space that was used for storage only. Within the last year or so two offices and a large dishwashing unit were installed in the area. This changed the area use to a normally occupied area since employees now work in the space and a second approved means of egress is now required. NFPA 101, Life Safety Code, Chapters 29.2.4.1 and 7.4.1.1	Second exit to be planned and installed.	NA	8/1/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 The music practice cube area on the first floor has only one means of egress and has low headroom due to mechanical equipment hanging from the ceiling. NFPA 101, Life Safety Code, Chapters 29.2.4.1, 7.4.1.1 and 7.1.5.1	Second exit to be planned and installed.	NA	8/1/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 In the first floor laundry / old elevator control equipment the old elevator control cage area has liquid in the drip pan under the unit that appears to be hydraulic fluid. NFPA 101, Life Safety Code, Chapters, 4.6.12.1	Inquiring with the elevator maintenance company about completing an equipment demo.	NA	8/1/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 4 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Building 1104 Finding 1 The sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2009.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	NA	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1104 Finding 1 The sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2009.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire sprinkler system will be inspected and updated as required.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1104 Finding 1 The sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2009.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Completed.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1104 Finding 2 The fire alarm system lacks a current annual inspection tag. The last inspection tag is dated 1994. The Fire alarm control panel indicates a trouble signal and is also in alarm status as well as the alarm silence switch has been activated. It is unknown by the Risk Management staff how long this panel has been in this status.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire alarm system will be inspected and updated as required.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1108 Unit 3000 Finding 1 The directional exit sign by room 3012 does not work when tested in the battery backup power mode.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Facilities will repair exit sign.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Building 1108 Unit 3000 Finding 1 The exit door by rooms 3000 and 3042 lack an approved landings outside the door.	NA	NFPA 101, Life Safety Code, Chapters 39.2.1.1, 7.2.1.3.2 and 7.1.10.1	NA	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1108 Unit 3000 Finding 2 The main entrance/exit door is equipped with panic hardware and has an additional locking device installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12 and 7.2.5.10.2	Door systems will remove additional locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1108 Unit 3000 Finding 3 The exit door by room 3042 lacks an approved landing outside the door. Vegetation has been cut down outside the door and the remains of the bush create a tripping hazard.	NA	NFPA 101, Life Safety Code, Chapters 39.2.1.1, 7.2.1.3.2 and 7.1.10.1	Facilities will remove vegetation and add sidewalk.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	3/31/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1112 Unit 4000 Finding 1 The training room has on occupant load in excess of 100 when the room divider is open and lacks the required panic hardware on the doors.	NA	NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Will install panic hardware.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1112 Unit 4000 Finding 1 The training room has on occupant load in excess of 100 when the room divider is open and lacks the required panic hardware on the doors.	NA	NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Panic hardware will be installed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1112 Unit 4000 Finding 2 The fire alarm panel lacks a current annual inspection tag. The last inspection tag is dated February 2013.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems to conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1112 Unit 4000 Finding 3 The fire sprinkler system lacks a current annual inspection tag. The last inspection tag is dated February 2013.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems to conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Clark Hall Clark Hall is a 233 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 1 The West section second floor by the 200 number rooms and third floor by the 300 number rooms exterior walkways have dead ends in excess of the allowed 20 foot maximum. NFPA 101, Life Safety Code, Chapters 29.2.1, 31.2.1 and 7.5.3.3	We have hired licensed engineer (RL Woods) to perform an assessment of the balconies and design the new stairs needed. The assessment has been performed and we are waiting on the final report. Once we have the report and subsequent drawings we will hire a contractor to install.	NA	8/1/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 2 The South East side of the building exterior walkway has dead ends on the second and third floor in excess of the allowed 20 foot maximum allowed. NFPA 101, Life Safety Code, Chapters 29.2.1, 31.2.1 and 7.5.3.3	We have hired licensed engineer (RL Woods) to perform an assessment of the balconies and design the new stairs needed. The assessment has been performed and we are waiting on the final report. Once we have the report and subsequent drawings we will hire a contractor to install.	NA	8/1/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 3 The McCoy room lacks emergency lighting NFPA 101, Life Safety Code, Chapters 13.2.9.1 and 7.9.1	Completed	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 4 The mechanical chase areas have unsealed penetrations. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	Sealing penetrations in progress.	NA	1/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 5 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Crumley Hall Crumley Hall is a 121 room three-story mixed occupancy consisting of existing dormitory and business. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Honors Hall Honors Hall is a 200 room five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 A communicating space between the first and second floors exists and is open to the egress corridor on the second floor. NFPA 101, Life Safety Code, Chapters 29.3.1.1.1 and 8.6.6	Anticipating on adding sheetrock and glass walls with sprinklers on one side.	NA	8/1/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Honors Hall Honors Hall is a 200 room five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A is a 476 room seven-story high-rise, classified as a mixed occupancy of existing dormitory and assembly. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Unsealed penetrations exist in the wall separating the basement mechanical room and the adjoining occupancy at the HVAC ducting. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	Sealing penetrations in progress.	NA	12/19/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A is a 476 room seven-story high-rise, classified as a mixed occupancy of existing dormitory and assembly. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is a 476 room eight-story high-rise, classified as a mixed occupancy of existing dormitory and business. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 1 Multiple exit doors including the main entrance are equipped with electronically controlled egress system that does not meet NFPA 101 Life Safety Code requirements in the following areas or written documentation was not available at the time the inspection was conducted... • The doors shall unlock upon activation of the fire sprinkler system • The doors shall unlock upon loss of building power controlling the locking system • Once the lock has been released by application of the releasing device relocking shall be by manual means only. • A readily visible sign shall be placed on each door NFPA 101, Life Safety Code, Chapters 39.2.2.2.5 and 7.2.1.6.1	Fire and Door Systems will reconfigure delayed-egress locking system to meet NFPA 101, Chapters 39.2.2.2.5 and 7.2.1.6.1 and add required sign at doors.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 2 The front main entrance doors have delayed egress locking devices installed. Assembly occupancy shall not have delayed egress locking devices on the main entrance/ exit doors. NFPA 101, Life Safety Code, Chapters 13.2.2.2.5 and 7.2.1.6.1	Fire and Door Systems will research solutions.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	4/30/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 3 The north east exit door by the fire alarm control panel is equipped with panic hardware and has an additional key locking device installed. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12, 7.2.1.5.1 and 7.2.1.5.10.2	Door systems will remove locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	2/26/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 4 Both sets of exit doors leading to the playground are equipped with panic hardware and have an additional key locking device installed.	Door systems will remove locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	2/26/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 5 The playground exit gate is equipped with a maglock with a request to exit button and also has standard latching lever hardware installed. Opening the gate requires more than the one motion allowed by the code. Additionally written documentation was not available to show that the maglock releases upon loss of building power and activation of the fire sprinkler activated fire alarm system. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1 and 7.2.1.6.2	Fire and Door Systems will remove standard gate latching lever and ensure maglock releases upon loss of building power and activation of the fire sprinkler activated fire alarm system.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 6 The multipurpose room has an occupancy load in excess of 100 people and lacks the required panic hardware on the exit doors. NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Panic hardware to be installed on all exit doors from multipurpose room.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	12/30/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 7 The exit corridor by room 136 is used to store large amount of combustible material. NFPA 101, Life Safety Code, Chapters 39.2.1.1, 7.1.10.1 and 4.5.3.2	Storage will be removed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 8 The emergency light unit by room 117 does not operate when tested. NFPA 101, Life Safety Code, Chapter 4.6.12.1	Facilities will repair emergency light.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	4/30/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 9 The fire alarm system lacks a current annual inspection tag. The last inspection tag is dated August 2012. NFPA 101, Life Safety Code, Chapter 4.6.12.1	Completed	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 10 The fire sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2013, no other information is punched on the tag. NFPA 101, Life Safety Code, Chapter 4.6.12.1	In progress	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 11 The fire department connection for the fire sprinkler system is missing the protective cover on one of the 2 1/2 inch connections, additionally the connection does not swivel. NFPA 101, Life Safety Code, Chapter 4.6.12.1	Completed	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 12 The wall and ceiling construction separating the business occupancy from the dwelling unit occupancy lacks the required two hour fire rated construction. NFPA 101, Life Safety Code, Chapters 39.1.3.1.1, 6.1.14.1 and 6.1.14.4.1	Plan is to change occupancy of this area to office space and add a second exit from 2 nd floor. This area will not be used or occupied until second exit is added.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 13 The smoke detector in the second floor dwelling unit living area has been removed from the ceiling.	Fire systems investigated location and determined detector had been moved to location above stairs. Base removed and covered.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	Completed.	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 14 Power strips are interconnected throughout the office areas. NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Interconnected power strips will be removed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 15 An extension cord is being used as a replacement for permanent wiring in room 112 NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Extension cord will be removed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 16 An electrical splice box is missing the cover plate in room 140. NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Box cover will be replaced.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	<p>Finding 1</p> <p>Multiple exit doors including the main entrance are equipped with electronically controlled egress system that does not meet NFPA 101 Life Safety Code requirements in the following areas or written documentation was not available at the time the inspection was conducted..</p> <ul style="list-style-type: none"> • The doors shall unlock upon activation of the fire sprinkler system • The doors shall unlock upon loss of building power controlling the locking system • Once the lock has been released by application of the releasing device relocking shall be by manual means only. • A readily visible sign shall be placed on each door NFPA 101, Life Safety Code, Chapters 39.2.2.2.5 and 7.2.1.6.1 	Signs are in place. Still need to test operations on the doors.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	4/30/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	<p>Finding 2</p> <p>The north east exit door by the fire alarm control panel is equipped with panic hardware and has an additional key locking device installed. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12, 7.2.1.5.1 and 7.2.1.5.10.2</p>	Door systems will remove locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	2/26/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	<p>Finding 3</p> <p>Both sets of exit doors leading to the playground are equipped with panic hardware and have an additional key locking device installed. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12, 7.2.1.5.1 and 7.2.1.5.10.2</p>	Door systems will remove locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	2/26/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	<p>Finding 4</p> <p>The playground exit gate is equipped with a maglock with a request to exit button and also has standard latching lever hardware installed. Opening the gate requires more than the one motion allowed by the code. Additionally written documentation was not available to show that the maglock releases upon loss of building power and activation of the fire sprinkler activated fire alarm system. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1 and 7.2.1.6.2</p>	Fire and Door Systems will research solutions. Need to repair mag lock and remove latch from a paddle handle.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	4/30/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	<p>Finding 5</p> <p>The multipurpose room has an occupancy load in excess of 100 people and lacks the required panic hardware on the exit doors. NFPA 101, Life Safety Code, Chapter 13.2.2.2.3</p>	Panic hardware installed on all exit doors. Complete.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	<p>Finding 6</p> <p>The wall and ceiling construction separating the business occupancy from the dwelling unit occupancy lacks the required two hour fire rated construction. NFPA 101, Life Safety Code, Chapters 39.1.3.1.1, 6.1.14.1 and 6.1.14.4.1</p>	Will send official letter to building representative not to use the space.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	3/31/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Legends Hall Legends Hall is a four-story 276 room structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 IT rooms throughout the building have unsealed penetrations between floors. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	Sealing penetrations in progress.	NA	1/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Legends Hall Legends Hall is a four-story 276 room structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a 326 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Maple Hall Maple Hall is a 326 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Unsealed vertical penetrations exist where the electrical panels are installed throughout the building.	Sealing penetrations in progress.	NA	1/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 A communicating space between the first and second floors exists and is open to the egress corridor on the second floor.	Install fire-rated wall.	NA	8/1/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 Wainscoting is installed on the bottom section of the corridor and stairwell throughout the building and does not meet class A or B interior finish requirements. NFPA 101, Life Safety Code, Chapters 29.3.3.2 and 10.2.3	Apply intumescent paint.	NA	8/31/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 1 A second cooking range is located in the kitchen across the room from the vent a hood and is not protected by a vent hood or wet chemical fire suppression system.	NA	NFPA 101, Life Safety Code, Chapter 13.3.2, 9.2.3; and NFPA 96 Standard for Ventilation Control and Fire Protection of Commercial Cooking Operations	Rick and Trey's Sports Bar will complete installation of a vent hood or wet chemical fire suppression system. Risk Management Services (RMS) will verify.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Rick and Trey's Sports Bar Finding 1 A second cooking range is located in the kitchen and is not protected by a vent hood or wet chemical fire suppression system.	NA	NFPA 101, Life Safety Code, Chapter 13.3.2, 9.2.3; and NFPA 96 Standard for Ventilation Control and Fire Protection of Commercial Cooking Operations Operating Features Violation	NA	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 1 Exit signs throughout the building do not operate when tested in the battery backup mode.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to repair exit sign	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 10 The fire sprinkler system lacks a current annual inspection tag. The system was installed in 2012 and has not been inspected since the installation.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Rick and Trey's Sports Bar must complete inspection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 11 The fire alarm system lacks a current annual inspection tag. The system was installed in 2012 and has not been inspected since the installation.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Rick and Trey's Sports Bar must complete inspection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 12 The wet chemical fire suppression system installed to protect commercial cooking appliances under the vent a hood system lacks a current semiannual inspection tag. The system was installed in 2012 and has not been inspected since the installation. Note: the discharge nozzles are directed to the back wall behind the cooking equipment and if the system was activated little or no agent would spray on the cooking equipment.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Rick and Trey's Sports Bar must complete inspection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 13 The portable fire extinguishers throughout the building lack current annual inspection tags. The last inspection was conducted in July of 2013. Note: The extinguishers have University inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1.	Rick and Trey's Sports Bar must complete inspection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 14 A second cooking range is located in the kitchen across the room from the vent a hood and is not protected by a vent hood or wet chemical fire suppression system.	NA	NFPA 101, Life Safety Code, Chapter 13.3.2, 9.2.3; and NFPA 96 Standard for Ventilation	Rick and Trey's Sports Bar must install a complete Type I cooking hood system equipped with an automatic fire suppression system that is monitored by the premises fire alarm panel, or remove range. Range shall be removed until the cooking hood, fire suppression system and monitoring are complete. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 15 Both the bar and the outdoor patio area have occupancy loads calculated by the City of Denton prior to the expansion of both areas and the university buying the property. The occupancy loads need to be re-calculated by the campus Fire Marshal and up to date signs posted.	NA	NFPA 101, Life Safety Code, Chapters 13.7.9.3.1, 13.7.9.3.2 and 13.7.9.3.3	UNT to recalculate occupancy loads.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 2 The emergency lighting units do not operate when tested.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to repair emergency lights.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 3 The illuminated exit sign by the rest room hallway in the main bar area is not illuminated in the normal building power mode.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to repair exit sign.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 4 The fenced in outdoor patio seating area has an occupant load in excess of 50 and lacks the required remotely located second exit.	NA	NFPA 101, Life Safety Code, Chapter 13.2.4.4	Rick and Trey's Sports Bar must install second exit. Risk Management System (RMS) will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 5 The patio area exit sign directs occupants away from the exit gate and into an area without an exit.	NA	NFPA 101, Life Safety Code, Chapters 13.2.10.1 and 7.10.2.2	Rick and Trey's Sports Bar must install second exit sign. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 6 The patio exit gate lacks an exit sign to clearly identify the exit location.	NA	NFPA 101, Life Safety Code, Chapters 13.2.10.1 and 7.10.1.2.1	Rick and Trey's Sports Bar must install exit sign. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 7 Exit doors have double cylinder deadbolt locks installed and lack the required panic hardware.	NA	NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Rick and Trey's Sports Bar must install panic hardware and remove deadbolt locks. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 8 The front exit door from the game room section was locked and no staff member on site had a key to unlock the door. Note At the time of the inspection the bar was open for business. The bar owner was called in from home to unlock the door.	NA	NFPA 101, Life Safety Code, Chapters 13.2.1, 7.2.1.5.1 and 7.2.1.5.3	Rick and Trey's Sports Bar must install panic hardware and remove deadbolt locks. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 9 A large beer pong game restricts access to the rear exit on the main bar side.	NA	NFPA 101, Life Safety Code, Chapters 13.2.5.1.1 and 7.1.10.1 and 7.1.10.2.1	Rick and Trey's Sports Bar must move beer pong game. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a 157 unit three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, full automatic sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 A communicating space between the first and second floors exists and is open to the egress corridor on the second floor. NFPA 101, Life Safety Code, Chapters 31.3.6.3.1 and 8.6.6	Install fire-rated wall.	NA	8/1/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Traditions Hall Traditions Hall is a 373 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full automatic sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 A communicating space between the first and second floors exists and is open to the egress corridor on the second floor. NFPA 101, Life Safety Code, Chapters 29.3.1.1.1 and 8.6.6	Install fire-rated wall.	NA	8/1/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Traditions Hall Traditions Hall is a 373 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full automatic sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 1 The portable fire extinguishers lack annual inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to inspect fire extinguishers.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 1 The portable fire extinguishers lack annual inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Tenet will have the fire extinguishers inspected.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 2 Extension cords are used to power exercise equipment throughout the room.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenant will remove extension cords. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/2014	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 2 Extension cords are used to power exercise equipment throughout the room.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenet will have the extension cords removed.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 3 The electrical outlet within six feet of the sink lacks Ground Fault Circuit Interrupter (GFCI) protection.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenant will install GFCI protection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/104	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 4 The electrical outlet located behind the clothes dryer is missing the protective cover plate.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenant will install cover plate. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 1 The fire alarm system installation not been completed the system is not operational.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	The fire alarm system installation has been completed.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 1 The fire alarm system lacks a current inspection tag.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	New system, installation in progress.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 2 The main entrance lacks a manual fire alarm pull station within five feet of the exit door.	NA	NFPA 101, Life Safety Code, Chapters 39.3.4.1, 9.6.2.3; and NFPA 72 National Fire Alarm and Signaling Code	Will install manual fire alarm pull station near front door.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 2 The main entrance lacks a manual fire alarm pull station within five feet of the exit door.	NA	NFPA 101, Life Safety Code, Chapters 39.3.4.1, 9.6.2.3; and NFPA 72 National Fire Alarm and Signaling Code	Will install manual fire alarm pull station near front door.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 3 The portable fire extinguishers lack current inspection tags. The last inspection was conducted in July 2013.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems to conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 4 Storage is located in front of the electrical panels.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Occupant will remove storage. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2014	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 114 Finding 1 The portable fire extinguishers lack current inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection. If space is unoccupied, fire extinguishers will be removed until such time the space is re-occupied.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 120 Finding 1 The rear exit door has a sliding dead bolt lock installed in addition to the standard door lock.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.1, 7.2.1.5.1, 7.2.1.5.3 and 7.2.1.5.10	Sliding dead bolt lock to be removed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 120 Finding 2 The portable fire extinguishers lack a current annual inspection tag. The last inspection tag is dated July 2013.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection. If space is unoccupied, fire extinguishers will be removed until such time the space is re-occupied.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 120 Finding 3 The unused gas lines into the building lack protective caps.	NA	NFPA 101, Life Safety Code, Chapters 13.5.1 and 9.1.1	Facilities will install protective caps.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 200 Finding 1 The main entrance door has a keyed dead bolt lock installed but is missing the thumb latch on the interior side of the door.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1, 5.1 and 7.2.1.5.3	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 210 Finding 1 The main entrance/exit door is equipped with panic hardware and has an additional locking devices installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12 and 7.2.5.10.2	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 210 Finding 2 The rear double exit door is equipped with standard latching locking hardware installed and has an additional locking device installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.1 and 7.2.1.5.10.2	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 220 Finding 1 The main entrance/exit door is equipped with panic hardware and has an additional locking device installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12 and 7.2.5.10.2	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 220 Finding 1b The sprinkler heads in the corridor by room 2249 still have the orange protective shipping covers installed.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire systems to remove covers.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 229 Finding 1 The main entrance door is equipped with a double cylinder dead bolt locking device.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1 and 7.2.1.5.5.1	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 3000 Finding 1 The main entrance/exit door is equipped with panic hardware and has an additional locking device installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12 and 7.2.5.10.2	Door systems removed additional locking device. Complete.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 3000 Finding 2 The exit door by room 3042 lacks an approved landing outside the door. Vegetation has been cut down outside the door and the remains of the bush create a tripping hazard.	NA	NFPA 101, Life Safety Code, Chapters 39.2.1.1, 7.2.1.3.2 and 7.1.10.1	Remove vegetation and add sidewalk. Teague Nail & Perkins is designing the Woodhill 3000 ADA parking modifications and has included this within their scope.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Unit 333 Finding 1 The wall between the warehouse and the adjacent tenant space occupied by the Doctors office is not properly fire stopped at the joint where the wall meets the roof.	NA	NFPA 101, Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	NA	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 1 The emergency light by the rest rooms does not operate when tested.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT to research lease to determine responsibility and will repair or have tenant repair depending on terms of lease.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 1 The wall between the warehouse and the adjacent tenant space occupied by the Doctors office is not properly fire stopped at the joint where the wall meets the roof.	NA	NFPA 101, Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	UNT will correct deficiency.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 2 The drywall joints are not taped and covered with joint compound on one wall which separates the warehouse from the doctor's office. This allows fire and smoke to enter into the void space between the wall and spread into the adjacent tenant space and does not meet the requirements for a fire wall between different occupancy types.	NA	NFPA 101 Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	UNT will correct deficiency.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Unit 333 Finding 2 The drywall joints are not taped and covered with joint compound on one wall which separates the warehouse from the doctor's office. This allows fire and smoke to enter into the void space between the wall and spread into the adjacent tenant space and does not meet the requirements for a fire wall between different occupancy types.	NA	NFPA 101 Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	NA	NA	NA	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 2 The rear double exit door from the back room has a sliding deadbolt lock installed in addition to the standard latching / lock hardware.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.1 and 7.2.1.5.10.2	UNT will coordinate with lessee to remove additional lock.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 3 Documentation was not available to show that the wall between the Doctors office and the warehouse occupancy was designed and installed to meet the two hour fire rated separation requirements between business occupancy and storage occupancy.	NA	NFPA 101, Life Safety Code, Chapters 6.1.14.4.1 and 6.1.14.4.2	UNT will correct deficiency.	NA	3/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Unit 333 Finding 3 Documentation was not available to show that the wall between the Doctors office and the warehouse occupancy was designed and installed to meet the two hour fire rated separation requirements between business occupancy and storage occupancy.	NA	NFPA 101, Life Safety Code, Chapters 6.1.14.4.1 and 6.1.14.4.2	NA	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 3 The rear exit door from the warehouse area has four locking devices installed.	NA	NFPA 101, Life Safety Code, Chapters 42.2.2.2.1, 7.2.1.5.10 and 7.2.1.5.10	UNT will coordinate with lessee to remove extra locking devices.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 4 The wall between the warehouse and the adjacent tenant space occupied by the Doctors office is not properly fire stopped at the joint where the wall meets the roof.	NA	NFPA 101, Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	UNT will coordinate with lessee to repair.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 5 The drywall joints are not taped and covered with joint compound on one wall which separates the warehouse from the doctor's office. This allows fire and smoke to enter into the void space between the wall and spread into the adjacent tenant space and does not meet the requirements for a fire wall between different occupancy types.	NA	NFPA 101 Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	UNT will coordinate with lessee to repair.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 6 Documentation was not available to show that the wall between the Doctors office and the warehouse occupancy was designed and installed to meet the two hour fire rated separation requirements between business occupancy and storage occupancy.	NA	NFPA 101, Life Safety Code, Chapters 6.1.14.4.1 and 6.1.14.4.2	UNT will coordinate with lessee.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 7 The light switch located by the oxygen bottle storage rack is missing the protective cover plate.	NA	NFPA 101, Life Safety Code, Chapters 42.5.1, 9.1.2; and NFPA 70 National Electrical Code	UNT will coordinate with lessee to replace missing cover plate.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 8 The electrical conduit with the outlet box by the oxygen bottle storage rack has been pulled from its wall mounting.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to repair.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 1 The emergency light unit by exam room 3 does not work when tested.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Tenet will fix light.	NA	2/15/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 1 The illuminated exit sign by the blood draw station does not work when tested in the battery backup power mode.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Tenant responsible to repair exit sign.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 2 The emergency light unit by exam room 3 does not work when tested.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Tenant responsible to repair emergency light.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 3 Surge protectors are interconnected in the office area.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Completed	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 4 Unapproved multi outlet adapters are plugged into electrical outlets throughout the office.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenant will remove outlet adapters.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 360 Finding 1 There are multiple locking devices installed on all egress doors.	NA	NFPA 101, Life Safety Code, Chapters 13.2.2.2 and 7.2.1.5.10	Space is unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 360 Finding 2 The fire alarm system lacks a current annual inspection tag. The last inspection tag is dated 2010.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 360 Finding 3 The fire sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2009.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Units 100, 106 and 108 Finding 1 The portable fire extinguishers lack current annual inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection. If space is unoccupied, fire extinguishers will be removed until such time the space is re-occupied.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and assembly use. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 The sidewall sprinkler head in stair 2-ground floor has receded and is obstructed by the gypsum wall board. NFPA 101, Life Safety Code, Chapter 4.6.12.1; and NFPA 25, Standard for Inspection, Testing and Maintenance of Water Based Fire Protection Systems	Fire systems is sourcing the correct cover for the sprinkler head.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and assembly use. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room.	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 1 The commercial cooking equipment has wheels on the units and subject to being moved. This allows the units to be located in an area not in direct alignment with the UL-300 suppression system nozzle coverage as originally designed. NFPA 101, Life Safety Code, Chapter 29.3.2.5.1; and NFPA 96, Standard for Ventilation Control and Fire Protection of Commercial Cooking Operations	Requesting Dining input	NA	5/29/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 2 The boiler room has unsealed penetrations. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	Hiring a contractor to complete the work.	NA	12/19/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 3 The UL-300 wet chemical fire suppression system is red tagged stating "no electrical shut off to the fryers" tag is dated 8-14-2014 NFPA 101, Life Safety Code, Chapters 4.6.12.1	Electrician is scheduled to complete the work next week.	NA	12/1/2014	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 4 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	UNT Facilities Certification Review	UNT	Based on the results of procedures performed, we concluded the projects and acquisitions of real property submitted to Texas Higher Education Coordinating Board (THECB) received required approvals, re-approvals or review, and were completed in accordance with rules established by the Texas Administrative Code and within the parameters specified in the project applications that were submitted to THECB.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	UNT Presidents' Expenditures	UNT	Travel reimbursements were not reviewed and approved by the Chancellor as required by the terms of the employment agreements. Instead, travel reimbursements were reviewed and approved by Vice President for Finance or the Vice President for Research. We discussed this observation with management and prior to the end of our work, management changed this practice and now all vouchers are approved by the Chancellor.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Chancellor's Expenditures Review	UNT System	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	HSC Presidents' Expenditures Review	UNTHSC	Auditors reviewed purchases made via the eProcurement (EPro) process and with the purchasing card (PCard) for fiscal year 2014. The results disclosed that PCard reconciliations did not contain a reconciler signature. This observation was discussed with management during the review, who agreed to take the PCard refresher training course offered by the BSC and that future expense reports generated by the Citibank Global Management System are prepared and will include cardholder, reconciler and approver signatures.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	UNT Dallas President's Expenditures Review	UNT Dallas	Auditors reviewed purchases made via the eProcurement (EPro) process and with the purchasing card (PCard) for fiscal year 2014. The results disclosed that PCard reconciliations did not contain a reconciler signature. This observation was discussed with management during the review, who agreed to take the PCard refresher training course offered by the BSC and that future expense reports generated by the Citibank Global Management System are prepared and will include cardholder, reconciler and approver signatures.	NA	None	NA	NA	NA	NA
Internal	UNT System IT Shared Services	Fiscal Year 2015	Information Technology	Local Audit of Phone Numbers and User Access - IT Shared Services	UNT System	NA	NA	NA	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Based on procedures performed, the SMIF was in compliance with the Donor's Agreement for calendar year 2014. The funds were appropriately accounted for in accordance with guidelines.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNT	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.	Low	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.	Concur. 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.	James Mauldin, Associate Vice Chancellor for Treasury	11/20/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT)	UNTHSC	Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor. The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was included in the audit report issued by Grant Thornton on August 12, 2015.	High	We recommend the Assistant Vice President of Research Administration at UNTHSC to re-educate faculty and staff on policies related to the attainment of gift cards used as research participant payments.	Management agrees with the recommendation and will send a group email to all active award account holders and will post in the Daily News a reminder to follow the procurement guidelines for purchasing gift cards for research participants.	LeAnn Forsberg, AVP Research Administration	11/15/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT)	UNT	Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor. The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was included in the audit report issued by Grant Thornton on August 12, 2015.	High	We recommend the Assistant Vice President of Research Administration at UNTHSC to re-educate faculty and staff on policies related to the attainment of gift cards used as research participant payments.	Management agrees with the recommendation and will send a group email to all active award account holders and will post in the Daily News a reminder to follow the procurement guidelines for purchasing gift cards for research participants.	LeAnn Forsberg, AVP Research Administration	11/15/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT)	UNTHSC	Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor. The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was included in the audit report issued by Grant Thornton on August 12, 2015.	High	In addition, we recommend the Associate Vice Chancellor for Finance and Administration to re-educate staff on the review process of support documentation that is provided by UNT components to ensure it is appropriate based on the request.	Business Support Services (formerly Business Services Center) concurs with the recommendation. We have notified our procurement staff of the expectation that they follow the current guidelines associated with the gift card purchases. Additionally, we have also implemented a secondary approval process for all gift card purchase requests. The secondary approval must come from the Senior Director of Procurement, Director of Purchasing or Associate Vice Chancellor for Finance and Administration effectively immediately (10/29/2015).	Donna Asher, Associate Vice Chancellor for Finance and Administration	10/29/2015	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRI)	UNT	<p>Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor.</p> <p>The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was included in the audit report issued by Grant Thornton on August 12, 2015.</p>	High	In addition, we recommend the Associate Vice Chancellor for Finance and Administration to re-educate staff on the review process of support documentation that is provided by UNT components to ensure it is appropriate based on the request.	Business Support Services (formerly Business Services Center) concurs with the recommendation. We have notified our procurement staff of the expectation that they follow the current guidelines associated with the gift card purchases. Additionally, we have also implemented a secondary approval process for all gift card purchase requests. The secondary approval must come from the Senior Director of Procurement, Director of Purchasing or Associate Vice Chancellor for Finance and Administration effectively immediately (10/29/2015).	Donna Asher, Associate Vice Chancellor for Finance and Administration	10/29/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNTHSC	UNTHSC is in compliance with the PFIA, Regents Rule 10.100, and the UNT System Regulation 08.2000. In addition, UNTHSC is in compliance with state higher education investment reporting requirements including SAO Article III, Rider 5 requirements.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNT System	<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>	Low	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.	Concur. System Regulation 08.2000 is already under review for potential revisions, including appropriate percentage ranges for each investment pool. In addition, the increased professional staffing in Treasury will allow for improved compliance with the current and future versions of the regulation. Review of System Regulation 08.2000 to determine if modification is needed and resulting Board Order, if so.	James Mauldin, Associate Vice Chancellor for Treasury	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNT Dallas	UNT Dallas is in compliance with the PFIA, Regents Rule 10.100, and the UNT System Regulation 08.2000. In addition, UNT Dallas is in compliance with state higher education investment reporting requirements including SAO Article III, Rider 5 requirements.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	<p>Three employees were paid from the Environmental Service Fee (ESF) fund while working on activities not eligible under the fund.</p> <p>The following specific issues were identified:</p> <ul style="list-style-type: none"> • A student employee was paid \$1,785 from the fund while working on a website not related to the fund. • A student employee was paid \$1,919 from the fund while working on activities not related to the fund. • The Assistant Director was paid \$16,643 from the fund from January 2015 to May 2015 while working on activities not related to the fund. 	Moderate	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: 1. Determine all payroll amounts incorrectly expensed to the fund and move to appropriate funding sources.	1. Management agrees. Management agrees to locate a new fund that more appropriately aligns with incorrect expenses.	1. Elizabeth With, Vice President of Student Affairs and Hope Garcia, Executive Director of Student Affairs Administration	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	<p>Three employees were paid from the Environmental Service Fee (ESF) fund while working on activities not eligible under the fund.</p> <p>The following specific issues were identified:</p> <ul style="list-style-type: none"> • A student employee was paid \$1,785 from the fund while working on a website not related to the fund. • A student employee was paid \$1,919 from the fund while working on activities not related to the fund. • The Assistant Director was paid \$16,643 from the fund from January 2015 to May 2015 while working on activities not related to the fund. 	Moderate	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Implement a procedure to assure expenses are reviewed and funds are only spent on allowable purposes. Implementation will ensure compliance with TEC Section 54.5041.	2. Management agrees. An advisor of the We Mean Green Fund (WMGF) will oversee activity of the WMGF Committee and provide guidance to committee on purpose of the fee and allowable purposes through the Committee Bylaws and ongoing training for returning and new committee members.	2. Hope Garcia, Executive Director, of Student Affairs Administration and Gary Coker, Student Coordinator of Sustainability	2/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Excess funds transferred from the Environmental Service Fee (ESF) fund to another department for an approved project were not claimed after project was completed. \$3,818 out of the total funds transferred for a project remained with the department when the project was complete. The excess funds were not transferred back to the fund.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Recover funds remaining after the project was completed.	3. Management agrees. Management agrees to determine the department that was transferred funds and request the excess of \$3,818 be returned.	3. Elizabeth With, Vice President of Student Affairs and Hope Garcia, Executive Director of Student Affairs Administration	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Excess funds transferred from the Environmental Service Fee (ESF) fund to another department for an approved project were not claimed after project was completed. \$3,818 out of the total funds transferred for a project remained with the department when the project was complete. The excess funds were not transferred back to the fund.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Develop procedures to fully account for use of money transferred from the ESF fund. Implementation will ensure compliance with TEC Section 54.5041.	4. Management agrees. If funds are committed to an effort in partnership with another department, funds may only be used in one of two ways: a. Through IDO which lists exact line time costs; b. By directly purchasing items/services from the ESF rather than transferring a lump sum.	4. Hope Garcia, Executive Director, of Student Affairs Administration	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Two tablets and a parking pass were not eligible to be paid using Environmental Service Fee (ESF). The following specific issues were identified: • \$10 was used to pay for a parking pass. • \$875 was used to purchase tablets.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Move the expenditures incorrectly charged to the fund to an alternative funding source.	6. Management agrees. An advisor of the We Mean Green Fund (WMGF) will oversee activity of the WMGF Committee and provide guidance to committee on purpose of the fee and allowable purposes through the Committee Bylaws and ongoing training for returning and new committee members.	6. Hope Garcia, Executive Director of Student Affairs Administration and Gary Cocke, Student Coordinator of Sustainability	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Two tablets and a parking pass were not eligible to be paid using Environmental Service Fee (ESF). The following specific issues were identified: • \$10 was used to pay for a parking pass. • \$875 was used to purchase tablets.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Implement a procedure to assure expenses are reviewed and funds are only spent on allowable purposes. Implementation will ensure compliance with TEC Section 54.5041.	6. Management agrees. An advisor of the We Mean Green Fund (WMGF) will oversee activity of the WMGF Committee and provide guidance to committee on purpose of the fee and allowable purposes through the Committee Bylaws and ongoing training for returning and new committee members.	6. Hope Garcia, Executive Director of Student Affairs Administration and Gary Cocke, Student Coordinator of Sustainability	2/1/2016	Closed
Internal	UNTHSC Institutional Compliance Office	Fiscal Year 2015	Governance and Regulatory Compliance	Safety and Security Audit (conducted by UNTHSC Institutional Compliance Office)	UNTHSC	Safety Coordinator Training needs to be completed by each Safety Coordinator	NA	Institutional Compliance recommends that the Safety Office maintains a process that ensures that each UNTHSC Safety Coordinator has completed Safety Coordinator training. If training is not completed or is unable to be completed by the Safety Coordinator, then a new Safety Coordinator should be appointed for that department.	New Employee Safety training is currently in the process of being updated and moved to UNTHSC's new We Comply Training Platform. This will allow for more accurate reporting. The new Safety Training is set to roll out in September 2015.	Matthew Moncus, Director, Safety Office	9/2015	Closed
Internal	UNTHSC Institutional Compliance Office	Fiscal Year 2015	Governance and Regulatory Compliance	Safety and Security Audit (conducted by UNTHSC Institutional Compliance Office)	UNTHSC	Institutional Compliance (IC) found that per the Fire Drill Report, corrective actions needed to be implemented and another Fire Drill should have been scheduled five to six months after to evaluate the efficiency of the corrective actions. Facilities had scheduled a complete fire alarm upgrade for the Gibson D. Lewis Library and the Safety Officer decided to perform the next drill in the building after the upgrade was completed. Funding for the fire alarm upgrade has been secured by Facilities for fiscal year 2016. The engineering has been completed, the next step is the installation. Brian Jordon is the Project Manager.	NA	IC recommends that the Safety Office conduct at least one emergency of fire drill exercise in the PCC and other high occupancy, multi-story buildings.	A fire drill schedule has been implemented that tests each building at least once a year. A large scare emergency management exercise will be conducted in the PCC in October, 2016.	Matthew Moncus, Director, Safety Office	10/28/2016	Closed
External	City of Denton	Fiscal Year 2016	Governance and Regulatory Compliance	Fats, Oils, and Grease (FOG) Trap Inspection	UNT	No findings/issues identified.	NA	No findings/issues identified.	No findings/issues identified.	NA	NA	NA

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External	City of Denton	Fiscal Year 2016	Governance and Regulatory Compliance	City of Denton NOV	UNT	During compliance monitoring activities conducted by the City of Denton on April 19, 2016, the mercury value for a sample collected at Outfall 004, had a value of 0.0029 mg/L exceeding the value established by the permit. As a result, UNT is Non-Compliant pursuant to City of Denton Code of Ordinances Chapter 26 Section 26-187; to-wit: discharge of wastewater containing mercury exceeding established Local Limits into Sanitary Sewer System.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	City of Denton	Fiscal Year 2016	Governance and Regulatory Compliance	City of Denton NOV	UNT	During compliance monitoring activities conducted by the City of Denton between April 19, and April 21, 2016, the copper values for three samples collected at Outfall 004, had a value of 1.5804 mg/L on April 19, a value of 2.1484 mg/L on April 20, and a value of 0.8595 mg/L on April 21, all three exceeding the value established by the permit. As a result, UNT is Non-Compliant pursuant to City of Denton Code of Ordinances Chapter 26 Section 26-187; to-wit: discharge of wastewater containing copper exceeding established Local Limits into Sanitary Sewer System.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Patient Outcome Baseline Milestone Achievement; 1115 Waiver	UNTHSC	No errors found in baseline. Supporting documentation for sample baseline data had 2 identified issues. Baseline Rate = .702128	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Patient Outcome Baseline Milestone Achievement; 1115 Waiver	UNTHSC	Verify Patient Outcome Baseline Data - Project#138980111.3.204	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Patient Outcome Baseline Milestone Achievement; 1115 Waiver	UNTHSC	Verify that 75 Patients Received Services Between 10/1/2013 and 9/30/2014 - Project# 138980111.2.5	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Community Based Clinics/Mobile Teams Milestone Achievement	UNTHSC	Verify that 2 community based clinics were established and providing services between 10/1/2013 and 9/30/2014. Verify that 4 mobile clinic teams were established and providing services between 10/1/2013 and 9/30/2014. - Project# 138980111.1.2	NA	None	NA	NA	NA	NA

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External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Cost of Attendance</u> : For 15 (24 percent) of 62 students tested, the University of North Texas (University) incorrectly or inconsistently calculated COA. Making incorrect COA calculations could result in under awards or over awards of financial assistance.	NA	The University should: - Include loan fees in COA only for students who receive loans and ensure that it does not make over awards of financial assistance as a result of removing the loan fees.	<u>Cost of Attendance (COA)</u> Management implemented changes last year in August 2014 to include loan fees in the COA budget for students who receive loans and ensure that the changes do not cause over awards of financial assistance as a result of removing the loan fees. Management modified the existing process to make adjustments more frequently throughout the year. Management implemented changes to identify students who have default values within the COA and have an ISIR to calculate each student's COA based on the correct budget.	Dena Guzman-Torres and Lacey Thompson	7/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Cost of Attendance</u> : For 15 (24 percent) of 62 students tested, the University of North Texas (University) incorrectly or inconsistently calculated COA. Making incorrect COA calculations could result in under awards or over awards of financial assistance.	NA	The University should: - Calculate each student's COA based on the correct budget.	<u>Cost of Attendance (COA)</u> Management implemented changes last year in August 2014 to include loan fees in the COA budget for students who receive loans and ensure that the changes do not cause over awards of financial assistance as a result of removing the loan fees. Management modified the existing process to make adjustments more frequently throughout the year. Management implemented changes to identify students who have default values within the COA and have an ISIR to calculate each student's COA based on the correct budget.	Dena Guzman-Torres and Lacey Thompson	7/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Satisfactory Academic Progress</u> : The University's SAP policy did not meet certain federal requirements at the beginning of the award year. As a result, for 2 (3 percent) of 62 students tested, the University did not correctly determine their SAP status.	NA	The University should: - Continue to ensure that its SAP policy meets federal requirements by calculating the quantitative pace requirement on a cumulative basis, rather than an annual basis; ensuring that the policy requires students to graduate within the maximum time frame; and making the SAP policy at least as strict as its academic policy.	<u>Satisfactory Academic Progress</u> Management implemented changes in the middle of the term last year in November 2014, after it was identified by the auditors, to its SAP policy to meet federal requirements by calculating the quantitative pace requirement on a cumulative basis, rather than an annual basis; to ensure students graduate within the maximum time frame to make the SAP policy as strict as its academic policy.	Dena Guzman-Torres and Lacey Thompson	11/1/2014	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Federal Pell Grant</u> : The University did not disburse Federal Pell Grant funds to one student who was eligible to receive those funds.	NA	The University should: - Disburse Federal Pell Grant funds to all eligible students.	<u>Pell Grants</u> Management implemented changes to ensure the disbursement of Federal Pell Grant funds to all eligible students.	Abby Goynes and Lacey Thompson	7/1/2015	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	For 4 (7 percent) of 60 students who had a status change, the University submitted inaccurate effective dates to NSLDS. That occurred because the University had identified errors in its February 2015 report submission to NSC and, therefore, delayed submission of its enrollment report . That delay caused the effective dates to be reflected inaccurately in NSLDS. Not reporting effective dates accurately could affect determinations that guarantors, lenders, and servicers of student loans make related to in-school status, deferments, grace periods, repayment schedules, and the federal government's payment of interest subsidies.	NA	The University should accurately report effective dates to NSLDS.	Management is attentive to the U.S. Department of Education requirements regarding reporting dates of student enrollment status changes. Management has implemented a change to the internal National Student Clearinghouse Enrollment Report to help ensure the accuracy enrollment change dates.	Bryan Heard	8/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2015	UNT	During this audit, the University of North Texas's (University) Office of General Counsel disclosed to auditors that the University conducted an internal investigation related to the effort that one of its researchers charged to a federal award. The University determined that the associated payroll charges of \$68,236 resulted from unintentional errors related to the effort that researcher reported. In response to the increased risk related to payroll charges, auditors tested additional payroll related expenditures at the University but did not identify any additional instances of noncompliance or control deficiencies.	NA	2015-127 The University should: -Coordinate the repayment of all questioned costs with the awarding agency.	The University of North Texas will deduct \$68,236 in questioned costs from the next invoice submitted to the awarding agency. Supporting documentation will be provided to the State Auditor's Office.	Dr. David Schultz and Britt Khovjak	2/29/2016	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2015	UNT	During this audit, the University of North Texas's (University) Office of General Counsel disclosed to auditors that the University conducted an internal investigation related to the effort that one of its researchers charged to a federal award. The University determined that the associated payroll charges of \$68,236 resulted from unintentional errors related to the effort that researcher reported. In response to the increased risk related to payroll charges, auditors tested additional payroll related expenditures at the University but did not identify any additional instances of noncompliance or control deficiencies.	NA	2015-127 The University should: -Improve controls related to the review and approval of effort charged to federal awards to help ensure that all charges are based on the effort contributed to federal awards.	A regular training regimen is being implemented with all principal investigators involved in federally funded research. The training includes reinforcement of requirements for supporting documentation for hours worked and allocation of effort.	Dr. David Schultz and Britt Khovjak	9/30/2016	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	Agencies', Higher Education Institutions', and Community Colleges' Compliance with Public Investment Reporting Requirements	All Components	Were Not Fully Compliant with the Act (Source: State Auditor's Office review of the compliance audit reports that internal or external auditors issued.)	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2016	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2015	UNT	NA	NA	None	NA	NA	NA	NA

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-01 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms - SORM noted during the consultation that mechanical, boiler, and electrical equipment ("chiller") rooms on campus were being used to store combustible materials such as cardboard boxes, paper, etc.	NA	SORM recommends that the university remove all combustible materials from all boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.18.5.2 of NFPA-1 (2015) states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.") In one area of the large mechanical room in Building 1, a room has been constructed which if built to code would be sufficient to house combustible materials. Currently, it does not meet code, however, and therefore, all combustible materials should be removed from this location. Reference: NFPA-1 (2015), "Fire Code," Chapters 10.18.5.1, 10.18.5.2	When have proposals and plans from 3 contractors to bring the storage area up.	Wayne McInnis, Assistant Director for Facilities	4/30/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-02 Safety: Fire Safety: Emergency Equipment/Hazard Communication (Chiller Room #147) - SORM noted during the consultation that the Chiller Room (Room #147) was being used for storing an excessive amount of furniture and other pieces of equipment. This room has emergency procedures for a spill of the chiller chemicals which include the use of Self-Contained Breathing Apparatus (SCBA) gear. However, egress to the gear is blocked by all of the equipment being stored in the room. In addition, there are no Safety Data Sheets (SDSs) nor an eyewash station present in the room.	NA	SORM recommends that the university immediately clean out this room such that the emergency procedures can be implemented as required, implement an OSHA-compliant hazard communication program vis-a-vis these chemicals, including the placement of the correct SDSs in the room, and install an ANSI-compliant eyewash station in the room. All employees exposed to these hazards should be trained on safety policies and procedures as part of the hazard communication program. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	On 1/28/16 we submitted a RFP for a Modular building that will eliminate the need to store these items in the machine room.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 2/28/2017	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-03 Safety: Electrical Safety: Exterior Outlet (Outside of Kitchen) - SORM noted during the consultation that an exterior outlet outside of the kitchen was missing its required cover.	NA	SORM recommends that the university replace this cover in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 406.9 (B) (1)	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-04 Safety: Fire Safety: Firestops in Telecommunications Room - SORM noted during the consultation that telecommunications room #361 was lacking required firestops on wall penetrations made due to data-communications wiring.	NA	SORM recommends that the university firestop these penetrations in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapter 8.3.5.1	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-05 Safety: Fire Safety: Fire Doors, Equipment, and Assemblies - SORM noted during the consultation that the fire doors and assemblies on campus were in varying states of compliance with the fire and life safety codes with regard to the display of their fire-resistance ratings.	NA	SORM recommends that the university conduct an inventory of all fire doors, equipment, and assemblies and then ensure that each are labeled in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 8.3.3.1, 8.3.3.2, 8.3.3.2.2, 8.3.3.2.3, 8.3.3.2.3.1	We are going through the building's submittals and plans from construction to confirm the fire code ratings and have it displayed properly. Also working with UNT Risk Management to get them properly rated.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-06 Safety: Light Bulb Cover (Mechanical Room-Building #1) - SORM noted during the consultation that light bulbs in the southeast corner of the mechanical room in Building #1 were fewer than eight feet from ground level and were missing a required cover.	NA	SORM recommends that the university cover these bulbs, as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.305 (j)(1)(i)	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	1/14/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-07 Safety: Fire Safety: Storage Under Stairwell - SORM noted during the consultation that the State Fire Marshal's Office recommended that the university either remove a sprinklered, locked storage room under a stairwell in Building #1, or construct a doorway that leads directly outside and remove the doorway in the interior of the building, replacing it with a wall.	NA	SORM recommends that the university comply with the findings of the State Fire Marshal's Office in the timeframe as directed by the SFMO. Reference: NFPA-1 (2015), "Fire Code," Chapters 1.6, 1.7.3.1	We have proposals from 3 contractors to remove the enclosure and bring the stair well up to code.	Wayne McInnis, Assistant Director for Facilities	4/30/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-08 Risk Management: Policies/Procedures: Facilities Maintenance Staff - SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to: a) Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. b) New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. c) Adoption of NFPA-1 (Fire Code-2012) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however, it covers many more hazards.	NA	Considering these and other factors, SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	Risk assessment to be complete by 7/31/16	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 7/31/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-01 Safety: Fire Safety: Fire Extinguisher (Library) - SORM noted during the consultation that the fire extinguisher in the Center for Innovative Learning, room 448 in the Library, was a Carbon Dioxide "B/C" type of extinguisher.	NA	SORM recommends that UNTHSC replace this extinguisher with an A/B/C Dry Chemical type of extinguisher due to the hazard classification and type of combustible material present in this location, as per the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.3.5; 9.7.4.1; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 5.1, 5.2.1, 5.4.1.2	Fire Extinguisher was replaced with the proper type.	Matthew Moncus, Director, Safety Office	11/13/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-02 Safety: Fire Safety: Exit Signage (PCC Building) - SORM noted during the consultation that the hallway on the first floor near room 174 was lacking a required exit sign to direct travel in emergency situations.	NA	SORM recommends that the university install an approved, listed exit sign in accordance with the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.2.10, 7.10.2.1	Signs will be ordered and installed by Facilities.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-03 Safety: Fire Safety: Escutcheon Plate (PCC Building) - SORM noted during the consultation that an escutcheon plate was missing on one of the sprinkler heads on the first floor of the PCC building, near room 174.	NA	SORM recommends that the university replace this escutcheon plate in accordance with the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 4.6.12.4, 9.7.1.1; NFPA-13 (2016), "Standard for the Installation of Sprinkler Systems," Chapter 6.2.7	Escutcheon plate was replaced.	Matthew Moncus, Director, Safety Office	11/6/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-04 Safety: Electrical Safety: Junction Box Cover (RES Building) - SORM noted during the consultation that a junction box in room 1M3 on the first floor of the RES building was missing its required cover.	NA	SORM recommends that the university cover the junction box in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 314.28(C)	Cover was replaced by Facilities.	Matthew Moncus, Director, Safety Office	11/12/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-05 Safety: Fire Safety: Exit Signs (PCC Building) - SORM noted during the consultation that many of the exit signs at the end of the hallways in the PCC Building were insufficiently lit and some were pointing in the wrong direction for egress.	NA	SORM recommends that the university replace all exit signs that are not illuminated in accordance with the NFPA standard below, and ensure that the chevrons point in the correct direction of travel. References: NFPA-101 (2015), "Life Safety Code," Chapters 21.2.10, 7.10, 7.10.5.1	Signs will be ordered and installed by Facilities.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-06 Safety: Chemical Safety/Hazard Communication: Eyewash Stations (RES Building) - SORM noted during the consultation that many of the eyewash stations in the RES Building had not been inspected since August of 2015.	NA	SORM recommends that the university conduct documented inspections of these eyewash stations with a frequency in accordance with the manufacturer's specifications and the ANSI standard referenced below. Reference: ANSI/ISEA (2014), z358.1, "Standard for Emergency Eyewash and Shower Equipment"	The Safety Office has created an inspection checklist with frequencies for eyewashes and safety showers, and will conduct the inspections accordingly.	Matthew Moncus, Director, Safety Office	11/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-07 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms - SORM noted during the consultation that many of the mechanical, boiler, and electrical equipment rooms on campus were being used to store combustible materials such as cardboard boxes, paper, etc.	NA	SORM recommends that the university remove all combustible materials from boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.19.5.2 of NFPA-1 states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.") Reference: NFPA-1 (2015), "Fire Code," Chapters 10.19.5.1, 10.19.5.2	Combustible materials have been removed from mechanical/electrical/boiler rooms.	Matthew Moncus, Director, Safety Office	12/4/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-08 Safety: Occupational Noise: Testing (EAD Boiler Room) - SORM noted during the consultation that the EAD Boiler Room was an area of concern with regard to excess occupational noise.	NA	SORM recommends that the university measure the noise levels in this area as per the OSHA standard referenced below, and determine if a hearing protection program should be implemented. Reference: OSHA, 29 CFR 1910.95, "Occupational Noise Testing"	Noise levels were measured and were determined to be below the 85dB threshold for implementing a hearing protection program. However, hearing protection will be made available and training will be conducted on proper usage of hearing protection for employees who may work in that area.	Matthew Moncus, Director, Safety Office	12/11/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-09 Safety: Fire Safety: Electrical Panelboard (CBH Building) - SORM noted during the consultation that an electrical panelboard in room 5ME1 was missing a list of what each circuit breaker controls.	NA	SORM recommends that the university label this panelboard in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 408.4	The Facilities Electrician has been assigned to properly label the panel board.	Matthew Moncus, Director, Safety Office	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-10 Safety: Fire Safety: Escutcheon Plate (CBH Building) - SORM noted during the consultation that an escutcheon plate over a sprinkler head on the fifth floor of the CBH Building was missing.	NA	SORM recommends that the university replace this escutcheon plate in accordance with the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 4.6.12.4, 9.7.1.1; NFPA-13 (2016), "Standard for the Installation of Sprinkler Systems," Chapter 6.2.7	Escutcheon plate was replaced.	Matthew Moncus, Director, Safety Office	11/6/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-11 Safety: Fire Safety: Exit Sign (CBH Building) - SORM noted during the consultation that an exit sign near the 252 stairwell is insufficiently lit.	NA	SORM recommends that the university replace this exit sign with one that performs in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 39.2.10, 7.10, 7.10.5.1	Signs will be ordered and installed by Facilities.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-12 Safety: Fire Safety: Electrical Panelboard (UNT-System HR Building) - SORM noted during the consultation that an electrical panelboard in the exterior mechanical room of the UNT-System HR Building was missing a required knockout and a list indicating which circuit each circuit breaker controls.	NA	SORM recommends that the university insert the knockout and label as per the NFPA standard referenced below. Reference: NFPA-70 (2015), "National Electrical Code," Articles 408.4, 110.12 [A]	Building is scheduled to be unoccupied within the next 2 months, and is scheduled to be demolished soon after.	Matthew Moncus, Director, Safety Office	2/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-13 Safety: Electrical Safety: GFCI Protection – Electric Water Fountain (General Services Building) - SORM noted during the consultation that an electric water fountain in the General Services Building was not protected by either a GFCI receptacle or circuit breaker.	NA	SORM recommends that the university install GFCI protection in this area in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2015), "National Electrical Code," Article 422.52	The Facilities Electrician has been assigned the task to provide GFCI protection for the water fountains.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-14 Safety: Emergency Management: Shelter-in-Place Drill - SORM noted during the consultation that although the university has excellent emergency management policies in place, a shelter-in-place drill had not been conducted recently.	NA	SORM recommends that the university conduct a "worst case scenario" shelter-in-place drill for all buildings on campus, including both employees and students in the procedure. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.5	A shelter-in-place drill matrix has been created that establishes a drill schedule for each building on campus. Each building will be drilled individually and performance will be evaluated by the Safety Office. A campus wide drill will be integrated into our annual emergency management exercise.	Matthew Moncus, Director, Safety Office	10/28/2016 (Exercise is scheduled based on availability of City of Fort Worth resources.)	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-15 Risk Management: Policies/Procedures: Incident Investigations - SORM noted during the consultation that root cause analyses of appropriate incidents is not currently occurring in a formalized manner.	NA	SORM recommends that the university provide incident investigation training for at least the University Safety Officer. Upon completion of this training, root cause analyses should be conducted for each appropriate incident that occurs. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 5, Subchapter 5.7	The Safety Director will attend an incident investigation course and conduct root cause analyses for each incident.	Matthew Moncus, Director, Safety Office	5/31/2016 Not yet implemented. SORM stopped offering this course, and an alternative has not been identified.	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-16 Risk Management: Policies/Procedures: Facilities Maintenance Staff - SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to: <ul style="list-style-type: none"> • Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. • New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. • Adoption of NFPA-1 (Fire Code) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however, it covers many more hazards. • The availability of and desire to obtain and utilize an infra-red scanning device to detect electrical issues on campus before they result in failure and subsequent fire. 	NA	Considering all of these factors, SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	An assessment will be conducted to determine appropriate staffing levels.	Matthew Moncus, Director, Safety Office	8/31/2016 Not yet implemented. An assessment of only Safety personnel revealed appropriate staffing levels based on square footage, population, and workload.	Closed
External	Grant Thornton	Fiscal Year 2016	Governance and Regulatory Compliance	Financial Report of the University of North Texas for SACS Accreditation	UNT	Based on our review, we are not aware of any material modifications that should be made to the accompanying financial statements in order for them to be in accordance with accounting principles generally accepted in the United States of America.	NA	None	NA	NA	NA	NA
External	Southern Association of Colleges and Schools Commission on Colleges	Fiscal Year 2016	Governance and Regulatory Compliance	Southern Association of Colleges and Schools Commission on Colleges Fifth-Year Interim Report	UNTHSC	Regional SACSCOC Accreditation	NA	None	NA	NA	NA	NA
External	Texas Department of State Health Services	Fiscal Year 2016	Governance and Regulatory Compliance	Radiation Safety Program Audit	UNTHSC	We have determined that your radiation safety program appears to be in compliance.	NA	None	NA	NA	NA	NA

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External	Texas Higher Education Coordinating Board	Fiscal Year 2016	Governance and Regulatory Compliance	Sandia National Lab (Federal) financial and compliance audit (Office of Grant and Contract Administration)	UNT	Based on our review of the costs claimed by the contractor, no adjustments of the contractor's claim came to our attention that exceeded established materiality levels. The contractor's management concurred with the results of the audit.	NA	None	NA	NA	NA	NA
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2015-001 Condition – There were two employees listed on the FY15 Effort Report that were not listed in the Personnel Level of Effort in the original approved grant budget. Questioned Costs – \$47,412 Context – Out of 2,661 expenditures totaling \$1,643,255, a sample of 40 expenditures totaling \$105,128 was selected for testing. Four payroll related expenditures totaling \$300.60 for individuals that were not included on the approved Personnel Level of Effort budget. The total payroll related expenditures charged to the CPRIT program for these two employees totaled \$47,412. The sample selected was not, and was not intended to be, statistically valid.	NA	The University should review their policies and procedures to ensure that CPRIT is notified and provides approval when necessary for any changes to employees or positions named in the original approved grant budget.	Management agrees with the recommendation and has already resolved the issue as it was discovered during the prior year audit. Audits for FY13 and FY14 were combined and completed August 14, 2015 which prevented any corrective action from being implemented during FY15. Management provided written and verbal training to Principal Investigators regarding CPRIT's notification and approval procedures related to names and positions listed in the Personnel Level of Effort section of the approved budget.	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2013-001 Condition – The University had incomplete support for four out of the twenty-two and one of twenty-five judgmentally selected expenditures for fiscal years 2013 and 2014, respectively. To be allowed under State awards, costs must have complete and adequate documentation. Questioned Costs – 2013: \$2,839.73; 2014: \$2,340.00 Context – The University was unable to provide complete evidence for expenditures related to the purchase and disbursement of gift cards that were deemed necessary and reasonable for proper and efficient performance and administration of the CPRIT program.	NA	None	NA	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2014-001 Condition – The University had incomplete support for four out of the twenty-two and one of twenty-five judgmentally selected expenditures for fiscal years 2013 and 2014, respectively. To be allowed under State awards, costs must have complete and adequate documentation. Questioned Costs – 2013: \$2,839.73; 2014: \$2,340.00 Context – The University was unable to provide complete evidence for expenditures related to the purchase and disbursement of gift cards that were deemed necessary and reasonable for proper and efficient performance and administration of the CPRIT program.	NA	None	NA	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2014-002 Condition – The University was reimbursed for one travel related expenditure, in which the travel did not occur, out of the twenty-five expenditures judgmentally selected for testing. The University did not subsequently reimburse CPRIT for the expenditure. Questioned Costs – \$142.02 Context – The University requested reimbursement for an expenditure that did not occur.	NA	None	NA	NA	NA	Closed

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External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2014-003 Condition – One employee on the FY 2014 Time and Effort Report that was not included in the Personnel Level of Effort in the approved budget. Additionally, two Research Assistants were not included in the approved Personnel Level of Effort budget. Questioned Costs – \$3,532.15 Context – The University added a second Program Coordinator to the project that was not included in the budget. Additionally, two employees were paid for work on the project who were not listed on the Personnel Level of Effort budget. CPRIT requires notification of all changes in personnel. Changes in key personnel that dedicate at least 10% of their time to a CPRIT funded project or program must also be communicated in writing to CPRIT.	NA	None	NA	NA	NA	Closed
External	Food and Drug Administration	Fiscal Year 2016	Governance and Regulatory Compliance	Protocol Compliance; TCOM/Medical Education	UNTHSC	None	NA	NA	NA	NA	NA	NA
External	International Association of Campus Law Enforcement Administrators	Fiscal Year 2016	Governance and Regulatory Compliance	Review for IACLEA Accreditation	UNTHSC	IACLEA Accreditation	NA	None	NA	NA	NA	NA
External	Department of Education	Fiscal Year 2016	Finance	Financial Aid Audit	UNT Dallas	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT Dallas	Building One - Finding 1: Two buildings were re-inspected for the fifth time with the following previously listed violations not corrected. Please respond to this office within 30 days of receipt of this report, detailing your intentions to correct the violations and a new timeline for their completion. The original inspection was conducted in July of 2013. Timelines for corrective actions supplied by the University are not being met. The UNT System Fire Marshal has been notified of the lack of correcting the outstanding violations by the UNT Dallas campus staff. The fire doors at the following locations are missing the bottom vertical rod and floor latching point or have not had fire pins installed. Double doors by rooms 362 and 381corridor and stairwell.	NA	NFPA 101, Life Safety Code, Chapters 8.3.3.1and NFPA 80 Standard for Fire Doors and other Opening Protectives	Has been corrected.. Vertical rods and floor latching were installed earlier this year.	Wayne McInnis, Assistant Director for Facilities	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT Dallas	<p>Building One - Finding 2: Two buildings were re-inspected for the fifth time with the following previously listed violations not corrected. Please respond to this office within 30 days of receipt of this report, detailing your intentions to correct the violations and a new timeline for their completion.</p> <p>The original inspection was conducted in July of 2013. Timelines for corrective actions supplied by the University are not being met. The UNT System Fire Marshal has been notified of the lack of correcting the outstanding violations by the UNT Dallas campus staff.</p> <p>The area under the stairwell on the first floor has been enclosed and is used for storage. The entrance to this area is located in the stairwell. The enclosure has been removed however storage still remains under the stairs.</p>	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.3.1, 7.2.2.5.3.2 and 7.2.3.3.1	The enclosed storage under the stairwell has been removed.	Wayne McInnis, Assistant Director for Facilities	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT Dallas	<p>Founders Hall - Finding 1: Two buildings were re-inspected for the fifth time with the following previously listed violations not corrected. Please respond to this office within 30 days of receipt of this report, detailing your intentions to correct the violations and a new timeline for their completion.</p> <p>The original inspection was conducted in July of 2013. Timelines for corrective actions supplied by the University are not being met. The UNT System Fire Marshal has been notified of the lack of correcting the outstanding violations by the UNT Dallas campus staff.</p> <p>The fire doors throughout the building are missing the bottom vertical rod and floor latching point.</p>	NA	NFPA 101, Life Safety Code, Chapters 8.3.3.1 and NFPA 80 Standard for Fire Doors and other Opening Protectives Building Services Violation	There was one set of fire doors that were identified needing the bottom vertical rod and that has been installed.	Wayne McInnis, Assistant Director for Facilities	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT Dallas	<p>Founders Hall - Finding 2: Two buildings were re-inspected for the fifth time with the following previously listed violations not corrected. Please respond to this office within 30 days of receipt of this report, detailing your intentions to correct the violations and a new timeline for their completion.</p> <p>The original inspection was conducted in July of 2013. Timelines for corrective actions supplied by the University are not being met. The UNT System Fire Marshal has been notified of the lack of correcting the outstanding violations by the UNT Dallas campus staff.</p> <p>There is unapproved storage of miscellaneous items in mechanical rooms and penthouses.</p>	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2, 9.2.1; NFPA 70, National Electrical Code and NFPA 90A, Standard for the Installation of Air Conditioning and Ventilating Systems	We still have the storage issue in the building and are working to lease a Modular building to place the items. I am actually meeting with the company on Tuesday 10/18/16, to walk the site where it will be placed.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: NA Revised Imp. Date: 11/30/2017	All SFMO recommendations are open until the next SFMO visit.

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External	Department of the Treasury Internal Revenue Service	Fiscal Year 2016	Finance	Tax Exempt and Government Entities Exempt Organizations Examinations	UNT Dallas	The audit identified the deficiencies discussed in the enclosed addendum. To avoid penalties, loss of exempt status, or both, you must comply with the requirements specified in the addendum. We audited the returns for the tax periods listed above and determined your organization continues to qualify for exemption from federal income tax under Section 510(c)(3) of the Internal Revenue Code. We accept your returns as filed.	NA	During the examination of your Form 990, Return of Organization Exempt from Income Tax, for tax year ended December 31, 2014, we noted the following: 1) During our examination of the organization's Form 990, and related records, we determined that when you completed Schedule A, "Reason for Non-Private Foundation Status", you claimed you are described in Section 509(a)(1) and 170(b)(1)(A)(i) of the Code. The examination and interview held that you aren't a church. You also indicated that you are a Type III functionally integrated, a supporting organization. Based on your determination letter, we concluded that our determination of your organization's exempt status is Section 509(a)(1) and 170(b)(1)(A)(iv). Accordingly, please check the correct box in the future.	NA	NA	NA	NA
External	Department of the Treasury Internal Revenue Service	Fiscal Year 2016	Finance	Tax Exempt and Government Entities Exempt Organizations Examinations	UNT Dallas	The audit identified the deficiencies discussed in the enclosed addendum. To avoid penalties, loss of exempt status, or both, you must comply with the requirements specified in the addendum. We audited the returns for the tax periods listed above and determined your organization continues to qualify for exemption from federal income tax under Section 510(c)(3) of the Internal Revenue Code. We accept your returns as filed.	NA	During the examination of your Form 990, Return of Organization Exempt from Income Tax, for tax year ended December 31, 2014, we noted the following: 2) During our review of your Form 990, we noted that some amounts shown on your balance sheet did not reflect those recorded on your books of account. You should make certain that accurate information is reported on your return in the future. Omitting material information from your Form 990 may subject you to a penalty under Section 6652(c) of the Internal Revenue Code of 1986.	NA	NA	NA	NA
External	CPRIT	Fiscal Year 2016	Governance and Regulatory Compliance	Random Desk Review	UNTHSC	None	NA	None	NA	NA	NA	NA
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT System	16-11-01 Safety: Fire Safety: Fire Alarm System (Woodhills – BSC) SORM noted during the consultation that the fire alarm system was overdue for its annual inspection.	NA	SORM recommends that the university have the system inspected as soon as possible and annually thereafter, as per the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapter 9.6.1.3, 9.6.1.4; NFPA-72 (2016), "National Fire Alarm and Signaling Code," Chapter and Table 14.3.1	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-01 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms - SORM noted during the consultation that mechanical, boiler, and electrical equipment ("chiller") rooms on campus were being used to store combustible materials such as cardboard boxes, paper, etc.	NA	SORM recommends that the university remove all combustible materials from all boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.18.5.2 of NFPA-1 (2015) states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.") In one area of the large mechanical room in Building 1, a room has been constructed which if built to code would be sufficient to house combustible materials. Currently, it does not meet code, however, and therefore, all combustible materials should be removed from this location. Reference: NFPA-1 (2015), "Fire Code," Chapters 10.18.5.1, 10.18.5.2	When have proposals and plans from 3 contractors to bring the storage area up.	Wayne McInnis, Assistant Director for Facilities	4/30/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-01 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms a) SORM noted during the consultation that mechanical, boiler, and electrical equipment rooms on campus (including in West Hall, Sycamore Hall, and Clark Hall) were being used to store combustible materials such as cardboard boxes, paper, etc. b) In Sycamore Hall, this includes a large cage built for holding janitorial supplies, many of which are combustible. With the approval of the Authority Having Jurisdiction (State Fire Marshal's Office), the university could choose to store these supplies in an interior room within the large mechanical room if it is designed and built according to code, rather than removing the supplies and storing them elsewhere. Reference: NFPA-1 (2015), "Fire Code," Chapters 10.18.5.1, 10.18.5.2	NA	SORM recommends that the university remove all combustible materials from boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.18.5.2 of NFPA-1 (2015) states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.")	All combustible materials have been removed. Custodial cage will be modified to meet code.	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-02 Safety: Chemical Safety: Hazard Communication/Eyewash Stations SORM noted during the consultation that in several boiler rooms on campus, including in Crumley Hall, Maple Hall, Clark Hall, and McConnell Hall, corrosive water-treatment chemicals are being used. However, no Safety Data Sheets are present at the locations and no eyewash stations are present.	NA	SORM recommends that the university install ANSI-compliant eyewash stations in locations where corrosive chemicals are being used and maintain copies of the Safety Data Sheets for these chemicals in these locations. All employees exposed to these hazards should be trained on Hazard Communication in accordance with the OSHA standard referenced below, and any relevant third-party vendor safety programs should be reviewed for compliance with the OSHA standard. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	ANSI-compliant eyewash stations will be installed.	Randy Fite, Senior Director, Facilities Maintenance	1/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT	16-11-02 Safety: Chemical Safety: Hazard Communication/Eyewash Stations SORM noted during the consultation that in several boiler rooms on campus, including in Crumley Hall, Maple Hall, Clark Hall, and McConnell Hall, corrosive water-treatment chemicals are being used. However, no Safety Data Sheets are present at the locations and no eyewash stations are present. SORM recommends that the university install ANSI-compliant eyewash stations in locations where corrosive chemicals are being used and maintain copies of the Safety Data Sheets for these chemicals in these locations. All employees exposed to these hazards should be trained on Hazard Communication in accordance with the OSHA standard referenced below, and any relevant third-party vendor safety programs should be reviewed for compliance with the OSHA standard. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	NA	SORM recommends that the university install ANSI-compliant eyewash stations in locations where corrosive chemicals are being used and maintain copies of the Safety Data Sheets for these chemicals in these locations. All employees exposed to these hazards should be trained on Hazard Communication in accordance with the OSHA standard referenced below, and any relevant third-party vendor safety programs should be reviewed for compliance with the OSHA standard. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	NA	NA	NA	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-02 Safety: Fire Safety: Emergency Equipment/Hazard Communication (Chiller Room #147) - SORM noted during the consultation that the Chiller Room (Room #147) was being used for storing an excessive amount of furniture and other pieces of equipment. This room has emergency procedures for a spill of the chiller chemicals which include the use of Self-Contained Breathing Apparatus (SCBA) gear. However, egress to the gear is blocked by all of the equipment being stored in the room. In addition, there are no Safety Data Sheets (SDSs) nor an eyewash station present in the room.	NA	SORM recommends that the university immediately clean out this room such that the emergency procedures can be implemented as required, implement an OSHA-compliant hazard communication program vis-a-vis these chemicals, including the placement of the correct SDSs in the room, and install an ANSI-compliant eyewash station in the room. All employees exposed to these hazards should be trained on safety policies and procedures as part of the hazard communication program. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	On 1/28/16 we submitted a RFP for a Modular building that will eliminate the need to store these items in the machine room.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 2/28/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT System	16-11-02 Safety: Fire Safety: Exit Signs (Woodhills – BSC) SORM noted during the consultation that for egress emanating from the part of the office near room #4067, the electrical room, a path of emergency egress is not clearly identified by exit signage.	NA	SORM recommends that the university install approved, listed, and labeled exit signs from this area to exit points in the building that conform to the requirements of the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 29.2.1.1, 29.2.10, 7.10, 7.10.5.1, 7.10.5.2	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-03 Safety: Electrical Safety: Exterior Outlet (Outside of Kitchen) - SORM noted during the consultation that an exterior outlet outside of the kitchen was missing its required cover.	NA	SORM recommends that the university replace this cover in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 406.9 (B) (1)	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT System	16-11-03 Safety: Fire Safety: Escutcheon Plate (Woodhills – BSC) SORM noted during the consultation that an escutcheon plate was missing over a sprinkler head in room 4202 A.	NA	SORM recommends that the university replace this escutcheon plate in accordance with the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 4.6.12.4, 9.7.1.1; NFPA-13 (2016), "Standard for the Installation of Sprinkler Systems," Chapter 6.2.7	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-03 Safety: Fire Safety: Firestops in Mechanical Rooms (West and Chilton Halls) SORM noted during the consultation that mechanical rooms in West Hall and Chilton Hall were lacking required firestops on wall penetrations.	NA	SORM recommends that the university firestop these penetrations in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapter 8.3.5.1	All penetrations will be fire stopped.	Randy Fite, Senior Director, Facilities Maintenance	4/1/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-04 Safety: Fire Safety: Fire Door (Mechanical Room – West Hall) SORM noted during the consultation that a fire door in a mechanical room of West Hall was not displaying its fire rating.	NA	SORM recommends that the university determine the fire rating of the door and then label it according to the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 8.3.3.1, 8.3.3.2, 8.3.3.2.2, 8.3.3.2.3, 8.3.3.2.3.1	The fire rating of the door will be determined and posted.	Randy Fite, Senior Director, Facilities Maintenance	1/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-04 Safety: Fire Safety: Firestops in Telecommunications Room - SORM noted during the consultation that telecommunications room #361 was lacking required firestops on wall penetrations made due to data-communications wiring.	NA	SORM recommends that the university firestop these penetrations in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapter 8.3.5.1	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-05 Safety: Fire Safety: Evacuation Diagrams and Room Numbers (West Hall) SORM noted during the consultation that the evacuation diagrams provided in the South wing of West Hall indicate room numbers with a fourth floor designation, even though they are on the first floor of the building. Since this can be extremely confusing to emergency responders (and residents) who may not be as familiar with the particular layout of this building as might be desired.	NA	SORM recommends that the university consider the feasibility of designing the emergency evacuation diagrams and room numbers such that this kind of confusion is eliminated, while maintaining the clarity and accuracy of the diagrams and associated fire/emergency plans. References: NFPA-1 (2015), "Fire Code," Chapter 10.8.1, 10.8.2.1; NFPA-101 (2015), "Life Safety Code," Chapters 29.7.4.1, 29.7.4.2, 29.7.5, 7.10.8.5	Will redesign the south wing numbers to reduce confusion.	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-05 Safety: Fire Safety: Fire Doors, Equipment, and Assemblies - SORM noted during the consultation that the fire doors and assemblies on campus were in varying states of compliance with the fire and life safety codes with regard to the display of their fire-resistance ratings.	NA	SORM recommends that the university conduct an inventory of all fire doors, equipment, and assemblies and then ensure that each are labeled in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 8.3.3.1, 8.3.3.2, 8.3.3.2.2, 8.3.3.2.3, 8.3.3.2.3.1	We are going through the building's submittals and plans from construction to confirm the fire code ratings and have it displayed properly. Also working with UNT Risk Management to get them properly rated.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-06 Safety: Electrical Safety: Water in Mechanical Rooms (Sycamore Hall and Marquis Hall) SORM noted during the consultation that a significant amount of water was on the floor of the mechanical rooms in Sycamore and Marquis Halls.	NA	SORM recommends that the university determine the source of the water leakage and prevent the accumulation by either stopping the leak or improving the drainage process in these areas. Reference: OSHA, 29 CFR 1910.333 (a) and 303 (b)	Condensation leak on AHU1 at Marquis has been repaired. Clogged floor drain at Sycamore has been cleared.	Randy Fite, Senior Director, Facilities Maintenance	12/1/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-06 Safety: Light Bulb Cover (Mechanical Room-Building #1) - SORM noted during the consultation that light bulbs in the southeast corner of the mechanical room in Building #1 were fewer than eight feet from ground level and were missing a required cover.	NA	SORM recommends that the university cover these bulbs, as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.305 (j)(1)(i)	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	1/14/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-07 Safety: Fire Safety: Fire Alarm System (Matthews Hall) SORM noted during the consultation that the fire alarm system in Matthews Hall was overdue for its annual inspection.	NA	SORM recommends that the university have the system inspected as soon as possible and annually thereafter, as per the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapter 9.6.1.3, 9.6.1.4; NFPA-72 (2016), "National Fire Alarm and Signaling Code," Chapter and Table 14.3.1	NA	Randy Fite, Senior Director, Facilities Maintenance	11/25/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-07 Safety: Fire Safety: Storage Under Stairwell - SORM noted during the consultation that the State Fire Marshal's Office recommended that the university either remove a sprinklered, locked storage room under a stairwell in Building #1, or construct a doorway that leads directly outside and remove the doorway in the interior of the building, replacing it with a wall.	NA	SORM recommends that the university comply with the findings of the State Fire Marshal's Office in the timeframe as directed by the SFMO. Reference: NFPA-1 (2015), "Fire Code," Chapters 1.6, 1.7.3.1	We have proposals from 3 contractors to remove the enclosure and bring the stair well up to code.	Wayne McInnis, Assistant Director for Facilities	4/30/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-08 Risk Management: Policies/Procedures: Facilities Maintenance Staff - SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to: a) Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. b) New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. c) Adoption of NFPA-1 (Fire Code-2012) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however, it covers many more hazards.	NA	Considering these and other factors, SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	Risk assessment to be complete by 7/31/16	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 7/31/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-08 Safety: Light Bulb Cover (Crumley Hall) SORM noted during the consultation that a light bulb in room A/C 3 of Crumley Hall fewer than eight feet from ground level was missing a required cover.	NA	SORM recommends that the university cover this bulb, as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.305 (j)(1)(i)	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-09 Safety: Electrical Safety: Open Junction Boxes (Clark Hall) SORM noted during the consultation that several junction boxes in the boiler room of Clark Hall were uncovered.	NA	SORM recommends that the university cover these junction boxes in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 314.28©	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-10 Safety: Fire Safety: Fire Suppression System (Clark Hall Bakery) SORM noted during the consultation that the mobile cooking equipment beneath the nozzles of the fire suppression system of the Clark Hall Bakery did not have its proper location marked relative to the nozzles.	NA	SORM recommends that the university have a qualified individual determine the exact proper location for this piece of equipment, and then mark the location so that the fire suppression system will function as intended by the manufacturer in the event of a fire. References: NFPA-1 (2015), "Fire Code," Chapters 50.1.1, 50.6.1.2.2, 50.6.1.2.3, 50.6.1.2.3.1	Exact proper location for the fire suppression system of the Clark Hall Bakery will be determined and marked by a qualified professional.	Randy Fite, Senior Director, Facilities Maintenance	2/12/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-11 Safety: Fire Safety: Electromagnetic Door Release/Holder (Clark Hall) SORM noted during the consultation that an electromagnetic door release/holder on the first floor of Clark Hall was not functioning. This door is part of an emergency egress route for this building.	NA	SORM recommends that the university ensure that this electromagnetic door release/holder operates as intended by the manufacturer, as per the NFPA standard referenced below. Reference: NFPA-1 (2015), "Fire Code," Chapter 12.4.6.9.1, 12.4.6.6.3.7.1, 12.4.6.6.3.7.2	Will fix the electromagnetic door.	Randy Fite, Senior Director, Facilities Maintenance	3/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-12 Safety: Fire Safety: Exit Signs (Clark Hall) a) SORM noted during the consultation that an exit sign in front of room 311 in Clark Hall is not sufficiently lit. b) SORM noted that an exit sign near room 354 had its chevrons indicating a wrong direction of travel.	NA	SORM recommends that the university install an approved, listed, and labeled exit sign in this area that conforms to the requirements of the NFPA standard referenced below. SORM recommends that the university ensure that this sign indicates the correct direction of travel for emergency situations. References: NFPA-101 (2015), "Life Safety Code," Chapters 29.2.1.1, 29.2.10, 7.10, 7.10.5.1, 7.10.5.2	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-13 Safety: Machine Safety: Machine Guard (McConnell Hall) SORM noted during this consultation that a moving part on an air handler in the boiler room of McConnell Hall was missing a required guard.	NA	SORM recommends that the university guard this part in accordance with the manufacturer's design and as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.212(a)(1)	Replace missing guard.	Randy Fite, Senior Director, Facilities Maintenance	1/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-14 Safety: Fire Safety: Fire Extinguisher – Monthly Inspections (McConnell Hall) SORM noted during the consultation that a fire extinguisher in the boiler room of McConnell Hall was overdue for its monthly required inspection.	NA	SORM recommends that the university conduct documented inspections of this fire extinguisher, as per the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.3.5, 9.9; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 7.2.1.2.1, 7.2.2	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-15 Risk Management: Property Conservation: Roofing (McConnell Hall) SORM noted during the consultation that the roof of McConnell Hall was exhibiting "bubbling" in many places.	NA	SORM recommends that the university consider the feasibility of contracting with a licensed roofing contractor to determine the best course of action regarding these early signs of roofing weakness. Reference: RMTSA Guidelines, Volume II, Section One, Chapter 1, "Property Conservation Program"	Will conduct a feasibility study to determine the best course of action.	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-16 Safety: Electrical Safety: Panelboard Latches (McConnell Hall) SORM noted during the consultation that two electrical panelboard doors in McConnell Hall (Room A/C 8) were essentially locked by having non-functional latches.	NA	SORM recommends that the university replace these latches to ensure that the panelboards can be opened, as per the NFPA standards referenced below. References: NFPA-70 (2014), "National Electrical Code," Article 240.24 (A)	Non-functioning latches will be replaced.	Randy Fite, Senior Director, Facilities Maintenance	1/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-17 Safety: Electrical Safety: Water Leak (McConnell Hall) SORM noted during the consultation that one of the "Show Rooms" in McConnell Hall had a significant leak above one of the ceiling tiles, resulting in rust and water accumulation above the ceiling.	NA	SORM recommends that the university determine the source of the leak and ensure that the water will no longer present these hazards in this room. References: RMTSA Guidelines, Volume II, Section One, Chapter 1, "Property Conservation Program"	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-18 Safety: Electrical Safety: GFCI for Electric Water Fountains (Chilton Hall) SORM noted during the consultation that at least 4 electric water fountain outlets in Chilton Hall were not protected by GFCI, as required.	NA	SORM recommends that the university protect these and all similar circuits either on the receptacle itself, or on the circuit breaker, as per the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 422.52	All circuits will be replaced with GFCI circuits.	Randy Fite, Senior Director, Facilities Maintenance	9/1/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-19 Risk Management: Policies/Procedures: Expressing Breast Milk SORM noted during the consultation that although the university has procedures in place for allowing employees to express breast milk in the workplace, there is not currently a written policy in place to address this issue.	NA	SORM recommends that the university implement such a written policy in order to comply with House Bill 786, passed by the Texas state legislature and signed into law in 2015. Reference: House Bill 786, Texas State Legislature, 2015. http://www.legis.state.tx.us/tlodocs/84R/billtext/pdf/HB00786I.pdf#navpanes=0	UNT Human Resources will develop a policy.	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-20 Safety: Electrical Safety: Exterior Outlet Near Goolsby Chapel SORM noted during the consultation that an exterior outlet near Goolsby Chapel was missing its required cover.	NA	SORM recommends that the university install a cover in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 406.9 (B)(1)	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-21 Risk Management: Policies/Procedures: Facilities Maintenance Staff SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to: a) Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. b) New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. c) Adoption of NFPA-1 (Fire Code-2012) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however, it covers many more hazards and conditions.	NA	SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	Risk assessment to be complete by 7/31/16.	Randy Fite, Senior Director, Facilities Maintenance	7/31/2016	Closed
External	Hartford Steam Boiler Inspection and Insurance Company (HSB), Steritech Group Inc., CNA Healthcare	Fiscal Year 2016	Governance and Regulatory Compliance	Loss Prevention Report, Healthcare Risk Control	UNT	31 reports/audits performed; 110 findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	Hartford Steam Boiler Inspection and Insurance Company (HSB), CNA Healthcare	Fiscal Year 2016	Governance and Regulatory Compliance	Loss Prevention Report, Healthcare Risk Control	UNTHSC	6 reports/audits performed; 6 findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 The basement area located under the kitchen has only one means of egress and was formally considered a normally unoccupied space that was used for storage only. Within the last year or so two offices and a large dishwashing unit were installed in the area. This changed the area use to a normally occupied area since employees now work in the space and a second approved means of egress is now required. NFPA 101, Life Safety Code, Chapters 29.2.4.1 and 7.4.1.1	Facilities has met with architect. May require design review board approvals.	NA	8/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 The music practice cube area on the first floor has only one means of egress. NFPA 101, Life Safety Code, Chapters 29.2.4.1, 7.4.1.1 and 7.1.5.1	Facilities has met with architect. May require design review board approvals.	NA	8/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 11 Fire and smoke doors in the following areas do not close properly. ☐ Corridor smoke door by room A325 ☐ Fourth floor stairwell fire door "D" wing ☐ Corridor smoke door by room C301 NFPA 1, Fire Code, Chapter 12.9.4.1, 12.4.6.9.1 and 12.4.6.9.2(6)	Facilities will repair doors.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 The basement area located under the kitchen has only one means of egress and was formally considered a normally unoccupied space that was used for storage only. Two offices and a large dishwashing unit have been installed in the area. This changed the area use to a normally occupied area since employees now work in the space and a second approved means of egress is now required. (2013 violation) NFPA 1, Fire Code, Chapter 14.9.1.1	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 12 The fire alarm control panel is displaying system troubles. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will determine cause of system trouble and make repairs if needed.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 13 Tables and chairs are blocking the northeast cafeteria emergency exit doors. (Corrected at the time of the inspection) NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Corrected at the time of inspection.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 14 The fire pump room is missing several ceiling tiles that can result in delaying the activation of the sprinkler system. NFPA 1, Fire Code, Chapter 13.3.3.3	Facilities will replace missing ceiling tiles.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 15 The kitchen UL 300 wet chemical fire suppression system for the Combi oven and grill is red tagged since December of 2015, the tag states "No electric shutdown". NFPA 1, Fire Code, Chapter 50.4.6.1	UNT will evaluate the best course of action for completion.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 16 The kitchen fryer unit is on wheels and lacks an approved method to determine the unit is in the proper design location. NFPA 1, Fire Code, Chapter 50.6.1.2.3.1	UNT will install wheel locating device.	NA	10/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 18 The PowerAde vending machine located on the "B" wing second floor is blocking the exit access. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	UNT will move the machine away from the exit access.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 19 The portable fire extinguisher located by the dishwasher in the basement has the pin pulled. NFPA 1, Fire Code, Chapter 4.5.8.1	Pin was replaced.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Corridor smoke or fire doors in the following locations are held in the open position by electric hold open devices but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. ☐ Corridor smoke doors by room C402 ☐ Stairwell fire door south west stairs second floor ☐ Corridor smoke door by room D411 ☐ Corridor smoke door third floor by room A325 ☐ Corridor smoke door by room D320 ☐ Corridor smoke door by room B302 ☐ Corridor smoke door by room D302 ☐ Corridor smoke door by room C301 ☐ Corridor smoke door by room C221 ☐ Corridor fire door by room A201 ☐ Corridor smoke door by room B205 ☐ Corridor fire door by room B222 ☐ Corridor fire door by room A121 ☐ Corridor fire door by room B101 NFPA 1, Fire Code, Chapter 14.5.4.2(3)	Facilities will add smoke detectors.	NA	12/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 21 The emergency light unit in stairwell 1.1 on the first floor failed to operate when tested. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will replace faulty light.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 22 On the first floor of "A" wing in the Ford room, a sprinkler head is missing the escutcheon. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will install escutcheon.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 23 In the Jon Collins room there is a battery operated smoke alarm on the wall that failed to operate when tested. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will remove smoke alarm.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 24 The Jon Collins room exterior double exit doors have the right side leaf locked with dead bolts and the right side door leaf only provides a 24 inch exit width. The minimum exit width for existing buildings shall not be less than 28 inches clear width. NFPA 1, Fire Code, Chapter 14.8.3.4.1.2	UNT will evaluate the best course of action for completion.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 25 The Jon Collins room lacks an illuminated exit sign over the door leading to the egress corridor. NFPA 1, Fire Code, Chapter 14.14.1.2.1	Facilities will install an illuminated exit sign.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 26 The electrical room located off the first floor of "B" wing and Hall Directors laundry room has an unused opening in the circuit breaker panel. NFPA 1, Fire Code, Chapter 11.1.1.2	Facilities will cover opening.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 27 At stairwell 1.1 on the first floor of "A" wing, the double fire doors are missing the center mullion rendering the doors unable to latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(4)	Facilities will replace missing center mullion.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 28 An extension cord is used as a replacement for permanent wiring on the second floor in the "A" wing IT closet server rack. NFPA 1, Fire Code, Chapter 11.1.7.6	UNT will remove extension cord.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 Fire door assemblies in the following areas lack UL listed fire rating labels or labels from another recognized testing lab. <input checked="" type="checkbox"/> Fire door second floor south west stairwell <input checked="" type="checkbox"/> Fire door and frame fourth floor <input checked="" type="checkbox"/> Fire door stairwell east "C" wing <input checked="" type="checkbox"/> Fire door and frame stairwell fourth floor D wing <input checked="" type="checkbox"/> Fire door B wing west stairwell third floor <input checked="" type="checkbox"/> Fire door and frame stairwell across from room B310 <input checked="" type="checkbox"/> Fire door and frame third floor C wing by room C310 <input checked="" type="checkbox"/> Fire door second floor stairwell by room B210 <input checked="" type="checkbox"/> Fire door second floor "B" wing <input checked="" type="checkbox"/> Fire door first floor stairwell 1.1 NFPA 1, Fire Code, Chapter 12.7.3.2.2 and 12.7.3.1	Facilities will add UL labels.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 4 Sprinkler heads in the following areas have the orange shipping protectors still installed. <input checked="" type="checkbox"/> Room 2030 <input checked="" type="checkbox"/> Room A105 <input checked="" type="checkbox"/> Second floor ADA bathroom NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will remove all orange shipping protectors.	NA	10/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 6 Unsealed or improperly sealed penetrations are present in the following locations. <input type="checkbox"/> Room D460 unsealed penetrations <input type="checkbox"/> Custodial room across from room 2029 unsealed penetrations <input type="checkbox"/> "D" wing electrical closet unsealed penetrations <input type="checkbox"/> Storage room by room B310 unsealed penetrations <input type="checkbox"/> Room 2073 unsealed and improperly sealed penetrations floor, ceiling and wall <input type="checkbox"/> Storage closet across from room C210 unsealed penetrations <input type="checkbox"/> "A" wing second floor ice machine room unapproved yellow spray foam <input type="checkbox"/> Second floor IT closet unsealed penetrations <input type="checkbox"/> "B" wing second floor custodial closet unsealed penetrations <input type="checkbox"/> "A" wing second floor laundry room unsealed four inch conduit <input type="checkbox"/> Closet across from room A211 unsealed penetrations <input type="checkbox"/> Closet across from A110 unsealed penetrations <input type="checkbox"/> Custodial closet by room A101 unsealed penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 7 Room D470 has storage on a top shelf that will block the sprinkler discharge pattern. NFPA 1, Fire Code, Chapter 10.19.3.2	UNT will remove the storage.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 8 On the fourth floor of "B" wing the attic fire door lacks the required closing device. NFPA 1, Fire Code, Chapter 12.4.6.9.1; and 12.4.6.9.2(4)	UNT will add the closing device.	NA	10/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Fire doors in the following locations are damaged or missing parts. ☐ B wing third floor stairwell door holes in door ☐ B wing third floor broken wired glass panel ☐ B wing second floor holes in door ☐ Corridor fire door by room 146 missing latch plate and holes in door from old door hinge mount ☐ B wing first floor holes in door and vent cut in door NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1) (4)	Facilities will repair all items.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Water fountains in the following locations are powered by extension cords. ☐ C wing by confiscation room ☐ By room 105 NFPA 1, Fire Code, Chapters 11.1.2 and 11.1.7.6	UNT will remove extension cords.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 Over 25 percent of the corridor is covered with construction paper that does not meet class A or B interior finish requirements. NFPA 1, Fire Code, Chapters 20.8.3.3 and 12.5.6.3.1	Paper removed.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 The panic bar on D wing second stairwell lacks a label indicating the bar is UL listed fire exit hardware. NFPA 1, Fire Code, Chapter 14.5.3.4.2	UNT will add UL listed fire label.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 HVAC vents for the building system are located in the stairwells. (6 stairwells x 3 floors) NFPA 1, Fire Code, Chapter 14.3.1 (10) (d)	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 Unsealed or improperly sealed penetrations are present in the following locations. ☒ C wing south stairwell unsealed penetration conduit for smoke detector ☒ Mechanical room A/C 9 hole in wall above door ☒ Custodial closet A wing ☒ Corridor by room 379 hole in ceiling ☒ A wing second floor by stairwell improper material used to seal hole ☒ Mechanical room A/C 7 improper material used to seal penetrations ☒ Mechanical room A/C 3 floor penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 Room 137 music room is missing the smoke detector. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will replace missing smoke detector.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 The fire alarm control panel is displaying two trouble signals. (Missing sounder bases) NFPA 1, Fire Code, Chapter 4.5.8.1	Complete.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Stairwell B at the first floor north fire door has panic hardware installed instead of the required fire exit hardware. NFPA 1, Fire Code, Chapter 14.5.3.4.2	Facilities will install fire exit hardware.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 The First floor corridor fire door by mechanical room A/C 3 has a ventilation grate cut in the bottom half of the door. The door is no longer a UL listed fire door assembly. Additionally the door is missing the door latch cover plate. NFPA 1, Fire Code, Chapters 12.4.6.9.1 and 12.4.6.9.2(10) (4)	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 In mechanical room A/C 8 and A/C 10C above the doors there are electrical splice boxes missing the cover plates. NFPA 1, Fire Code, Chapter 11.1.10	Facilities will replace missing cover plates.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 1 The West section second floor by the 200 number rooms and third floor by the 300 number rooms exterior walkways have dead ends in excess of the allowed 20 foot maximum. NFPA 101, Life Safety Code, Chapters 29.2.1, 31.2.1 and 7.5.3.3	We have hired licensed engineer (RL Woods) to perform an assessment of the balconies and design the new stairs needed. The assessment has been performed and we are waiting on the final report. Once we have the report and subsequent drawings we will hire a contractor to install.	NA	1/31/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 3 The mechanical chase areas have unsealed penetrations. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	UNT will seal penetrations.	NA	1/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 4 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 1 The West section, second floor by the 200 number rooms and third floor by the 300 number rooms have exterior walkways with dead ends in excess of the allowable 20 foot maximum. (2014 Violation) NFPA 1, Fire Code, Chapter 14.10.3.4; and NFPA 101, Life Safety Code, Chapters 31.2.5.1, 31.2.4.1, 7.5.3.3 and 7.5.1	UNT will install exterior stairwell.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 10 The survey center east exit door can only open about 18 inches and the top of the door hits a large electrical conduit running outside at the top of the doorway. NFPA 1, Fire Code, Chapters 14.4.1, 4.4.3.1.1, 4.4.3.1.3 and 14.5.1.5	UNT will evaluate the best course of action for completion.	NA	12/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 14 Suites 51 "A" and "C" have extension cords used as a replacement for permanent wiring. NFPA 1, Fire Code, Chapter 11.1.7.6	Facilities will remove extension cords and develop a permanent solution.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 15 Suite 51 area has interconnected power strips and power strips plugged into UPS. NFPA 1, Fire Code, Chapter 11.1.6.2	UNT will remove interconnected power strips and power strips plugged into UPS.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 17 The business office suite 51 exits to an exterior walkway that is enclosed by a railing with a dead end distance exceeding 50 feet. The dead end distance measured 94 feet. NFPA 1, Fire Code, Chapter 14.10.3.4 and NFPA 101, Life Safety Code, Chapter 31.2.5.4	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 18 A fluorescent light fixture in the boiler room is missing a cover plate exposing the electrical wiring. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace cover plate.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 2 The South East side of the building exterior walkway has dead ends on the second and third floor in excess of the allowed 20 foot maximum allowed. (2014 Violation) NFPA 1, Fire Code, Chapter 14.10.3.4; and NFPA 101, Life Safety Code, Chapters 31.2.5.1, 31.2.4.1, 7.5.3.3 and 7.5.1	UNT will evaluate the best course of action for completion.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 3 The mechanical chase areas have unsealed or improperly sealed penetrations. (2014 Violation) NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 4 Portable fire extinguishers in the following areas lack current annual inspection tags. ☒ Room E345 resident assist room last inspection April 2011 ☒ Room W338 last inspection June 2014 ☒ Custodial office second floor two extinguishers last inspection 2001 ☒ Room B59 last inspection 2013 ☒ Boiler room last inspection 2013 NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities inspected the portable fire extinguishers.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 5 The emergency light failed to operate when tested in the Computing Center by main entrance. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will repair emergency light.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 6 In the GIS office the electrical outlet for the water fountain is missing the protective cover plate. NFPA 1, Fire Code, Chapter 11.1.10	Facilities will replace cover plate.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 7 The building lacks exterior emergency lighting for second floor egress. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapters 31.2.9 and 7.9	UNT will evaluate the best course of action for completion.	NA	9/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 8 The Maroon room has an occupant load in excess of 49 people and the required second exit door leading into the kitchen area is locked. Doors in the path of egress cannot be locked, additionally occupants cannot exit through a kitchen area. Limit the occupant load of this room to 49 people and remove exit sign from above door leading to the kitchen. NFPA 1, Fire Code, Chapters 14.5.2.1, 14.5.2.3, 4.4.3.1.2 and 14.10.2.1	UNT will evaluate the best course of action for completion.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 There is a dead end corridor on both the second and third floors that exceed the allowable distance of 50 feet. The corridors measured 64 feet long. On the second floor rooms 228 and 229 cannot be normally occupied. The third floor rooms 328 and 329 cannot be normally occupied due to the excessive dead-end corridor distance. NOTE: The violation was noted several inspection cycles ago by the SFMO and the university was instructed at that time they were not to use these rooms. During this inspection it was observed the rooms were again being used. The Housing Staff stated the Risk Management Department told them since the building was retro fitted with a fire sprinkler system the rooms could now be used. THE SFMO instructed the university the rooms cannot be used, the code does not allow dead end corridors to exceed 50 feet in unsprinklerd or sprinklered buildings. The university was ordered to lock the rooms and post signs the rooms are not to be occupied by order of the State Fire Marshal's Office. NFPA 1, Fire Code, Chapter 14.10.1.5; and NFPA 101, Life Safety Code, Chapter 29.2.5.5	UNT will post signs the rooms are not to be occupied by order of the State Fire Marshal's Office.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 The corridor exit sign in corridor A by room 117 has exposed electrical wiring not in conduit. NFPA 1, Fire Code, Chapter 11.1.3	Facilities will repair exit sign.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 The stairwell fire door on the third floor center stairwell has a continuous hinge and does not have UL listing information on hinge NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UNT attached UL listing on hinge.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 The stairwells have HVAC vent ducts penetrating the exit enclosure in approximately 12 locations. NFPA 1, Fire Code, Chapter 14.3.1(10)	UNT whether to remove ducts or install fire smoke dampers.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 The copy supply room has a hole in the ceiling around the splice box. NFPA 1, Fire Code, Chapter 12.3.3.1	Hole will be patched.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 Paneling is applied to the walls located in the first floor business office corridor that does not meet class A or B interior finish requirements. NFPA 1, Fire Code, Chapter 20.13.3.2.1	UNT will evaluate the best course of action for completion.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 The First floor A/C 3 room has an unsealed floor penetration. NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetration.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 The first floor large conference room occupant load exceeds 50 people and lacks the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 13.2.9.1	Facilities will install required emergency lighting.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 Computer room 102 has interconnected power strips. NFPA 1, Fire Code, Chapter 11.1.6.2	UNT will remove the interconnected power strips.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The door separating the business occupancy from the dormitory occupancy lacks a fire rating. Provide documentation this door is not located in a fire wall. NFPA 1, Fire Code 6.1.14.4.1(a)	UNT will provide documentation.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a 200 room five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 The fire sprinkler system is yellow tagged stating gauges lack 5 year test dated December 2015. NFPA 1, Fire Code, Chapter 13.3.3. 2	Facilities will conduct the 5 year test.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 The penthouse attic area lacks sprinkler protection and is used for storage of combustible material. NFPA 1, Fire Code, Chapters 13.3.2.16.2 and 10.19.6	UNT will evaluate the best course of action for completion.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 The penthouse attic area has unsealed penetrations. NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 The fire alarm control panel lacks an annual inspection tag. The last inspection was conducted in August 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will conduct an inspection.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The emergency egress floor plan diagram signs are missing from the back of all dormitory room doors. (2014 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop and post floor plans on all room doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Fire doors at the following locations have continuous hinges that do not have UL listing information on hinge. ☒ Fourth floor Stairwell 01 ☒ Fourth floor stairwell 03 ☒ Third floor stairwell 03 ☒ Third floor stairwell 01 ☒ Third floor stairwell 02 ☒ Second floor stairwell 02 ☒ Second floor stairwell 01 ☒ Second floor stairwell 03 ☒ First floor stairwell 01 NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.3.2.3	UNT will add UL listing on hinges.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Fire doors in the following locations lack a UL listed fire rating label or label from another recognized testing lab. ☒ Third floor stairwell 02 ☒ Second floor stairwell 02 ☒ Third floor stairwell 03 ☒ First floor Stairwell 01 right side door NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UNT will add UL listed fire rating label to each door.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 The first floor stairwell exterior exit door only partially opens due to the bottom of the door contacting the ground. NFPA 1, Fire Code, Chapter 14.4.1, 14.5.1.5 and 14.5.1.1	UNT will evaluate the best course of action for completion.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 4 The emergency egress floor plan diagram signs are missing from the back of all dormitory room doors. (2014 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop and post floor plans on all room doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 5 The sprinkler system hydraulic calculation place is missing from the riser. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will add the required plate to the riser.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 6 Unsealed penetrations are present in the following locations. ☒ Storage room 344 unsealed conduit ☒ Room 257A ☒ Room 244 IT room NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	10/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Fire doors throughout the building (21 locations) have continuous hinges covering the area where the UL listing label is located. Unable to verify doors are fire rated. NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	Facilities verified that all fire doors are fire rated.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Room A128 the ceiling light/fan is missing the cover. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace cover.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 Room B120 has a large hole in the fire wall. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will repair hole.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 13 Fire doors in the following locations lack UL listed fire rating door labels or labels from another recognized testing lab. ☐ Main stair C wing ☐ A wing second floor south stairwell ☐ Door by C128 ☐ Door by C123 ☐ Stair door by A134 ☐ E wing second floor corridor NFPA 1, Fire Code, Chapters 12.7.3.2.2 and 12.7.3.1	Facilities will add UL listed fire rated door labels.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 14 Unable to verify that some of the lighting fixtures are equipped with emergency lighting capability. NFPA 1, Fire Code, Chapter 14.13.1.1 (1); and NFPA 101, Life Safety Code, Chapters 29.2.9.1 and 7.9	Facilities will determine that capability.	NA	1/1/2017	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Fire doors at the following locations have continuous hinges that do not have UL listing information on hinge. ☒ First floor corridor by room 128 ☒ First floor by room C123 ☒ Stairwell C third floor ☒ Second floor south stairwell ☒ Stairwell A second floor ☒ Stairwell D second floor ☒ Corridor by room A134 NFPA 1, Fire Code. Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UNT added UL listings to all hinges.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 The following corridors have fiberglass reinforced plastic (FRP) ceiling panels installed in the drop ceiling grids. Documentation was not available at the time of the inspection that FRP ceiling tiles meet class A or B interior finish requirements for use in corridors. ☒ F wing second floor ☒ B wing first floor ☒ B wing second floor ☒ C wing second floor ☒ C wing first floor ☒ A wing second floor ☒ D wing first floor ☒ D wing second floor ☒ D wing third floor NFPA 1, Fire Code, Chapter 20.8.3.3(2)	Facilities will provide documentation.	NA	1/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 Unsealed or improperly sealed penetrations are present in the following locations. ☒ FC-2 Mechanical room non rated yellow spray foam ☒ F220 IT room 4 inch conduit floor and ceiling ☒ E226 IT room 4 inch conduit floor and ceiling ☒ A/C H8 room F321 floor non rated yellow spray foam NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 Stairwell fire rated doors at the following locations have holes in the door. ☒ Stairwell C third floor ☒ Stairwell D second floor NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1)	Facilities will repair doors.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Room F310 has a multi outlet adapter plugged into a power strip. NFPA 1, Fire Code, Chapter 11.1.5.2	Multi outlet adapter was removed from the power strip.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Mechanical room B132 has an extension cord wired into the HVAC controller to supply power to the unit. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace extension cords with a permanent solution.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 The corridor fire door by room C123 has a ventilation grate installed in the bottom of the door. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(10)	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 Room B103 has interconnected power strips. NFPA 1, Fire Code, Chapter 11.1.6.2	UNT will remove interconnected power strips.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 12 Stairwell signage is missing in the following locations. Stairwell signs are not required by code in this existing building however since signs have been installed they must be maintained. ☐ D corridor south third floor ☐ F wing west stairwell third floor ☐ A wing west stairwell third floor ☐ A wing south stairwell second floor ☐ F wing west second floor ☐ B wing south stairwell second floor ☐ E wing corridor across from room 201 ☐ D wing south stairwell first floor NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will add signage.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a 206 room three-story structure classified as a mixed occupancy consisting of existing dormitory and business. Features of fire protection include a complete fire alarm system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Corridor smoke or fire doors in the following locations are held in the open position by electric hold open devices but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. ☐ Fire door first floor main stairwell ☐ Corridor smoke door by room 352 ☐ Corridor smoke door by room 333 ☐ Double smoke doors by SRID3 NFPA 1, Fire Code, Chapter 14.5.4.2(3)	Facilities will add smoke detectors.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 10 A ladder is stored in the first floor main stairwell. NFPA 1, Fire Code, Chapters 14.4.1, 14.6.3.1 and 4.4.3.1.1	Facilities will remove the ladder.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 11 The emergency egress floor plan diagram signs are missing from the back of all dormitory room doors. (2014 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop and post the sign on all room doors	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 12 Room A140A is being used as a wood shop. Saw dust was observed on work benches and the floor. This room is located directly off an assembly space and lacks the required two hour rated construction separation between industrial occupancy and assembly occupancy. Discontinue use of this room as a wood shop or other industrial type occupancy. NFPA 1, Fire Code, Chapter 6.1.14.4.1	UNT will discontinue use of this room as a wood shop or other industrial type occupancy	NA	1/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 In "B" wing south, the third floor stairwell door strike plate is missing. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(4)	Facilities will replace the missing strike plate.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 Unsealed or improperly sealed penetrations are present in the following locations. ☐ Room A/C 7 Unsealed and unapproved yellow spray foam used ☐ Room A/C 9 unapproved yellow spray foam used ☐ Room A/C 8 unsealed ☐ Room A/C 6 unapproved yellow spray foam used ☐ Room A/C 5 has an 18"x18' hole in wall covered with plywood and unapproved yellow spray foam used NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 4 Unable to verify building is equipped with the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 29.2.9.1	Facilities will provide verification.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 5 Room A130 located under the stairs has a sign posted "No storage by order of State Fire Marshal" and is used for storage of combustible items. NFPA 1, Fire Code, Chapter 14.6.3	Resolved	NA	NA	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 7 The first floor corridor fire doors have an electronic locking device installed. Documentation was not available to indicate the device is UL listed for use on fire doors. NFPA 1, Fire Code, Chapter 14.5.2.6(6)	Facilities will provide documentation.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 8 The stage lighting wires have a section where the plug has been pulled away from the outer protective sheath exposing the wiring. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace the wiring.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 9 The stand-pipe system lacks an annual inspection tag. NFPA 1, Fire Code, Chapter 13.2.3.3	Inspection will be performed.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Wainscoting is installed on the bottom section of the corridor and stairwell throughout the building and does not meet class A or B interior finish requirements. NFPA 101, Life Safety Code, Chapters 29.3.3.2 and 10.2.3	Scheduled for completion in FY2016	NA	8/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Wainscoting is installed on the bottom section of the corridor walls and stairwells throughout the building and does not meet class A or B interior finish requirements. (Listed in 2014 inspection) NFPA 1 Fire Code, Chapter 28.8.3.2 (2)	Compliance measures are in progress.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. (Listed in 2014 inspection) NFPA 1 Fire Code, Chapter 20.8.2.4.1	UNT will develop and place exit diagrams in each room.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 The cable TV/Electrical room by 232 has a carpet cleaning machine blocking access to the electrical panels. (Corrected at the time of the inspection) NFPA 1 Fire Code, Chapter 11.1.2	NA	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 The wall mounted emergency lighting unit has come loose from its mount. NFPA 1 Fire Code, Chapter 4.5.8.1	Facilities will repair emergency lighting unit.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The corridor smoke detector by room 111 has tape covering the unit. (Corrected at the time of the inspection) NFPA 1 Fire Code, Chapter 4.5.8.1	NA	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 The sprinkler head in the corridor by room 120 is not properly installed and extends below the ceiling causing the escutcheon not to properly cover the ceiling penetration. NFPA 1 Fire Code, Chapter 4.5.8.1	Facilities will properly re-install sprinkler head.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 The three fire sprinkler systems are yellow tagged stating gauges lack 5 year test and ball drip valve on all three tags. Dated December 2015. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will conduct 5 year test.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 The FDC is visually obstructed by bushes and lacks an identification sign. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4 and 13.1.4.1	Facilities will remove bushes and add identification sign.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The center stairwell first floor has an unsealed penetration around the security camera wire. NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetration.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Room 512 the JDF room has boxes of trash stored in the room. NFPA 1, Fire Code, Chapter 10.19.1	Trash has been removed.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Unsealed or improperly sealed penetrations are present in the following locations. ☒ Room 355 Security closet ☒ Apartment 280 Hole in ceiling by entrance door ☒ Storage room 212 unsealed floor conduit ☒ Room 141A ceiling ☒ Room 412 unsealed and improperly sealed mineral wool not secured in place by fire caulking. ☒ Lounge C307 hole in wall behind TV NFPA 1, Fire Code, Chapter 12.7.5.1 and 12.3.3.1	Status of identified penetrations is as follows: • Room 355: Fire caulk has been installed at this location. This item can be closed. • Apartment 280: Ceiling opening was created by UNTS's low voltage subcontractor subsequent to completion of work at this area by Vaughn Construction. The trade contractor will be contacted to repair ceiling opening. • Storage Room 212: Fire barrier and fire caulk have been installed at this location. This item can be closed. • Room 141A: Fire caulk has been installed at this location. This item can be closed. • Room 412: Fire caulk has been installed at this location. This item can be closed. • Lounge C307: Wall opening was created by UNTS's low voltage subcontractor subsequent to completion of work at this area by Vaughn Construction. Access panel installation and/or wall repair will be completed by this trade contractor.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 Room 559 has an extension cord used as a substitute for permanent wiring. NFPA 1, Fire Code, Chapter 11.1.7.6	UNT will remove extension cord.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 12 Room 102 has a sprinkler escutcheon falling off. NFPA 1, Fire Code, Chapter 13.3.3.2	Sprinkler escutcheon at Room 102 has been adjusted.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 13 The corridor fire doors in the following locations lack bottom rods and floor latching points or fire pins. ☒ Corridor fire door by room 160 ☒ Double corridor fire doors by room 266B ☒ Fire door by first floor main desk NFPA 1, Fire Code, Chapter 12.4.1 and NFPA 80, Standard for Fire Doors and other Opening Protectives	Door installation at these locations has been verified to be as specified in the Construction Documents for this project. Based upon the attached submittal and supplemental information, it is our understanding that these openings are UL-listed and do not require bottom rods or floor latch points. Please reference 'Attachment A – Fire Door Information.' UNTS to review and coordinate with RSA and advise if changes are required.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 14 Multipurpose room 270 A/B has an occupant load in excess of 49 people and lacks the required exit signs. NFPA 1, Fire Code, Chapters 20.1.4.7.1 and 14.14.1.1	Signage installation has been verified to be as specified in the Construction Documents for this project. UNTS to review and coordinate with RSA and advise if changes are required.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 In Stairwell 1 on all four floors the normal building lighting was off. NFPA 1, Fire Code, Chapter 14.12.1.1	Normal building lighting at Stair 1 has been confirmed to be functional and is current set to a default 'constant on' status, as there is an occupancy sensor function issue that is being addressed.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 In Room 463 the custodial closet has an exposed electrical wire run above the ceiling. NFPA 1, Fire Code, Chapter 11.1.2	An above-ceiling electrical box has been installed at Room 463, to capture exposed electrical wiring.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 A ceiling tile is missing in the custodial closet located across from Room 463. NFPA 1, Fire Code, Chapter 13.3.3.3	The missing ceiling tile at Room 463 has been installed.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The fire alarm control panel lacks a current annual inspection tag. The last inspection was conducted in August 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	This error appears to be clerical, as panel testing was conducted in August 2015. The installer has been contacted, to ensure that the appropriate tag is installed.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Stairwell 2 on the first floor is missing the stairwell identification sign. NFPA 1, Fire Code, Chapter 10.12.3.1	Signage was installed at this location at time of project completion and User occupancy. Based upon inspection, it appears that signage was removed by Occupants. Replacement signage will be ordered.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Stairwell 3 on the first floor is being used for storage. NFPA 1, Fire Code, Chapters 14.4 and 10.19.4	Stored material have been removed from Level 1 of Stair 3	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 At stairwell 3 on the first floor, the exit door leading to the exterior of the building lacks an illuminated exit sign. NFPA 1, Fire Code, Chapter 14.14.1.2.1	Illuminated exit sign for this location has been ordered and will be installed upon receipt.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The corridor fire doors by room 266 B do not close and latch properly. NFPA 1, Fire Code, Chapter 12.4.6.9.2(6) and (8)	Corridor fire doors by Room 266B have been verified to close and latch properly.	NA	NA	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	NA	NA	8/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 1 The three fire sprinkler risers are yellow tagged since December 2015. Tags state gauges, not replaced or 5 year calibration". NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will conduct calibration.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 2 Unsealed or improperly sealed penetrations are present in the following locations. ☐ Telephone room unsealed ceiling and floor penetrations ☐ Cable TV room unsealed ceiling and floor penetrations ☐ Room ST3H ☐ Room ST-2H ☐ Corridor outside room 222 ☐ Mechanical room by room 225 ☐ Room A/C2A ☐ Main electrical room first floor above main switch gear not properly sealed unapproved material NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 3 Emergency lights failed to operate when tested in the following locations. ☐ Stairwell B third floor ☐ Corridor by room 203 NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will repair emergency lights.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 4 Sprinkler heads are missing escutcheons in the following areas. ☐ Stairwell A third floor ☐ Room ST3H NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will replace escutcheons.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 5 Fire doors in stairwell B on the first floor lack a UL listed fire rating label or label from another recognized testing lab. NFPA 1, Fire Code, Chapter 12.7.3.2.2	Facilities will install UL listed fire rating label.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 6 Mechanical room and custodial closet are located off stairwell normally unoccupied spaces shall not enter into an exit enclosure. The mechanical room requires a one hour rated fire door separation from the exit enclosure NFPA 1, Fire Code, Chapter 14.3.1. (9) (10) and 14.3.1.9 (C)	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 7 Storage located by room 227 has a single cylinder dead bolt lock installed with the key side located inside the room and a thumb latch on the exterior side. Occupants can be locked inside the room. NFPA 1, Fire Code, Chapters 4.4.3.1.2, 14.5.2.1 and 14.5.2.3	Facilities will remove dead bolt lock.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a 373 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full automatic sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	1/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 The third floor elevator lobby doors do not latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(8)	Facilities will repair door.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 10 Elevator lobby fire doors are on electronic hold open devices and lack the required smoke detectors within five feet of the doors. NFPA 1, Fire Code, Chapter 14.5.4.1(3)	Facilities will install smoke detectors.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Unsealed or improperly sealed penetrations are present in the following locations. ☒ IT closet 324, 377 277,224, 124 4 inch conduits not sealed ☒ Room 373 ceiling penetrations ☒ Room H205 4 inch conduit not sealed ☒ Six electrical rooms throughout the building 3/4 inch conduit not sealed NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 The elevator lobby doors on all three floors lack the required one hour fire rating. Some doors are labeled as 1/3 hour, some are 3/4 hour rated doors. It appears doors have been changed out over the years. The correct rating for the doors should be one hour. NFPA 1, Fire Code, Chapter 12.7.4.2	UNT will evaluate the best course of action for completion.	NA	11/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 4 The emergency egress floor plans are missing from back of all dorm room doors. (2104 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop floor plans and post them on all room doors.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 6 Stairwells are missing the stairwell identification signs in the following locations. ☐ Stairwell 2.5 ☐ Center stairwell first floor NFPA 1, Fire Code, Chapter 10.12.3.	Facilities will install identification signs.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 7 In room 149 a new drop ceiling has been installed. The sprinkler heads have not been relocated below the new ceiling. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will relocate the sprinkler heads.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 8 Stairwell 1.3 fire door is missing the strike plate. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(4)	Facilities will replace strike plate.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 9 Room H2005 has a cover missing from the splice box. NFPA 1, Fire Code Chapters 11.1.10	Facilities will replace cover.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Fire extinguishers in the following locations lack a current annual inspection tag. <ul style="list-style-type: none"> ☐ Fourth floor custodial closet room 4100 last inspection July 2012 ☐ Room 3176 last inspection September 2014 ☐ Storage room 2100 last inspection July 2011 ☐ Storage room 2162 last inspection January 2008 ☐ Storage room 2176 last inspection September 2014 ☐ Storage room 1152 last inspection July 2012 ☐ Laundry room 1116 last inspection July 2009 ☐ Room 3207 last inspection June 2013 ☐ Storage room 3280 last inspection September 2014 ☐ IT room 2250 no inspection tag on extinguisher, year of manufacture 2004 ☐ Communications room 2210 last inspection June 2010 ☐ IT room located off mechanical room 2280 no inspection tag on extinguisher, year of manufacture 2004 NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will inspect fire extinguishers.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Housing security room located off mechanical room 2280 has a power strip plugged into a UPS. NFPA 1, Fire Code, Chapter 11.1.6.2	Facilities will replace power strip with a more permanent solution.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 In room 2250 an extension cord is used to power a UPS unit. NFPA 1, Fire Code, Chapter 11.1.7.6	Facilities will replace cord with a more permanent solution.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 12 The first floor elevator lobby fire doors lack vertical bottom rods and floor latching points or fire pins. (4 sets) NFPA 1, Fire Code, Chapter 12.4.1; and NFPA 80 Standard for Fire Doors and Other Opening Protectives, Chapter 4.6.3.1	UNT will evaluate the best course of action for completion.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 13 The elevator lobby doors are held in the open position by electric magnetic hold open devices, but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. (14 Locations) NFPA 1, Fire Code, Chapter 14.5.4.2(3)	Smoke detectors will be added.	NA	12/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Both sprinkler heads in the fire pump building still have the orange shipping protectors installed on the heads. Note: This building is approximately one and a half years old and these protectors should have been removed at the time the sprinkler system went in service. Several inspections by the sprinkler contractor and university staff failed to notice the protectors still in place. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will remove orange shipping protectors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 The fire alarm control panel is displaying the following trouble signals. ☒ Battery trouble ☒ Missing detector NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities resolved the trouble signals.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 The corridor travel distances between fire alarm pull stations exceeds the maximum 200 feet travel distance between pull stations. Corridor distance was measured to be 366 feet. NFPA 1, Fire Code, Chapter 13.7.1.4.8.5	UNT will evaluate the best course of action for completion.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The emergency egress floor plan diagram signs are missing from the back of all dormitory room doors. NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop signs and install them on all room doors.	NA	8/1/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Unsealed or improperly sealed penetrations are present in the following locations. <input checked="" type="checkbox"/> Fire pump room unsealed penetrations <input checked="" type="checkbox"/> Custodial closet room 4116 unsealed penetrations <input checked="" type="checkbox"/> Storage room 4152 unsealed penetrations <input checked="" type="checkbox"/> Custodial closet room 44176 unsealed penetrations <input checked="" type="checkbox"/> IT room 2114 unsealed penetrations <input checked="" type="checkbox"/> IT room 2116 unsealed penetrations <input checked="" type="checkbox"/> IT room 2152 unsealed penetrations <input checked="" type="checkbox"/> IT room 2162 unsealed penetrations <input checked="" type="checkbox"/> Storage room 3212 unsealed penetrations <input checked="" type="checkbox"/> Laundry room 1116 unapproved yellow spray foam <input checked="" type="checkbox"/> Housing security room off mechanical room 2280 unsealed penetrations <input checked="" type="checkbox"/> Room 2250 unsealed penetrations <input checked="" type="checkbox"/> Room 2248 unsealed penetrations <input checked="" type="checkbox"/> Room 2212 unsealed penetrations <input checked="" type="checkbox"/> Room 2210 unsealed penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Stairwell fire doors throughout the building lack the latch plates (17 locations). NFPA 1, Fire Code, Chapters 12.4.6.9.1 and 12.4.6.9.2 (4)	UNT will install latch plates.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 Fire doors at the following locations have continuous hinges that do not have UL listing information on hinge. <input checked="" type="checkbox"/> Fourth floor West elevator lobby doors <input checked="" type="checkbox"/> Fourth floor East elevator lobby door NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	Facilities will install UL labels on hinges.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 Covers are missing off electric door controller panels and splice boxes for the exhaust controls in mechanical room 2280. NFPA 1, Fire Code, Chapter 11.1.10	Facilities will replace covers.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 1 Sprinkler protection is missing in the following locations. <input checked="" type="checkbox"/> Kitchen walk in Cooler #2 no sprinkler protection <input checked="" type="checkbox"/> Fire Pump room no sprinkler protection <input checked="" type="checkbox"/> RESNET room second floor off mechanical room A/C3 no sprinkler protection <input checked="" type="checkbox"/> Twelve mechanical rooms lack sprinkler protection under duct work that exceeds 4 feet wide <input checked="" type="checkbox"/> First floor A/C 1A room incomplete sprinkler coverage NFPA 1, Fire Code, Chapter 13.3.1.2	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 10 The emergency egress floor plans are missing from the back of all dorm room doors. (2104 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop and post floor plans on all room doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 11 Unable to verify that the building is supplied with the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1)	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 12 The food warmer located in the kitchen has the electrical wire pulled out of the splice box, exposing the wiring. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will repair electrical wiring.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 13 In the kitchen walk in cooler number 1 spray foam is on the sprinkler head. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will remove the spray foam.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 14 The kitchen commercial cooking appliances wet chemical suppression system has an enclosed appliance with a discharge nozzle located above it. The cooking appliances have been moved since the original installation and this nozzle no longer covers any open equipment. Upon discharge of the system this nozzle will spray wet chemical on the floor. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will adjust coverage.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 15 The cafeteria emergency exit door threshold is raised approximately four inches above the floor level creating a trip hazard to occupants exiting the building. NFPA 1, Fire Code, Chapter 14.1; and NFPA 101 Life Safety Code, Chapter 7.2.1.3.4	Facilities will level the threshold.	NA	8/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 16 The first floor center stairwell door was found blocked open at the time of the inspection. (Corrected at the time of the inspection) NFPA 1, Fire Code, Chapter 14.5.4.1	(Corrected at the time of the inspection)	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 17 The fire extinguisher located in the graduate student apartment lacks a current annual inspection tag. The last inspection was conducted in 2007. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will inspect the fire extinguisher.	NA	8/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 18 The first floor south center stairwell fire door lacks a UL listed fire rating label or label from another recognized testing lab. NFPA 1, Fire Code, Chapters 12.7.3.2.2 and 12.7.3.2.3	Facilities will add UL listed fire rating label.	NA	1/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 19 The 2 1/2 inch fire department connections are hard to swivel. NFPA 1, Fire Code, Chapter 13.3.3.2 4.5.8.1	Facilities will fix the connections.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 2 The main boiler / mechanical room has approximately six sprinkler heads with the orange shipping protectors still in place. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will remove the orange shipping protectors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 3 The fire alarm control panel lacks a current annual inspection tag. The inspection tag is dated July 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will perform an inspection.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 4 The east, west, north and south stairwells on floors one through three have a chase in the stairwell with cover plates that lack the required 1 hour fire rating. (14 locations) NFPA 1, Fire Code, Chapter 14.3.1(1)	UNT will evaluate the best course of action for completion.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 5 The corridor smoke door by room 612 does not close properly. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will fix door.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 6 The corridor smoke detector by room A/C 6A is hanging from the ceiling. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities repaired smoke detector.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 7 Doors in the following locations has continuous hinges installed and lack a UL label or stamp that they are listed for fire door installation. ☒ Second floor north west stairwell ☒ Third floor north east stairwell ☒ Third floor center north stairwell ☒ Second floor north west stairwell ☒ Third floor north west stairwell ☒ Second floor center stairwell ☒ First floor north west stairwell ☒ Third floor north west stairwell ☒ First floor south center stairwell ☒ First floor south west stairwell NFPA 1, Fire Code, Chapter 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UL label was attached to all hinges.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 8 The stairwells have HVAC vents penetrating the exit enclosure. (18 locations) NFPA 1, Fire Code, Chapter 14.3.1(10)	Facilities will properly seal penetrations.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 9 The first floor east stairwell door has holes in the door from a previous hinge. NFPA 1, Fire Code, Chapter 12.4.6.9.2(1) (d)	Facilities will repair door.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 3 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	Texas Commission on Environmental Quality	Fiscal Year 2016	Governance and Regulatory Compliance	Notice of Violation	UNT	On May 14, 2016, it was determined that University of North Texas did not submit an emissions inventory (EI) for calendar year 2015 for their main campus and discovery park site as requested. This is a violation of 30 TAX Chapter 101.10(e), which states which states that "the initial emissions inventory or subsequent annual emissions inventory updates shall contain emissions data from the previous calendar year and shall be due on March 31 of each year or as directed by the commission"... "Emissions related data submitted under a special inventory request made under subsection (b)(3) of this section are due as detailed in the letter of request."	NA	Based on the submission of the 2015 EI by University of North Texas, the violation has been resolved.	NA	NA	NA	Closed
External	Texas Department of State Health Services	Fiscal Year 2016	Governance and Regulatory Compliance	X-Ray Registration Inspection	UNT	This notice is to acknowledge that the Texas Department of State Health Services (DSHS) conducted an inspection of or visited your business on the date listed above. The information that has been gathered is subject to further department review, and you may receive additional correspondence as a result.	NA	No recommendations/issues.	No recommendations/issues.	NA	NA	NA
External	Texas Department of State Health Services	Fiscal Year 2016	Governance and Regulatory Compliance	X-Ray Registration Inspection	UNT	This notice is to acknowledge that the Texas Department of State Health Services (DSHS) conducted an inspection of or visited your business on the date listed above. The information that has been gathered is subject to further department review, and you may receive additional correspondence as a result.	NA	No recommendations/issues.	No recommendations/issues.	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>1. The UNT System Travel Guidelines are not consistently followed in the College of Information. Internal Audit reviewed a sample of 17 vouchers out of a population of 145 vouchers in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Reimbursement of personal travel with business travel on a Federal grant, • Conference agenda not attached with support documentation, • Missing Travel Budget Authorization Form (preapproval to travel), and • Administrative Coordinator signing vouchers in traveler's name with their emailed consent. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>1a. Evaluate the personal travel on the Federal Grant and work with the Office of Grants and Contracts Administration to determine what action needs to be taken.</p>	<p>We agree and are taking the actions below.</p> <p>A transfer was processed on 7/8/2016 through the Office of Grants and Contracts to move the allowable expenses from the Federal grant to the appropriate indirect cost or discretionary account. Only appropriate and allocable expenses will remain on the federal award.</p> <p>E-mail notification of UNT's Travel Guidelines was sent on 6/30/2016, which included a .pdf and PowerPoint presentation from the UNT's Business Service Center's Process Training section that consists of travel authorization & voucher training. All staff and faculty will be required to participate in on-site group training sessions provided by the BSC regarding UNT travel in either the summer or fall semesters, followed by regularly scheduled updates every fiscal year.</p> <p>All faculty and staff will be trained on how to create and utilize a certified electronic signature process for submitting and/or approving vouchers. Signing vouchers this way will be strongly encouraged if they are not physically available to sign the voucher.</p> <p>All travel reimbursement documentation will be reviewed during the approval process.</p>	Dean of the College of Information	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>1. The UNT System Travel Guidelines are not consistently followed in the College of Information. Internal Audit reviewed a sample of 17 vouchers out of a population of 145 vouchers in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Reimbursement of personal travel with business travel on a Federal grant, • Conference agenda not attached with support documentation, • Missing Travel Budget Authorization Form (preapproval to travel), and • Administrative Coordinator signing vouchers in traveler's name with their emailed consent. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>1b. Ensure that the UNT System Travel Guidelines are consistently followed in the College of Information by performing a thorough review of travel reimbursement documentation.</p>	<p>We agree and are taking the actions below.</p> <p>A transfer was processed on 7/8/2016 through the Office of Grants and Contracts to move the allowable expenses from the Federal grant to the appropriate indirect cost or discretionary account. Only appropriate and allocable expenses will remain on the federal award.</p> <p>E-mail notification of UNT's Travel Guidelines was sent on 6/30/2016, which included a .pdf and PowerPoint presentation from the UNT's Business Service Center's Process Training section that consists of travel authorization & voucher training. All staff and faculty will be required to participate in on-site group training sessions provided by the BSC regarding UNT travel in either the summer or fall semesters, followed by regularly scheduled updates every fiscal year.</p> <p>All faculty and staff will be trained on how to create and utilize a certified electronic signature process for submitting and/or approving vouchers. Signing vouchers this way will be strongly encouraged if they are not physically available to sign the voucher.</p> <p>All travel reimbursement documentation will be reviewed during the approval process.</p>	Dean of the College of Information	3/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>2. Accounts in the College of Information are not being managed in accordance with UNT Policy 2.1.10 Accountholder Responsibility.</p> <p>The Chair of the Department of Library Information Sciences (LIS) and the Interim Department Chair of Learning Technologies (LT) were not reviewing financial transactions for the DeptIDs for which he/she is the holder of record.</p> <p>Additionally, the Chair of LIS communicated to Internal Audit that he does not have sufficient time or resources to review the transactions on the DeptIDs for which he is responsible; therefore, he relies on the College Budget Officer to perform this task. Because the College Budget Officer position has undergone turnover, it is uncertain as to how long it has been since reconciliations have been performed.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>2a. Ensure all DeptID holders in COI obtain training from the UNT Budget Office to gain a better understanding of the requirements outlined in the UNT Policy 2.1.10 Accountholder Responsibility.</p>	<p>The department Chairs review Cognos accounts and all the financial transactions, and approve them in line with UNT policy 2.1.10. In the past, the College Budget Officer helped reconcile all accounts across the college, monitored deficits, and advised department chairs and support staff with regard to financial operations.</p> <p>All Dept ID holders and support staff will be required to attend updated training for UNT policies. We will work with the UNT Budget Office so that all account holders and their support staff can gain a better understanding of their responsibilities.</p> <p>Going forward, department assistants and chairs will perform the necessary actions to comply with Account Holder Responsibility policy and will work closely with the College budget officer to reconcile their accounts.</p>	Dean of the College of Information	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>2. Accounts in the College of Information are not being managed in accordance with UNT Policy 2.1.10 Accountholder Responsibility.</p> <p>The Chair of the Department of Library Information Sciences (LIS) and the Interim Department Chair of Learning Technologies (LT) were not reviewing financial transactions for the DeptIDs for which he/she is the holder of record.</p> <p>Additionally, the Chair of LIS communicated to Internal Audit that he does not have sufficient time or resources to review the transactions on the DeptIDs for which he is responsible; therefore, he relies on the College Budget Officer to perform this task. Because the College Budget Officer position has undergone turnover, it is uncertain as to how long it has been since reconciliations have been performed.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>2b. Ensure all DeptID holders in COI perform the necessary action to comply with the Account Holder Responsibility policy, including but not limited to, reviewing all financial transactions.</p>	<p>The department Chairs review Cognos accounts and all the financial transactions, and approve them in line with UNT policy 2.1.10. In the past, the College Budget Officer helped reconcile all accounts across the college, monitored deficits, and advised department chairs and support staff with regard to financial operations.</p> <p>All Dept ID holders and support staff will be required to attend updated training for UNT policies. We will work with the UNT Budget Office so that all account holders and their support staff can gain a better understanding of their responsibilities.</p> <p>Going forward, department assistants and chairs will perform the necessary actions to comply with Account Holder Responsibility policy and will work closely with the College budget officer to reconcile their accounts.</p> <p>3</p>	Dean of the College of Information	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>3. UNT cash handling policies were not consistently followed in the College of information.</p> <p>Cash receipts were not collected, safeguarded, deposited, and/or reconciled in accordance with cash handling policies. Additionally, written cash handling procedures in the College of Information were either nonexistent or incomplete as required by policy.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>3a. Ensure compliance with University cash handling policies, including the development of written cash handling procedures.</p>	<p>We agree.</p> <p>Going forward, individuals who collect, safeguard, deposit, and/or reconcile currency for the College will perform the necessary actions to comply with UNT's Cash Handling policy. We will work closely with the College budget officer to create and implement a written cash handling procedure for the College as required by UNT policy.</p> <p>E-mail notification of UNT System's Cash Handling policy was sent on 7/5/2016 to all staff and faculty. This email included a .pdf and the corresponding Cash Handling guidelines handbook from the UNT System's Operations Support section. All staff and faculty will be required to participate in on-site group training sessions provided by the UNT Operations Support section regarding cash handling in either the summer or fall semesters, followed by regularly scheduled updates every fiscal year.</p>	Dean of the College of Information	3/1/2017	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>3. UNT cash handing policies were not consistently followed in the College of Information.</p> <p>Cash receipts were not collected, safeguarded, deposited, and/or reconciled in accordance with cash handling policies. Additionally, written cash handling procedures in the College of Information were either nonexistent or incomplete as required by policy.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>3b. Ensure individuals with cash handling responsibilities receive training on University cash handling policies and departmental written procedures.</p>	<p>We agree.</p> <p>Going forward, individuals who collect, safeguard, deposit, and/or reconcile currency for the College will perform the necessary actions to comply with UNT's Cash Handling policy. We will work closely with the College budget officer to create and implement a written cash handling procedure for the College as required by UNT policy.</p> <p>E-mail notification of UNT System's Cash Handling policy was sent on 7/5/2016 to all staff and faculty. This email included a .pdf and the corresponding Cash Handling guidelines handbook from the UNT System's Operations Support section. All staff and faculty will be required to participate in on-site group training sessions provided by the UNT Operations Support section regarding cash handling in either the summer or fall semesters, followed by regularly scheduled updates every fiscal year.</p>	Dean of the College of Information	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>4. The UNTS Business Service Center Purchasing Card Program Guide was not consistently followed in the College of Information.</p> <p>Internal Audit reviewed a sample of three months of transactions for 10 purchasing cardholders in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Not obtaining annual on-line purchasing card refresher training during fiscal year 2015, • Missing signatures from the card holder, reconciler, and the approver, • Missing verification of State of Texas vendor warrant hold status on required purchases, • Missing vendor receipts, • Sales tax paid without subsequent reimbursement, and • Not obtaining prior approval for the purchase of alcohol for an event and software, as required. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>4a. Ensure that all purchasing cardholders, reconcilers, and approvers receive training on purchasing card guidelines.</p>	<p>We agree.</p> <p>Each pCard holder, reconciler, and approver will attend training and will also participate in a refresher training course as made available. An email will be sent to all pCard holders reminding them that they must have the correct signatures from the holder, reconciler, and approver. Alcohol purchasing guidelines will also be included. BSC pCard training will be scheduled the week of Aug 8th. Additional training will be offered during the fall semester.</p> <p>UNTS Business Service Center Purchasing Card Program Guide will be consistently followed and reviewed regularly to ensure compliance.</p>	Dean of the College of Information	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>4. The UNTS Business Service Center Purchasing Card Program Guide was not consistently followed in the College of Information.</p> <p>Internal Audit reviewed a sample of three months of transactions for 10 purchasing cardholders in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Not obtaining annual on-line purchasing card refresher training during fiscal year 2015, • Missing signatures from the card holder, reconciler, and the approver, • Missing verification of State of Texas vendor warrant hold status on required purchases, • Missing vendor receipts, • Sales tax paid without subsequent reimbursement, and • Not obtaining prior approval for the purchase of alcohol for an event and software, as required. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>4b. Ensure that the UNTS Business Service Center Purchasing Card Program Guide is consistently followed in the College of Information.</p>	<p>We agree.</p> <p>Each pCard holder, reconciler, and approver will attend training and will also participate in a refresher training course as made available. An email will be sent to all pCard holders reminding them that they must have the correct signatures from the holder, reconciler, and approver. Alcohol purchasing guidelines will also be included. BSC pCard training will be scheduled the week of Aug 8th. Additional training will be offered during the fall semester.</p> <p>UNTS Business Service Center Purchasing Card Program Guide will be consistently followed and reviewed regularly to ensure compliance.</p>	Dean of the College of Information	3/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>5. The scholarship criteria listed on the Department of Library and Information Sciences website did not match all the criteria in the corresponding donor agreement.</p> <p>There were 28 scholarships in the College of Information for which Internal Audit received an agreement identifying the criteria for awarding the scholarship. 14 of these scholarships were advertised on the Library and Information Science website. Internal Audit found that the criteria listed on the website contained discrepancies from the criteria in the agreement.</p>	Moderate	<p>Recommendation for Interim Dean of the College of Information:</p> <p>5a. Ensure all scholarships are advertised in accordance with donor agreements.</p>	<p>We agree.</p> <p>All COI websites will be reviewed and any discrepancies will be rectified. We will ensure that the webmasters are reviewing the criteria for compliance for each advertised scholarship.</p>	Dean of the College of Information	10/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>6. Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the departments in the College of Information.</p> <p>Internal Audit noted scholarship process inadequacies, specifically:</p> <ul style="list-style-type: none"> • No working departmental policies; • No meeting minutes; and • Donor participating in the scholarship committee and involved in award selection. 	Moderate	<p>Recommendation for Interim Dean of the College of Information:</p> <p>6a. Ensure that the Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are consistently followed in the College of Information, specifically:</p> <ul style="list-style-type: none"> • Create a departmental policy for awarding scholarship; • Hold committee meetings and document minutes; and • Ensure appropriate personnel are involved in the scholarship selection process. 	<p>We agree.</p> <p>The departments will ensure that each scholarship is in line with UNT's policies and best practices, and we will also create a department policy for awarding scholarships. College and department scholarship committees will keep minutes of all meetings and document the procedures in the selection process. Donor participation will be in line with UNT policy. Scholarship award process training will be provided on July 26th, 2016 as a follow up to an earlier meeting.</p>	Dean of the College of Information	12/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>7. When the School of Library and Information Sciences became a department in College of Information, the existing scholarship agreements were not evaluated to determine the appropriate program of study for which the scholarship should be offered. Additionally, the UNT Division of Advancement and the College of Information had a different number of endowment scholarships within the College of Information.</p> <p>The scholarship agreements were prepared and written to provide scholarships for the School of Library and Information Sciences. Once the school became a department in the College of Information, these scholarships were awarded solely to those studying within the Department of Library and Information Sciences.</p>	Low	<p>Recommendations for Interim Dean of the College of Information:</p> <p>7a. Coordinate with the Office of General Counsel and Advancement to examine the language and donor's intent to determine the appropriate program of study to which the scholarships can be offered.</p>	<p>Advancement did not provide information about the Mary Voegle endowed scholarship to the department and the scholarship was not listed in Cognos with the rest of the other scholarships. When the LIS budget was separated from the college budget in 2012, all endowed scholarships were awarded according to the MOUs.</p> <p>The dean of the College of Information will ask UNT General Counsel to examine the language and donor intent.</p> <p>The College of Information's Advancement representative will work closely with the College scholarship representative to ascertain the existing number of scholarships that are eligible to be awarded.</p>	Dean of the College of Information	1/17/2017 Rev. 05/15/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>7. When the School of Library and Information Sciences became a department in College of Information, the existing scholarship agreements were not evaluated to determine the appropriate program of study for which the scholarship should be offered. Additionally, the UNT Division of Advancement and the College of Information had a different number of endowment scholarships within the College of Information.</p> <p>The scholarship agreements were prepared and written to provide scholarships for the School of Library and Information Sciences. Once the school became a department in the College of Information, these scholarships were awarded solely to those studying within the Department of Library and Information Sciences.</p>	Low	<p>Recommendations for Interim Dean of the College of Information:</p> <p>7b. Coordinate with UNT Division of Advancement to obtain a clear understanding of how many scholarships exist within the College of Information and determine which are eligible to be awarded.</p>	<p>Advancement did not provide information about the Mary Voegle endowed scholarship to the department and the scholarship was not listed in Cognos with the rest of the other scholarships. When the LIS budget was separated from the college budget in 2012, all endowed scholarships were awarded according to the MOUs.</p> <p>The dean of the College of Information will ask UNT General Counsel to examine the language and donor intent.</p> <p>The College of Information's Advancement representative will work closely with the College scholarship representative to ascertain the existing number of scholarships that are eligible to be awarded.</p>	Dean of the College of Information	1/17/2017 Rev. 05/15/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Currently, UNTHSC utilizes an incremental budget model, in which budget allocations are based upon the funding levels of the previous years. However, the model is not sufficient to ensure allocated amounts are adequate based on business needs and to achieve institutional goals and initiatives.</p> <p>In addition, although UNTHSC has operating budget guidelines, there are no formalized principles. Budget principles help create overarching values for prioritization and resource allocation which management adhere to as the budget is developed. Furthermore, policies and procedures are not sufficiently developed to clarify and crystalize the intent behind how the University will manage its financial resources.</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1a. Review and assess alternative budget models and adopt a model that aligns with institutional goals and initiatives.</p>	<p>a. The Health Science Center (HSC) will establish a budget advisory committee to review and assess various ways to budget and to provide recommendations regarding the underlining principles and procedures to the President's cabinet. The President's cabinet will discuss and determine the best course of action in budgeting for HSC, with the implementation of the revised budget model occurring in FY 2018 for the FY 2019 budget process. This budgeting model will be completed by September 1, 2017.</p>	Gregory R. Anderson, Interim Chief Financial Officer	9/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Currently, UNTHSC utilizes an incremental budget model, in which budget allocations are based upon the funding levels of the previous years. However, the model is not sufficient to ensure allocated amounts are adequate based on business needs and to achieve institutional goals and initiatives.</p> <p>In addition, although UNTHSC has operating budget guidelines, there are no formalized principles. Budget principles help create overarching values for prioritization and resource allocation which management adhere to as the budget is developed. Furthermore, policies and procedures are not sufficiently developed to clarify and crystalize the intent behind how the University will manage its financial resources.</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1b. Develop institutional principles, policies and procedures.</p>	<p>b. Based on the determination by the President's cabinet, budget principles, policy and procedures will be developed which support the accomplishment of the HSC objectives and initiatives consistent with the strategic plan. The proposed budget policy will be submitted to the Office of General Counsel (OGC) by September 5, 2017.</p>	Gregory R. Anderson, Interim Chief Financial Officer	9/5/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Currently, UNTHSC utilizes an incremental budget model, in which budget allocations are based upon the funding levels of the previous years. However, the model is not sufficient to ensure allocated amounts are adequate based on business needs and to achieve institutional goals and initiatives.</p> <p>In addition, although UNTHSC has operating budget guidelines, there are no formalized principles. Budget principles help create overarching values for prioritization and resource allocation which management adhere to as the budget is developed. Furthermore, policies and procedures are not sufficiently developed to clarify and crystalize the intent behind how the University will manage its financial resources.</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1c. Communicate newly developed principles, policies and procedures to pertinent employees. Management should consider posting these documents on the UNTHSC website.</p>	<p>c. Once developed, the proposed budget policy will be submitted to OGC for approval by September 5, 2017 and once OGC approves, then the budget policy and procedures will be communicated to the employees and posted on the UNTHSC website.</p>	Gregory R. Anderson, Interim Chief Financial Officer	9/5/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>There was a change in the format of the Quarterly Budget Reports that became effective in Q2 FY2016 to exclude prior year balances brought forward. The Q1 Quarterly Budget Report reflected the current year budget amounts as well as the prior year balances; however, the Q2 Quarterly Budget Report only showed current year budget amounts. Therefore, the total available budget in the Q2 Budget Report was understated by the following:</p> <ul style="list-style-type: none"> • Tobacco Settlement Funds - \$264,582 • Designated Tuition Funds - \$43,282. <p>Additionally, prior year revenue generating activities of \$733,784 was also not shown in the Q2 Quarterly Budget Report. This amount comprises of Facilities & Administrative cost recovery from grants for the amount of \$363,855.</p>	Moderate	<p>Recommendation to the Interim Chief Financial Officer:</p> <p>2a. Management should determine what relevant information needs to be included in the Quarterly Budget Reports and develop a standard operating procedure.</p>	<p>a. Management will establish a task force to determine what relevant information needs to be included in quarterly budget reports, including the inclusion of prior year balances, as well as recommend a set of standard operating procedures. These recommendations will be submitted to the President's cabinet for discussion and approval by January 12, 2017.</p>	Gregory R. Anderson, Interim Chief Financial Officer	1/12/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>There was a change in the format of the Quarterly Budget Reports that became effective in Q2 FY2016 to exclude prior year balances brought forward. The Q1 Quarterly Budget Report reflected the current year budget amounts as well as the prior year balances; however, the Q2 Quarterly Budget Report only showed current year budget amounts. Therefore, the total available budget in the Q2 Budget Report was understated by the following:</p> <ul style="list-style-type: none"> • Tobacco Settlement Funds - \$264,582 • Designated Tuition Funds - \$43,282. <p>Additionally, prior year revenue generating activities of \$733,784 was also not shown in the Q2 Quarterly Budget Report. This amount comprises of Facilities & Administrative cost recovery from grants for the amount of \$363,855.</p>	Moderate	<p>Recommendation to the Interim Chief Financial Officer:</p> <p>2b. Once standard operating procedures have been developed, management should communicate to all relevant parties.</p>	<p>b. Once approved, the finance office will communicate to all relevant parties the procedures to be used by February 10, 2017.</p>	Gregory R. Anderson, Interim Chief Financial Officer	2/10/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Safeguarding measures of student fee payments received are not adequate during the receipting and reconciliation processes at the Office of Admissions. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • Current/prospective students are not provided with receipts when making payments for various fees unless requested by the student. Specifically, when the assigned individual receives money in person related to application, change of concentration, assurance and deferment fees, a manual unofficial receipt from a generic receipt logbook was provided to students upon request. • Reconciliation processes are not in place to verify that assurance and deferment fees received from prospective students were properly credited towards the correct student account. • Reconciliation processes are not in place to verify that application and change of concentration fees were properly recorded in the correct departmental account. 	Moderate	<p>Recommendation for the Director of Financial Services – Student Finance:</p> <p>3a. Work with Student Accounting and University Cashiering Services to change your process to require students paying in person to pay directly at the cashiering office and obtain an official university receipt and students paying by mail to send their checks directly to the Cashiering Office.</p>	<p>We concur with your findings and agree to partner with the appropriate staff from the School of Public Health to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC School of Public Health. Key team members from UNT System Student Accounting and UNT System Financial Systems Support will work with the appropriate staff (as necessary) to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeanne Olson, Director of Financial Services – Student Finance	8/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Safeguarding measures of student fee payments received are not adequate during the receipting and reconciliation processes at the Office of Admissions. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • Current/prospective students are not provided with receipts when making payments for various fees unless requested by the student. Specifically, when the assigned individual receives money in person related to application, change of concentration, assurance and deferment fees, a manual unofficial receipt from a generic receipt logbook was provided to students upon request. • Reconciliation processes are not in place to verify that assurance and deferment fees received from prospective students were properly credited towards the correct student account. • Reconciliation processes are not in place to verify that application and change of concentration fees were properly recorded in the correct departmental account. 	Moderate	<p>Recommendation for Associate Dean of School of Public Health:</p> <p>3b. Develop procedures to help ensure that all fees collected are reconciled on a regular basis to the University accounting system and to the respective student account.</p>	<p>The School of Public Health, Office of Admissions will establish a procedure to:</p> <ol style="list-style-type: none"> Redirect on-site cash received to the Cashier's Office, located in the Student Services Center of the UNTHSC campus, in the same building as the Office of Admission. Student will make payment to the Cashier, obtain a receipt, and then provide proof of payment to the Office of Admission Redirect deposits by mail directly to the Cashiering Office, establishing a procedure for the Office of Admission to be notified when a deposit has been received Maintain a log of fees collected as notified by the Cashier's office Work with Financial Services as a process improvement to automate items 1 and 2 above within their stipulated implementation date of August 1, 2017 	Matt Nolan Adrignola, Associate Dean of Administration & Student Services	3/1/2017 Rev. 08/01/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4a. Establish a mandatory annual cash handling training for all personnel handling cash at UNTHSC.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4b. Require all cash handling personnel to sign a statement acknowledging that they have been trained, read and understand the relevant policies and procedures.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4d. Consider expanding the mandatory annual cash handling training and acknowledgement statement requirements to other University components.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4e. Ensure all bank deposit bags are kept in the safe until the armored truck arrives.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted: <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	Recommendations for the Director of Financial Services – Student Finance: 4f. Consider utilizing a desktop check scanner.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted: <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	Recommendations for the Director of Financial Services – Student Finance: 4g. Place all purses and belongings in a locker or drawer away from where the money is kept.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	During our review of School of Public Health Payroll, we noted that UNT System Administration Policies 03.503 Longevity Pay is outdated and it is not in compliance with the statute. Specifically, as of September 1, 2005 the longevity pay was raised from \$20 per month for every three years of state service to \$20 per month for every two years of state service which is not reflected in the policy. Additionally, it is important to note that the longevity pay is appropriately calculated in the University Payroll System in accordance with the statute.	Low	Recommendation for the Human Resources Director: 5a. Modify University Administrative Policy regarding Longevity Pay to help ensure compliance with the state laws.	Management worked with the UNT System Policy Manager, to update/modify the University Administrative Policy. The updated policy was submitted to the Office of General Counsel for review during the audit.	Gary Finney, Human Resources Director	7/19/2016	Closed
Internal	UNTHSC Institutional Review Board	Fiscal Year 2016	Governance and Regulatory Compliance	PKU Human Microbiome Protocol	UNTHSC	None	NA	NA	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Responsibility for IT Security is decentralized and communication concerning the responsibilities of each party should be strengthened.</p> <p>ITSS establishes the policies for the UNT Enterprise concerning requirements for installing and maintaining anti-virus and encryption software on all laptops. It is then the responsibility of the IT Managers or Custodians to ensure these policies are carried out. IA talked to the IT Managers of UNTS, UNT CAS and UNTD and they were not aware of their responsibility for ongoing maintenance of the anti-virus and encryption software on the laptops. The IT Managers do not follow procedures to ensure the software installed is maintained and current. They do not receive directive communication from ITSS detailing accountability and responsibility for maintaining this software.</p>	High	<p>Recommendations for ITSS:</p> <p>ITSS should utilize a communication framework detailing how responsibility for installation and maintenance of anti-virus and encryption software on laptops, as well as inventory of laptops, will be disseminated.</p>	<p>IT Shared Services will utilize the following existing frameworks that address the recommendations of this observation (#1):</p> <ol style="list-style-type: none"> The framework that establishes security responsibilities for the management of information resources, including laptops, which is defined and communicated online in the following resources: <ol style="list-style-type: none"> UNT System Information Security Regulation 6.1000, Section 6.1004(3), "Information Security Structure"; UNT System Information Security Policy 8.1000, Section 2, "Information Security Roles"; UNT System Information Security Handbook, Section 6, "Information Security Structure"; and Texas Administrative Code Chapter 202 and ISO 27001 and ISO 27002; and UNT System Information Security Mandate: Mobile Device Encryption. The UNT System Information Security Handbook, sections 10.4.1-10.4.4, and 12.4.1-12.4.2, which is available online and establishes requirements for management and installation of anti-virus and encryption software. UNT and UNT System committees established to communicate campus related IT projects and issues, in addition to a listserv that is used to communicate information technology, security, antivirus and encryption services issues to IT personnel across the UNT System and the Institutions. The UNT Committee is called the Technical 	Charlotte Russell, Chief Information Security Officer	3/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Responsibility for IT Security is decentralized and communication concerning the responsibilities of each party should be strengthened.</p> <p>ITSS establishes the policies for the UNT Enterprise concerning requirements for installing and maintaining anti-virus and encryption software on all laptops. It is then the responsibility of the IT Managers or Custodians to ensure these policies are carried out. IA talked to the IT Managers of UNTS, UNT CAS and UNTD and they were not aware of their responsibility for ongoing maintenance of the anti-virus and encryption software on the laptops. The IT Managers do not follow procedures to ensure the software installed is maintained and current. They do not receive directive communication from ITSS detailing accountability and responsibility for maintaining this software.</p>	High	<p>Recommendations for ITSS:</p> <p>ITSS may use an appropriate existing committee or create a new committee to communicate accountability and responsibility for security concerns, including anti-virus and encryption software maintenance. Such a committee should include representatives from across the University at all levels, not just IT personnel.</p>	<p>IT Shared Services will utilize the following existing frameworks that address the recommendations of this observation (#1):</p> <ol style="list-style-type: none"> The framework that establishes security responsibilities for the management of information resources, including laptops, which is defined and communicated online in the following resources: <ol style="list-style-type: none"> UNT System Information Security Regulation 6.1000, Section 6.1004(3), "Information Security Structure"; UNT System Information Security Policy 8.1000, Section 2, "Information Security Roles"; UNT System Information Security Handbook, Section 6, "Information Security Structure"; and Texas Administrative Code Chapter 202 and ISO 27001 and ISO 27002; and UNT System Information Security Mandate: Mobile Device Encryption. The UNT System Information Security Handbook, sections 10.4.1-10.4.4, and 12.4.1-12.4.2, which is available online and establishes requirements for management and installation of anti-virus and encryption software. UNT and UNT System committees established to communicate campus related IT projects and issues, in addition to a listserv that is used to communicate information technology, security, antivirus and encryption services issues to IT personnel across the UNT System and the Institutions. The UNT Committee is called the Technical 	Charlotte Russell, Chief Information Security Officer	3/31/2017	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	Inventory list of laptops provided by Asset Management is not complete and accurate. Asset Management (AM) is responsible for maintaining an inventory of assets owned by the UNT Enterprise. This listing is maintained in EIS. IA obtained a list of laptops from asset management for UNT, UNTS, and UNTD, which contained 4688 entries. Listing from ePO provided to IA contained 3771 laptops for the entire UNT Enterprise. IA selected a random sample of 100 machines from the ePO report and attempted to find those machines in the asset management listing. Only 53 machines were found due to the asset management listing only sporadically including the machine name, the key field in ePO. Neither of the lists provided, from EIS or ePO, indicated the type of asset/machine. UNTD maintains an inventory list which contained 85 laptops. Asset Management's listing indicated 387 laptops assigned to UNTD. CAS does not maintain an independent inventory list of laptops purchased, and those assigned to CAS could not be identified in Asset Management's listing.	High	IA recommends Asset Management review their processes to ensure they result in an accurate laptop inventory across the Enterprise. IA should then conduct an audit of the Asset Management inventory process. IA recommends this occurs soon, as there are other UNT areas dependent on an accurate inventory. ITSS does not own AM, and AM was not the subject of this audit. IA is recommending an audit of the Asset Management process as a result of this audit.	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	Inventory listing of laptops from Asset Management and listing of laptops in ePO are not reconciled. IA obtained a list of laptops from Asset Management pulled from EIS 9.0, which contained 4688 entries for UNT, UNTS, and UNTD. 3771 laptops containing anti-virus software were found in ePO for the entire UNT Enterprise. IA selected a random sample of 100 machines from this ePO report and attempted to find those machines in the asset management listing. Only 53 machines were found due to the asset management listing only sporadically including the machine name, the key field in ePO.	High	Recommendation for ITSS: ITSS should develop and submit a policy requiring a periodic reconciliation of laptops in Asset Management's inventory to the list of laptops in ePO. This will help determine if all required laptops are equipped with encryption and anti-virus software.	Per discussions that ensued between the leadership of ITSS (Rama Dhuwaraha, Charlotte Russell, Dorothy Flores, and Kendra Ketchum) and Internal Audit (Tracy Grunig, Mickie Tate, and Sue Pagel) on August 11, 2016, all parties agreed to an alternative to this recommendation, due to non-compatibility of the asset management system with ePO. The two technologies are used for unique purposes: The asset management system is used by institutions to track inventory, and ePO is a software management tool used by ITSS to centrally manage the distribution of anti-virus and encryption software to institutionally owned devices. These tools do not capture the same type of information that would be needed to support reconciliation, thus correlated, or comparable information, is not stored in either system. ITSS will establish a requirement for departments to install current versions of anti-virus and encryption software deployment tools on all newly acquired laptops. By installing the anti-virus and encryption software tools on devices prior to deployment and use, the asset management inventory will initially be indicative of devices that are protected with these solutions. Thereafter, the annual check-in recommendation will support review and compliance as noted in Observation #4.	Charlotte Russell, Chief Information Security Officer	3/31/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Inventory listing of laptops from Asset Management and listing of laptops in ePO are not reconciled.</p> <p>IA obtained a list of laptops from Asset Management pulled from EIS 9.0, which contained 4688 entries for UNT, UNTS, and UNTD. 3771 laptops containing anti-virus software were found in ePO for the entire UNT Enterprise. IA selected a random sample of 100 machines from this ePO report and attempted to find those machines in the asset management listing. Only 53 machines were found due to the asset management listing only sporadically including the machine name, the key field in ePO.</p>	High	<p>Recommendation for IT Managers:</p> <p>IT Managers should develop a process to periodically reconcile the laptop asset management inventory with ePO in compliance with the new policy.</p>	<p>Per discussions that ensued between the leadership of ITSS (Rama Dhuwaraha, Charlotte Russell, Dorothy Flores, and Kendra Ketchum) and Internal Audit (Tracy Grunig, Mickie Tate, and Sue Pagel) on August 11, 2016, all parties agreed to an alternative to this recommendation, due to non-compatibility of the asset management system with ePO. The two technologies are used for unique purposes: The asset management system is used by institutions to track inventory, and ePO is a software management tool used by ITSS to centrally manage the distribution of anti-virus and encryption software to institutionally owned devices. These tools do not capture the same type of information that would be needed to support reconciliation, thus correlated, or comparable information, is not stored in either system. ITSS will establish a requirement for departments to install current versions of anti-virus and encryption software deployment tools on all newly acquired laptops. By installing the anti-virus and encryption software tools on devices prior to deployment and use, the asset management inventory will initially be indicative of devices that are protected with these solutions. Thereafter, the annual check-in recommendation will support review and compliance as noted in Observation #4.</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>No follow-up for laptops not checking in.</p> <p>ITSS maintains the ePO system, supplying the McAfee tool for people building laptops to put anti-virus and encryption software on machines. ePO also updates these machines with the most recent software upgrades when the machines access the network, normally every 15 minutes. ITSS does not require follow-up on machines that have not checked in within a certain timeframe.</p>	High	<p>Recommendations for ITSS:</p> <p>ITSS should develop and submit a policy requiring IT Managers investigate machines not checking into ePO within a defined timeframe or not containing anti-virus updates per definition.</p>	<p>Computer images that include anti-virus and encryption software are deployed to laptops by campus departments. ITSS does not have access to the images and is therefore unable to update them. In addition, ITSS does not manage departmental operations or processes associated with management of laptops.</p> <p>ITSS will establish a requirement for laptops to be connected to institutionally owned networks at least annually in order to receive anti-virus and encryption software updates. In cases where a laptop is not capable of running a specific institutionally managed anti-virus or encryption software solution, a security exception will be considered if mitigating controls can be established to protect the respective device.</p> <p>ITSS will establish a requirement for IT managers to remove laptops from ePO that have been surplus and are no longer in use.</p> <p>ITSS will establish a requirement for IT managers to investigate the following:</p> <ul style="list-style-type: none"> • Laptops that do not check into ePO within an established timeframe; and • Laptops that do not receive anti-virus updates. <p>Documentation listing the reasons why a laptop does not check into ePO will be required to be maintained by the IT</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>No follow-up for laptops not checking in.</p> <p>ITSS maintains the ePO system, supplying the McAfee tool for people building laptops to put anti-virus and encryption software on machines. ePO also updates these machines with the most recent software upgrades when the machines access the network, normally every 15 minutes. ITSS does not require follow-up on machines that have not checked in within a certain timeframe.</p>	High	<p>Recommendations for ITSS:</p> <p>ITSS should develop and submit a policy requiring laptop owners to bring the laptop into campus and connect directly to the UNT network at least annually to receive required updates. Reason for not checking in should be documented, and/or machine access removed from the UNT network.</p>	<p>Computer images that include anti-virus and encryption software are deployed to laptops by campus departments. ITSS does not have access to the images and is therefore unable to update them. In addition, ITSS does not manage departmental operations or processes associated with management of laptops.</p> <p>ITSS will establish a requirement for laptops to be connected to institutionally owned networks at least annually in order to receive anti-virus and encryption software updates. In cases where a laptop is not capable of running a specific institutionally managed anti-virus or encryption software solution, a security exception will be considered if mitigating controls can be established to protect the respective device.</p> <p>ITSS will establish a requirement for IT managers to remove laptops from ePO that have been surplussed and are no longer in use.</p> <p>ITSS will establish a requirement for IT managers to investigate the following:</p> <ul style="list-style-type: none"> • Laptops that do not check into ePO within an established timeframe; and • Laptops that do not receive anti-virus updates. <p>Documentation listing the reasons why a laptop does not check into ePO will be required to be maintained by the IT</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>No follow-up for laptops not checking in.</p> <p>ITSS maintains the ePO system, supplying the McAfee tool for people building laptops to put anti-virus and encryption software on machines. ePO also updates these machines with the most recent software upgrades when the machines access the network, normally every 15 minutes. ITSS does not require follow-up on machines that have not checked in within a certain timeframe.</p>	High	<p>Recommendation for IT Managers:</p> <p>IT Managers should remove laptops from ePO that are surplussed and no longer in use.</p>	<p>IA communicated with CAS Assistant Dean for Information Technology Services, Tim Christian, regarding removing laptops from ePO that are surplussed and no longer in use. He agreed to follow the policy set by ITSS.</p>	Tim Christian, Assistant Dean for Information Technology Services	3/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Use of the ePO tool is not required to install and monitor anti-virus and encryption software on laptops.</p> <p>While most IT Managers use the ePO agent to install anti-virus and encryption software on laptops, there is no requirement to do so. Installation of anti-virus and encryption software is required but use of a specific tool is not required.</p>	Moderate	<p>Recommendation for ITSS:</p> <p>ITSS should develop and submit a standard requiring all IT Managers use one tool to install anti-virus and encryption software on laptops during the build process.</p>	<p>Anti-virus software is deployed to devices in a variety of methods, including direct acquisition from anti-virus software vendors (e.g., McAfee), and also via ePolicy Orchestrator (ePO), a software management tool used by IT Shared Services to centrally manage the distribution of anti-virus and encryption software to institutionally owned devices, including laptops. Detection of the installation of anti-virus and encryption software can be done manually (by physically locating and assessing installation), or it can be done through the use of management tools such as ePO.</p> <p>ITSS will establish a standard requiring the use of the ITSS sanctioned anti-virus and encryption software distribution tool. In cases where a device is not capable of running a specific anti-virus or encryption software solution, a security exception will be considered if mitigating controls can be established to protect the respective device.</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Standard for compliant and non-compliant anti-virus updates on laptops does not take into account last check-in date.</p> <p>The current definition of laptops being compliant with anti-virus definitions states they must be within three versions of the current DAT file version in ePO. New DAT files are released approximately daily. This definition does not take into account the last time that the laptop checked into the UNT network.</p> <p>Laptops may receive updates even though they have not been connected to the UNT network and checked in. Also, laptops may have the most current version of anti-virus software as of the last time they checked in. The current definition of compliance for laptop anti-virus does not take into consideration these situations.</p>	Moderate	<p>Recommendation for ITSS:</p> <p>ITSS should establish a new definition of when a laptop is considered compliant, taking into account when they last checked into the UNT network.</p>	ITSS will update and document the conditions in which a laptop is considered compliant with the last check-in date requirement.	Charlotte Russell, Chief Information Security Officer	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Selected Grants Review - National Science Foundation Audit	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	International Travel Process Audit	UNT	<p>Listed below are reasons for conducting an audit at a later time:</p> <ol style="list-style-type: none"> 1. A System-wide travel regulation, which will contain a section on international travel requiring registration for all individuals travelling internationally on University business, will need to be approved and implemented. 2. RMS international travel registration mechanism will need to be implemented. 3. There is a need to establish an internal control to ensure that all individuals traveling internationally on University business register their travel. 4. Management may want to consider possible consequences for those individuals who do not comply with the international travel registration requirement in the System travel regulation. 5. Funding for future improvements and/or expansion of the international travel registration mechanism, if determined applicable, has not been obtained. 6. Need to update the UNT System Travel Guidelines and applicable travel procedures. 	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Toulouse Graduate School	UNT	<p>1. No Application Fee Policy: Internal Audit was unable to locate any University policies that directly address the use of the Graduate School Application fee.</p> <p>The Interim Dean of the Toulouse Graduate School, stated that application fees can be used for any purpose due to their flexibility, and the Interim Dean was not aware of any policies governing the use of application fees.</p> <p>The Interim Dean of the Toulouse Graduate School, stated that application fees can be used for any purpose due to their flexibility, and the Interim Dean was not aware of any policies governing the use of application fees.</p> <ul style="list-style-type: none"> • Texas Education Code, Sec. 54.504 considers the application fee as an incidental fee. This section establishes the rate of an incidental fee, but it does not address its use. • Texas Education Code, Sec. 55.16 generally addresses fees by stating that a fee should be sufficient to support the related activity. • UNT System Board of Regents Rule 07.403, 2(d) delegates responsibility for fixing the rate of incidental fee rates to the President of each Institution. Each President may make rules regarding the distribution of funds according to Texas Education Code, Sec. 54.504. However, Sec. 54.504 does not cover the distribution of funds. • UNT Policy 10.037 considers Academic Fees as an incidental fee. According to Policy 10.037, Academic Fees--and likewise incidental fees--should accurately reflect the actual costs to the University for providing the related 	Moderate	<p>Recommendation for Vice Provost of the Toulouse Graduate School:</p> <p>1a. Consult with the Vice President for Finance and Administration to develop a policy specifying appropriate uses for the Graduate School application fee.</p>	Historically the majority of the application fee was used to fund staff positions in the Toulouse Graduate School. Within the last six months the funding of these staff lines were adjusted so that the staff directly responsible for application processing are paid from the application fee account. This is consistent with the intended use of the funds. In addition the residual funds will be directed toward processing of applications and the associated expenses. However, the application fee and the staff on that fee have moved under admissions and, consistent with the change in the budget line, we communicated with the VP of Enrollment Management and the Executive Director of Admissions about the need to continue the staff funding from the application fee account. In addition, with the transfer of the application fee account to the Executive Director of Admissions, the Graduate School communicated the expected outcomes and recommendations of this audit to the Executive Director so that policy development can be fulfilled by the new account holder.	Rebecca Lothringer, Executive Director of Admissions	1/15/2017 Rev. 08/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>1. Intercollegiate Athletics Fee - The UNT Intercollegiate Athletics Fee was increased \$1 per semester credit hour (SCH) from \$10/SCH to \$11/SCH starting in the Spring of 2016 without a student general election conducted to approve the increase, which was not in compliance with the Texas Education Code Chapter 54 Section 54.5191. Therefore, this action resulted in the overbilling of students.</p>	High	<p>Recommendations for the Vice President of Finance and Administration and the Vice President of Athletics:</p> <p>a. Coordinate with the Office of General Counsel to take appropriate actions to rectify the overbilling of students.</p>	The fees for athletics were returned to \$10 per hour with limits, the last appropriately authorized amount, prior to registration and fee payment for spring, 2017. The university will refund the extra \$1 per hour collected for the two previous terms. All refunds will be made by November 30, 2016.	Bob Brown, Vice President for Finance and Administration	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>1. Intercollegiate Athletics Fee - The UNT Intercollegiate Athletics Fee was increased \$1 per semester credit hour (SCH) from \$10/SCH to \$11/SCH starting in the Spring of 2016 without a student general election conducted to approve the increase, which was not in compliance with the Texas Education Code Chapter 54 Section 54.5191. Therefore, this action resulted in the overbilling of students.</p>	High	<p>Recommendations for the Vice President of Finance and Administration and the Vice President of Athletics:</p> <p>b. Identify and refund students who were charged excess fees as a result of non-compliance with the Texas Education Code 54.5191 from Spring 2016 to current.</p>	The fees for athletics were returned to \$10 per hour with limits, the last appropriately authorized amount, prior to registration and fee payment for spring, 2017. The university will refund the extra \$1 per hour collected for the two previous terms. All refunds will be made by November 30, 2016.	Bob Brown, Vice President for Finance and Administration	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>2. Inadequate Safeguarding Measures - Safeguarding measures of blank check stock are not adequate. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • There is a small unsecured movable safe on a shelf in the custodian's office which includes blank pre-numbered checks and the safe combination of another safe located in Athletics administration. • There is no documentation listing the check numbers of the blank checks kept in safe. • The Athletic Department Working Fund maximum balance is \$20,000, though the estimated potential amount needed during peak months is \$5,000. 	High	<p>Recommendation for Assistant Athletic Director, Business Operations:</p> <p>a. Obtain a larger unmovable safe.</p>	The Department of Athletics agrees with the recommendations. A large unmovable safe has been purchased.	Pilar Bradfield, Assistant Athletic Director	2/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>2. Inadequate Safeguarding Measures - Safeguarding measures of blank check stock are not adequate. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • There is a small unsecured movable safe on a shelf in the custodian's office which includes blank pre-numbered checks and the safe combination of another safe located in Athletics administration. • There is no documentation listing the check numbers of the blank checks kept in safe. • The Athletic Department Working Fund maximum balance is \$20,000, though the estimated potential amount needed during peak months is \$5,000. 	High	<p>Recommendation for Assistant Athletic Director, Business Operations:</p> <p>b. Maintain a listing of check numbers for the blank check stock that is kept secured in the safe.</p>	<p>The Department of Athletics agrees with the recommendations. Blank check stock will be inventoried on a quarterly basis. The listing of check numbers for blank stock will be maintained and updated after each inventory.</p>	Pilar Bradfield, Assistant Athletic Director	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>2. Inadequate Safeguarding Measures - Safeguarding measures of blank check stock are not adequate. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • There is a small unsecured movable safe on a shelf in the custodian's office which includes blank pre-numbered checks and the safe combination of another safe located in Athletics administration. • There is no documentation listing the check numbers of the blank checks kept in safe. • The Athletic Department Working Fund maximum balance is \$20,000, though the estimated potential amount needed during peak months is \$5,000. 	High	<p>Recommendation for Assistant Athletic Director, Business Operations:</p> <p>c. Reduce the working fund balance of the Athletic Department Working Fund to a lower amount which will still meet the needs of the department.</p>	<p>The Department of Athletics agrees with the recommendations. Athletics will work with the Controller's office in BSC to reduce the fund to \$10,000.00.</p>	Pilar Bradfield, Assistant Athletic Director	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>3. Parking Revenue - Testing of parking revenue identified the following:</p> <ul style="list-style-type: none"> • Parking reconciliation reports had material differences between expected receipts and actual monies deposited to Student Accounting and University Cashiering Services. In detail parking payments from four football games identified a shortage of \$558.00, \$515.00, \$366.00, and an overage of \$140.00. • The explanations notated on the reconciliation report regarding the over/short dollar difference were inadequate or missing. • The reconciliation reports reviewed were signed by a UNT Athletic employee; however, the signature on the report by the representative for Contemporary Services Corporation (CSC) signed as "CSC" and the actual name was not used. • There are no written procedures outlining the steps to be taken by UNT Athletic personnel with regards to parking operations after CSC collects and provides the parking funds to UNT Athletics personnel. 	High	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>a. Develop procedures to help ensure that funds are appropriately accounted for, reconciled and deposited timely.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Procedures related to the parking funds will be formally documented. • All pertinent personnel will be trained on the procedures. • Reconciliation of parking funds will take place in a timely manner to ensure compliance with the institutional mandates regarding cash deposits. All overage/shortages will be appropriately documented. 	Pilar Bradfield, Assistant Athletic Director	11/1/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>3. Parking Revenue - Testing of parking revenue identified the following:</p> <ul style="list-style-type: none"> • Parking reconciliation reports had material differences between expected receipts and actual monies deposited to Student Accounting and University Cashiering Services. In detail parking payments from four football games identified a shortage of \$558.00, \$515.00, \$366.00, and an overage of \$140.00. • The explanations notated on the reconciliation report regarding the over/short dollar difference were inadequate or missing. • The reconciliation reports reviewed were signed by a UNT Athletic employee; however, the signature on the report by the representative for Contemporary Services Corporation (CSC) signed as "CSC" and the actual name was not used. • There are no written procedures outlining the steps to be taken by UNT Athletic personnel with regards to parking operations after CSC collects and provides the parking funds to UNT Athletics personnel. 	High	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>b. Train pertinent UNT personnel on the parking procedures expected to be developed.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Procedures related to the parking funds will be formally documented. • All pertinent personnel will be trained on the procedures. • Reconciliation of parking funds will take place in a timely manner to ensure compliance with the institutional mandates regarding cash deposits. All overage/shortages will be appropriately documented. 	Pilar Bradfield, Assistant Athletic Director	11/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>3. Parking Revenue - Testing of parking revenue identified the following:</p> <ul style="list-style-type: none"> • Parking reconciliation reports had material differences between expected receipts and actual monies deposited to Student Accounting and University Cashiering Services. In detail parking payments from four football games identified a shortage of \$558.00, \$515.00, \$366.00, and an overage of \$140.00. • The explanations notated on the reconciliation report regarding the over/short dollar difference were inadequate or missing. • The reconciliation reports reviewed were signed by a UNT Athletic employee; however, the signature on the report by the representative for Contemporary Services Corporation (CSC) signed as "CSC" and the actual name was not used. • There are no written procedures outlining the steps to be taken by UNT Athletic personnel with regards to parking operations after CSC collects and provides the parking funds to UNT Athletics personnel. 	High	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>c. Ensure adequate documentation is notated when there is an overage/shortage.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Procedures related to the parking funds will be formally documented. • All pertinent personnel will be trained on the procedures. • Reconciliation of parking funds will take place in a timely manner to ensure compliance with the institutional mandates regarding cash deposits. All overage/shortages will be appropriately documented. 	Pilar Bradfield, Assistant Athletic Director	11/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>3. Parking Revenue - Testing of parking revenue identified the following:</p> <ul style="list-style-type: none"> • Parking reconciliation reports had material differences between expected receipts and actual monies deposited to Student Accounting and University Cashiering Services. In detail parking payments from four football games identified a shortage of \$558.00, \$515.00, \$366.00, and an average of \$140.00. • The explanations notated on the reconciliation report regarding the over/short dollar difference were inadequate or missing. • The reconciliation reports reviewed were signed by a UNT Athletic employee; however, the signature on the report by the representative for Contemporary Services Corporation (CSC) signed as "CSC" and the actual name was not used. • There are no written procedures outlining the steps to be taken by UNT Athletic personnel with regards to parking operations after CSC collects and provides the parking funds to UNT Athletics personnel. 	High	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>d. Monitor until sustained compliance is achieved.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Procedures related to the parking funds will be formally documented. • All pertinent personnel will be trained on the procedures. • Reconciliation of parking funds will take place in a timely manner to ensure compliance with the institutional mandates regarding cash deposits. All overage/shortages will be appropriately documented. 	Pilar Bradfield, Assistant Athletic Director	11/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> • Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. • Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. • Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. • Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. • Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Senior Associate Athletic Director, Business Operations:</p> <p>a. Re-educate applicable personnel on cash handling policy requirements.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> • The Business Process Trainer-UNT Finance and Administration will conduct cash handling training on a regular basis to Athletics staff whose responsibilities including the use of cash. • Athletics has scheduled a meeting with UNTS Financial Services on October 18, 2016 to determine the best options to deposit checks and cash. • The Athletic Department Business Office will perform periodic reviews to ensure funds are being deposited timely. 	Pilar Bradfield, Assistant Athletic Director	8/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Senior Associate Athletic Director, Business Operations:</p> <p>b. Management should perform a periodic review to ensure funds are being deposited timely.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> The Business Process Trainer-UNT Finance and Administration will conduct cash handling training on a regular basis to Athletics staff whose responsibilities including the use of cash. Athletics has scheduled a meeting with UNTS Financial Services on October 18, 2016 to determine the best options to deposit checks and cash. The Athletic Department Business Office will perform periodic reviews to ensure funds are being deposited timely. 	Pilar Bradfield, Assistant Athletic Director	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Senior Associate Athletic Director, Business Operations:</p> <p>c. Coordinate with UNTS Financial Services to determine best options with regards to the deposit of cash and checks (i.e. lockbox, desktop check scanner, and secure safe) to meet UNT Policy 10.024 and Texas Education Code 51.003 deposit requirements.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> The Business Process Trainer-UNT Finance and Administration will conduct cash handling training on a regular basis to Athletics staff whose responsibilities including the use of cash. Athletics has scheduled a meeting with UNTS Financial Services on October 18, 2016 to determine the best options to deposit checks and cash. The Athletic Department Business Office will perform periodic reviews to ensure funds are being deposited timely. 	Pilar Bradfield, Assistant Athletic Director	8/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>d. Evaluate the current requirements for the cash handling policy to ensure the funds received from other departments within five days is sufficient to meet the Texas Education Code deposit requirement of seven days.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> Student Financial Services will work with the UNT Operations Support department in identifying the departments that are not in compliance with the UNT Cash Handling policy 10.006. The UNT Cash Handling policy was updated as of 10/11/2016 to change the days that department need to deposit funds from five days to three days. 	Jeane Olson, Director of Financial Services - Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>e. If a policy change is made regarding deposit requirements, communicate this information to all pertinent departments that receive money.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> Student Financial Services will assist UNT Operations Support with communicating any changes to the UNT Cash Handling policy 10.006 as requested by UNT Operations Support to the UNT campus. Student Financial Services communicated the changes in the new Cash Handling policy to the Athletics department during a meeting on 10/19/2016 and will continue to coordinate training and awareness of the new policy to other campus departments by August 1, 2017. 	Jeane Olson, Director of Financial Services - Student Finance	8/1/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training • 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>a. Establish controls to ensure that all sports camp workers complete the required sexual abuse and child molestation awareness training prior to the start of the sports camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will work with sports camp directors to ensure that all sports camp employees complete the required sexual abuse and child molestation awareness training prior to the start of each camp. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training • 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>b. Establish controls to ensure that Risk Management personnel receive the necessary information to ensure that background checks are conducted for all sports camp workers prior to the start of the sport camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will work with Risk management to establish controls and ensure that they receive the necessary information that background checks are conducted for all camp employees. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training • 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>c. Communicate consistently with Risk Management personnel to ensure that they have received and/or have on file for each sports camp worker evidence of completion of sexual abuse and child molestation awareness training and background checks.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will communicate with Risk Management personnel to ensure they have received or have on file evidence of the completion of sexual abuse and child molestation awareness training and background checks. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>6. Insurance Coverage for Sports Camps - Testing of insurance coverage for sports camp participants (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 3 out of 136 (2%) volleyball sports camp participants did not have insurance coverage. • Volleyball did not provide notification and documentation to Risk Management for the camp participants who had insurance coverage. • Swimming was sponsored through NIKE which requires insurance; however, the proof of insurance certificate was not provided to Risk Management by the camp director. 	Moderate	<p>Recommendation for Senior Associate Athletic Director, Business Operations:</p> <p>a. Re-educate the Sports Camp Directors on the importance of providing notification and documentation to UNT Risk Management that camp insurance for participants has been obtained (i.e. through UNT or outside means) for their sports camp prior to the start of the camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will work with each sports camp director to ensure that they provide UNT Risk Management with documentation that insurance has been purchased for their camps prior to the start of each camp. 	Mike Ashbaugh, Sr. Associate Athletic Director	4/15/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships: <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	Recommendations for Associate Athletic Director, Compliance: a. Ensure that the endowed scholarship criteria used by the committee agrees with eligibility requirements established by the donor.	The Department of Athletics agrees with the recommendations. Athletics awards all of the athletic endowed scholarships during the month of August every year. This process involves selecting recipients for the upcoming academic year as well as completing the paperwork for the award winners of the previous year. <ul style="list-style-type: none"> The Athletic Compliance Office is currently working with the University and Athletic Development Offices to obtain Memorandums of Understanding (MOUs) for all endowed athletic scholarships. The complete gathering of this information will help to ensure the criteria used by the committee matches the requirements and intentions of the donor. 	Scott Hobbs, Sr. Associate Athletics Director – Compliance.	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships: <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	Recommendations for Associate Athletic Director, Compliance: b. Develop written procedures to document processes and procedures pertaining to the awarding of Athletic endowed scholarships for eligible student athletes.	The Department of Athletics agrees with the recommendations. Athletics awards all of the athletic endowed scholarships during the month of August every year. This process involves selecting recipients for the upcoming academic year as well as completing the paperwork for the award winners of the previous year. <ul style="list-style-type: none"> Once all the MOUs have been gathered, Athletics will formally develop its written policies and procedures for awarding of both the endowed scholarships and any general athletic donor scholarships. 	Scott Hobbs, Sr. Associate Athletics Director – Compliance.	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships: <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	Recommendations for Associate Athletic Director, Compliance: c. Written minutes should be maintained on Athletics endowed scholarship committee meetings.	The Department of Athletics agrees with the recommendations. Athletics awards all of the athletic endowed scholarships during the month of August every year. This process involves selecting recipients for the upcoming academic year as well as completing the paperwork for the award winners of the previous year. <ul style="list-style-type: none"> Athletics will maintain official records for actions taken at committee meetings for endowed scholarships. 	Scott Hobbs, Sr. Associate Athletics Director – Compliance.	2/1/2017 Rev. 08/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Report Completion Date – The annual report was prepared 47 days late.	Moderate	Prepare and present financial results as the annual report. Disseminate the annual report to all required parties within the time frame set forth in Article IX, section B(c) of the SIG By-Laws.	The department chair has visited with the incoming President of the SIG regarding the recommendations. He has agreed to share the recommendations with the SIG Board of Directors and will plan to meet the 45 day deadline for the 2017 annual financial report and reports thereafter.	SIG Board of Directors	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Report Completion Date – The annual report was prepared 47 days late.	Moderate	Present additional information, such as remarks from the Board of Directors, symposiums attended, and other activities, in a separate report at a later date.	The department chair has visited with the incoming President of the SIG regarding the recommendations. He has agreed to share the recommendations with the SIG Board of Directors and will plan to meet the 45 day deadline for the 2017 annual financial report and reports thereafter.	SIG Board of Directors	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Voting Summary Form – The number of shares voted to be purchased was missing from two Voting Summary forms.	Low	Ensure that Senior Analysts and Portfolio Managers include the number of shares on the Voting Summary form. Designate one specific location on the Voting Summary form to include the number of shares.	In Spring 2016, the SIG Board of Directors adopted and began using a Recommendation Form and an Equity Order Form. Each form provides a specific location for the number of shares to be sold or purchased.	SIG Board of Directors	NA	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1a. Management to work with Office of General Counsel and Human Resources to establish a mechanism, which includes a conflict of interest disclosure form, through which investment officers self-report annually any real or perceived conflicts of interest.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 8/31/2016 Revised 06/01/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1b. Implement a required annual conflict of interest training program to provide investment officers a clear understanding of their roles and responsibilities related to conflict of interest and steps they would need to take in the event of a concern.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 08/31/2016 Revised 06/01/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1c. For staff positions which do not require an annual conflict of interest disclosure form to be completed, consider requiring periodic acknowledgement of the institution's ethics policy from staff, which has conflict of interest embedded within the policy.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 08/31/2016 Revised 03/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	2. Bank Addendum Certificate of Authority – UNT - Testing identified two terminated employees with access to the UNT repurchase sweep account ending in account number 2633.	Moderate	2a. To work with the Institutional CFO's in establishing an annual review process to ensure that bank account access for employees are appropriate based on their roles and responsibilities.	Online log on credentials were disabled prior to the employees' termination. Management will review existing processes for improvement opportunities regarding immediate removal of all access for terminated employees. In addition, Treasury will work with the CFO's regarding establishing a review that occurs no less than annually.	James Mauldin, Associate Vice Chancellor for Treasury	6/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	2. Bank Addendum Certificate of Authority – UNT - Testing identified two terminated employees with access to the UNT repurchase sweep account ending in account number 2633.	Moderate	2b. For employees that have an employment status change which includes termination, establish a process to remove access immediately.	Online log on credentials were disabled prior to the employees' termination. Management will review existing processes for improvement opportunities regarding immediate removal of all access for terminated employees. In addition, Treasury will work with the CFO's regarding establishing a review that occurs no less than annually.	James Mauldin, Associate Vice Chancellor for Treasury	6/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	3. Conflict of Interest – UNTHSC – One out of three employees (33%) who have access to investment related bank accounts did not complete a conflict of interest disclosure form.	Moderate	3a. Require all applicable staff to be re-educated on the policy.	Management will work with the UNTHSC Compliance Office to establish and implement procedures to notify employees when they have not completed the Conflict Disclosure Form within the required time frame established by UNTHSC and a process for educating staff about possibly detecting conflicts of interest.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	3. Conflict of Interest – UNTHSC – One out of three employees (33%) who have access to investment related bank accounts did not complete a conflict of interest disclosure form.	Moderate	3b. Work with the Office of Compliance to implement a monitoring process to ensure applicable staff completes an annual conflict of interest disclosure form.	Management will work with the UNTHSC Compliance Office to establish and implement procedures to notify employees when they have not completed the Conflict Disclosure Form within the required time frame established by UNTHSC and a process for educating staff about possibly detecting conflicts of interest.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	4. Inaccuracy of Quarterly Investment Report – UNT System / UNT / UNT Dallas - Testing of the accuracy of quarterly investment reports identified footing errors, instances of ending and beginning balances for successive quarters not matching, incorrect balances for the third quarter and incorrect investment report posted on the investment disclosure website.	Moderate	4a. Review fiscal year 2015 quarterly investment reports for which ending and beginning balances for successive quarters did not match and make necessary corrections. Then, update the investment disclosure websites with the corrected reports.	Fiscal Year 2015 was a transitional year organizationally for a consolidated treasury operation. Treasury has already begun working with the campuses to ensure that the investment reports on the websites are accurate and will continue to do so. A quality review process of these reports has been implemented and will going forward include ensuring that the posting to each campus' website is accurate and complete.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	4. Inaccuracy of Quarterly Investment Report – UNT System / UNT / UNT Dallas - Testing of the accuracy of quarterly investment reports identified footing errors, instances of ending and beginning balances for successive quarters not matching, incorrect balances for the third quarter and incorrect investment report posted on the investment disclosure website.	Moderate	4b. Implement a review process for quarterly investment reports to ensure the accuracy of data to be reported prior to the issuance to the Board of Regents and posting on the institution's investment disclosure website.	Fiscal Year 2015 was a transitional year organizationally for a consolidated treasury operation. Treasury has already begun working with the campuses to ensure that the investment reports on the websites are accurate and will continue to do so. A quality review process of these reports has been implemented and will going forward include ensuring that the posting to each campus' website is accurate and complete.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	5. Reconciliation to the General Ledger – UNTHSC - The cash account balance per the investment report was different from the balances recorded in the general ledger as of August 31, 2015. The balance per the quarterly investment report was understated by \$4,430,968.57.	Moderate	5a. Establish a process to ensure year-end close is performed on a timely basis.	FY15 was the first time UNTHSC's financial close was managed by UNT System Controller staff, none of whom had experience in prior UNTHSC year-end financial close activities. The year-end financial close process continues to improve since the Financial Transformation Project began. For the preparation of the FY16 Annual Financial Reports, the System Controller is preparing a timeline/schedule that will require each institution to complete their annual financial reports by early October. This would result in general ledger balances being fully reconciled and finalized by the end of September. In addition, the new review process for investment reports will include Accounting staff to ensure reported cash balances reconcile to the GL.	Paula Welch, Associate Controller James Mauldin, Associate Vice Chancellor for Treasury	10/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	5. Reconciliation to the General Ledger – UNTHSC - The cash account balance per the investment report was different from the balances recorded in the general ledger as of August 31, 2015. The balance per the quarterly investment report was understated by \$4,430,968.57.	Moderate	5b. Establish a review process to ensure balances in the quarterly investment reports reconcile to the balances in the general ledger.	FY15 was the first time UNTHSC's financial close was managed by UNT System Controller staff, none of whom had experience in prior UNTHSC year-end financial close activities. The year-end financial close process continues to improve since the Financial Transformation Project began. For the preparation of the FY16 Annual Financial Reports, the System Controller is preparing a timeline/schedule that will require each institution to complete their annual financial reports by early October. This would result in general ledger balances being fully reconciled and finalized by the end of September. In addition, the new review process for investment reports will include Accounting staff to ensure reported cash balances reconcile to the GL.	Paula Welch, Associate Controller James Mauldin, Associate Vice Chancellor for Treasury	10/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	6. Presentation of the UNTHSC and UNTHSC Foundation Investments on the Quarterly Investment Reports – UNTHSC - The August 31, 2015 UNTHSC Quarterly Investment Report did not reflect the separation of investments belonging to UNTHSC and to UNTHSC Foundation.	Low	6a. For subsequent periods, UNTHSC should identify and exclude all investments belonging to UNTHSC Foundation from the financial statements and investment reports. If investments are not excluded, properly define on the investment reports which amount is for UNTHSC and for Foundation.	Management believes the Board of Regents should have quarterly visibility to all investments that exist for the benefit of the System and therefore each Foundation's investments should not be excluded. However, we do agree that they should be clearly labeled as such. Treasury is in the process of reformatting all investment reports and will ensure that endowments, both campus and foundation, are included yet clearly labeled. A quality review of these reports is important and has been implemented to ensure that reports to the Board are accurate.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	6. Presentation of the UNTHSC and UNTHSC Foundation Investments on the Quarterly Investment Reports – UNTHSC - The August 31, 2015 UNTHSC Quarterly Investment Report did not reflect the separation of investments belonging to UNTHSC and to UNTHSC Foundation.	Low	6b. Establish a review process to ensure investments in the quarterly investment reports are appropriate.	Management believes the Board of Regents should have quarterly visibility to all investments that exist for the benefit of the System and therefore each Foundation's investments should not be excluded. However, we do agree that they should be clearly labeled as such. Treasury is in the process of reformatting all investment reports and will ensure that endowments, both campus and foundation, are included yet clearly labeled. A quality review of these reports is important and has been implemented to ensure that reports to the Board are accurate.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	7. Short Term Pool/Long Term Pool Ranges – UNT System / UNT / UNT Dallas - For certain months in fiscal year 2015, short term working capital funds and long term reserves percentage of available cash on hand were outside the ranges prescribed by policy. Additionally, necessary adjustments were not performed to ensure percentages remained within this range as required by the Regulation.	Low	7a. Review the Investment of System Funds Regulation 08.2000 pertaining to short and long term investment percentages to determine if the percentage requirement ranges should be updated to reflect the financial environment of UNT System and its' institutions.	This has already been addressed in the investment policy adopted by the Board on November 20, 2015.	James Mauldin, Associate Vice Chancellor for Treasury	11/20/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	8. Collateralization Below 102% - UNTHSC - For 11 days in August 2015, collateralization for deposit accounts fell below 102% of deposits.	Low	8a. Management should establish and follow procedures to inform the bank of changes in the amount or activity of deposits, that may exceed UNTHSC's collateral value, within a reasonable time before the change occurs.	Management agrees with the recommendation. Management will add additional steps to the current set of collateralization review procedures to ensure that the bank is notified in a more timely manner before large changes in deposits occur and when collateralization falls below the required amount.	Barbara Holt, UNTHSC Senior Director Financial Operations	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	9. Format and Content of Quarterly Investment Reports – UNT System / UNT / UNT Dallas / UNTHSC - The format and content of quarterly investment reports is not consistent across all institutions.	Low	9a. Management should determine if cash should be included in the quarterly investment reports, and once defined apply methodology consistently for all institutions.	Management has been aware of this need and has already targeted the implementation of a new format that will be standard across the System for the first report on Fiscal Year 2016.	James Mauldin, Associate Vice Chancellor for Treasury	2/25/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	9. Format and Content of Quarterly Investment Reports – UNT System / UNT / UNT Dallas / UNTHSC - The format and content of quarterly investment reports is not consistent across all institutions.	Low	9b. Management should determine an appropriate reporting format and once established utilize the new format for all institutions.	Management has been aware of this need and has already targeted the implementation of a new format that will be standard across the System for the first report on Fiscal Year 2016.	James Mauldin, Associate Vice Chancellor for Treasury	2/25/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	10. Annual Review and Adoption of Financial Institutions – UNT System - There was no indication that Board of Regents reviewed and adopted a list of financial institutions for fiscal year 2015.	Low	10a. Establish procedures to ensure compliance with System Regulation 08.2000, Section 2005, paragraph 10 or review the System Regulation to see if requirement is applicable as is and make changes as necessary.	Management will review the regulation to determine appropriateness of the wording as this is not a requirement in the Public Funds Investment Act. Based upon the findings, either the regulation will be revised or procedures will be modified to ensure compliance.	James Mauldin, Associate Vice Chancellor for Treasury	11/30/2016 Revised Date: 06/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	11. Outdated Investment Policy – UNTHSC - An outdated institutional investment policy is posted on the webpage under Chapter 10: Fiscal Management. However, this policy was superseded by System Regulation 08.2000 which was approved in August 2012.	Low	11a. Management should update the website to reflect System Regulation 08.2000 and revisions made should be communicated to appropriate personnel.	Management is in agreement with the recommendation. Management will implement additional steps to the current set of procedures to insure timely updating of investment policies and maintaining all required investment disclosures on the institution's website.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	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.	High	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.	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.	Mike Kennedy, Director of Admissions	12/31/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	UNT Information Security Users Guidelines- Credit Card Sensitive Information	High	Provide training to appropriate personnel in regards to the UNT Information Security Users Guide and PCI Best Practices.	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.	Kimberly Bien, Purchasing Card Program Supervisor	10/28/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	UNT Information Security Users Guidelines- Credit Card Sensitive Information	High	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.	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.	Kimberly Bien, Purchasing Card Program Supervisor	10/28/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Lack of Reconciliation Process - Internal Audit was unable to validate the reconciliation process between the FY 2015 Expenditure Reports to the University's Accounting System.	High	Develop procedures to help ensure that the expenditures recorded in the Expenditure Report are reconciled on a regular basis to the Accounting System.	We are in agreement with this assessment. We will set aside periodic reconciliation periods to review JAMP expenditures to the Accounting System.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with JAMP Medical School Expenditure Guidelines - Time and Effort Reporting - During our review of payroll activities related to JAMP, we noted that the JAMP Coordinator salary devoted to the project was based on an estimated average of annual time and effort.	High	Develop procedures to track and verify the accuracy of actual time and effort devoted to the program to help ensure compliance with the JAMP Medical School Expenditure Guidelines.	We are in agreement with the assessment that there is no official tracking of the JAMP Coordinator time and effort (only estimates). With the move of financials to the Office of Grants and Contract Management this will be a part of a new process for reporting time. It should be noted that this has never been recommended in any previous audit.	Mike Kennedy, Director of Admissions	3/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with JAMP Medical School Expenditure Guidelines - Time and Effort Reporting - During our review of payroll activities related to JAMP, we noted that the JAMP Coordinator salary devoted to the project was based on an estimated average of annual time and effort.	High	Re-evaluate percentage of salary distribution based on actual time and effort to help ensure that it is proportionate to the direct support to the JAMP Project.	We are in agreement with the assessment that there is no official tracking of the JAMP Coordinator time and effort (only estimates). With the move of financials to the Office of Grants and Contract Management this will be a part of a new process for reporting time. It should be noted that this has never been recommended in any previous audit.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	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.	High	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.	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.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	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.	High	Re-educate the JAMP Coordinator on the JAMP Medical Expenditure Guidelines.	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.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inadequate Monitoring of Expenditures - Two expenditures were incorrectly processed resulting in an overpayment of \$1,725.00 from the JAMP fund.	High	Request repayment from the JAMP Coordinator for the amount over-reimbursed of \$225.00.	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.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inadequate Monitoring of Expenditures - Two expenditures were incorrectly processed resulting in an overpayment of \$1,725.00 from the JAMP fund.	High	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.	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.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Student Wages - For 27 timecards reviewed, hours reported on three timecards could not be reconciled to the student employees' payroll disbursement, for a net effect of \$55.00.	Moderate	Require all personnel entering and approving time and labor to be re-educated on the Hourly Payroll Guidelines.	We are in agreement with this assessment. All staff who are in responsible for time cards will undergo training through BSC on time and labor entry. Internal office procedures will be put in the place to allow more time for reconciliation of hourly payroll.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Student Wages - For 27 timecards reviewed, hours reported on three timecards could not be reconciled to the student employees' payroll disbursement, for a net effect of \$55.00.	Moderate	Implement a process to reconcile time entered in EIS Time and Labor to the employee's timecard prior to the payroll cut-off date.	We are in agreement with this assessment. All staff who are in responsible for time cards will undergo training through BSC on time and labor entry. Internal office procedures will be put in the place to allow more time for reconciliation of hourly payroll.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Purchasing Card (P-Card) Guidelines - Pcard Guidelines were not always followed.	Moderate	Require all current P-Card holders, reconcilers and approvers to be retrained on P-Card policies and procedures.	We are in agreement with this assessment. Prior to this audit, changes were made in the P-Card usage process within the department. We have moved all P-Card spending to one account holder and assigned a new reconciler to all P-Card transactions. We expect this change will be decrease risk for noncompliance.	Mike Kennedy, Director of Admissions	1/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Purchasing Card (P-Card) Guidelines - Pcard Guidelines were not always followed.	Moderate	Follow University Business Service P-Card Guidelines.	We are in agreement with this assessment. Prior to this audit, changes were made in the P-Card usage process within the department. We have moved all P-Card spending to one account holder and assigned a new reconciler to all P-Card transactions. We expect this change will be decrease risk for noncompliance.	Mike Kennedy, Director of Admissions	1/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inappropriately Billing Expenditures to Incorrect Fiscal Years - Testing identified two expenditures that they were not processed within the appropriate fiscal year.	Moderate	Re-educate the JAMP Coordinator on the JAMP Expenditure Report process and monitor until sustained compliance is achieved.	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.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Improper Commingling of Revenues and Expenditures - Testing identified that the Summer Internship Program and the Administration Distribution funds are deposited into and expended from the same Department ID.	Low	Consider separating the sources of funds after the JAMP funds are set up as a sponsored project, to help ensure that expenditures are applied to the appropriate funding source.	Office of Grants and Contract Management will follow all standard policies and procedures for project ID management and JAMP terms and conditions.	LeAnn Forsberg, Assistant VP, Research Administration, Grants and Contract Management	12/31/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Untimely Replenishment of Petty Cash - An amount of \$20.47 spent from the JAMP Petty Cash Fund was not replenished in order to be reflected on the Accounting System and the Expenditure Report.	Low	Modify HSC Petty Cash Fund Procedures to enforce the requirement for custodians to replenish the petty cash on a monthly basis, at a minimum, and communicate the updated procedures to all appropriate personnel.	We concur.	Paula J. Welch, Associate Controller	7/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inadequate Support Documentation - Adequate support documentation of attendees were not kept (i.e. missing, not used or not sufficient to support the expenditure) for 12 of 31 (39%) expenditures reviewed related to JAMP activities.	Low	Maintain adequate support for JAMP activities to help ensure that fund is expended for the direct support of JAMP participants.	We are in agreement with this assessment. The Director of Admissions will require all JAMP funded activities maintain a log of participants.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Untimely Return of Unspent FY 2014 Funds - An amount of \$361.91 of unspent FY 2014 funds was returned untimely to the JAMP Council. The check was issued on December 2, 2014 to refund unspent FY 2014 funds.	Low	Develop a procedure to help ensure that any unspent JAMP funds are returned to the JAMP Council in a timely manner in accordance with JAMP Medical Expenditure Guidelines.	We are in agreement with this assessment. We will establish an internal deadline prior to September 30 for reimbursement for unused funds. This is predicated that the Office of Grants and Contract Management is able to provide timely financial data.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Travel Guidelines - Untimely Submission of Travel Vouchers - Travel Guidelines were not always followed.	Low	Provide training to faculty and staff on travel policies to help ensure that University Travel Guidelines are followed.	We are in agreement with this assessment. All staff who work with JAMP travel funding will undergo training from BSC. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Travel Guidelines - Untimely Submission of Travel Vouchers - Travel Guidelines were not always followed.	Low	Develop procedures to help ensure travel vouchers are submitted timely to the Business Support Services Travel department.	We are in agreement with this assessment. All staff who work with JAMP travel funding will undergo training from BSC. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.	Mike Kennedy, Director of Admissions	3/1/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	1. UNT System: Personally Identifiable Information -During our review of the cashing area, we identified personally identifiable information (PII) (i.e. social security numbers, birth certificates, marriage license) related to waiver support documentation which dates back to 2007.	High	1a. Develop procedures to help ensure that all personally identifiable information (PII) is appropriately protected against inappropriate access and use in compliance with applicable laws and regulations.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Certain key PII information included in the referenced binder has been imaged and the actual binder has been secured in a locked cabinet. In addition, the waiver documentation and review process requiring the need for this PII information has been transferred out of the UNT Dallas cashier's area and into the UNTS Student Accounting team to centrally manage this important operational matter for all campuses. In addition, key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure PII document retention policies are in compliance with applicable state & federal statutes.	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	1. UNT System: Personally Identifiable Information -During our review of the cashing area, we identified personally identifiable information (PII) (i.e. social security numbers, birth certificates, marriage license) related to waiver support documentation which dates back to 2007.	High	1b. Review applicable retention policy and statute limitation in regards to identifying if these documents can be destroyed.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Certain key PII information included in the referenced binder has been imaged and the actual binder has been secured in a locked cabinet. In addition, the waiver documentation and review process requiring the need for this PII information has been transferred out of the UNT Dallas cashier's area and into the UNTS Student Accounting team to centrally manage this important operational matter for all campuses. In addition, key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure PII document retention policies are in compliance with applicable state & federal statutes.	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	2. UNT System: Cash Control – Deposits - Testing identified that funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. Additionally, it was noted that funds are received from students by multiple departments within the College of Law but not delivered to the Assistant Registrar for deposit on a timely basis.	High	2a. Develop procedures to help ensure that funds are timely deposited in the institution's bank account in accordance with the statute.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting, UNT System Controller's Office, and UNT System Treasury are working with certain 3rd party vendors from the banking and security industries to evaluate the cost / benefit of available improved cash collection technology & armored car service collection procedures.	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3a. Re-educate personnel on cash handling procedures.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3b. Maintain a receipt logs for pre-numbered receipts and routinely review to help ensure that all receipts are accounted for.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3c. Ensure staff do not perform incompatible duties in the cashiering area, re-evaluate system access rights accordingly and develop compensating controls where not possible.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3d. Work with the College of Law to identify all areas collecting cash/checks and establish departmental cash controls to help ensure proper segregation of duties are in place in all areas.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	4. UNT System: Cash Controls - Safe Combination - Combinations to the safe are not modified when there is a change in staff or change in custody of the safe.	High	4a. Develop departmental procedures to help ensure that safe combination is changed periodically and always when there is employee turnover or reassignment in accordance with UNT Cash Control and Departmental Deposit Handbook.	UNT System Student Accounting and UNT System Controller's Office: We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. The safe combination at UNT Dallas main campus has been recently changed and new procedures will be put in place to change the safe combination immediately upon key employee turnover or reassignment and on a semi-annual basis at minimum. Due to mechanical limitations preventing the staff's ability to change the existing safe combination located at the UNT Dallas College of Law campus, a new safe will be purchased immediately and procedures (consistent with UNT Dallas main campus) will be put in place to change the safe combination immediately upon key employee turnover or reassignment and on a semi-annual basis at a minimum. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less). UNT Dallas College of Law: The College of Law is meeting with key members from UNT System Student Accounting and University Cashiering to review cash handling policies.	Jeane Olson, Director of Financial Service-Student Finance Reynaldo Valencia, College of Law Associate Dean for Finance and Administration and Professor of Law	11/30/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	5. UNT System: Unauthorized Change Fund - An unauthorized change fund for the amount of \$250.00 was established at the UNT System for the purpose of providing change for parking token sales to students and faculty members.	High	5a. Work with University Student Accounting and University Cashiering Services to assist you in establishing departmental cash controls and depositing any cash on hand.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT System in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Cynthia Hall, External Relations Director Jeane Olson, Director of Financial Services - Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	5. UNT System: Unauthorized Change Fund - An unauthorized change fund for the amount of \$250.00 was established at the UNT System for the purpose of providing change for parking token sales to students and faculty members.	High	5b. Submit a justification to the University Purchasing Services Division to establish a cash fund.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT System in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Cynthia Hall, External Relations Director Jeane Olson, Director of Financial Services - Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	6. UNT System: Cash Controls - Change Fund - A change fund has not been established at the Office of Student Financial Services (University Cashiering) for the purpose of supporting their daily operations in a campus environment where an increased number of student population pays tuition and fees with cash.	Moderate	6a. Establish a change fund at UNT Dallas and update the website to not require students to pay the exact amount.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus. The campus has always maintained a desired goal of being a "cash-less" campus (where possible) in order to limit the potential fraud and safety risk inherent with this form of payment. Students are encouraged to pay with check online or at the cashier window and with credit card via online. However, given the greater goal to offer UNT Dallas students the highest quality, student-centered billing and payment services available on campus, key team members from UNT System Student Accounting and UNT System Controller's Office will evaluate and implement an acceptable change fund process at UNT Dallas that adequately serves the needs of the students while still limiting unnecessary risk associated with on-site cash handling procedures.	Jeane Olson, Director of Financial Services - Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	7. UNT Dallas: Security Devices - Although our walkthrough of UNT Dallas Security Devices identified the following, University Administration has initiated a search of security technology vendors prior to this review: <ul style="list-style-type: none"> • 4 out of 25 cameras (16%) were not working properly and no video images were available at the time of review • cameras were not identifiable by a location • record retention protocols were not established • cameras over cashiering were not appropriately positioned to ensure full coverage • cameras and panic buttons were not being tested; therefore, we were unsure whether or not they are actually functioning. 	High	7a. Test all cameras and panic buttons currently in place.	UNT Dallas has begun work on a comprehensive building security technology project as recommended by Internal Audit. The project includes an overhaul of the campus' current security alarm, access, and camera systems. Additionally the campus will implement an emergency notification system including laptop/desktop computer panic buttons in specified locations. The two cameras in the Student Finance cash handling area have been re-positioned as requested. The remainder of the project will be implemented in stages as soon as vendors and funding are approved.	Cliff Jaynes, Chief of Police	3/1/2017	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	7. UNT Dallas: Security Devices - Although our walkthrough of UNT Dallas Security Devices identified the following, University Administration has initiated a search of security technology vendors prior to this review: <ul style="list-style-type: none"> • 4 out of 25 cameras (16%) were not working properly and no video images were available at the time of review • cameras were not identifiable by a location • record retention protocols were not established • cameras over cashiering were not appropriately positioned to ensure full coverage • cameras and panic buttons were not being tested; therefore, we were unsure whether or not they are actually functioning. 	High	7b. Repair / replace / reposition nonfunctioning devices.	UNT Dallas has begun work on a comprehensive building security technology project as recommended by Internal Audit. The project includes an overhaul of the campus' current security alarm, access, and camera systems. Additionally the campus will implement an emergency notification system including laptop/desktop computer panic buttons in specified locations. The two cameras in the Student Finance cash handling area have been re-positioned as requested. The remainder of the project will be implemented in stages as soon as vendors and funding are approved.	Cliff Jaynes, Chief of Police	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	7. UNT Dallas: Security Devices - Although our walkthrough of UNT Dallas Security Devices identified the following, University Administration has initiated a search of security technology vendors prior to this review: <ul style="list-style-type: none"> • 4 out of 25 cameras (16%) were not working properly and no video images were available at the time of review • cameras were not identifiable by a location • record retention protocols were not established • cameras over cashiering were not appropriately positioned to ensure full coverage • cameras and panic buttons were not being tested; therefore, we were unsure whether or not they are actually functioning. 	High	7c. Develop a process to periodically test all cameras and panic buttons.	UNT Dallas has begun work on a comprehensive building security technology project as recommended by Internal Audit. The project includes an overhaul of the campus' current security alarm, access, and camera systems. Additionally the campus will implement an emergency notification system including laptop/desktop computer panic buttons in specified locations. The two cameras in the Student Finance cash handling area have been re-positioned as requested. The remainder of the project will be implemented in stages as soon as vendors and funding are approved.	Cliff Jaynes, Chief of Police	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	8. UNT Dallas: Reconciliation of Application/Orientation Fees -The number of undergraduate/ graduate applicants submitting an application fee payment and the number of students submitting an orientation fee payment are not reconciled to revenues recorded in each respective account in the University Accounting System to help ensure that all payments received were posted in the proper accounts.	High	8a. Develop procedures to help ensure that all application fee and orientation fee revenues collected are reconciled on a regular basis to the University Accounting System.	VP of Student Access and Success will work with the Director of Undergraduate Admissions and the Director of Graduate Admissions to document procedures that ensure application and orientation fee payments are reconciled to match payments with postings of the revenue in the proper accounts. VP and Directors will also work together with Student Finance to correct any inaccurate postings for FY16.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	8. UNT Dallas: Reconciliation of Application/Orientation Fees -The number of undergraduate/ graduate applicants submitting an application fee payment and the number of students submitting an orientation fee payment are not reconciled to revenues recorded in each respective account in the University Accounting System to help ensure that all payments received were posted in the proper accounts.	High	8b. Identify any application and orientation fees recorded in the incorrect account and work with Accounting to make any necessary adjusting entries for FY 2016.	VP of Student Access and Success will work with the Director of Undergraduate Admissions and the Director of Graduate Admissions to document procedures that ensure application and orientation fee payments are reconciled to match payments with postings of the revenue in the proper accounts. VP and Directors will also work together with Student Finance to correct any inaccurate postings for FY16.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	9. UNT Dallas: Conflict of Interest- Student Workers -During our review of payroll expenditures funded by Student Services Fees, we noted that 3 out of 5 Student Service Fee Advisory Committee members for FY 2015 and 2 out of 5 members for FY 2016 appointed by the Student Government Association were also working as Student Assistants for the Office of Student Affairs.	High	9a. Update the UNT Dallas Student Service Fee Advisory Committee bylaws to prohibit any Student Service Fee Advisory Committee member to be a compensated Student Assistant of any Student Services Fee funded departments other than the Committee itself.	The Student Service Fee Advisory Committee By-laws will be updated to reflect that students who are currently student assistants and funded by student fees may not hold a seat by either Student Government Association appointment or President appointment.	Jamaica Chapple, Dean of Student Affairs	8/22/2016 Revised 01/24/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	10. UNT Dallas: Academic Catalogs- During our review of the UNT Dallas Undergraduate and Graduate Catalogs for academic years 2013-2014, 2014-2015 and 2015-2016, we noted that the Catalogs available online did not provide the students current, complete and accurate information.	Moderate	10a. Update the University Catalogs to include accurate tuition and fee information.	VP of Student Access and Success will work with Office of the Registrar to implement a thorough catalog review and revision process to be conducted by each department, even when department information is listed in another department's section, not owned by that division/department. Catalog will be updated to cover current, complete and accurate information.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	10. UNT Dallas: Academic Catalogs- During our review of the UNT Dallas Undergraduate and Graduate Catalogs for academic years 2013-2014, 2014-2015 and 2015-2016, we noted that the Catalogs available online did not provide the students current, complete and accurate information.	Moderate	10b. Develop departmental procedures to help ensure that published University Catalogs reflect current tuition and fee information in compliance with University Board of Regents Rules.	VP of Student Access and Success will work with Office of the Registrar to implement a thorough catalog review and revision process to be conducted by each department, even when department information is listed in another department's section, not owned by that division/department. Catalog will be updated to cover current, complete and accurate information.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	11. UNT Dallas: Apply Texas Billing and Refunds - During our review of graduate application fee credit card payments submitted through ApplyTexas, we noted that applicants were inconsistently charged from February 2014 to September 2015 for graduate application fees.	Moderate	11a. Work with ApplyTexas to identify the reason for the rate discrepancy between fall and spring semesters.	VP of Student Access and Success will work with the Director of Graduate Admissions to request that ApplyTexas identify why inaccurate charging was applied inconsistently to applicants during fall and spring semesters. VP and Directors will also work together with ApplyTexas to identify students improperly charged and refund any overcharges.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	11. UNT Dallas: Apply Texas Billing and Refunds - During our review of graduate application fee credit card payments submitted through ApplyTexas, we noted that applicants were inconsistently charged from February 2014 to September 2015 for graduate application fees.	Moderate	11b. Identify and refund any applicants that have been overcharged.	VP of Student Access and Success will work with the Director of Graduate Admissions to request that ApplyTexas identify why inaccurate charging was applied inconsistently to applicants during fall and spring semesters. VP and Directors will also work together with ApplyTexas to identify students improperly charged and refund any overcharges.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	12. UNT Dallas: Discrepancy in Billing of 2nd Bachelor's Degree Program - The 2nd Bachelor's application fee amount was not consistently charged to students paying online and via check, money order, or cash. Students are asked to pay \$50.00 via check, money order, or cash to UNT Dallas but \$60.00 online through Nelnet (Online Business/Payment Solution). Although students are not instructed to pay online, this payment option is available on the University website.	Moderate	12a. Work with Student Accounting and University Cashiering to update Nelnet to \$50.00.	VP of Student Access and Success will work with the UNT System Director of Financial Services, Student Finance and the Director of Graduate Admissions to ensure Nelnet is charging the correct amount to 2nd Bachelor's Degree students. VP and Directors will also work together to ensure that all students who may have overpaid are refunded.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	12. UNT Dallas: Discrepancy in Billing of 2nd Bachelor's Degree Program - The 2nd Bachelor's application fee amount was not consistently charged to students paying online and via check, money order, or cash. Students are asked to pay \$50.00 via check, money order, or cash to UNT Dallas but \$60.00 online through Nelnet (Online Business/Payment Solution). Although students are not instructed to pay online, this payment option is available on the University website.	Moderate	12b. Identify and refund all students that have overpaid since Summer 2014.	VP of Student Access and Success will work with the UNT System Director of Financial Services, Student Finance and the Director of Graduate Admissions to ensure Nelnet is charging the correct amount to 2nd Bachelor's Degree students. VP and Directors will also work together to ensure that all students who may have overpaid are refunded.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	13. UNT Dallas: Student Services Fee Assessment Process - Since FY2011, Student Services Fee (SSF) has been set at \$10.00 per credit hour. During our review, we noted that current SSF process does not encompass the study of SSF amount to assist in evaluating if current rate/amount is sufficient to cover the cost of student services.	Moderate	13a. The Student Service Fee Advisory Committee should expand their processes to include the study of Student Services Fee amount. This will allow stakeholders to perform a student services fee assessment based on feasibility/cost analysis and submit request/propose fee increases with justifications to be study and approved by the SSFAC.	The Student Service Fee Advisory Committee will identify an individual to conduct a needs assessment. A Needs Assessment Survey will be developed and distributed to all students to identify areas of increased need of student service fee funds. Based on the survey data collected the SSFAC will conduct a cost analysis to address feasibility. Based on the results of the analysis and survey data the SSFAC will develop a report so as to address the increase of fees which will be substantiated by the cost analysis and results from the needs assessment survey.	Jamaica Chapple, Dean of Student Affairs	4/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	14. UNT Dallas: Instructional Fee Assessment Process -There is not an instructional fee assessment process in place to allow colleges/schools to request a review of new fees or changes to existing fees.	Moderate	14a. Develop procedures and detailed guidelines to help ensure that colleges/schools could request the establishment of new instructional fees or changes to existing instructional fees for review and approval before presented to the President.	The UNT Dallas Instructional Fees policy was drafted and submitted to the Office of General Counsel for review and approval.	Glenda Balas, UNT Dallas Interim Provost and Senior Vice President for Academic Excellence and Student Success	June 6, 2016 (action plan implemented)	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	15. UNT Dallas: Student Tuition and Fees Policy - During our review, we noted that UNT Dallas has not adopted policies on student tuition and fees. However, a draft policy on Tuition and Fees has been developed and will be submitted to the Office of General Counsel for review and approval.	Moderate	15a. The draft Tuition and Fees policy should be modified to reflect and define important Tuition and Fee elements and be submitted to the Office of General Counsel for review and approval.	The UNT Dallas Tuition and Fees policy was drafted and submitted to the Office of General Counsel for review and approval.	Daniel Edelman, Chief Financial Officer and the Executive Vice President for Finance and Administration	3/28/2016 (action plan implemented)	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	16. UNT Dallas: Incidental Fee Account Balances - During our review of six incidental fee accounts for UNT Dallas and UNT Dallas College of Law for FY 2014, FY 2015 and FY 2016, we noted incidental fee account balances were not rolled forward at the end of each fiscal year. Furthermore, testing identified 1 out of 6 incidental fee accounts had a large unexpended balance for FY 2015.	Moderate	16a. Update the accounts in University Accounting System to roll forward at the end of each fiscal year.	With these recommendations, the Budget Office will have a chance to edit budget closing rules and determine which budget balances roll forward into next fiscal year and which fund balances will close at the end of the fiscal year. A proposed list of incidental and student services fees accounts to roll forward will be communicated and approved by Chief Financial Officer and the Executive Vice President for Finance and Administration. Also, for any incidental fee budget roll forward balance that exceeds 25% of original budget, a formal justification will be required from the account manager. This justification shall include the reason for the unexpended balance and plans for the unexpended balance. Additionally, if the incidental fee account is projected to roll forward a deficit balance, regardless of dollar amount, the account manager shall submit a formal justification that includes the reason and plan for deficit coverage. All formal justifications shall be submitted to the Assistance Vice President for Budget and Planning by no later than February 1st each fiscal year and must contain the signature of the respective Vice President.	April Barnes, Assistant Vice President of Budgeting and Planning	7/31/2016 Revised 01/02/2017	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	16. UNT Dallas: Incidental Fee Account Balances - During our review of six incidental fee accounts for UNT Dallas and UNT Dallas College of Law for FY 2014, FY 2015 and FY 2016, we noted incidental fee account balances were not rolled forward at the end of each fiscal year. Furthermore, testing identified 1 out of 6 incidental fee accounts had a large unexpended balance for FY 2015.	Moderate	16b. Establish an annual requirement for accountholders to provide a formal justifications or action plans for accumulated unexpended balances over an established threshold.	With these recommendations, the Budget Office will have a chance to edit budget closing rules and determine which budget balances roll forward into next fiscal year and which fund balances will close at the end of the fiscal year. A proposed list of incidental and student services fees accounts to roll forward will be communicated and approved by Chief Financial Officer and the Executive Vice President for Finance and Administration. Also, for any incidental fee budget roll forward balance that exceeds 25% of original budget, a formal justification will be required from the account manager. This justification shall include the reason for the unexpended balance and plans for the unexpended balance. Additionally, if the incidental fee account is projected to roll forward a deficit balance, regardless of dollar amount, the account manager shall submit a formal justification that includes the reason and plan for deficit coverage. All formal justifications shall be submitted to the Assistance Vice President for Budget and Planning by no later than February 1st each fiscal year and must contain the signature of the respective Vice President.	April Barnes, Assistant Vice President of Budgeting and Planning	7/31/2016 Revised 03/01/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	17. UNT Dallas: Student Service Fee Advisory Committee Composition - During our review of the FY 2014-2015 UNT Dallas Student Service Fee Advisory Committee composition, we noted that the student government appointed five undergraduate students as representative of all students enrolled at the institution. When the committee deliberated in FY 2015, none of the members appointed by the student government were graduate students. Additionally, when the committee deliberated on FY 2016, none of the members appointed by the student government were graduate or law students. Furthermore, we noted that since UNT Dallas and UNT Dallas College of Law are not within the same reasonably contiguous geographic area, some activities funded partially with student services fees may not be easily accessible and directly benefiting the Law student community.	Moderate	17a. Modify current Fee Advisory Committee bylaws to include composition requirements provided by the Texas Education Code § 54.5031 Student Fee Advisory Committee to help ensure that student government appointees are representative of all students enrolled at the institution.	The Student Service Fee Advisory Committee will ensure that the Student Government Association appoint one graduate student, and one college of law student to ensure representation of all students at UNT Dallas. Student Affairs will continue to expand the current process to ensure core services are available for students at the college of law. Currently (includes all of FY 2016) College of Law students have access to our Veterans Success Center and the Gym. They are also notified through UNT Dallas Announcements each week with the weekly programming and activities that we offer for our students via the Jaguar Roar • We will continue to work in collaboration with the Student Affairs office at the College of Law, so that COL students continue to be notified through UNT Dallas Announcements (sent by a member of Student Affairs) each week with the weekly programming and activities that we offer for our students. Student Affairs remains committed to ensuring that all UNT Dallas students have access to services for which their fees provide. • We will continue to diligently work with the College of Law to further that students can take advantage of services that their fees provide for on both campuses.	Jamaica Chapple, Dean of Student Affairs	8/22/2016 Revised 01/24/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>17. UNT Dallas: Student Service Fee Advisory Committee Composition - During our review of the FY 2014-2015 UNT Dallas Student Service Fee Advisory Committee composition, we noted that the student government appointed five undergraduate students as representative of all students enrolled at the institution. When the committee deliberated in FY 2015, none of the members appointed by the student government were graduate students. Additionally, when the committee deliberated on FY 2016, none of the members appointed by the student government were graduate or law students.</p> <p>Furthermore, we noted that since UNT Dallas and UNT Dallas College of Law are not within the same reasonably contiguous geographic area, some activities funded partially with student services fees may not be easily accessible and directly benefiting the Law student community.</p>	Moderate	17b. Develop a process to help ensure that student services activities funded with student services fees at UNT Dallas are more easily accessible to the College of Law students.	<p>The Student Service Fee Advisory Committee will ensure that the Student Government Association appoint one graduate student, and one college of law student to ensure representation of all students at UNT Dallas. Student Affairs will continue to expand the current process to ensure core services are available for students at the college of law. Currently (includes all of FY 2016) College of Law students have access to our Veterans Success Center and the Gym. They are also notified through UNT Dallas Announcements each week with the weekly programming and activities that we offer for our students via the Jaguar Roar</p> <ul style="list-style-type: none"> • We will continue to work in collaboration with the Student Affairs office at the College of Law, so that COL students continue to be notified through UNT Dallas Announcements (sent by a member of Student Affairs) each week with the weekly programming and activities that we offer for our students. Student Affairs remains committed to ensuring that all UNT Dallas students have access to services for which their fees provide. • We will continue to diligently work with the College of Law to further that students can take advantage of services that their fees provide for on both campuses. 	Jamaica Chapple, Dean of Student Affairs	8/22/2016 Revised 01/24/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>18. UNT Dallas: Incidental Fee Approval Documentation - The application fees for undergraduate and graduate students changed from \$60.00 to \$40.00 and \$60.00 to \$50.00, respectively, and a \$30.00 late application fee was no longer assessed for any applications submitted since Summer 2014. However, a formal documentation that include the President as the final reviewer and approver of this change in application fee was not available for our review.</p>	Moderate	18a. Develop procedures to help to ensure appropriate approval processes are in place when there are changes in fees and support documentation is retained.	<p>The following management action plans and affirmation in regards to incidental fees were communicated and approved by the UNT Dallas President on June 3, 2016:</p> <ul style="list-style-type: none"> • Effective immediately, all incidental fees shall be frozen at rates established as set forth in this memo and no new incidental fees shall be assessed without prior written approval from the UNT Dallas President until such time an approved policy can be implemented. • A proposed policy regarding incidental fees shall be submitted for your approval within the next 60 days and implemented by February 2017. • Please be aware that incidental fees charged for FY 2016 (and prior years) do not reconcile to the UNT System Board Briefing dated January 22, 2010 (UNT at Dallas Tuition for FY 2011 and 2012 and Fees for FY 2011). Apparently, over the years, a number of incidental fees being charged has increased as well as changes in the rates assessed. Unfortunately, documentation with Presidential approval cannot be located. Pursuant with UNT System Board of Regents Rule, Chapter 7 – Student Affairs, Education and Funding (07.403.2.d), authority has been delegated to the President of UNT Dallas to set the appropriate rates and rules pertaining to collection and distribution. • Incidental Fees shall be assessed through Student Financial Services by SF Item Type. College of Law specific fees shall contain appropriate General Ledger interface mapping to direct the activity to Organizational 	Daniel Edelman, Chief Financial Officer and the Executive Vice President for Finance and Administration	8/15/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>19. UNT Dallas: Additional Funds Collected from Students - The Office of Student Affairs collects additional funds from students for a few student oriented activities as a participation fee to ensure proper planning for activities. Specifically, the College of Law may charge this additional fee to ensure student participation. The participation fee varies for these events from \$5.00 to \$15.00 and is determined in collaboration with the Student Bar Association (SBA) elected leaders.</p> <p>For FY 2016 the College of Law was allocated \$60,000.00 by the Student Service Fee Advisory Committee to be able to serve the College's student body needs. Although the College of Law expended only \$7,157.66 as of January 2016, major events funded by student services fees such as the Barristers' Ball and Over-the-Hump are planned later in the Spring Semester.</p>	Moderate	19a. Plan/Determine what the student services fees will be utilized for.	<p>We concur that we need to plan/determine what the student services fees will be utilized for and will continue to do so within the guidelines of the statutory Student Services Fee Advisory Committee (SSFAC) process.</p> <ul style="list-style-type: none"> We will work with the SBA and student organizations on their budget proposal deadlines each semester. While we will expend all Student Services Fees each year, we will notify students that some events may require a minimal participation fee. No additional funds will be commingled with student services fees. Funds collected will have appropriate segregation of duties when receiving, processing, and depositing money. The Office of Student Affairs will record cash/money order payments on carbon receipts. The receipts will state the name of the payer and the name of the Student Affairs staff person who received the payment. An administrative assistant from another law school department will review/reconcile the payments received with the receipts and sign/verify that the payments match the receipts. The deposit of the cash/money order payments will be given to Candice Birks, the law school bursar, who will sign a statement confirm receipt of the funds. 	Rebecca Greenan, College of Law - Assistant Dean of Students	5/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>19. UNT Dallas: Additional Funds Collected from Students - The Office of Student Affairs collects additional funds from students for a few student oriented activities as a participation fee to ensure proper planning for activities. Specifically, the College of Law may charge this additional fee to ensure student participation. The participation fee varies for these events from \$5.00 to \$15.00 and is determined in collaboration with the Student Bar Association (SBA) elected leaders.</p> <p>For FY 2016 the College of Law was allocated \$60,000.00 by the Student Service Fee Advisory Committee to be able to serve the College's student body needs. Although the College of Law expended only \$7,157.66 as of January 2016, major events funded by student services fees such as the Barristers' Ball and Over-the-Hump are planned later in the Spring Semester.</p>	Moderate	19b. Determine if the fees allocated to the College by the Student Service Fee Advisory Committee will cover the cost and relay to students that additional funds will be needed to participate in the event/activity.	<p>We concur that we need to plan/determine what the student services fees will be utilized for and will continue to do so within the guidelines of the statutory Student Services Fee Advisory Committee (SSFAC) process.</p> <ul style="list-style-type: none"> We will work with the SBA and student organizations on their budget proposal deadlines each semester. While we will expend all Student Services Fees each year, we will notify students that some events may require a minimal participation fee. No additional funds will be commingled with student services fees. Funds collected will have appropriate segregation of duties when receiving, processing, and depositing money. The Office of Student Affairs will record cash/money order payments on carbon receipts. The receipts will state the name of the payer and the name of the Student Affairs staff person who received the payment. An administrative assistant from another law school department will review/reconcile the payments received with the receipts and sign/verify that the payments match the receipts. The deposit of the cash/money order payments will be given to Candice Birks, the law school bursar, who will sign a statement confirm receipt of the funds. 	Rebecca Greenan, College of Law - Assistant Dean of Students	5/31/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>19. UNT Dallas: Additional Funds Collected from Students - The Office of Student Affairs collects additional funds from students for a few student oriented activities as a participation fee to ensure proper planning for activities. Specifically, the College of Law may charge this additional fee to ensure student participation. The participation fee varies for these events from \$5.00 to \$15.00 and is determined in collaboration with the Student Bar Association (SBA) elected leaders.</p> <p>For FY 2016 the College of Law was allocated \$60,000.00 by the Student Service Fee Advisory Committee to be able to serve the College's student body needs. Although the College of Law expended only \$7,157.66 as of January 2016, major events funded by student services fees such as the Barristers' Ball and Over-the-Hump are planned later in the Spring Semester.</p>	Moderate	<p>19c. Additional funds collected should be deposited within the same chart string account as a credit to expense with a unique identifying purpose value. Also, funds collected should have appropriate segregation of duties when receiving, processing and depositing the money.</p>	<p>We concur that we need to plan/determine what the student services fees will be utilized for and will continue to do so within the guidelines of the statutory Student Services Fee Advisory Committee (SSFAC) process.</p> <ul style="list-style-type: none"> • We will work with the SBA and student organizations on their budget proposal deadlines each semester. • While we will expend all Student Services Fees each year, we will notify students that some events may require a minimal participation fee. • No additional funds will be commingled with student services fees. Funds collected will have appropriate segregation of duties when receiving, processing, and depositing money. • The Office of Student Affairs will record cash/money order payments on carbon receipts. The receipts will state the name of the payer and the name of the Student Affairs staff person who received the payment. An administrative assistant from another law school department will review/reconcile the payments received with the receipts and sign/verify that the payments match the receipts. The deposit of the cash/money order payments will be given to Candice Birks, the law school bursar, who will sign a statement confirm receipt of the funds. 	Rebecca Greenan, College of Law - Assistant Dean of Students	5/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>20. UNT Dallas College of Law: Seat Deposit Reconciliation - Reconciliation procedures have not been performed to verify that seat deposits sent by admitted Law Students to UNT College of Law Admission's Office were properly credited towards the correct student account if the student enrolled, or were properly recorded in the correct chart of accounts if seat deposits were forfeited .</p>	Moderate	<p>20a. Develop reconciliation procedures to help ensure that seat deposit checks received were credited towards the correct student account if the student enrolled or were properly recorded in the correct chart of accounts if the seat deposit was forfeited.</p>	<p>The College of Law- Office of Admissions will work with the Information Technology Manager at Dallas to establish a query report to be run weekly to ensure seat deposits received by the Office are timely processed and the respective student accounts are updated by student finance timely. This will allow the Office of Admissions to prevent or identify processing errors early—as a checks and balance mechanism.</p> <p>Additionally, the Office of Admissions will work with the Information Technology Manager at Dallas to obtain needed access to the student account screens in EIS to verify this information in the system. If there is a discrepancy found with seat deposits not being posted to a student's account or posted to the wrong student account, the Office of Admissions will work with the Information Technology Manager at Dallas to handle correction of the error. This process will be explained to the Assistant Director of Admissions, in the event that the Assistant Dean is out of the office to ensure that the report is reconciled weekly in the Assistant Dean's absence.</p>	Valerie James, College of Law Assistant Dean of Admissions and Scholarships	9/1/2016 Revised 01/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>21. UNT Dallas: College of Law Academic Catalog - Although the total cost of attendance is included in the 2015-2016 UNT Dallas College of Law Catalog, the catalog did not include a description of the amount of each fee to be charged to students.</p>	Moderate	<p>21a. Develop procedures to help ensure that future academic catalogs include a description of the amount of each fee to be charged to students in accordance with the statute.</p>	<p>The three individuals who work on this page for the College of Law catalog are: 1) Assistant Director of Registration and Student Finance, 2) Information Technology Manager, Accounting Office, and 3) Director of Marketing and Communications. These three have been informed that moving forward, the incidental fees should be broken down and specifically identified/explained so that students have complete transparency as to the fee being charged and paid. In addition, these fees are also available on the College of Law website, by semester: https://lawschool.untsystem.edu/current-students/student-financial-services/tuition-and-fees.</p>	Reynaldo Valencia, College of Law Associate Dean for Finance and Administration and Professor of Law	8/15/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	President's Expenditure Review	UNTHSC	Travel reimbursements paid to or on behalf of the President were in compliance with employment agreement provisions, System/University policies, state and federal laws. Although all travel reimbursements included proper documentation, not all travel budget authorization forms were signature-approved by the Chancellor, as required by UNT System Travel Guidelines. Additionally, Business Support Services processed the payments without all the appropriate approval signatures.	NA	None	Management will ensure that approval from the Chancellor will be obtained for all Travel Budget Authorization forms.	NA	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	Audit of IT Governance - IT Shared Services	UNT System	The IT Governance Audit was very enlightening as it involved an in depth analysis of the organizational structure and communication lines, and an overview of policies and procedures, security program and plan, strategic plan and risk assessment, and website / web application publishing. During the course of the audit, the team found that IT is making significant efforts to strengthen communication and governance throughout the System and found that all teams are working to improve the communication lines between individuals as well as committees.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	The Family Medicine Residency Program (FMRP) agreement is not set up as a sponsored project in accordance with the Health Science Center Policy and it is not processed or monitored for financial performance by the Office of Grant and Contract Management.	High	Recommendation for the Associate Dean for Educational Programs is to: Work with appropriate management from the Office of Grant and Contract Management and the Office of Finance to set up the FMRP as a sponsored project.	1. Associate Dean for Educational Programs will work with appropriate management from the Office of Grant and Contract Management(OGCM) and the Office of Finance to set up the FMRP as a sponsored project.	Lisa R. Nash, DO, Associate Dean for Educational Programs /Jessica Chavez, Texas OPTI Administrator.	5/31/2016,	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	The Family Medicine Residency Program (FMRP) agreement is not set up as a sponsored project in accordance with the Health Science Center Policy and it is not processed or monitored for financial performance by the Office of Grant and Contract Management.	High	Recommendation for the Provost & Executive Vice President, Academic Affairs is to: Identify all grants, contracts or cooperative agreements (i.e. externally-funded activities with a formal written agreement) and collaborate with the Office of Grant and Contract Management to assess if these agreements should be identified as sponsored projects. Once identified, work with Office of Grant and Contract Management to set up as sponsored projects.	2. The Provost office will coordinate review of the final outstanding Texas Higher Education Coordinating Board(THECB) contract number 14178 between Texas College of Osteopathic Medicine (TCOM) and OGCM to determine if a new ProjID should be established. Review will occur and if needed, ProjID will be established prior to January 30 to allow for necessary accounting corrections prior to the black-out dates. For future awards, the Provost's office will ensure that all contracts submitted for signature by the Provost will have been vetted and routed through the Office of Contract Administration (OCA). OGCM will coordinate with OCA to ensure contracts that incorporate the State of Texas Uniform Grant Management Standards as a requirement of the award are routed through OGCM for review and project management.	2.Thomas Yorio, Provost & Executive Vice President, Academic Affairs / LeAnn Forsberg, Assistant Vice President for Research Administration	9/30/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	Internal Audit noted control deficiencies over the preparation of the FMRP Annual Financial Report (AFR). THE FMRP AFR is not prepared at a level required to ensure accurate financial reporting. We identified the following financial reporting errors after the FMRP AFR preparation methodology was validated by Texas Higher Education Coordinating Board(THECB): Revenues: B. Professional Service Revenue B1 - Total gross charge amount for Professional Service Charges was reported only for the FMRP primary locations (i.e. Seminary Family Medicine and Inpatient Plaza Medical Center) and not for all service locations the FMRP provides. This amount should also include other locations that all FMRP residents and Faculty provide professional services which are but not limited to Patient Care Center (PCC) APC Family Medicine, Eagle Ranch Internal Medicine, PCC APC General Internal Medicine and PCC Osteopathic Manipulative Medicine(OMM) B2 - Total net dollar amount for Professional Service Charges was reported only for the FMRP primary locations (i.e. Seminary Family Medicine and Inpatient Plaza Medical Center) and not for all service locations the FMRP provides. This amount should also include other locations that all FMRP residents and Faculty provide professional services which are but not limited to PCC APC Family Medicine, Eagle Ranch Internal Medicine, PCC APC General Internal	High	Recommendation for the Senior Vice President of Finance/ Chief Financial Officer and FMRP Director is to: The FMRP Annual Financial Report should be prepared by the Office of Finance in collaboration with the department in an effort to ensure accurate financial reporting.	Several areas/locations (specifically: PCC APC Family Medicine, Eagle Ranch Internal Medicine, PCC APC General Internal Medicine and PCC OMM) noted by the auditors under Revenues A., B. and C. above are unrelated in any way to the Family Residency Program funded under this grant and are not to be included in the financial report.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Barbara Holt, Senior Director Financial Operations / Jessica Chavez, Texas OPTI Administrator	5/31/2016 Revised: 10/31/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	Testing identified that faculty and staff devoting time to the FMRP do not certify that the effort charged was based on actual activity.	High	Recommendation for the FMRP Director is to: Work with the Office of Grant and Contract Management to help ensure that the grant is in compliance with the Texas' Uniform Grant Management Standards for time and effort reporting requirements.	The Associate Dean for Educational Programs will work with the Office of Finance to develop and implement procedures to collect and report on financial activity related to the program in a manner that is in compliance with the Coordinating Board's financial reporting guidelines.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Jessica Chavez, Texas OPTI Administrator	5/31/2016 Revised: 10/31/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	Testing identified the following: • The Procurement-Card (P-Card) Expenditure Report which was partially paid from the Texas Higher Education Coordinating Board(THECB) grant for fiscal year 2015 was not retained at the department level and was unavailable for review. • Occasionally, the reconciler and approver is serving a dual role in the P-Card Expenditure review process.	Moderate	Recommendations for the Associate Dean of Educational Programs are to: Require all current P-Card holders, reconcilers and approvers to be retrained on P-Card policies and procedures.	The Associate Dean for Educational Programs will require signature approval by three different individuals for final reconciliation/approval of P-card purchases. Transition to electronic filing of P-card documentation resolves issue on retention of documents.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Jessica Chavez, Texas OPTI Administrator	5/31/2016 Revised: 10/31/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	Testing identified the following: • The Procurement-Card (P-Card) Expenditure Report which was partially paid from the Texas Higher Education Coordinating Board(THECB) grant for fiscal year 2015 was not retained at the department level and was unavailable for review. • Occasionally, the reconciler and approver is serving a dual role in the P-Card Expenditure review process.	Moderate	Recommendations for the Associate Dean of Educational Programs are to: Follow University Business Service Center P-Card Guidelines.	The Associate Dean for Educational Programs will require signature approval by three different individuals for final reconciliation/approval of P-card purchases. Transition to electronic filing of P-card documentation resolves issue on retention of documents.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Jessica Chavez, Texas OPTI Administrator	5/31/2016 Revised: 10/31/ 2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	The FMRP grant was not properly classified in the UNTHSC Accounting System for fiscal year 2013 and fiscal year 2014. During our review of classification of revenues and proper recording for the FMRP grant in the UNTHSC Accounting System, we noted that fiscal year 2013 and fiscal year 2014 funds passed from the Texas Higher Education Coordinating Board (THECB) to UNTHSC were classified as State Grant Pass Through Revenue - Operational compared to fiscal year 2015 funds, which were classified as State Grant Pass Through Revenue - Non Operational. Based on the audited fiscal year 2013 and fiscal year 2014 FMRP Annual Financial Reports, the support received from THECB was 3.11% and 6.85% of the total revenues for the FMRP and are supplemental to the Program. The Associate Dean for Educational Programs also confirmed that the FMRP will be conducted regardless of the additional funds received from THECB.	Low	Recommendations for the UNTHSC Associate Controller are to: Work with the Texas Comptroller of Public Accounts to determine if prior years' classifications should be corrected.	Associate Dean for Educational Programs will work with appropriate management from the UNT System's Controller's Office to ensure the funds are recorded appropriately within UNTHSC's Accounting System. In addition, the UNT System's Controller's Office will work with the Texas Comptroller of Public Accounts to make a determination if prior year Annual Financial Reports need to be adjusted to report the proper classification of the program's funds.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Paula Welch, Associate Controller / Jessica Chavez, Texas OPTI Administrator	5/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	The FMRP grant was not properly classified in the UNTHSC Accounting System for fiscal year 2013 and fiscal year 2014. During our review of classification of revenues and proper recording for the FMRP grant in the UNTHSC Accounting System, we noted that fiscal year 2013 and fiscal year 2014 funds passed from the Texas Higher Education Coordinating Board (THECB) to UNTHSC were classified as State Grant Pass Through Revenue - Operational compared to fiscal year 2015 funds, which were classified as State Grant Pass Through Revenue - Non Operational. Based on the audited fiscal year 2013 and fiscal year 2014 FMRP Annual Financial Reports, the support received from THECB was 3.11% and 6.85% of the total revenues for the FMRP and are supplemental to the Program. The Associate Dean for Educational Programs also confirmed that the FMRP will be conducted regardless of the additional funds received from THECB.	Low	Recommendations for the UNTHSC Associate Controller are to: Re-educate personnel on financial reporting of state grant pass through revenues to help ensure compliance with the Texas Comptroller of Public Accounts' guidelines.	Associate Dean for Educational Programs will work with appropriate management from the UNT System's Controller's Office to ensure the funds are recorded appropriately within UNTHSC's Accounting System. In addition, the UNT System's Controller's Office will work with the Texas Comptroller of Public Accounts to make a determination if prior year Annual Financial Reports need to be adjusted to report the proper classification of the program's funds.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Paula Welch, Associate Controller / Jessica Chavez, Texas OPTI Administrator	5/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	The current process for monitoring Student Service Fee allocations is not sufficient to ensure funds are not overspent and funds are spent in accordance with approved purposes. Internal Audit reviewed and tested the Student Service Fee (SSF) process and allocations for fiscal year 2015. Out of 57 SSF dept ID allocations, 9 instances were identified where total expenditures exceeded available SSF account revenues. If additional other funding sources were not obtained by SSF dept ID holder then deficit balances were charged to the SSF reserve account at year end.	Low	Recommendations for Vice President for Student Affairs: 1a. Coordinate with the UNT Budget Office to establish a process to ensure that only transfers approved by the Vice President for Student Affairs Office are processed.	a. Management agrees. Establish process to ensure no transfers are processed by the UNT Budget Office without approval from the VPSA Office.	Dr. Elizabeth With, Vice President for Student Affairs	7/31/2016 Actual 08/29/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	The current process for monitoring Student Service Fee allocations is not sufficient to ensure funds are not overspent and funds are spent in accordance with approved purposes. Internal Audit reviewed and tested the Student Service Fee (SSF) process and allocations for fiscal year 2015. Out of 57 SSF dept ID allocations, 9 instances were identified where total expenditures exceeded available SSF account revenues. If additional other funding sources were not obtained by SSF dept ID holder then deficit balances were charged to the SSF reserve account at year end.	Low	Recommendations for Vice President for Student Affairs: 1b. Provide training to SSF dept ID holders with regard to their responsibilities on receiving SSF funding especially SSF approval process pertaining to requesting transfers of SSF funds.	b. Management agrees. Send memo to all dept ID holders outlining approval process to transfer funds; also discuss during meetings with SSF dept ID holders (held as SSF process begins and when awards are made).	Dr. Elizabeth With, Vice President for Student Affairs	7/31/2016 Actual 08/29/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	The current process for monitoring Student Service Fee allocations is not sufficient to ensure funds are not overspent and funds are spent in accordance with approved purposes. Internal Audit reviewed and tested the Student Service Fee (SSF) process and allocations for fiscal year 2015. Out of 57 SSF dept ID allocations, 9 instances were identified where total expenditures exceeded available SSF account revenues. If additional other funding sources were not obtained by SSF dept ID holder then deficit balances were charged to the SSF reserve account at year end.	Low	Recommendations for Vice President for Student Affairs: 1c. Establish a process to identify potential deficit situations, including steps/procedures to be taken, and consequences for SSF dept ID holders for non-compliance.	c. Management agrees. Send memo to all dept ID holders outlining consequences of account deficits; also discuss during meetings with SSF dept ID holders (held as SSF process begins and when awards are made).	Dr. Elizabeth With, Vice President for Student Affairs	7/31/2016 Actual 08/29/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	UNT Policy 18.4.7 Student Service Fee Committee does not reflect current member selection process by the Student Government Association President. UNT policy 18.4.7 states nine students will be selected to comprise a Student Service Fee Committee (SSFC). Five students to be selected by the Student Government Association (SGA) President and four students by UNT President. In the current process the SGA President selects four because the SGA President is to be a member of the committee and acts as Chair of the SSFC.	Low	Recommendation for Vice President for Student Affairs: 2a. Revise UNT Policy 18.4.7 Student Services Fee Committee to reflect the current process regarding the Student Government Association President's Student Services Fee Committee member selection process.	Management agrees. Update policy to reflect actual practice.	Dr. Elizabeth With, Vice President for Student Affairs	11/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	Minutes are not taken on Student Service Fee Committee meetings. For selected Student Service Fee Committee (SSFC) members, annually the Vice President for Student Affairs management conducts meetings to explain to these members the committee's responsibilities, establish meeting dates, explanation of the deliberation and SSF allocation processes. During these meeting priorities and Student Service Fee (SSF) allocation criteria are established. Documentation as to priorities determined, proposed meeting agenda and meeting dates, and applications requests for SSF funding are submitted. However, meeting minutes including attendance of those SSFC members present are not documented and retained.	Low	Recommendation for Vice President for Student Affairs: 3a. Written minutes should be kept on Student Service Fee Committee meetings held.	Management agrees. Minutes will be taken at meetings.	Debbie Stevens, Budget Officer for Division of Student Affairs	Expected: 11/30/2016 Revised: 01/18/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Presidents' Expenditure Review	UNT Dallas	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Chancellor's Expenditure Review	UNT System	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Presidents' Expenditure Review	UNT	None	NA	None	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable. <ul style="list-style-type: none"> High default rate; 67.5% at December 31, 2015 and 60% at January 31, 2016 as compared to about 10% for the other loan programs. For loans issued prior to August 2013, the collection rate since August 2013 to January 2016 is 9% , less than 4% per year. Overall default rate for old and new loans is 72%. 	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 1a. Coordinate with Student Accounting and University Cashiering Services to determine an effective and efficient way to disburse loans and collect repayments.	a. Coordinate with Student Accounting and University Cashiering Services to transition loan program to an electronic disbursement, and repayment system (non-cash). Coordinate with Division of Student Affairs Advancement Specialist to secure a small allotment of gas and food cards for the purpose of disbursing to students facing critical and immediate need.	Paul Goebel, Assistant Director III, SMMC	09/01/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable. <ul style="list-style-type: none"> High default rate; 67.5% at December 31, 2015 and 60% at January 31, 2016 as compared to about 10% for the other loan programs. For loans issued prior to August 2013, the collection rate since August 2013 to January 2016 is 9% , less than 4% per year. Overall default rate for old and new loans is 72%. 	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 1b. Coordinate with Student Accounting and University Cashiering Services to determine an effective way to display the blocks effectively in order to avoid any misconception.	b. For new loans posted directly to students' accounts, any unpaid balances will be clearly denoted on accounts that will avoid any misconceptions. Coordinate with Student Accounting and University Cashiering Services to add old defaulted loans to students' account balances.	Paul Goebel, Assistant Director III, SMMC	01/15/17	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable. <ul style="list-style-type: none"> High default rate; 67.5% at December 31, 2015 and 60% at January 31, 2016 as compared to about 10% for the other loan programs. For loans issued prior to August 2013, the collection rate since August 2013 to January 2016 is 9% , less than 4% per year. Overall default rate for old and new loans is 72%. 	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 1c. Review loans issued prior to August 2013 and document current status e.g. whether and when a student graduated, whether they are a current student, whether all appropriate blocks are in place, and whether all necessary documents are in file.	c. Review loans issued prior to August 2013 and document current status, all appropriate blocks are in place, and all necessary documents are in file.	Danielle Champagne, Student Services Coordinator II	8/01/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	2. The current practice at Student Money Management Center (SMMC) is that management has some discretion as to the loan amounts and the repayment period for the Green Loan Program (GLP). Current procedures do not sufficiently document when and how much management discretion is allowable. <ul style="list-style-type: none"> There is some management discretion as to the amount of fees to charge, for 1 out of 24 loans tested, an exception was noted where the total fees and charges due was \$23; \$20 late charge and \$3 service charge. Only \$17 was collected while \$6 was waived. Additionally, procedures are not specific as to whether fees apply to a specific dollar amount of the loan i.e. \$100 or \$50. Management also has some discretion as to the repayment date. For example, management can alter the repayment date if it falls on a weekend or if the student is aware of a difficulty in repaying before the deadline. 	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 2a. Review current GLP manual and update for procedures related to management discretion, including but not limited to, defining the exceptions and stating how and when management discretion should be applied, and also ensure that it is consistent with the current practice.	a. Redraft Green Loan Program manual's management discretion reference. Include list of approved exceptions that would fall under the scope of "management discretion."	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	<p>2. The current practice at Student Money Management Center (SMMC) is that management has some discretion as to the loan amounts and the repayment period for the Green Loan Program (GLP). Current procedures do not sufficiently document when and how much management discretion is allowable.</p> <ul style="list-style-type: none"> • There is some management discretion as to the amount of fees to charge, for 1 out of 24 loans tested, an exception was noted where the total fees and charges due was \$23; \$20 late charge and \$3 service charge. Only \$17 was collected while \$6 was waived. Additionally, procedures are not specific as to whether fees apply to a specific dollar amount of the loan i.e. \$100 or \$50. • Management also has some discretion as to the repayment date. For example, management can alter the repayment date if it falls on a weekend or if the student is aware of a difficulty in repaying before the deadline. 	Moderate	<p>Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center:</p> <p>2b. Establish a specific periodic review process to ensure that the GLP manual is accurate and adequately addresses relevant issues. The procedures should indicate the last time it was reviewed.</p>	b. Identify a standard date of annual review for the GLP manual. Documentation of date of review on title page will be included in the updated GLP manual.	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	<p>3. Promissory notes and transcript blocks were not in place as required by the Green Loan Program (GLP) manual terms and conditions.</p> <p>Promissory notes and transcript blocks were missing for old loans issued prior to August 2013. There were also instances relating to loans issued after August 2013 where there were no blocks on non-current loans. Incomplete documentation and lack of enforcement of blocks reduce the chance of repayment of loans.</p>	Moderate	<p>Recommendation for Paul Goebel, Assistant Director III, Student Money Management Center:</p> <p>3a. Review non-current loans and document current status e.g. whether and when a student graduated, whether they are a current student, and whether all necessary documents are in file and ensure proper blocks are in place.</p>	a. Review loans issued prior to August 2013 and document current status, all appropriate blocks are in place, and all necessary documents are in file.	Danielle Champagne, Student Services Coordinator II	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	<p>3. Promissory notes and transcript blocks were not in place as required by the Green Loan Program (GLP) manual terms and conditions.</p> <p>Promissory notes and transcript blocks were missing for old loans issued prior to August 2013. There were also instances relating to loans issued after August 2013 where there were no blocks on non-current loans. Incomplete documentation and lack of enforcement of blocks reduce the chance of repayment of loans.</p>	Moderate	<p>Recommendation for Paul Goebel, Assistant Director III, Student Money Management Center:</p> <p>3b. Establish a review process to ensure that appropriate blocks are being placed on students' accounts with non-current loans.</p>	b. Identify process to ensure timely posting of relevant blocks to student accounts. Documentation of the process and monthly review checklist will be included in the updated program manual.	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	<p>4. There is variance between petty cash records, total amount of donations received to the fund, and the general ledger.</p> <p>There is a variance between the amount of fund balance per the Student Money Management Center (SMMC) records - \$16,345, tally of the total amount of donations received into the fund - \$22,625, and fund balance per the general ledger \$16,217.</p>	Moderate	<p>Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center:</p> <p>4a. Review current fund balance and coordinate with Financial Reporting to ensure that the correct balance is reflected in the general ledger.</p>	a. Coordinate with Financial Reporting to conduct a thorough and comprehensive reconciliation of the Green Loan account.	Paul Goebel, Assistant Director III, SMMC	1/15/2017 Rev. 08/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	<p>4. There is variance between petty cash records, total amount of donations received to the fund, and the general ledger.</p> <p>There is a variance between the amount of fund balance per the Student Money Management Center (SMMC) records - \$16,345, tally of the total amount of donations received into the fund - \$22,625, and fund balance per the general ledger \$16,217.</p>	Moderate	<p>Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center:</p> <p>4b. Update policies to include procedures for periodic reconciliation with the General Ledger.</p>	b. Coordinate with Financial Reporting to determine policies and procedures for periodic reconciliation. Include this information in GLP manual.	Danielle Champagne, Student Services Coordinator II	1/15/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	5. There are instances where information on Student Money Management Center (SMMC) website is not consistent with information in the procedures Green Loan Program (GLP) manual. One of the terms and conditions listed on the SMMC's website and in the GLP manual says that both transcript and registration blocks will be applied to late and default accounts but the intention and practice is to use transcript blocks only.	Low	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 5a. Review information currently posted to SMMC website for accuracy and consistency with policies and procedures.	a. Information posted to SMMC website has been reviewed for consistency with policies and procedures.	Danielle Champagne, Student Services Coordinator II	8/15/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	5. There are instances where information on Student Money Management Center (SMMC) website is not consistent with information in the procedures Green Loan Program (GLP) manual. One of the terms and conditions listed on the SMMC's website and in the GLP manual says that both transcript and registration blocks will be applied to late and default accounts but the intention and practice is to use transcript blocks only.	Low	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 5b. Establish a process to ensure review of information posted to SMMC website is performed periodically.	b. Annual date of website review has been set as August 1, documentation of this step will be included in the revised Green Loan Program Manual.	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	6. The Green Loan Program (GLP) is not being maintained on an imprest basis as required by UNT cash handling policies. The Green Loan petty cash fund is not being maintained on an imprest system; when repayments are received, only fees get deposited while the principal is retained in the petty cash fund to be used to disburse for new loans.	Low	Recommendation for Paul Goebel, Assistant Director III, Student Money Management Center: 6a. Coordinate with Financial Reporting and Vice President for Finance and Administration, UNT, to determine how to best comply with UNT cash handling policies.	a. Coordinate with Student Accounting and University Cashiering Services to transition loan program to an electronic disbursement, and repayment system (non-cash). This will eliminate the need for the SMMC to handle any cash.	Paul Goebel, Assistant Director III, SMMC	9/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	7. The Student Money Management Center (SMMC) uses pre-numbered receipts; however, the receipts do not comply with guidelines set forth in UNT policies. SMMC uses pre-numbered receipts but the receipts have not been approved by Student Accounting and University Cashiering Services (SAUCS) as to form and content as required by Cash Handling Controls Policy 2.1.10.1 and does not have UNT logo printed on as required by UNT Sales and Receipt of Funds Policy 2.2.1.	Low	Recommendations for Assistant Director III, Student Money Management Center: 7a. Coordinate with SAUCS to obtain receipts that comply with UNT sales and Receipt of Funds Policy 2.2.1.	a. Obtain approved receipt book from UNT Printing Services.	Danielle Champagne, Student Services Coordinator II	6/23/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	7. The Student Money Management Center (SMMC) uses pre-numbered receipts; however, the receipts do not comply with guidelines set forth in UNT policies. SMMC uses pre-numbered receipts but the receipts have not been approved by Student Accounting and University Cashiering Services (SAUCS) as to form and content as required by Cash Handling Controls Policy 2.1.10.1 and does not have UNT logo printed on as required by UNT Sales and Receipt of Funds Policy 2.2.1.	Low	Recommendations for Assistant Director III, Student Money Management Center: 7b. Establish a process to ensure that all receipts issued are cleared by SAUCS as to form.	b. Implement the use of SAUCS-approved receipts and payment deposit process.	Danielle Champagne, Student Services Coordinator II	6/23/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following: - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, and other information), was not formally	Moderate	UNT should embed comments and/or notes within the supporting documentation Excel file to explain specific details of key amounts, calculations, and sources of information.	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following: - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, and other information), was not formally	Moderate	UNT and UNTD should implement a "Lead Workpaper" separate from the formal sections that would be used to detail source documentation and other important information. This workpaper could include the Method of Finance calculation, the Local Funds Adjustment calculation, and each benefits calculation.	NA	NA	NA	NA

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Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT Dallas	<p>Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following:</p> <ul style="list-style-type: none"> - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, and other information), was not formally 	Moderate	<p>UNT and UNTD should implement a "Lead Workpaper" separate from the formal sections that would be used to detail source documentation and other important information. This workpaper could include the Method of Finance calculation, the Local Funds Adjustment calculation, and each benefits calculation.</p>	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	<p>Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following:</p> <ul style="list-style-type: none"> - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State 	Moderate	<p>All entities within the UNT System should consider including a section for "Information/Documentation Needed to Complete the APS 011 Form". It would be helpful to include the following:</p> <ul style="list-style-type: none"> - APS 011 Form and Instructions (FMX website) - Method of Finance (General Appropriations Act) - Applicable USAS Screens - Specific queries from PeopleSoft General Ledger - APS_Check report - Instructions for uploading the completed form and performing internal reviews by the entity and the UNT System - Key contacts within the State and the UNT System - Other related and important documentation 	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT Dallas	<p>Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following:</p> <ul style="list-style-type: none"> - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State 	Moderate	<p>All entities within the UNT System should consider including a section for "Information/Documentation Needed to Complete the APS 011 Form". It would be helpful to include the following:</p> <ul style="list-style-type: none"> - APS 011 Form and Instructions (FMX website) - Method of Finance (General Appropriations Act) - Applicable USAS Screens - Specific queries from PeopleSoft General Ledger - APS_Check report - Instructions for uploading the completed form and performing internal reviews by the entity and the UNT System - Key contacts within the State and the UNT System - Other related and important documentation 	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNTHSC	<p>Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following:</p> <ul style="list-style-type: none"> - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State 	Moderate	<p>All entities within the UNT System should consider including a section for "Information/Documentation Needed to Complete the APS 011 Form". It would be helpful to include the following:</p> <ul style="list-style-type: none"> - APS 011 Form and Instructions (FMX website) - Method of Finance (General Appropriations Act) - Applicable USAS Screens - Specific queries from PeopleSoft General Ledger - APS_Check report - Instructions for uploading the completed form and performing internal reviews by the entity and the UNT System - Key contacts within the State and the UNT System - Other related and important documentation 	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	Through review of processes related to Benefits Proportionality, IA identified that as part of APS 011 Form completion procedures, UNT and UNTD do not obtain an APS_Check Report from the ACO and compare the report information to the amounts used in the APS 011 Form. This APS_Check report includes the USAS expenses by benefit and appropriation. As such, UNT and UNTD were not performing a reconciliation comparing their recorded amounts to amounts provided by the State in order to ensure accuracy of the overall form.	Moderate	UNT and UNTD should obtain the APS_Check report from the assigned ACO and perform a reconciliation of UNT and UNTD amounts, respectively, to State amounts.	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT Dallas	Through review of processes related to Benefits Proportionality, IA identified that as part of APS 011 Form completion procedures, UNT and UNTD do not obtain an APS_Check Report from the ACO and compare the report information to the amounts used in the APS 011 Form. This APS_Check report includes the USAS expenses by benefit and appropriation. As such, UNT and UNTD were not performing a reconciliation comparing their recorded amounts to amounts provided by the State in order to ensure accuracy of the overall form.	Moderate	UNT and UNTD should obtain the APS_Check report from the assigned ACO and perform a reconciliation of UNT and UNTD amounts, respectively, to State amounts.	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT Dallas	Through review of processes related to Benefits Proportionality, IA identified that as part of APS 011 Form completion procedures, HSC and UNTD were not periodically performing a "mock completion" of the APS 011 Form based on estimates and information obtained up to the date of the mock completion. To perform this procedure, an institution fills out a preliminary APS 011 Template, which assists them in tracking payments from the GR and GR-D funds, as well as remaining balances to monitor what amounts may still be utilized. Additionally, completing the preliminary templates can provide opportunities for additional feedback and make the year-end process less time consuming.	Moderate	UNTD and HSC should establish a routine for periodically completing preliminary templates of the APS011 form and formally documenting the preliminary templates in source documentation files.	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNTHSC	Through review of processes related to Benefits Proportionality, IA identified that as part of APS 011 Form completion procedures, HSC and UNTD were not periodically performing a "mock completion" of the APS 011 Form based on estimates and information obtained up to the date of the mock completion. To perform this procedure, an institution fills out a preliminary APS 011 Template, which assists them in tracking payments from the GR and GR-D funds, as well as remaining balances to monitor what amounts may still be utilized. Additionally, completing the preliminary templates can provide opportunities for additional feedback and make the year-end process less time consuming.	Moderate	UNTD and HSC should establish a routine for periodically completing preliminary templates of the APS011 form and formally documenting the preliminary templates in source documentation files.	NA	NA	NA	NA
External	Accreditation Council for Pharmacy Education	Fiscal Year 2016	Governance and Regulatory Compliance	Review for Pharmacy Education Accreditation	UNTHSC	Accreditation Council for Pharmacy Education	NA	None	NA	NA	NA	NA

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The door going from the exterior balcony to the main building is equipped with a double-cylinder lock. Balcony occupants could be locked out of the building and unable to egress the balcony. Exterior door assemblies shall be permitted to have key-operated locks from the egress side, provided that the following criteria are met: - There shall be a readily visible and durable sign in letters not less than 1 inch high on a contrasting background and located on or adjacent to the door. This sign shall read as follows: "THIS DOOR TO REMAIN UNLOCKED WHEN THE BUILDING IS OCCUPIED." - The locking devices are of a type that is readily distinguishable as locked. - A key is immediately available to any occupant inside the building when it is locked. The primary entrance/exit door may be equipped with a thumb lock provided it is the only locking/latching device on the door NFPA 1, Fire Code, Chapters 14.5.2.5.1 and 4.4.3.1.2	Door hardware will be replaced to allow re-entry from the balcony.	NA	1/31/2017 Revised 04/30/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The penthouse chiller room has two electrical splice boxes with the covers removed. NFPA 1, Fire Code, Chapter 11.1.10	Covers will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 An extension cord is used as permanent wiring at the 5th floor receptionist desk.	Outlet will be installed and extension cord will be removed.	NA	11/14/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 4 There are unsecured gas cylinders in Room 421 and in the Penthouse. NFPA 1, Fire Code, Chapter 63.3.1.8.4	Mounting hardware will be installed and cylinders will be secured.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 5 The egress hallway is obstructed near Room 470. NFPA 1, Fire Code, Chapters 4.4.3.1.1, 14.4.1 and 14.10.2	Equipment will be moved.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 6 There are missing ceiling tiles in room IE4 auditorium support NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 7 Room 432 has a sprinkler head missing the escutcheon ring. NFPA 1, Fire Code, Chapter 4.5.8.1	Parts will be replaced.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 8 The fire department connection is obstructed by vegetation. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4, and 13.1.4.1	A clear path will be created.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 9 The copy machine located outside cubical WKSTN W3N obstructs the egress corridor to less than three feet.	The copy machine will be relocated.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 10 The following rooms have unsealed penetrations. ☐ Electrical room 5E1 ☐ Room 3J2 ☐ Room 3E2 communications room floor penetrations extends all 5 floors and numerous wall penetrations. (5 violations) NFPA 1, Fire Code, Chapter 12.7.5.6.1	Penetrations will be properly sealed.	NA	11/14/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 11 The roof top Freon emergency shut pull station has a protective cover marked Fire alarm. NFPA 1, Fire Code, Chapter 4.5.8.1	Cover will be replaced.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 12 The convenience stairs between the first and second floors lack corridor smoke doors on the second floor to close off the area from the egress corridor by the women's rest room 2T1. NFPA 1, Fire Code, Chapter 10.1.2; and NFPA 101, Life Safety Code, Chapter 8.6.9.1(3)	We need to consult with our local fire authority for possible solutions. Once consultation takes place we will be able to provide a timeline.	NA	1/31/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 1 There are unsecured gas cylinders in the following rooms. ☐ 124 ☐ 310 NFPA 1, Fire Code, Chapter 63.3.1.8.4	Mounting hardware will be installed and cylinders will be secured.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 2 The egress hallway is obstructed in the following locations. - 2nd floor cross hallway - 1st floor cross hallway NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Equipment will be relocated.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 3 There are missing ceiling tiles in the following rooms. - 406 - 240 NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 4 There are unsealed penetrations in the following rooms. - 4M1 - 3M1 - 2M1 - 1M3 NFPA 1, Fire Code, Chapter 12.7.5.1	Penetrations will be properly sealed.	NA	11/16/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 5 The chemical fume hood is being used for storage in the following rooms. - 310 - 240 NFPA1, Fire Code, Chapter 4.5.8.1	Items will be removed and stored properly.	NA	12/9/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 6 The chemical fume hoods throughout the building lack current inspection labels. The last inspection was dated 5/2015. (58 Violations) NFPA 1, Fire Code, Chapter 4.5.8.1	All hoods will be inspected and labeled properly.	NA	10/16/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 7 There are containers of hazardous chemicals improperly stored in the following rooms. - 406 - 118 NFPA 1, Fire Code, Chapter 34.4.1.1	Chemicals will be stored properly.	NA	12/9/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 8 An extension cord is used as permanent wiring in Room 553, which also has a filing cabinet sitting on the cord. NFPA 1, Fire Code, Chapter 11.1.7.6 and 11.1.7.5	This violation is in the CBH building, not RES. See the RES section for corrective action.	NA	12/26/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 9 There are unused openings in the electrical panels in the following rooms. - 208 - 2M1 - 126 - E01 - OLA Sect 2 NFPA 1, Fire Code, Chapter 11.1.2; and NFPA 70, National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 10 The fire alarm panel was red tagged on 6/24/16 and UNT Staff state the system is current and operational, but no white correction tag is present. NFPA 1, Fire Code, Chapter 4.5.8.1	Correct tags will be attached.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 11 There are electrical outlet faceplates missing in the following rooms. - E01 - 3M1 NFPA 1, Fire Code, Chapter 11.1.10	Faceplates will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 12 There is a lack of building separation where the RES building connects to the EAD building on floors 1, 3, and 4. NFPA 1, Fire Code, Chapter 10.1.2; and NFPA 101, Life Safety Code, Chapter 8.2.1.3	Proper separations will be installed.	NA	6/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 13 Multiplug adapters are being used in the following rooms. - 406 - 448 NFPA 1, Fire Code, Chapter 11.1.5.2	Adapters will be removed and equipment properly connected.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 14 Appliances are plugged into surge protectors in the following rooms I, rather than directly into wall outlets. - 302H - 220D NFPA 1, Fire Code, Chapter 10.1.7	Outlets will be installed and appliances correctly connected.	NA	1/25/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 15 There is exposed wiring in the following rooms. - 3M1 - 240 - E01 NFPA 1, Fire Code, Chapter 11.1.2; and NFPA 70, National Electrical Code, Articles 300.3 (A) and 300.4	Wiring will be properly capped and protected.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 16 The exit signs are not illuminated in the basement area. NFPA 1, Fire Code, Chapter 4.5.8.1	Signs will either be replaced or repaired.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 17 The fire sprinkler riser lacks appropriate valve signage. NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing and Maintenance of Water Based Fire Protection Systems, Table 5.1.1.2	Signage will be installed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 18 The basement lacks audio visual occupant notification appliances for the fire alarm. NFPA 1, Fire Code, Chapter 13.7.1.4.10.1	Proper equipment will be installed in the basement.	NA	4/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 19 Storage is piled within 18 inches of the sprinkler head in Hall 240. NFPA 1, Fire Code, Chapter 10.19.3.2	Items will be removed and stored properly.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 20 There is wiring hanging from the fire sprinkler system piping in lab 240. NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing And Maintenance of Water - Based Fire Protection Systems, Chapter 5.2.2.2	Wiring will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 21 Non-UL Listed electrical outlets are suspended from the ceiling in room 456. NFPA 1, Fire Code, Chapter 11.1.3; and NFPA 70, National Electrical Code 300.3	Proper outlets will be installed and Non-UL outlets will be removed.	NA	1/31/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 22 Surge protectors are daisy chained in room 406. NFPA 1, Fire Code, Chapter 11.1.6.2	Surge protectors will only be plugged into wall outlets.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 23 The exit doors in room 240 are equipped with a magnetic locking device and do not incorporate the required operational features. (1) A sensor shall be provided on the egress side, arranged to detect an occupant approaching door leaves that are arranged to unlock in the direction of egress upon detection of an approaching occupant or loss of power to the sensor. (2) Loss of power to the part of the access control system that locks the door leaves shall automatically unlock the door leaves in the direction of egress. (3) Door leaves shall be arranged to unlock in the direction of egress from a manual release device located 40 in. to 48 in. vertically above the floor and within 60 in. of the secured door openings. (4) The manual release device shall be readily accessible and clearly identified by a sign that reads as follows: PUSH TO EXIT. (5) When operated, the manual release device shall result in direct interruption of power to the lock — independent of the access control system electronics — and the door leaves shall remain unlocked for not less than 30 seconds. (6) Activation of the building fire-protective signaling system, if provided, shall automatically unlock the door leaves in the direction of egress, and they shall remain	Hardware will be installed to deactivate magnetic locks when someone approaches from inside the room.	Bill Jones, Senior Systems Analyst	4/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 24 The door leading from the chiller room to the main part of the building has a key operated lock. There is no secondary exit from the chiller room. NFPA 1, Fire Code, Chapters 14.5.2.1 and 14.5.2.3	We need clarity on this location, as the chiller room seems to have adequate exits.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 1 Storage is piled within 18 inches of sprinkler head in the following rooms. - 250 - 323 - 440 - 460 - 500 - 501 - 504 - 551 - 552 NFPA 1, Fire Code, Chapter 10.19.3.2	All storage will be relocated as needed.	NA	12/23/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 2 There are unsealed penetrations in the following locations. - Room 2ME2 - Room 3ME1 - Room 5E1 - Room 5E2 - Room 6E1 - SMEC north chase - IT rooms all six floors NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 3 The chemical fume hood is being used for storage in the following rooms. - 250 - 323 - 440 - 460 - 500 - 501 - 504 - 551 - 552 NFPA1, Fire Code, Chapter 4.5.8.1	Materials will be removed from hoods and stored properly.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 4 The chemical fume hoods throughout the building lack current inspection labels. The last inspection was May 2015. (51 Violations) NFPA 1, Fire Code, Chapter 4.5.8.1	All fume hoods will be inspected and properly labeled.	NA	10/16/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 5 There are two 5 gallon cans of flammable liquid being stored on the lab floor in Room 511, which should be stored flammable liquid cabinet. NFPA 1, Fire Code, Chapter 34.4.4.1	Flammable materials will be stored in flammable cabinets.	NA	12/9/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 6 An extension cord is used as permanent wiring and is running under a filing cabinet in room 553. NFPA 1, Fire Code, Chapters 11.1.7.6 and 11.1.7.5	Extension cord will be removed.	NA	12/6/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 7 There are unused openings in electrical panel 3LB in the third floor pipe chase. NFPA 1, Fire Code, Chapter 11.1.2; NFPA 70, National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 8 Stairwell doors will not close and latch due to excessive stairwell pressurization in the following rooms. - 452 - 351 - 352 - 251 NFPA 1, Fire Code, Chapter 4.5.8.1	Air balancing will be adjusted to correct issue, or hardware will be installed if necessary.	NA	1/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 9 There is an unsecured CO2 cylinder in room 355. NFPA 1, Fire Code, Chapter 63.1.8.4	All cylinders will be secured.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 10 Two large wood crates block corridor egress by room 355. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Equipment will be removed.	NA	12/23/2016 Revised 04/10/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 11 Stairwell two first floor has unapproved storage under the stairs. NFPA 1, Fire Code, Chapter 14.6.3.1	Storage will be removed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 There are missing ceiling tiles in the following locations. - 4th floor elevator - 2nd floor cross hall NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The stairwell doors lack the required two hour fire rating throughout the building. NFPA 1, Fire Code, Chapter 12.7.3.1	Doors will be evaluated and labeled properly, or replaced.	NA	3/1/2017 Revised 05/01/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 The doors on room 852 have self-closing mechanisms that do not function properly. NFPA 1, Fire Code, Chapter 12.4.6.19.1	Hardware will be repaired or replaced.	NA	1/31/2017 Revised 05/01/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 4 Combustibles are stored under stairwell A on the first floor. NFPA 1, Fire Code, Chapter 14.6.3	Materials will be removed and stored properly.	NA	12/23/2016 Revised 04/30/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 5 There are unused openings in the electrical panels in the following rooms. - 8M1 - 5LS6 - 3M3 - 474 NFPA 1, Fire Code, Chapter 11.1.2; NFPA 70, National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 6 There are unsealed penetrations in the following rooms. - 5M3 - 6M3 - 1E1 - 2E1 NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 7 Storage is piled within 18 inches of the sprinkler head in room 662. NFPA 1, Fire Code, Chapter 10.19.3.2	Storage will be removed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 8 The chemical fume hoods lack current inspection labels. The last inspection was dated May 2015. (45 locations) NFPA 1, Fire Code, Chapter 4.5.8.1	All fume hoods will be inspected and labeled.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 9 The chemical fume hoods are being used for storage in the following rooms. - 632 - 546 - 544 - 474 NFPA1, Fire Code, Chapter 4.5.8.1; and NFPA 45, Standard on Fire Protection for Laboratories using Chemicals, Chapter 9.2.3.7	Chemicals will be removed and stored properly.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 10 There are containers of hazardous chemicals improperly stored in the following rooms. - 546 - 544 - 474 - 646 NFPA 1, Fire Code, Chapter 34.4.1.1	Chemicals will be stored properly.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 11 There are unsecured gas cylinders in room 554. NFPA 1, Fire Code, Chapter 63.3.1.8.4	All cylinders will be secured properly.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 12 Electrical junction boxes in following rooms are missing the protective covers. - 3M3 - 4M2 - 4M3 - 474 - 8M1 NFPA 1, Fire Code, Chapter 11.1.10	Protective covers will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 13 The interior exit stairwell B lacks the required enclosed rated construction. NFPA 1, Fire Code, Chapters 14.6.1.1 and 14.6.1.2	Consultation for appropriate corrective action will need to occur.	NA	1/31/2017 Revised 03/01/2018	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 14 The interior exit stairwell A lacks the required enclosed rated construction. NFPA 1, Fire Code, Chapters 14.6.1.1 and 14.6.1.2	Consultation for appropriate corrective action will need to occur.	NA	1/31/2017 Revised 03/01/2018	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 1 The fire alarm system is a new installation, the control panel lacks a white installation label and the blue inspection tag is not properly filled out. NFPA 1, Fire Code, Chapter 4.6.12.1; and Title 28 Texas Department of Insurance Chapter 34 State Fire Marshal Subchapter "F" Fire Alarm Rules, Chapters 34.620 and 34.622	Labels and tags will be installed.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 2 Room 126 computer area has extension cords used as a replacement for permanent wiring to power the computers. NFPA 1, Fire Code, Chapter 11.1.7.6	Electrical outlets or appropriate wiring will be installed.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 3 Room 126K is missing the cover plate for the light switch. NFPA 1, Fire Code, Chapter 11.1.10	Cover plate will be replaced.	NA	1/31/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 4 There are unsealed penetrations in the following rooms. - 4ME2 - 32ME2 - 3ME1 - 1E1 NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	11/27/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 5 A sprinkler head in room 114A is missing the escutcheon. NFPA 1, Fire Code, Chapter 4.5.8.1	Sprinkler head will be repaired.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 6 Room 4ME2 has an unused opening in electrical panel L4A. NFPA 1, Fire Code, Chapter 11.1.2 and NFPA 70 National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 7 The basement high voltage room is used for storage, NFPA 1, Fire Code, Chapter 10.19.5.1	Storage will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 8 Sprinkler piping in the following areas have wires attached to the pipe. - Basement electrical supply room - Basement fresh air chase NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing And Maintenance of Water-Based Fire Protection Systems, Chapter 5.2.2.2	All items suspended from sprinkler piping will be removed.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 9 The Fire Department Connection (FDC) is blocked by vegetation. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4 and 13.1.4.1	A clear path will be created to the FDC.	NA	12/23/2016 Revised 04/30/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 10 In the Kiva Lounge area the flexible electrical power cords for the food warming equipment is run across the floor and is subject to physical damage. NFPA 1, Fire Code, Chapter 11.1.7.5	Wiring will be routed in a way that protects them.	NA	1/31/2017 Revised 04/30/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 11 (Noted on 2011 Inspection report) There is a lack of the required fire rated separation in the basement area where the building connects to the RES building. NFPA 1, Fire Code, Chapter 10.1.2; and NFPA 101, Life Safety Code, Chapter 8.2.1.3	A fire separation will be installed. (Note this is on the 1st floor, not the basement).	NA	4/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	East Parking Garage The East Parking Garage is a three-story structure classified as an existing storage occupancy. Features of fire protection include a dry stand pipe system, a fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the stairwells.	NA	VIOLATION 1 The fire department standpipe connections are obstructed by vehicles on all levels of the parking garage. NFPA 1, Fire Code, Chapter 13.1.4.1	Standpipe connections will be routed so they are not obstructed.	NA	3/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	St. Emillion Restaurant The St. Emillion Restaurant is a two-story structure classified as an existing assembly occupancy. Features of fire protection include a UL300 wet chemical fire suppression system, single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 An electric deep fryer unit is not contained within the hood and is not protected by the hood fire suppression system. Additionally the unit does not shut down upon activation of the suppression system. NFPA, Fire Code, Chapters 50.1.1, 50.4.3.2, 50.4.4.3, 50.4.4.3.1, 50.4.6.1; and NFPA 96 Standard for Ventilation Control and Fire Protection of Commercial Cooking Equipment, Chapter 10.1.2	Equipment will be removed.	NA	11/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	St. Emillion Restaurant The St. Emillion Restaurant is a two-story structure classified as an existing assembly occupancy. Features of fire protection include a UL300 wet chemical fire suppression system, single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The dining room electrical outlet is missing the protective cover plate. NFPA 1, Fire Code, Chapter 11.1.10	The electrical plate will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	St. Emillion Restaurant The St. Emillion Restaurant is a two-story structure classified as an existing assembly occupancy. Features of fire protection include a UL300 wet chemical fire suppression system, single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 Extension cords are used as a substitute for permanent wiring in the kitchen area. NFPA, Fire Code, Chapter 11.1.7.6	Extension cords will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 1 There are interconnected power strips in room 101. NFPA 1, Fire Code, Chapter 11.1.6.2	Power strips will only be plugged into wall outlets.	NA	12/31/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 2 The side exit door will not open, it appears to be painted shut. The forces required to open the door by manual means shall not exceed 15 lbs to release the latch, 30 lbs to set the door in motion, and 15 lbs to open the door to the minimum required width. These forces shall be applied at the latch stile. NFPA 1, Fire Code, Chapter 14.5.1.5.1	Door will be repaired to open easily.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 3 The garage located under the house is used for storage of combustible materials and lacks a fire rated separation from the first floor. The room ceiling is exposed wood floor joists and exposed wood flooring. NFPA 1, Fire Code, Chapter 10.19.6; and NFPA 101, Life Safety Code, Chapter 8.7.1.1	Combustible materials will be removed.	NA	3/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 1 The Kitchen UL300 suppression system lacks a current inspection tag. The last inspection was conducted in February 2015. NFPA1, Fire Code, Chapter 4.5.8.1	Kitchen suppression system will either be inspected properly or kitchen will be removed.	NA	4/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 2 The class K portable fire extinguisher is missing from its mounting location. NFPA1, Fire Code, Chapter 4.5.8.1	Fire extinguisher will be mounted properly.	NA	3/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 3 In room 3 the center cubical has interconnected power strips. NFPA 1, Fire Code, Chapter 11.1.6.2	Power strips will only be plugged into wall outlets.	NA	11/2/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 4 Access to the manual fire alarm pull stations are blocked by photocopy machines in the following locations. - Room 2 (Room 2 Corrected at the time of the inspection) - Room 5 NFPA 1, Fire Code, Chapter 13.7.1.4.8.7 Note: Since the building is temporarily used as office space additional outlets were required and have been installed by a licensed electrician. The temporary wiring is slated to be removed by March 31, 2017.	Copy machines will be relocated.	NA	12/7/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Sleep Lab (3632 Modlin Street) The Sleep Lab is a two-story structure classified as an existing business occupancy. Features of fire protection include battery operated single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs emergency lighting.	NA	VIOLATION 1 In room 106 an electrical outlet is missing the protective cover plate. NFPA 1, Fire Code, Chapter 11.1.10	Outlet cover plate will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Sleep Lab (3632 Modlin Street) The Sleep Lab is a two-story structure classified as an existing business occupancy. Features of fire protection include battery operated single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs emergency lighting.	NA	VIOLATION 2 The fire doors separating the egress stairwell exit enclosure from the first floor are propped in the open position. NFPA 1, Fire Code, Chapter 12.4.6.3.2	Doors will be closed and occupants trained to keep doors closed.	NA	12/9/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Police Services and Parking Garage (3600 Mattison Ave) The Police Services and Parking Garage building consists of a four-story open parking structure and a single story police building. The building is classified as a mixed occupancy consisting of existing business and existing storage. Features of fire protection in the parking garage are limited to a standpipe system. Illuminated exit signs and emergency lighting are provided in the stairwells. The Police building has a fire sprinkler system, fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lights.	NA	VIOLATION 1 The parking garage lacks portable fire extinguishers. NFPA 1, Fire Code, Chapter 13.6.2	Extinguishers will be installed throughout the building.	NA	3/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Police Services and Parking Garage (3600 Mattison Ave) The Police Services and Parking Garage building consists of a four-story open parking structure and a single story police building. The building is classified as a mixed occupancy consisting of existing business and existing storage. Features of fire protection in the parking garage are limited to a standpipe system. Illuminated exit signs and emergency lighting are provided in the stairwells. The Police building has a fire sprinkler system, fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lights.	NA	VIOLATION 2 The Police Department report writing room has an extension cord connected to a power strip. NFPA 1, Fire Code, Chapter 11.1.6.2	Extension cord will be removed and power strip connected to a wall outlet.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 1 There are unsealed penetrations in the following rooms. - 6E2 - 6StairA - 5CM1 - 4CM1 - 3StairB - C3M1 - 2E1 - 2CM1 - 2E2 - 2ST1 - 1S T1 - 1CM1 - 1E1 - 3E1 - 4E1 - 5E1 - 6E1 NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	NA	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 2 There are unused openings in the electrical panels in the following rooms. - 6E2 - 5E1 - Riser room - Penthouse air handler NFPA 1, Fire Code, Chapter 11.1.2; NFPA 70, National Electrical Code, Article 408.7	All panel openings will have covers replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 3 There are appliances that are plugged into a surge protector rather than directly into the wall outlet in the following rooms. - 614 - 591 - 594 - 495 - 311 cubicle NFPA 1, Fire Code, Chapter 10.1.7	All appliances will be plugged directly into wall outlets. Outlets will be installed if necessary.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 4 There are sprinkler escutcheons missing or damaged in the following locations. - Room 621 - Room 201 - First floor parking garage NFPA 1, Fire Code, Chapter 4.5.8.1	Sprinkler equipment will be repaired or replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 5 The exit sign on the 6th floor, near the stair is not illuminated. NFPA 1, Fire Code, Chapter 4.5.8.1	The exit sign will be repaired or replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 6 Surge protectors are daisy chained in the following locations. - 5th floor main lobby - Hallway near room 594 - 311 cubicle NFPA 1, Fire Code, Chapter 11.1.6.2	All surge protectors will be plugged directly into wall outlets.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 7 The fire door near room 523 is damaged. NFPA 1, Fire Code, Chapter 12.4.6.9.2	The fire doors will be repaired or removed if it is determined they are no longer necessary.	NA	4/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 8 The fire door near room 451 is obstructed by the carpet and will not close properly. NFPA 1, Fire Code, Chapter 4.5.8.1	The fire doors will be repaired or removed if it is determined they are no longer necessary.	NA	12/23/2016 Revised 05/01/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 9 The fire door near room 584 requires more than 15 pounds to open. The forces required to open the door by manual means shall not exceed 15 lbs to release the latch, 30 lbs to set the door in motion, and 15 lbs to open the door to the minimum required width. These forces shall be applied at the latch stile. NFPA 1, Fire Code, Chapter 14.5.1.5.1	The fire doors will be repaired or removed if it is determined they are no longer necessary.	NA	1/31/2017 Revised 05/01/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 10 The Fire Department Connection (FDC) is obstructed at the front of the building. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4; and 13.1.4.1	A clear path will be created to the FDC.	NA	12/31/2016 Revised 05/10/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 11 The junction box in the penthouse air handler room is missing the cover. NFPA 1, Fire Code, Chapter 11.1.10	Junction box cover will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 12 The sprinkler heads in the following locations have been altered or were inappropriately installed and will not function properly when activated. - 5th floor north lobby - Hall near room 594 NFPA 1, Fire Code, Chapter 4.5.8.1	Sprinkler equipment will be repaired or replaced.	NA	2/28/2017 Revised 05/01/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Student Services Building (1002 Montgomery) The Student Services Building is a two-story structure classified as an existing business occupancy. Features of fire protection include a fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 There is an unsealed penetration in IT room 2E2. NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	12/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 1 An extension cord is used as a replacement for permanent wiring at the second floor reception desk. NFPA 1, Fire Code, Chapter 11.1.7.6	The extension cord will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 2 The group exercise room rear exit is partly blocked by a rack for free weights. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Weight rack will be relocated.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 3 The landing outside the cardio room east exit door has a piece of rebar sticking out of the concrete creating a tripping hazard. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Rebar will be removed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 4 Room 203 door is equipped with a key lock and if locked occupants do not have access to the secondary exit from the second floor. NFPA 1, Fire Code, Chapters 14.5.2.1 and 14.5.2.3	Door hardware will be replaced to prevent anyone from being locked in the room.	NA	3/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	7th Street Strip The 7th Street Strip Building is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station smoke detectors. The building is equipped with illuminated exit signs emergency lighting. Note: At the time of the inspection only unit 3609 was occupied the other sections of the building are undergoing renovations. UNIT 3609 Eric Wear DDS Office	NA	VIOLATION 1 In the corridor closet O2 bottles are stored with an artificial Christmas tree. NFPA 1, Fire Code, Chapter 4.1.3.3.2.1	Christmas tree will be removed.	NA	12/31/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	3633 W. 7th Street - Professional and Continuing Education The 3633 W. 7th Street building is a one-story structure classified as an existing business occupancy. Features of fire protection include a fire alarm system with smoke detection and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 1 The fire alarm system lacks a current inspection label. The last inspection was conducted in July 2015. NFPA 1, Fire Code, Chapter 4.5.8.1	Inspection tags will be properly installed.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	FEB/General Services Building The FEB/General Services Building is a one-story structure classified as an existing business occupancy. Features of fire protection include a complete fire alarm system, full fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The installation label is missing on the fire alarm panel. NFPA 1, Fire Code, Chapter 4.5.8.1	Labels will be properly installed.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	FEB/General Services Building The FEB/General Services Building is a one-story structure classified as an existing business occupancy. Features of fire protection include a complete fire alarm system, full fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 There are combustible materials stored around the gas water heater in room 1J1. NFPA 1, Fire Code, Chapter 10.19.5.	Combustible materials will be removed.	NA	3/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	SEM Building The SEM Building is a one-story structure classified as an existing business occupancy and used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The east exterior exit door by room 139 is a marked exit with an illuminated exit sign but has a sign on the door stating not an exit. (Corrected at the time of the inspection) NFPA 1, Fire Code, Chapter 4.5.8.1	Corrected.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The exit signs throughout the building are not illuminated. NFPA 1, Fire Code, Chapter 4.5.8.1	Exit signs will be repaired or replaced.	NA	1/31/2017	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The junction box in the room 1M1 is missing the cover. NFPA 1, Fire Code, Chapter 11.1.10	Junction box cover will be installed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 There are missing ceiling tiles in room 137. NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Closed
External	AIG, Hartford Steam Boiler Inspection and Insurance Company (HSB), Ramboll Environ. US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Loss Prevention Report, Property All Risk Survey, Ventilation Assessment	UNT	8 reports/audits performed; 16 findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open
External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2017	Governance and Regulatory Compliance	Loss Prevention Report, Healthcare Risk Control	UNTHSC	2 reports/audits performed; no findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-01 Safety: Fire Safety: Portable Fire Extinguishers (Frisco Campus) During this RMPR, SORM noted that the portable fire extinguishers on the Frisco Campus lacked an indication that they are being inspected monthly, as required by the Life Safety Code.	NA	SORM recommends that UNT communicate with the building owner/maintenance personnel to ensure that these inspections are occurring, as required. Inspections must be documented either on each extinguisher's tag or in a separate database or log. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.3.5, 9.9; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 7.2.1.2, 7.2.1.2.1, 7.2.2	UNT will communicate with building owner to ensure that those inspections are occurring.	Shauna Barbato, Assistant Director	1/27/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-02 Safety: Emergency Preparedness: Shelter-in-Place Drill (Frisco Campus) During this RMPR, SORM noted that a shelter-in-place drill had not yet been conducted for this location.	NA	SORM recommends that UNT conduct a drill for this location to include the students to the degree that this is feasible. Identifying the occupancy of specific locations for a shelter in place event prior to an event is good risk management practice and can help improve the current plan in place. Reference: SORM, RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.5	UNT will conduct shelter-in-place drills before the end of the spring semester.	Shauna Barbato, Assistant Director	4/30/2017	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-03 Safety: Fire Safety: Combustible Materials Storage (Frisco Campus) During this RMPR, SORM noted that there were combustible materials such as cardboard boxes and filters being stored beneath an emergency egress stairwell.	NA	SORM recommends that UNT work with the landlord to remove these combustible materials from this area, in accordance with the Fire Code, as referenced below. Reference: NFPA-1 (2015), "Fire Code," Chapter 10.19.4	All combustible materials have been removed.	Shauna Barbato, Assistant Director	12/16/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-04 Safety: Hazard Communication: Safety Data Sheets and Eyewash Station (Pohl Recreation Center (Denton Campus)) During this RMPR, SORM noted that in room #39, the "pool room" in the Pohl Recreation Center, there were hazardous chemicals being stored and utilized relative to the maintenance of the swimming pools. However, the Material Safety Data Sheets were not current and no eyewash station was present even though the MSDs for these chemicals indicated the need for an eyewash station.	NA	SORM recommends that the university install an eyewash station in this room and ensure that all the chemicals have their current Safety Data Sheets from the manufacturer or distributor, as required by federal law. References: OSHA, 29 CFR 1910.1200, "Hazard Communication;" OSHA, 29 CFR 1910.151 (c); ANSI/ISEA z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	UNT will install an eyewash station and update the SDS sheets.	Scott Dunkle, Program Director for Environmental Risk	2/28/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-05 Safety: Hazard Communication: Safety Data Sheets and Eyewash Solution (Union Building (Denton Campus)) During this RMPR, SORM noted that in Paint Room #121 in the Union Building, paints and other hazardous chemicals were being stored. However, there were no Safety Data Sheets present for these chemicals. In addition, it was noted that the room is utilized by various student groups, and there is a procedure for signing up to access the room for various projects. There is an eyewash station within walking distance of the room itself.	NA	SORM recommends that the university maintain SDS's for all chemical substances in the room, and ensure that any groups using the room temporarily possess and follow the instructions of the SDS's for the hazardous substances they will be using. The university should measure the distance from the room to the eyewash station, and if it is less than 10-seconds walking-distance (as per the language in the ANSI standard), the university should install a portable, auxiliary eyewash bottle in the room to assist the injured person while moving to the eyewash station. If the eyewash station is further away than this, then a plumbed or self-contained eyewash station should be installed in the room, in accordance with the ANSI standard referenced below. References: OSHA, 29 CFR 1910.1200, "Hazard Communication;" OSHA, 29 CFR 1910.151 (c); ANSI/ISEA z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	UNT will install a mobile eyewash station and add SDS sheets for any hazardous materials.	Scott Dunkle, Program Director for Environmental Risk	2/28/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-06 Safety: Fire Safety: Avesta Kitchen (Union Building (Denton Campus)) During this RMPR, SORM noted that in the "Avesta" kitchen in the Union Building several metal caps were hanging from the fire-suppression nozzle heads, and some nozzles were missing their "O-rings." This indicates a level of grease accumulation that will prevent the fire suppression system from operating as intended during a fire. Additionally, it was noted that the manual activation ("pull") stations were not marked, as required by the Fire Code.	NA	SORM recommends that the university mark the pull stations to indicate which part of the system each one controls, and establish a cleaning schedule for the nozzle heads such that grease does not accumulate in them in significant amounts. References: NFPA-1 (2015), "Fire Code," Chapters 50.4, 50.4.7.1, 50.5.6, 50.5.6.1, 50.5.6.3	O-rings will be replaced on fire-suppression nozzles and all metal caps will be inspected to ensure nozzles are positioned correctly. A cleaning schedule will be established to ensure the fire-suppression nozzle heads do not accumulate a significant amount of grease. The manual activation ("pull") stations will be marked to indicate which part of the system each one controls.	Vickie Coffey, Health and Food Safety Officer	2/28/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-01 Safety: Fall Protection: Ladder Cage SORM noted during the consultation that the metal ladder secured to the wall beneath the grating in the sidewalk between the RES Building and the Library leading down to the transformer pit was missing a required cage.		17-10-01 Safety: Fall Protection: Ladder Cage SORM recommends that the university install an OSHA-compliant cage to this ladder, as per the standard referenced below. Reference: OSHA, 29 CFR 1910.127 and 1910.127(d)(1)(ii)	NA	Matthew Moncus, Director for the Safety Office	3/31/2017 Revised 05/01/2017	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-02 Safety: Electrical Safety: Open Junction Boxes (EAD Building, Rooms 3M4, 5M3) SORM noted during the consultation that junction boxes in rooms 3M4 and 5M3 in the EAD Building contained uncovered ("open") junction boxes.		17-10-02 Safety: Electrical Safety: Open Junction Boxes (EAD Building, Rooms 3M4, 5M3) SORM recommends that the university cover these junction boxes as required by the National Electrical Code, referenced below. Reference: NFPA-70 (2017), "National Electrical Code," Chapter 3, Article 314.28 C	The electricians are checking all junction boxes for covers.	Matthew Moncus, Director for the Safety Office	12/8/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-03 Safety: Electrical Safety: Electrical Panelboards (EAD Building, room 6M5) SORM noted during the consultation that in room 6M5 of the EAD Building, some of the circuit breakers appeared to be warmer than normal and the circuit breakers were not labeled to indicate what they controlled. These panelboards were: 6LN1, 6LN2, 6LN4, 6LN8, and 6LN9. Of specific concern were circuit breakers 14, 16, and 18 in these panelboards.		17-10-03 Safety: Electrical Safety: Electrical Panelboards (EAD Building, room 6M5) SORM recommends that the university determine (either via maintenance staff or with the contracted vendor(s)) what each circuit breaker controls and label it as such on the panelboard manifest, as required by the below-referenced National Electrical Code. Reference: NFPA-70 (2017), "National Electrical Code," Chapter 4, Article 408.4 A	The electricians are evaluating the loads of each of these panelboards and labeling them appropriately.	Matthew Moncus, Director for the Safety Office	1/31/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-04 Safety: Fire Safety: Combustible Materials in Mechanical Rooms (EAD Building, room 8M6) SORM noted during the consultation that in mechanical room 8M6 of the EAD Building, the university was storing combustible materials.		17-10-04 Safety: Fire Safety: Combustible Materials in Mechanical Rooms (EAD Building, room 8M6) SORM recommends that the university ensure that no combustible materials are stored in mechanical rooms, except for materials and supplies for the operation and maintenance of the equipment in the room, as per the below-referenced Fire Code. Reference: NFPA-1 (2015), "Fire Code," Chapters 10.18.5.1 and 10.18.5.2	Materials have already been removed.	Matthew Moncus, Director for the Safety Office	12/2/2016	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-05 Safety: Fire Safety: Electrical Panelboard Cleaning (PCC Building, room 1E1) SORM noted during the consultation that in the Patient Care Center (PCC Building), room 1E1, there is a significant accumulation of dust, including within the electrical panelboards located in this room.		17-10-05 Safety: Fire Safety: Electrical Panelboard Cleaning (PCC Building, room 1E1) SORM recommends that the university establish a cleaning schedule for this room and these electrical panelboards such that dust does not accumulate to a significant degree, as required by the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.303(b)(1)	Cleaning will be included as a part of regular maintenance on the panelboards.	Matthew Moncus, Director for the Safety Office	1/31/2017	Closed
External	Tarrant County	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Fiscal Monitoring Review	UNTHSC	Tarrant County reviewed all expenditures for May-June 2016. No findings or recommendations.	NA	None	None	NA	NA	NA
External	Health Resources and Services Administration (HRSA)	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Fiscal Program Monitoring Review	UNTHSC	The primary scope of this on-site visit was to review program objectives and progress. OGCM met with HRSA for 30 minutes making introductions and providing a brief overview of organization and processes.	NA	None	None	NA	NA	NA
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The corridor fire doors by room 266 B do not close and latch properly. NFPA 1, Fire Code, Chapter 12.4.6.9.2(6) and (8)	UNT will repair doors to latch properly.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Room 355 Security closet - Apartment 280 Hole in ceiling by entrance door - Room 412 unsealed and improperly sealed mineral wool not secured in place by fire calking. NFPA 1, Fire Code, Chapter 12.7.5.1 and 12.3.3.1	UNT will properly seal penetrations.	NA	2/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Multipurpose room 270 A/B has an occupant load in excess of 49 people and lacks the required exit signs. NFPA 1, Fire Code, Chapters 20.1.4.7.1 and 14.14.1.1	UNT will install exit signs	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 There is a dead end corridor on both the second and third floors that exceed the allowable distance of 50 feet. The corridors measured 64 feet long. On the second floor rooms 228 and 229 cannot be normally occupied. The third floor rooms 328 and 329 cannot be normally occupied due to the excessive dead-end corridor distance. Note: Rooms no longer being used. NOTE: The violation was noted several inspection cycles ago by the SFMO and the university was instructed at that time they were not to use these rooms. During this inspection it was observed the rooms were again being used. The Housing Staff stated the Risk Management Department told them since the building was retro fitted with a fire sprinkler system the rooms could now be used. THE SFMO instructed the university the rooms cannot be used, the code does not allow dead end corridors to exceed 50 feet in unsprinklered or sprinklered buildings. The university was ordered to lock the rooms and post signs the rooms are not to be occupied by order of the State Fire Marshal's Office. NFPA 1, Fire Code, Chapter 14.10.1.5; and NFPA 101, Life Safety Code, Chapter 29.2.5.5	Completed. Rooms are no longer being used.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The stairwells have HVAC vent ducts penetrating the exit enclosure in approximately 12 locations. NFPA 1, Fire Code, Chapter 14.3.1(10)	Completed. Vents are closed.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Paneling is applied to the walls located in the first floor business office corridor that does not meet class A or B interior finish requirements. NFPA 1, Fire Code, Chapter 20.13.3.2.1	UNT will replace paneling.	NA	4/3/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The First floor A/C 3 room has an unsealed floor penetration. NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The door separating the business occupancy from the dormitory occupancy lacks a fire rating. Provide documentation this door is not located in a fire wall. NFPA 1, Fire Code 6.1.14.4.1(a)	UNT will provide documentation.	NA	8/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 The stairwell fire door on the third floor center stairwell has a continuous hinge and does not have UL listing information on hinge NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UNT will label the hinge.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 The emergency egress floor plans are incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Fire doors in the following locations are damaged or missing parts. - B wing third floor stairwell door holes in door - B wing third floor broken wired glass panel - B wing second floor holes in door - Corridor fire door by room 146 missing latch plate and holes in door from old door hinge mount - B wing first floor holes in door and vent cut in door NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1) (4)	UNT will repair doors and/or replace missing parts.	NA	2/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 HVAC vents for the building system are located in the stairwells. (6 stairwells x 3 floors) NFPA 1, Fire Code, Chapter 14.3.1 (10) (d)	Completed. All vents have been sealed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Unsealed or improperly sealed penetrations are present in the following locations. - C wing south stairwell unsealed penetration conduit for smoke detector - Custodial closet A wing - Corridor by room 379 hole in ceiling - Mechanical room A/C 7 improper material used to seal penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The First floor corridor fire door by mechanical room A/C 3 has a ventilation grate cut in the bottom half of the door. The door is no longer a UL listed fire door assembly. Additionally the door is missing the door latch cover plate. NFPA 1, Fire Code, Chapters 12.4.6.9.1 and 12.4.6.9.2(10) (4)	UNT will replace door.	NA	8/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The emergency egress floor plans are incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Unsealed or improperly sealed penetrations are present in the following locations. - Room A743 Several unsealed penetrations - Room A763A Several unsealed penetrations - Mechanical room 643A Several unsealed penetrations - Mechanical room 641A Unsealed sprinkler pipe and - Electrical room next to 641A floor conduit sealed with non-fire rated yellow spray foam used - Room 631A Floor penetrations - Mechanical room 563A non-fire rated yellow spray foam used - Mechanical room 543A non-fire rated yellow spray foam used - Room 541A non-fire rated yellow spray foam used - Room 531A Several unsealed penetrations - Mechanical room 505A non-fire rated yellow spray foam used - Room 507A Floor conduit unsealed - Room 463A non-fire rated yellow spray foam used - Mechanical room 443A non-fire rated yellow spray foam used - Electrical room next to 441A non-fire rated yellow spray foam used - Room 405A non-fire rated yellow spray foam used - Room 363A non-fire rated yellow spray foam used	UNT will seal penetrations.	NA	5/1/2017	All SFMO recommendations are open until next SFMO visit.
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 The corridor sprinkler head by room 236A is missing the escutcheon. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will order new escutcheons, may have to replace sprinkler heads if escutcheons cannot be located due to sprinkler head age	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The cafeteria has a posted occupant load of 203 people. The main entrance doors have keyed deadbolts with thumb latches. Doors serving occupant loads of 100 or more shall be supplied with panic hardware or fire exit hardware only. NFPA 1, Fire Code, Chapter 14.5.3.4.2	UNT will install panic hardware.	NA	4/3/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The kitchen flame broiled grill is on wheels and lacks an approved method to insure the appliance is in the approved design location. NFPA 1, Fire Code, Chapter 50.6.1.2.3.1	Seal tech will install stops to position the equipment.	NA	4/3/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 Pizza conveyer type oven is open and produces grease laden vapors and is not protected by the UL-300 Wet chemical system. NFPA 1, Fire Code, Chapter 50.4.3.2	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 The pizza conveyer oven is not located under the vent a hood as required. NFPA 1, Fire Code, Chapter 50.2.1.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 8 The storage room located next to the boiler room off the loading is not protected by the building fire sprinkler system. NFPA 1, Fire Code, Chapter 13.3.1.2 and 13.3.2.26.2	UNT will add sprinkler coverage.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 9 The sprinkler system hydraulic calculation plate is unreadable. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will have the plate re-made.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Sprinkler heads are missing the escutcheons in the following locations. - Room 801B - Laundry room 719B two heads NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will order new escutcheons, may have to replace sprinkler heads if escutcheons cannot be located due to sprinkler head age.	NA	3/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Mechanical room 522B non fire rated yellow spray foam used - Mechanical room 402B non fire rated yellow spray foam used - Storage room 301B hole in ceiling NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Both stairwells discharge into the building interior on the first floor. Not less than fifty percent of the exits shall discharge directly to the exterior of the building. NFPA 1, Fire Code, Chapter 14.11.2(1)	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The following corridors have fiberglass reinforced plastic (FRP) ceiling panels installed in the drop ceiling grids. Documentation was not available at the time of the inspection that FRP ceiling tiles meet class A or B interior finish requirements for use in corridors. - F wing second floor - B wing first floor - B wing second floor - C wing second floor - C wing first floor - A wing second floor - D wing first floor - D wing second floor - D wing third floor NFPA 1, Fire Code, Chapter 20.8.3.3(2)	FRP will be replaced w/acoustical ceiling tile	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - FC-2 Mechanical room non rated yellow spray foam - F220 IT room 4 inch conduit floor and ceiling - E226 IT room 4 inch conduit floor and ceiling - A/C H8 room F321 floor non rated yellow spray foam NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	4/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Stairwell fire rated doors at the following locations have holes in the door. - Stairwell C third floor - Stairwell D second floor NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1)	UNT will seal hole in doors.	NA	4/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 Mechanical room B132 has an extension cord wired into the HVAC controller to supply power to the unit. NFPA 1, Fire Code, Chapter 11.1.2	UNT will replace extension cord with a permanent solution.	NA	4/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The corridor fire door by room C123 has a ventilation grate installed in the bottom of the door. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(10)	UNT will replace door.	NA	4/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 Stairwell signage is missing in the following locations. Stairwell signs are not required by code in this existing building however since signs have been installed they must be maintained. - D corridor south third floor - F wing west stairwell third floor - A wing west stairwell third floor - A wing south stairwell second floor - F wing west second floor - B wing south stairwell second floor - E wing corridor across from room 201 - D wing south stairwell first floor NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will replace signs.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The center stairwell first floor has an unsealed penetration around the security camera wire. NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal the penetration.	NA	2/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Fire extinguishers in the following locations lack a current annual inspection tag. - Storage room 2162 last inspection January 2008 - Laundry room 1116 last inspection July 2009 - Room 3207 last inspection June 2013 - Storage room 3280 last inspection September 2014 - IT room 2250 no inspection tag on extinguisher, year of manufacture 2004 - Communications room 2210 last inspection June 2010 - IT room located off mechanical room 2280 no inspection tag on extinguisher, year of manufacture 2004 NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. All extinguishers have been removed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The fire alarm control panel is displaying the following trouble signals. <input checked="" type="checkbox"/> Missing detector <input checked="" type="checkbox"/> Pre-alarmF1 #1 elevator <input checked="" type="checkbox"/> Mechanical room 1176 NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. UNT replaced detector and reset panel.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 The corridor travel distances between fire alarm pull stations exceeds the maximum 200 feet travel distance between pull stations. Corridor distance was measured to be 366 feet. NFPA 1, Fire Code, Chapter 13.7.1.4.8.5	Completed. UNT installed pull station.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 Unsealed or improperly sealed penetrations are present in the following locations. - Fire pump room unsealed penetrations - Custodial closet room 4116 unsealed penetrations - Storage room 4152 unsealed penetrations - Custodial closet room 44176 unsealed penetrations - IT room 2114 unsealed penetrations - IT room 2116 unsealed penetrations - IT room 2152 unsealed penetrations - IT room 2162 unsealed penetrations - Storage room 3212 unsealed penetrations - Laundry room 1116 unapproved yellow spray foam - Housing security room off mechanical room 2280 unsealed penetrations - Room 2250 unsealed penetrations - Room 2248 unsealed penetrations - Room 2212 unsealed penetrations - Room 2210 unsealed penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 Covers are missing off electric door controller panels and splice boxes for the exhaust controls in mechanical room 2280. NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace covers.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 Housing security room located off mechanical room 2280 has a power strip plugged into a UPS. NFPA 1, Fire Code, Chapter 11.1.6.2	UNT will develop a permanent solution.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 8 In room 2250 an extension cord is used to power a UPS unit. NFPA 1, Fire Code, Chapter 11.1.7.6	UNT will develop a permanent solution.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 9 The first floor elevator lobby fire doors lack vertical bottom rods and floor latching points or fire pins. (4 sets) NFPA 1, Fire Code, Chapter 12.4.1; and NFPA 80 Standard for Fire Doors and Other Opening Protectives, Chapter 4.6.3.1	UNT will replace vertical bottom rods and add floor latching points.	NA	3/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 10 Mechanical room 2280 has storage of materials not related to mechanical equipment operation. These items include but not limited to mop buckets, mops, paint, furniture, ceiling tiles. NFPA 1, Fire Code, Chapter 10.19.5.1	UNT will remove those materials.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The penthouse attic area lacks sprinkler protection and is used for storage of combustible material. NFPA 1, Fire Code, Chapters 13.3.2.16.2 and 10.19.6	UNT will remove combustible material.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 The third floor elevator lobby doors do not latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(8)	UNT will adjust closure.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - IT closet 324, 377 277,224, 124 4 inch conduits not sealed - Room 373 ceiling penetrations - Room H205 4 inch conduit not sealed - Six electrical rooms throughout the building 3/4 inch conduit not sealed NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	2/1/2017	All SFMO recommendations are open until next SFMO visit.
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 3 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 4 The third floor stairwell 3.2 panic bar lacks a label indicating the bar is UL listed fire exit hardware. NFPA 1, Fire Code, Chapter 14.5.3.4.2	UNT will install fire rated device.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 5 Stairwells are missing the stairwell identification signs in the following locations. - Stairwell 2.5 - Center stairwell first floor NFPA 1, Fire Code, Chapter 10.12.3.	UNT will add signage.	NA	3/1/2017	All SFMO recommendations are open until next SFMO visit.
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 6 In room 149 a new drop ceiling has been installed. The sprinkler heads have not been relocated below the new ceiling. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will move sprinkler head into new ceiling.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 7 Elevator lobby fire doors are on electronic hold open devices and lack the required smoke detectors within five feet of the doors. NFPA 1, Fire Code, Chapter 14.5.4.1(3)	Completed. UNT installed smoke detectors.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 1 The three fire sprinkler risers are yellow tagged since December 2015. Tags state gauges, not replaced or 5 year calibration". NFPA 1, Fire Code, Chapter 13.3.3.2	Completed. UNT replaced gauges.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Telephone room unsealed ceiling and floor penetrations - Cable TV room unsealed ceiling and floor penetrations - Room ST3H - Corridor outside room 222 - Room A/C2A - Main electrical room first floor above main switch gear not properly sealed unapproved material NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 3 Emergency lights failed to operate when tested in the following locations. - Stairwell B third floor - Corridor by room 203 NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair or replace emergency lights.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 4 Sprinkler heads are missing escutcheons in the following areas. - Stairwell A third floor - Room ST3H NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will reinstall escutcheon.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 5 Fire doors in stairwell B on the first floor lack a UL listed fire rating label or label from another recognized testing lab. NFPA 1, Fire Code, Chapter 12.7.3.2.2	Install fire rated hardware	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 6 Mechanical room and custodial closet are located off stairwell normally unoccupied spaces shall not enter into an exit enclosure. The mechanical room requires a one hour rated fire door separation from the exit enclosure NFPA 1, Fire Code, Chapter 14.3.1. (9) (10) and 14.3.1.9 (C)	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 7 Storage located by room 227 has a single cylinder dead bolt lock installed with the key side located inside the room and a thumb latch on the exterior side. Occupants can be locked inside the room. NFPA 1, Fire Code, Chapters 4.4.3.1.2, 14.5.2.1 and 14.5.2.3	UNT will reverse door hardware.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 8 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 The emergency egress floor plan diagram signs are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 The sprinkler system hydraulic calculation place is missing from the riser. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will have hydraulic plates redone and installed.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 3 The penthouse area lacks sprinkler system coverage and is used for combustible storage. NFPA 1, Fire Code, Chapters 13.3.2.16.2 and 10.19.5.1	UNT will remove combustible storage.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 1 The South East side of the building exterior walkway has dead ends on the second and third floor in excess of the allowed 20 foot maximum allowed. (2014 Violation) NFPA 1, Fire Code, Chapter 14.10.3.4; and NFPA 101, Life Safety Code, Chapters 31.2.5.1, 31.2.4.1, 7.5.3.3 and 7.5.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 2 The mechanical chase areas have unsealed or improperly sealed penetrations. (2014 Violation) NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 3 The emergency light failed to operate when tested in the Computing Center by main entrance. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair or replace emergency light.	NA	2/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 4 The building lacks exterior emergency lighting for second floor egress. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapters 31.2.9 and 7.9	UNT will add exterior lighting and exits signage.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 5 The fire alarm control panel is indicating troubles on the system. (Power supply) NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair power supply.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 6 The computing center east exit store front glass doors have curtains installed on the doors making the doors blend in with the store front windows that also have curtains installed. NFPA 1, Fire Code, Chapter 14.4.2.1	Completed. UNT removed curtains.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 7 Documentation was not available at the time of the inspection that the carpet installed on the walls in the computing center has been tested and approved for vertical wall application. Carpet installed on walls or ceilings shall meet class A requirements and in accordance with the requirements of NFPA 1 Fire Code. Manufactures documentation shall be supplied indicating the carpet has been tested in accordance with NFPA 1 approved testing methods and meets or exceeds the code standard. NFPA 1, Fire Code, Chapter 12.5.5.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 1 Sprinkler protection is missing in the following locations. - Kitchen walk in Cooler #2 no sprinkler protection - Fire Pump room no sprinkler protection - RESNET room second floor off mechanical room A/C3 no sprinkler protection - Twelve mechanical rooms lack sprinkler protection under duct work that exceeds 4 feet wide - First floor A/C 1A room incomplete sprinkler coverage NFPA 1, Fire Code, Chapter 13.3.1.2	UNT will add sprinkler protection.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 2 The east, west, north and south stairwells on floors one through three have a chase in the stairwell with cover plates that lack the required 1 hour fire rating. (14 locations) NFPA 1, Fire Code, Chapter 14.3.1(1)	UNT will replace access panels w/ fire rated panels.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 3 The corridor smoke door by room 612 does not close properly. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will adjust closure.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 4 The stairwells have HVAC vents penetrating the exit enclosure. (18 locations) NFPA 1, Fire Code, Chapter 14.3.1(10)	Completed. UNT sealed vents.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 5 The first floor east stairwell door has holes in the door from a previous hinge. NFPA 1, Fire Code, Chapter 12.4.6.9.2(1) (d)	UNT will seal holes in door or replace door.	NA	2/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 6 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms.. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 7 Unable to verify that the building is supplied with the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1)	UNT will verify that the building is supplied with emergency lighting.	NA	2/1/2017	All SFMO recommendations are open until next SFMO visit.
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 8 In the kitchen walk in cooler number 1 spray foam is on the sprinkler head. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will replace sprinkler head fixture.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 9 The kitchen commercial cooking appliances wet chemical suppression system has an enclosed appliance with a discharge nozzle located above it. The cooking appliances have been moved since the original installation and this nozzle no longer covers any open equipment. Upon discharge of the system this nozzle will spray wet chemical on the floor. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 10 The cafeteria emergency exit door threshold is raised approximately four inches above the floor level creating a trip hazard to occupants exiting the building. NFPA 1, Fire Code, Chapter 14.1; and NFPA 101 Life Safety Code, Chapter 7.2.1.3.4	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 11 The main mechanical room has an open electrical splice box. NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace cover.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 Corridor smoke or fire doors in the following locations are held in the open position by electric hold open devices but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. - Double smoke doors by SRID3 NFPA 1, Fire Code, Chapter 14.5.4.2(3)	Completed. UNT added smoke detectors.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Room A/C 7 Unsealed and unapproved yellow spray foam used - Room A/C 9 unapproved yellow spray foam used - Room A/C 6 unapproved yellow spray foam used - Room A/C 5 has an 18" x18' hole in wall covered with plywood and unapproved yellow spray foam used NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 3 Unable to verify building is equipped with the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 29.2.9.1	Completed. UNT added sticker to fixture stating emergency light.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 4 The MAC room lacks emergency lighting. Inspection Number RRO15029B Revised 12/2014 Page 19 of 24 NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 29.2.9.1	Completed. UNT added emergency lighting.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 5 The first floor corridor fire doors have an electronic locking device installed. Documentation was not available to indicate the device is UL listed for use on fire doors. NFPA 1, Fire Code, Chapter 14.5.2.6(6)	Completed. UNT added rating.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 6 The stage lighting wires have a section where the plug has been pulled away from the outer protective sheath exposing the wiring. NFPA 1, Fire Code, Chapter 11.1.2	UNT will replace wiring.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 7 The stand-pipe system lacks an annual inspection tag. NFPA 1, Fire Code, Chapter 13.2.3.3	UNT will inspect stand-pipe system.	NA	3/1/2017	All SFMO recommendations are open until next SFMO visit.
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 8 The emergency egress floor plan diagram signs are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 9 Room A140A is being used as a wood shop. Saw dust was observed on work benches and the floor. This room is located directly off an assembly space and lacks the required two hour rated construction separation between industrial occupancy and assembly occupancy. Discontinue use of this room as a wood shop or other industrial type occupancy. NFPA 1, Fire Code, Chapter 6.1.14.4.1	AHJ will need to determine outcome.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 10 In room AC6 permanent wiring has been abandoned in place, it is undetermined if the wiring is live or terminated. NFPA 1, Fire Code, Chapter 11.1.4	UNT will remove wiring.	NA	2/1/2017	All SFMO recommendations are open until next SFMO visit.

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 11 In McConnell Café the designated exit is marked with signage that states "DO NOT GO THROUGH THIS DOOR". NFPA 1, Fire Code, Chapter 4.5.8.1	Signage to read "Emergency Access Only"	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 12 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 The basement area located under the kitchen has only one means of egress and was formally considered a normally unoccupied space that was used for storage only. Two offices and a large dishwashing unit have been installed in the area. This changed the area use to a normally occupied area since employees now work in the space and a second approved means of egress is now required. (2013 violation) NFPA 1, Fire Code, Chapter 14.9.1.1	In progress, just received final proposal for kitchen basement egress from contractor and are in process of briefing statement and requesting PO.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 Corridor smoke or fire doors in the following locations are held in the open position by electric hold open devices but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. - Corridor smoke door third floor by room A325 - Corridor smoke door by room C221 - Corridor fire door by room A201 - Corridor smoke door by room B205 - Corridor fire door by room B222 - Corridor fire door by room B101 NFPA 1, Fire Code, Chapter 14.5.4.2(3)	Completed. Added smoke detectors.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 3 Fire door assemblies in the following areas lack UL listed fire rating labels or labels from another recognized testing lab. - Fire door and frame fourth floor - Fire door B wing west stairwell third floor - Fire door second floor "B" wing NFPA 1, Fire Code, Chapter 12.7.3.2.2 and 12.7.3.1	UNT will rate doors.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 4 Sprinkler protection is missing in the following locations. - Electrical room D458 - Electrical closet D wing - Sherwood lounge storage closet - Second floor IT closet - Second floor electrical room by dumb waiter - Second floor "B" wing IT room - First floor electrical room A wing - First floor "A" wing electrical room - Second floor "A" wing IT room - Basement music practice room enclosed cubes NFPA 1, Fire Code, Chapter 13.3.1.2	UNT will add sprinkler coverage.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 5 Unsealed or improperly sealed penetrations are present in the following locations. - Room D460 unsealed penetrations - Custodial room across from room 2029 unsealed penetrations - "D" wing electrical closet unsealed penetrations - Storage room by room B310 unsealed penetrations - Room 2073 unsealed and improperly sealed penetrations floor, ceiling and wall - Storage closet across from room C210 unsealed penetrations - "A" wing second floor ice machine room unapproved yellow spray foam - Second floor IT closet unsealed penetrations - "B" wing second floor custodial closet unsealed penetrations - "A" wing second floor laundry room unsealed four inch conduit - Closet across from room A211 unsealed penetrations - Closet across from A110 unsealed penetrations - Custodial closet by room A101 unsealed penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 6 The emergency egress floor plans are missing or incorrect and need to be redone. Inspection Number RRO15029B Revised 12/2014 Page 22 of 24 NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 8 Fire and smoke doors in the following areas do not close properly. - Corridor smoke door by room A325 - Fourth floor stairwell fire door "D" wing - Corridor smoke door by room C301 - Near B222 - Near A201 - Near A121 NFPA 1, Fire Code, Chapter 12.9.4.1, 12.4.6.9.1 and 12.4.6.9.2(6)	UNT will adjust doors.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 9 The fire alarm control panel is displaying system troubles. NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. UNT cleared panel trouble codes.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 10 The kitchen UL 300 wet chemical fire suppression system for the Combi oven and grill is red tagged since December of 2015, the tag states "No electric shutdown". NFPA 1, Fire Code, Chapter 50.4.6.1	Shunt trip added. Contacting Fire Systems for red tag	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 11 The kitchen fryer unit is on wheels and lacks an approved method to determine the unit is in the proper design location. NFPA 1, Fire Code, Chapter 50.6.1.2.3.1	Seal Tech will add stops to designate position of equipment.	NA	3/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 13 The portable fire extinguisher located by the dishwasher in the basement has the pin pulled. NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. UNT replaced pin.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 14 The basement stairwell from the kitchen area lacks a rated enclosure. The stairs are open at the top and bottom. Currently this is the only means of egress from the basement area. (See FINDING 1) NFPA 1, Fire Code, Chapter 14.6.1.1 and 14.3.1	TMA 12954-music basement egress was part of this project-completed last year. Just received final proposal for Kitchen Basement Egress from contractor and are in process of briefing statement and requesting PO	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 15 In the Jon Collins room there is a battery operated smoke alarm on the wall that failed to operate when tested. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair or replace smoke detector.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 16 The Jon Collins room exterior double exit doors have the right side leaf locked with dead bolts and the right side door leaf only provides a 24 inch exit width. The minimum exit width for existing buildings shall not be less than 28 inches clear width. NFPA 1, Fire Code, Chapter 14.8.3.4.1.2	Completed.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 18 At stairwell 1.1 on the first floor of "A" wing, the double fire doors are missing the center mullion rendering the doors unable to latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(4)	Completed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 19 An extension cord is used as a replacement for permanent wiring on the second floor in the "A" wing IT closet server rack. NFPA 1, Fire Code, Chapter 11.1.7.6	UNT will develop a permanent solution.	NA	3/1/2017	All SFMO recommendations are open until next SFMO visit.
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 20 Electrical splice box are missing covers in the following: - B wing janitorial closet - Storage closet near A211 NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace missing covers.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 21 A vent has been installed in the bottom of fire rated door of the laundry room. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(10)	UNT will replace door.	NA	5/1/2017	Open

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External	US Department of Justice	Fiscal Year 2017	Governance and Regulatory Compliance	National Institute of Justice (NIJ) Capacity Enhancement and Backlog Reduction Program Desk Review	UNTHSC	None	NA	None	NA	NA	NA	NA
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Room 419A has a sprinkler head loaded with dust. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will remove dust.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 Stairwell B on the fourth floor is missing the stairwell identification sign. NFPA 1, Fire Code, Chapter 10.12.3.1	UNT will add the missing identification sign.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 12 The fire alarm control panel indicates a trouble on the system. (Due to ongoing air handler unit replacement). NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will evaluate the best course of action for completion.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 13 The corridor illuminated exit sign by room 360A is not operational. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will repair exit sign.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 14 The corridor sprinkler head by room 236A is missing the escutcheon. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will replace escutcheon.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 16 The following rooms have multi outlet adapters installed. ☒ Room 225A ☒ Room 237A NFPA 1, Fire Code, Chapter 11.1.5.2	Completed.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 17 Room 401A has a ceiling fan missing the cover plate exposing electrical wiring. NFPA 1, Fire Code, Chapter 11.1.10	Facilities will replace the cover plate.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 18 Documentation was not available at the time of the inspection that the carpet installed on the walls in room 362A has been tested and approved for vertical wall application. Carpet installed on walls or ceilings shall meet class A requirements and in accordance with the requirements of NFPA 1 Fire Code. Manufactures documentation shall be supplied indicating the carpet has been tested in accordance with NFPA 1 approved testing methods and meets or exceeds the code standard. NFPA 1, Fire Code, Chapter 12.5.5.1	UNT will evaluate the best course of action for completion.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 19 The portable fire extinguisher at the first floor front desk lacks a current inspection tag. The last inspection is dated April 2014. Additionally the extinguisher is sitting on the back countertop and requires a mounting location. NFPA 1, Fire Code, Chapter 4.5.8.1	Extinguisher was inspected and tag was added.	NA	NA	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 20 The kitchen flame broiled grill is on wheels and lacks an approved method to insure the appliance is in the approved design location. NFPA 1, Fire Code, Chapter 50.6.1.2.3.1	UNT will install wheel locating device.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 21 Pizza conveyer type oven is open and produces grease laden vapors and is not protected by the UL-300 Wet chemical system. NFPA 1, Fire Code, Chapter 50.4.3.2	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 22 The pizza conveyer oven is not located under the vent a hood as required. NFPA 1, Fire Code, Chapter 50.2.1.1	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 23 The Combi smoker unit has a flexible extension cord wired to power the unit. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace extension cord with a permanent solution.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 24 The portable fire extinguisher located in the kitchen grill area lacks a current inspection tag. The last inspection was conducted in April 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities inspected fire extinguisher and added tag.	NA	NA	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 26 The following locations have a hasp and pad lock installed on the exterior side of the doors. ☒ Walk in cooler #1 (protein cooler) in the kitchen area. ☒ Outside entrance to the boiler room by loading dock NFPA 1, Fire Code, Chapter 14.5.2.1 and 14.5.2.3	UNT will remove locks from exterior.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 27 The storage room located next to the boiler room off the loading is not protected by the building fire sprinkler system. NFPA 1, Fire Code, Chapter 13.3.1.2 and 13.3.2.26.2	Facilities will install sprinkler head.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 28 The FDC for the standpipe system is blocked by carts. NFPA 1, Fire Code, Chapter 13.1.4	UNT will remove carts.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 29 The sprinkler system hydraulic calculation plate is unreadable. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will create a new plate.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 Laundry room 665A has a sprinkler head loaded with dust and lint. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will remove dust and lint.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 30 Documentation was not available at the time of the inspection that the egg crate style foam installed on three walls in room 762A meet class C flame spread and smoke development requirements, is tested for vertical installation and is in accordance with the testing requirements of NFPA 1 Fire Code. Manufactures documentation shall be supplied indicating the foam has been tested in accordance with NFPA 1 approved testing methods and meets or exceeds the code standard. NFPA 1, Fire Code 12.5.5.3	Facilities will provide documentation.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 Room 663A has an electrical splice box missing a cover. NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace cover.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 Laundry room 661A has spring hinges that do not close the door. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will adjust doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Stairwell C fire door on the sixth floor has a door sweep installed that is keeping the door from closing. NFPA 1, Fire Code, Chapter 12.4.6.9.2 (6)	Facilities will repair door sweep.	NA	8/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Egress corridors on floors two, three, four, five, six and seven have multiple small holes in the ceiling due to the removal of IT wireless points. NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly fill holes.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 Room 621A has an extension cord used as a replacement for permanent wiring. Additionally the cord is run under a rug. NFPA 1, Fire Code, Chapters 11.1.7.6 and 11.1.7.5	UNT removed extension cord.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The emergency egress floor plans are missing from the back of the room doors in the following locations. ☐ Room 437A ☐ Room 431A NFPA 1, Fire Code, Chapter 20.8.2.4.1	Floor plans will be created and added to the back of the room doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Unsealed or improperly sealed penetrations are present in the following locations. - Room A743 Several unsealed penetrations - Room A763A Several unsealed penetrations - Mechanical room 643A Several unsealed penetrations - Mechanical room 641A Unsealed sprinkler pipe and - Electrical room next to 641A floor conduit sealed with non-fire rated yellow spray foam used - Room 631A Floor penetrations - Mechanical room 563A non-fire rated yellow spray foam used - Mechanical room 543A non-fire rated yellow spray foam used - Room 541A non-fire rated yellow spray foam used - Room 531A Several unsealed penetrations - Mechanical room 505A non-fire rated yellow spray foam used - Room 507A Floor conduit unsealed - Room 463A non-fire rated yellow spray foam used - Mechanical room 443A non-fire rated yellow spray foam used - Electrical room next to 441A non-fire rated yellow spray foam used - Room 405A non-fire rated yellow spray foam used - Room 363A non-fire rated yellow spray foam used	UNT will seal penetrations.	NA	5/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	Finding 1 Sprinkler heads are missing the escutcheons in the following locations. - Room 801B - Laundry room 719B two heads NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will replace missing escutcheons.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Both stairwells discharge into the building interior on the first floor. Not less than fifty percent of the exits shall discharge directly to the exterior of the building. NFPA 1, Fire Code, Chapter 14.11.2(1)	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 The sprinkler heads in the following locations are loaded with lint. ☐ Laundry room 519B ☐ Laundry room 619B NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will remove the lint.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 Unsealed or improperly sealed penetrations are present in the following locations. ☐ Mechanical room 522B non fire rated yellow spray foam used ☐ Mechanical room 402B non fire rated yellow spray foam used ☐ Storage room 301B hole in ceiling NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 The eighth floor corridor by stairwell E has a painted sprinkler head. NFPA 1, Fire Code, Chapter 13.3.3.5.1.8	UNT will remove paint from the sprinkler head.	NA	9/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The following locations have holes in the fire doors or are missing parts. ☐ Stairwell D seventh floor holes in door ☐ Stairwell D sixth floor holes in door ☐ Stairwell E fifth floor hole in door ☐ Stairwell E third floor latch plate missing ☐ Stairwell D third floor hole in door and latch plate missing ☐ Stairwell D first floor latch plate missing NFPA 1, Fire Code, Chapters 12.4.6.9.1 and 12.4.6.9.2(1), (4)	Facilities will repair doors and replace parts.	NA	10/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Stairwell E on the fourth floor is missing the stairwell identification sign. NFPA 1, Fire Code, Chapter 10.12.3.1	Facilities will replace sign.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 The glass double doors on the first floor separating the residential corridor from the main lobby area lack a 90 minute fire rating. Provide documentation that these doors are not installed in a two hour rated fire wall. NFPA 1, Fire Code, Chapters 12.7.4.1 and 12.7.4.2	UNT will provide documentation.	NA	12/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 Room 213B has a power strip plugged into a multi outlet adapter. NFPA 1, Fire Code, Chapter 11.1.6.2	Power strip was removed from the multi outlet adapter.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The Tower B elevator machinery room fire extinguisher lacks a current inspection tag. The tamper seal is dated 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	Fire Extinguisher was inspected and tag was added.	NA	NA	Closed
External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	For 4 (7 percent) of 61 students tested, the University of North Texas (University) did not accurately verify certain required items on the students' FAFSAs, and it did not always update its records and request updated ISIRs as required.	NA	Accurately and adequately verify all required FAFSA information for students selected for verification and request updated ISIRs when required.	Management acknowledges and agrees with the findings and recommendations. Through analysis of the exceptions identified in the audit, the University will work to develop and implement the corrective action plan. Management reviewed manual errors with the employees and made changes to improve its verification entry, review, and monitoring process of completed verifications.	Dena Guzman-Torres and Lacey Thompson	6/1/2016	Closed
External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	For 4 (7 percent) of 61 students tested, the University of North Texas (University) did not accurately verify certain required items on the students' FAFSAs, and it did not always update its records and request updated ISIRs as required.	NA	Improve its process for monitoring completed verifications to ensure that it identifies and corrects errors.	Management acknowledges and agrees with the findings and recommendations. Through analysis of the exceptions identified in the audit, the University will work to develop and implement the corrective action plan. Management reviewed manual errors with the employees and made changes to improve its verification entry, review, and monitoring process of completed verifications.	Dena Guzman-Torres and Lacey Thompson	6/1/2016	Closed
External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	The University of North Texas (University) did not correctly determine the 60 percent completion point for the Spring 2016 term.	NA	Accurately determine the number of days in scheduled breaks, and calculate returns of Title IV funds correctly based on the period of enrollment excluding scheduled breaks.	Management acknowledges and agrees with the findings and recommendations. Through analysis of the exceptions identified in the audit, the University will work to develop and implement the corrective action to further improve the processes. The Office of the Registrar and the Office of Financial Aid updated its procedures to verify the accuracy of the number of days in scheduled breaks to ensure calculations for the Return of Title IV funds are correct based on the period of enrollment excluding scheduled breaks, and Title IV funds are returned within the required time frames.	Bryan Heard, Melissa Boyer, and Lacey Thompson	7/1/2016	Closed

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External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	The University of North Texas (University) did not correctly determine the 60 percent completion point for the Spring 2016 term.	NA	Return Title IV funds within required time frames.	Management acknowledges and agrees with the findings and recommendations. Through analysis of the exceptions identified in the audit, the University will work to develop and implement the corrective action to further improve the processes. The Office of the Registrar and the Office of Financial Aid updated its procedures to verify the accuracy of the number of days in scheduled breaks to ensure calculations for the Return of Title IV funds are correct based on the period of enrollment excluding scheduled breaks, and Title IV funds are returned within the required time frames.	Bryan Heard, Melissa Boyer, and Lacey Thompson	7/1/2016	Closed
External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	For 2 (3 percent) of 61 students tested who had a status change, the University did not report the status change to NSLDS in a timely manner.	NA	The University should report accurate status changes and effective dates to NSLDS in a timely manner.	Management is attentive to the U.S. Department of Education requirements associated with Student Status Changes. Management has updated and implemented business controls to ensure accurate and timely reporting to the National Student Clearinghouse and the National Student Loan Data System for all students who have status changes. The Office of the Registrar has implemented the following to ensure the timely and accurate reporting of enrollment: -New business procedures addressing the reporting of deceased students. -Errors related to the reporting of students enrolled between terms have been corrected via changes to protocols for processing of administrative changes. -New business procedures for the correction of errors for manual error correction processes with the National Student Clearinghouse have also been implemented.	Bryan Heard	12/1/2016	Closed
External	Texas Commission on Environmental Quality	Fiscal Year 2017	Governance and Regulatory Compliance	Notice of Violation	UNT	Failure to prevent the unauthorized release of laboratory wastewater under the Science Research Building.	NA	The facility is required to determine the full extent of contamination and complete remedial actions, pursuant to Title 30 Texas Administrative Code Chapter 350. The facility is also requested to submit documentation that these actions have been completed, for review and approval, to the TCEQ DFW Region Office.	On July 19, 2016, the facility submitted adequate analytical results for the Synthetic Precipitation Leaching Procedure (SPLP) analysis that determined the chemicals of concern's (arsenic, cadmium, lead, silver) leachability for the affected soils. As the levels are below the PCLs for all constituents of concern, the release is not subject to TRRP; and in concurrence with the TCEQ Remediation Division, no additional remedial activities are required. Therefore, the alleged violation is resolved.	NA	NA	Closed
External	Texas Department of State Health Services	Fiscal Year 2017	Governance and Regulatory Compliance	Incident Inspection	UNT	This notice is to acknowledge that the Texas Department of State Health Services (DSHS) conducted an inspection of or visited your business on the date listed above. The information that has been gathered is subject to further department review, and you may receive additional correspondence as a result.	NA	No recommendations/issues.	No recommendations/issues.	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNT	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Chancellor's Expenditure Review	UNT System	None	NA	NA	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNTHSC	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. In detail the following was noted: <ul style="list-style-type: none"> • 15 out of 30 (50%) invoices reviewed had personal checks with checking account numbers not redacted. • 3 out of 30 (10%) invoices reviewed had credit card statements with credit card numbers not redacted. 	Moderate	1. Recommendations for the University: a. Mask credit card and bank account information that is uploaded and retained in Enterprise Information System and/or ImageNow, to help ensure sensitive information is not compromised.	1a and 1b - Implement a "Business Expense Reimbursement Checklist" to help reinforce important steps in processing, including masking bank account and credit card information. The checklist will be used by all President Office staff members responsible for preparing reimbursement requests for the president's business expenses and travel expenditures.	Susan Ross, Executive Director, Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNTHSC	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. In detail the following was noted: <ul style="list-style-type: none"> • 15 out of 30 (50%) invoices reviewed had personal checks with checking account numbers not redacted. • 3 out of 30 (10%) invoices reviewed had credit card statements with credit card numbers not redacted. 	Moderate	1. Recommendations for the University: b. Develop a travel/entertainment support checklist to minimize any oversight during preparation of documentation support to enhance completeness and accuracy.	1a and 1b - Implement a "Business Expense Reimbursement Checklist" to help reinforce important steps in processing, including masking bank account and credit card information. The checklist will be used by all President Office staff members responsible for preparing reimbursement requests for the president's business expenses and travel expenditures.	Susan Ross, Executive Director, Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT System	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. In detail the following was noted: <ul style="list-style-type: none"> • 15 out of 30 (50%) invoices reviewed had personal checks with checking account numbers not redacted. • 3 out of 30 (10%) invoices reviewed had credit card statements with credit card numbers not redacted. 	Moderate	2. Recommendation for the UNT System: a. Provide training to individuals processing reimbursement to ensure all support documentation reviewed/processed does not contain personally identifiable information (PII). Additionally, when support documentation containing PII is received, we recommend returning the documentation back to the submitter with explanation for the PII to be redacted.	2a - Accounts Payable, UNTS Controller operations will take the following actions: Communicate to all employees and strongly emphasize in Travel process training provided across each component institution, the importance of protecting and redacting personal credit card and bank information on supporting documents submitted through the system. Training will also be provided to Accounts Payable staff to identify any Personally identifiable information (PII) on supporting documents submitted and if any PII is received without redaction, documents will be returned back to the submitter with explanation requiring required PII redaction prior to final processing.	Abdul N Mohammad, Sr. Director of Operations, UNT System, Office of the Controller	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT Dallas	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.	Moderate	1. Recommendations for the University: a. Mask credit card and bank account information that is uploaded and retained in Enterprise Information System and/or ImageNow, to help ensure sensitive information is not compromised.	1a and b - Effective October 27, 2016, the Office of the President staff will mask all credit card and bank account information to help ensure sensitive information is not compromised. The Office of the President staff will also attend "process reimbursement" training (when available) to ensure we are following the recommended guidelines appropriately.	The Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT Dallas	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.	Moderate	1. Recommendations for the University: b. Develop a travel/entertainment support checklist to minimize any oversight during preparation of documentation support to enhance completeness and accuracy.	1a and b - Effective October 27, 2016, the Office of the President staff will mask all credit card and bank account information to help ensure sensitive information is not compromised. The Office of the President staff will also attend "process reimbursement" training (when available) to ensure we are following the recommended guidelines appropriately.	The Office of the President	10/27/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT System	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.	Moderate	2. Recommendation for the UNT System: a. Provide training to individuals processing reimbursement to ensure all support documentation reviewed/processed does not contain personally identifiable information (PII). Additionally, when support documentation containing PII is received, we recommend returning the documentation back to the submitter with explanation for the PII to be redacted.	2a - Accounts Payable, UNTS Controller operations will take the following actions: Communicate to all employees and strongly emphasize in Travel process training provided across each component institution, the importance of protecting and redacting personal credit card and bank information on supporting documents submitted through the system. Training will also be provided to Accounts Payable staff to identify any Personally identifiable information (PII) on supporting documents submitted and if any PII is received without redaction, documents will be returned back to the submitter with explanation requiring required PII redaction prior to final processing.	Abdul N Mohammad, Sr. Director of Operations, UNT System, Office of the Controller	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	No findings/deficiencies.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	1. Cash Handling: UNT cash handling policies were not consistently followed in the College of Visual Arts and Design. Written cash handling procedures in the College of Visual Arts and Design were either nonexistent or incomplete and did not comply with UNT cash handling policies. Additionally, individuals who receive cash in the College of Visual Arts and Design either do not consistently record cash receipts in a log or do not maintain a cash receipts log at all.	Moderate	1. 1a. Develop written cash handling procedures as required by UNT Policy 10.006.	1a. Mary Braden (Budget Officer) will develop a draft procedure document for the College to be approved by the College Executive Committee, based on the UNT cash handling policy. We will explore the use of a cash handling template that is available for use. Once approved each individual who handles cash will be expected to adhere to these procedures.	Mary Braden, Administrative Coordinator IV; Peter Hyland, Director of the Onstead Institute for Education; Susan Sanders, CVAD Development Director	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	1. Cash Handling: UNT cash handling policies were not consistently followed in the College of Visual Arts and Design. Written cash handling procedures in the College of Visual Arts and Design were either nonexistent or incomplete and did not comply with UNT cash handling policies. Additionally, individuals who receive cash in the College of Visual Arts and Design either do not consistently record cash receipts in a log or do not maintain a cash receipts log at all.	Moderate	1. 1b. Ensure that those individuals who receive cash and checks record the receipt of funds in a log.	1b. The three individuals named will maintain either paper or electronic logs to record their cash handling.	Mary Braden, Administrative Coordinator IV; Peter Hyland, Director of the Onstead Institute for Education; Susan Sanders, CVAD Development Director	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	2. Personally Identifiable Information: Credit card information was not redacted prior to upload in ImageNow. During our review of travel reimbursement support documentation in ImageNow (Perceptive Content), we noted 3 of 21 travel vouchers (14.3%) where credit card numbers were not redacted prior to upload in the system. Two unredacted account numbers were for corporate credit cards. The other unredacted account number was for a personal credit card.	Moderate	2. 1a. Mask credit card and bank account information to help ensure sensitive information is not compromised.	1a. We will immediately begin masking all credit card and bank information. We will send a reminder to all appropriate staff about the recent e-mail that outlined this policy.	Jerry Aul, Administrative Coordinator I	4/30/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>2. Personally Identifiable Information: Credit card information was not redacted prior to upload in ImageNow.</p> <p>During our review of travel reimbursement support documentation in ImageNow (Perceptive Content), we noted 3 of 21 travel vouchers (14.3%) where credit card numbers were not redacted prior to upload in the system. Two unredacted account numbers were for corporate credit cards. The other unredacted account number was for a personal credit card.</p>	Moderate	2. 1b. Develop a travel support checklist to minimize any oversight during preparation of documentation support to enhance completeness and accuracy.	1b. We will ensure a checklist is created and implemented.	Jerry Aul, Administrative Coordinator I	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>3. Budget Tracking: Personnel in the College of Visual Arts and Design (CVAD) indicated during interviews that they were experiencing difficulties with budget tracking, using PeopleSoft 9.2, and the new chart of accounts.</p> <p>It was mentioned that the PeopleSoft 9.2 upgrade and implementation of the new chart of accounts has added complexity to the budget tracking process. Personnel stated during interviews that additional resources and guidance on common challenges and issues would be useful. Moreover, CVAD personnel noted difficulty in obtaining clear, sufficient, and timely assistance from the UNT Budget Office.</p>	Moderate	<p>Recommendation for Dean:</p> <p>3. 1a. Ensure individuals with budget tracking responsibilities have received training related to PeopleSoft 9.2 and the new chart of accounts. Continue to work with the UNT Budget Office to improve and resolve challenges CVAD is experiencing.</p>	1a. We will check to ensure that staff have indeed participated and if not we will make sure that they seek and participate in appropriate training. As notification of trainings are issued, we will continue to encourage staff to take advantage of these opportunities.	Greg Watts, Dean of the College of Visual Arts and Design	3/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>3. Budget Tracking: Personnel in the College of Visual Arts and Design (CVAD) indicated during interviews that they were experiencing difficulties with budget tracking, using PeopleSoft 9.2, and the new chart of accounts.</p> <p>It was mentioned that the PeopleSoft 9.2 upgrade and implementation of the new chart of accounts has added complexity to the budget tracking process. Personnel stated during interviews that additional resources and guidance on common challenges and issues would be useful. Moreover, CVAD personnel noted difficulty in obtaining clear, sufficient, and timely assistance from the UNT Budget Office.</p>	Moderate	<p>Recommendation for UNT Budget Office:</p> <p>3. 2a. Develop a task force or user groups as a mechanism to improve transparency and communication with the campus. This will assist the Budget Office in understanding the challenges the campus is experiencing, improving training materials, and developing support handouts (e.g. FAQ sheets or brochures).</p>	<p>2a. Since the audit field work was completed for the CVAD transitional Audit, many additional reporting and training resources have been developed and implemented by the UNT Budget office for the UNT campus. Reporting and training requires coordinated efforts between many functional offices, including the UNT System areas of ITSS, Budget, and Financial Reporting and also for UNT's areas of Office of Data Analytics & Institutional Research and Grants Accounting, all of which are needed for correct information for budget to actual financial data. The front line support of Budget Office Analysts positions are fully staffed since November. The four Analysts are continuously learning as the daily application of the implementation is occurring and new business processes are developed and trained in the department by the UNT Budget Director and the two Budget Financial Analysts.</p> <p>Highlights of implemented new and enhanced resources include:</p> <p>☑ Training: Two new training courses provided by the budget office added with a subject matter expert from the reporting area in the training also; Open Lab with the Budget office provided monthly – an opportunity for users to bring their specific questions and receive one-on-one assistance; Development of a Training Focus group.</p> <p>☑ Communication: Announcements Page on the Budget</p>	Beverly Cotton, Associate Vice President for Budget and Analytics	4/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship polices; - Scholarship Committee minutes are not maintained; and - Scholarship criteria listed in the CVAD scholarship database did not match all the criteria in the corresponding donor agreements and other support documentation. 	Moderate	4. 1a. Create a departmental policy for awarding scholarships.	1a. Seek guidance from the Scholarship Office on what is an acceptable documentation of a departmental scholarship process.	Jerry Aul, Administrative Coordinator I	4/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship polices; - Scholarship Committee minutes are not maintained; and - Scholarship criteria listed in the CVAD scholarship database did not match all the criteria in the corresponding donor agreements and other support documentation. 	Moderate	4. 1b. Document Scholarship Committee meeting minutes.	1b. Maintain scholarship minutes.	Jerry Aul, Administrative Coordinator I	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship polices; - Scholarship Committee minutes are not maintained; and - Scholarship criteria listed in the CVAD scholarship database did not match all the criteria in the corresponding donor agreements and other support documentation. 	Moderate	4. 1c. Ensure that criteria in the CVAD scholarship database correspond with donor agreements and other support documentation.	1c. Review scholarship database to ensure criteria correspond with donor agreements and other support documentation.	Jerry Aul, Administrative Coordinator I	4/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>1. Segregation of Duties: Segregation of duties did not exist between the development of new code to bringing the code into the production environment.</p> <p>No evidence was produced to show that segregation of duties existed during change management between the development and production environment.</p>	High	<p>Recommendations for Chief Information Officer, ITS:</p> <p>1. 1a. Strengthen controls around moving code changes into production by:</p> <ul style="list-style-type: none"> • Acquiring and implementing a configuration management system, or if that is not feasible; • Designating more resources for development changes over critical applications. 	<p>We are adding resources/reassigning duties to expand the development pipeline to include Quality Assurance (QA). QA will review code before it is moved into Staging and Production. The addition of QA into the production pipeline for segregation of duties will occur in the second quarter of 2017.</p>	Anthony Tissera, Director of Product Development and Engineering, Information Technology Services	6/30/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>2. Inconsistent Process and Documentation: The change management process and documentation requirements were not being followed.</p> <p>ITS used a combination of software to communicate internally and manage their projects. Documentation for recent changes that were identified as formal could not be produced to prove that the business impact was considered, a back-out plan existed, segregation of duties was maintained, or peer review was conducted.</p> <p>HIM and ITS implement changes to the NextGen application. When a high impact change requires the approval of the NextGen Task Force Committee. Representatives from each clinic attend, and a vote is taken on whether or not to implement the proposed change. However, the result of the vote is not documented.</p>	Moderate	<p>Recommendations for Chief Information Officer, ITS:</p> <p>2. 1a. Establish a consistent practice that specifically addresses the following:</p> <ul style="list-style-type: none"> • Classification process to determine the level of risk and impact of the change; • Requirement for all changes to be documented and kept in one central location; • Document the justification for the change and the impact to business, including the information security impact of the change; • Require formal approval of all high risk or high impact changes and retain evidence of approvals; • Document who will be responsible for creating, testing, and implementing the change; • Document fallback procedures for aborting and recovering from unsuccessful changes and unforeseen events; and • Create an emergency change process to enable quick and controlled implementation of changes needed to resolve an incident whereby the regular process is not followed under a narrowly defined situation. 	We will transition change management approval and documentation to a centralized location (probably Jira) and educate ITS staff on entering and documenting changes.	Nathan Ribelin, Director, Helpdesk and Client Services, Information Technology Services	3/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>2. Inconsistent Process and Documentation: The change management process and documentation requirements were not being followed.</p> <p>ITS used a combination of software to communicate internally and manage their projects. Documentation for recent changes that were identified as formal could not be produced to prove that the business impact was considered, a back-out plan existed, segregation of duties was maintained, or peer review was conducted.</p> <p>HIM and ITS implement changes to the NextGen application. When a high impact change requires the approval of the NextGen Task Force Committee. Representatives from each clinic attend, and a vote is taken on whether or not to implement the proposed change. However, the result of the vote is not documented.</p>	Moderate	<p>Recommendations for Chief Operations Officer, UNT Health:</p> <p>2. 2a. Follow UNTHSC Policy 14.650 UNT Health IT Change Management Policy, specifically:</p> <ul style="list-style-type: none"> • Document all changes in one central location regardless of classification; • Create a back-out plan as required for changes classified as major; • Document who will be responsible for creating, testing, and implementing the change as part of the Implementation Plan on major changes; • Require a test plan for standard and major changes; and • Retain evidence of approvals. <p>In collaboration with the IT department I expect to have the following item implemented by September 1, 2017.</p> <ul style="list-style-type: none"> • Document all changes in one central location regardless of classification 	I agree with the all recommendations listed and expect to have the following items implemented by March 31, 2017:	Cynthia Loza, HIM Template Editor, Central Business Services	9/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>3. Administrative Input on Risk Assessment: The assessment of mission critical applications and services has not been reviewed by UNTHSC Administration in over a year.</p> <p>After meeting with the Chief Information Officer, it was noted that ITS has not had the opportunity to discuss which applications and services are most critical with administrators of UNTHSC. The Chief Information Officer formulated a risk assessment of UNTHSC applications and services based on her expertise, however it would be beneficial to have an assessment with senior leadership. According to the CIO, input was given by the Business Continuity Lead over a year ago, but that role no longer exists.</p>	Moderate	<p>Recommendations for Chief Information Officer, ITS:</p> <p>3. 1a. Perform a risk assessment with UNTHSC Administration to risk-rank applications and services and formally identify those critical to the Institution.</p>	The Information Security and Privacy Committee will be assessing and assigning risk for applications and services beginning in the first quarter of 2017.	Information Security and Privacy Committee (Co-Chairs: Chief Compliance Officer and Chief Information Officer).	3/31/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	<p>1. Conflict of Interest- SYS/UNT/DAL/HSC: Testing identified that all of System Investment Advisory Committee members and component Investment Officers did not complete Conflict of Interest disclosure forms for FY 2016 indicating any personal business relations with a business organization offering to engage in an investment transaction with UNT System, UNT, UNT Dallas and UNTHSC.</p> <p>This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit in two separate observations.</p> <p>UNT System Management concurred with Internal Audit's recommendations, but in order to establish a more comprehensive solution with the Office of General Counsel (OGC) and UNT System Human Resources, they were not able to fully implement a Conflict of Interest Disclosure process by the initial implementation date of August 31, 2016.</p> <p>Furthermore, UNTHSC Management concurred with Internal Audit's recommendations and implemented a process, however due to employee turnover, the implemented monitoring process was not sustained.</p>	High	<p>Recommendations for the Associate Vice Chancellor for Treasury:</p> <p>Ensure the following recommendations made in Internal Audit Report #16-004 UNT System, UNT, UNT Dallas are implemented:</p> <p>1. 1a. Management to work with Office of General Counsel and Human Resources to establish a mechanism, which includes a conflict of interest disclosure form, through which investment officers self-report annually any real or perceived conflicts of interest.</p>	Currently, we have the approved form for investment officers to sign certifying that there are no COI's, which will be sent out to each investment officer by the end of January 2017.	James Mauldin, Associate Vice Chancellor for Treasury and Gary Finney, Director of Human Resources	6/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	<p>1. Conflict of Interest- SYS/UNT/DAL/HSC: Testing identified that all of System Investment Advisory Committee members and component Investment Officers did not complete Conflict of Interest disclosure forms for FY 2016 indicating any personal business relations with a business organization offering to engage in an investment transaction with UNT System, UNT, UNT Dallas and UNTHSC.</p> <p>This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit in two separate observations.</p> <p>UNT System Management concurred with Internal Audit's recommendations, but in order to establish a more comprehensive solution with the Office of General Counsel (OGC) and UNT System Human Resources, they were not able to fully implement a Conflict of Interest Disclosure process by the initial implementation date of August 31, 2016.</p> <p>Furthermore, UNTHSC Management concurred with Internal Audit's recommendations and implemented a process, however due to employee turnover, the implemented monitoring process was not sustained.</p>	High	<p>Recommendations for the Associate Vice Chancellor for Treasury:</p> <p>Ensure the following recommendations made in Internal Audit Report #16-004 UNT System, UNT, UNT Dallas are implemented:</p> <p>1. 1b. Implement a required annual conflict of interest training program to provide all employees who works with investments a clear understanding of their roles and responsibilities related to conflict of interest and steps they would need to take in the event of a concern.</p>	We are developing slide(s) for Human Resources to incorporate into their orientation training, which should be completed and approved by Friday, January 27, 2017 at the latest. Human Resources will then incorporate this aspect into their "compliance day" training.	James Mauldin, Associate Vice Chancellor for Treasury and Gary Finney, Director of Human Resources	6/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNTHSC	<p>1. Conflict of Interest- SYS/UNT/DAL/HSC: Testing identified that all of System Investment Advisory Committee members and component Investment Officers did not complete Conflict of Interest disclosure forms for FY 2016 indicating any personal business relations with a business organization offering to engage in an investment transaction with UNT System, UNT, UNT Dallas and UNTHSC.</p> <p>This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit in two separate observations.</p> <p>UNT System Management concurred with Internal Audit's recommendations, but in order to establish a more comprehensive solution with the Office of General Counsel (OGC) and UNT System Human Resources, they were not able to fully implement a Conflict of Interest Disclosure process by the initial implementation date of August 31, 2016.</p> <p>Furthermore, UNTHSC Management concurred with Internal Audit's recommendations and implemented a process, however due to employee turnover, the implemented monitoring process was not sustained.</p>	High	<p>Recommendation for the UNTHSC Chief Financial Officer:</p> <p>1. 2a. Work with the UNTHSC Institutional & Clinical Compliance Office to implement a monitoring process to ensure applicable staff complete an annual conflict of interest disclosure form.</p>	<p>The Compliance office will ensure 100% of the forms are completed and returned for FY2017 and future years. Any forms not returned by the due date (January 31st for FY 2017) will be followed up by the Compliance office shortly after January 31st with prompt escalation to supervisors and senior management, if needed. Any person not completing the form after follow-up by Compliance department will be subject to disciplinary action up to and including termination.</p>	Elaine Anderson, Interim Chief Compliance and Enterprise Risk Officer	3/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	<p>1. Conflict of Interest- SYS/UNT/DAL/HSC: Testing identified that all of System Investment Advisory Committee members and component Investment Officers did not complete Conflict of Interest disclosure forms for FY 2016 indicating any personal business relations with a business organization offering to engage in an investment transaction with UNT System, UNT, UNT Dallas and UNTHSC.</p> <p>This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit in two separate observations.</p> <p>UNT System Management concurred with Internal Audit's recommendations, but in order to establish a more comprehensive solution with the Office of General Counsel (OGC) and UNT System Human Resources, they were not able to fully implement a Conflict of Interest Disclosure process by the initial implementation date of August 31, 2016.</p> <p>Furthermore, UNTHSC Management concurred with Internal Audit's recommendations and implemented a process, however due to employee turnover, the implemented monitoring process was not sustained.</p>	High	<p>Recommendation for the Associate Vice Chancellor for Treasury:</p> <p>1. 3a. Implement a monitoring process to request confirmation from all institutions to ensure annual conflict of interest disclosure forms were completed by all investments officers and designees.</p>	<p>Going forward, annually a process will be in place to request confirmation from all institutions that annual conflict of interest disclosure forms were completed by all investments officers and designees.</p>	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	2. Board of Regents Public Funds Investment Act Training: Public Funds Investment Act (PFIA) testing identified two of the newly appointed Regents did not have PFIA training completed within six months after taking office or assuming duties. Based on our detail testing, trainings were completed by the Board of Regent members eight and ten months after taking office.	Moderate	Recommendation to the Secretary to the UNTS Board of Regents: 2. 1a. Develop follow-up procedures to help ensure that Board of Regents complete PFIA required training session within six months after taking office of assuming duties in accordance with the statute.	The Office of the Board Secretary will create a tracking system that will be used to monitor the completion of the variety of required trainings for new Regents. The tracking system will include the training required, required completion date, when reminder emails are sent, and when training was completed.	Dr. Rosemary Haggett, Secretary to the UNTS Board of Regents	6/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	3. Annual Review and Adoption of Financial Institutions and Broker/Dealers: The Board of Regents has not reviewed and adopted a list of financial institutions and broker/dealers qualified and authorized to engage in investment transactions with and for the System. This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit. UNT System Management concurred with Internal Audit's recommendations, but they were unable to implement the corrective actions by the initial implementation date of November 30, 2016 because a consulting firm was obtained to review treasury operations. Additionally, management communicated they will be implementing recommendations provided by the consulting firm and Internal Audit.	Moderate	Recommendation for the Associate Vice Chancellor for Treasury: 3. 1a. Establish procedures to ensure compliance with System Regulation 08.2000, Section 2005, paragraph 10 and review the System Regulation to see if requirement is applicable as is and make revisions as necessary.	The investment policy will be revised to reflect that only the list of broker/dealers requires Board of Regents approval. This revision and the list of broker/dealers will be provided to the Board of Regents for review and approval at the May 2017 Board of Regents meeting.	James Mauldin, Associate Vice Chancellor for Treasury	6/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	1. Lack of Permanent Standards: Standard being used for ServiceNow changes not detailed, current or approved. CM processes used by Image Now, Office 365, and Blackboard Learn are called "Provisional CM Process" and the "CM Standard Operating Procedures". They were put in place over 3 years ago and are not updated, current or approved.	Moderate	Recommendation for IT Shared Services: 1. 1a. Update and finalize a detailed policy and associated standards for use during changes to vendor supplied applications, as recorded in ServiceNow.	ITSS will update and finalize a policy and associated standards for use during changes to vendor supplied applications, as recorded in ServiceNow.	Charlotte Russell, Chief Information Security Officer	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	2. Lack of Script Standards: There are no standards for Script type changes in Phire. EA Development Standards do not indicate or specify requirements for the Script CR type.	Moderate	Recommendation for IT Shared Services: 2. 1a. Add requirements to the EA Development Standards specifying controls required during changes to the CR Script type.	The script workflow within PHIRE provides Separation of Duties (SoD), and an audit trail for monitoring these types of changes. ITSS will review and update the standards document to include documentation necessary to specify additional controls required during changes to the CR Script type.	Dorothy Flores, Executive Director of Enterprise Applications	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	3. Lack of Segregation Duties: The same person assigned to and completing the change in the development environment moved it to the production environment. The ServiceNow tool does not actually move changes from one environment to another, including into production. Per the change record, the same person assigned to and performing the change also moved that change into production, resulting in a lack of Segregation of Duties (SOD).	Moderate	Recommendation for IT Shared Services: 3. 1a. Strengthen controls around moving code changes into production for applications using ServiceNow by designating more resources over critical applications or cross-training existing resources.	ITSS will revise standards to comply with Separation of Duties based on Texas Administrative Code Chapter 202.76 "Security Controls Standards Catalog", Section AC-5 Separation of Duties and ISO 27002, section 6.1.2. ITSS IT Service Management will follow the ITILv3 framework for change management and identify all aspects of the service design and service transition requirements prior to planning the 'go-live' into a production environment. There are changes to the environments that our outside project work and reside in operational work, these changes will also follow the ITILv3 change management framework.	Kendra Ketchum, Chief Technology Officer	7/31/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>4. Backout plans and post implementation review not required or recorded: Backout Plans and Post-Implementation reviews are not required for changes made in Phire, and no records tested contained these items. In ServiceNow, three of seven (43%) changes tested did not indicate a Post-Implementation Review was conducted, as required by ITIL.</p> <p>In Phire, Backout Plans and Post-Implementation reviews are not required, and none of the records tested contained these items. Post Implementation reviews are indicated in ServiceNow by a task called "Post Implementation Testing". During testing, this was considered a Yes if the State indicated "Closed Complete". Three of seven (43%) changes tested did not contain this indication.</p>	Moderate	<p>Recommendation for IT Shared Services:</p> <p>4a. Include requirements for backout plans and post-implementation reviews for changes recorded in Phire in the CM standards.</p>	ITSS will revise standards to include backout plans and post-implementation reviews for changes recorded in Phire in the CM standards, and will include post implementation reviews that are conducted during Change Management meetings are documented in ServiceNow. To clarify, ITILv3 has Continuous Improvement as the last development cycle and we will use that to identify our post-implementation reviews as part of the Service Lifecycle, as many of the services are already in production. ISO 27002, Section 12.1.2 Change Management, Texas Administrative Code Chapter 202.76 "Security Controls Standards Catalog", Section CM-Configuration Management, and ITIL v3 Framework will be utilized to address this observation.	Charlotte Russell, Chief Information Security Officer	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>4. Backout plans and post implementation review not required or recorded: Backout Plans and Post-Implementation reviews are not required for changes made in Phire, and no records tested contained these items. In ServiceNow, three of seven (43%) changes tested did not indicate a Post-Implementation Review was conducted, as required by ITIL.</p> <p>In Phire, Backout Plans and Post-Implementation reviews are not required, and none of the records tested contained these items. Post Implementation reviews are indicated in ServiceNow by a task called "Post Implementation Testing". During testing, this was considered a Yes if the State indicated "Closed Complete". Three of seven (43%) changes tested did not contain this indication.</p>	Moderate	<p>Recommendation for IT Shared Services:</p> <p>4b. Ensure post implementation reviews conducted during weekly Change Management meetings are documented in ServiceNow.</p>	ITSS will revise standards to include backout plans and post-implementation reviews for changes recorded in Phire in the CM standards, and will include post implementation reviews that are conducted during Change Management meetings are documented in ServiceNow. To clarify, ITILv3 has Continuous Improvement as the last development cycle and we will use that to identify our post-implementation reviews as part of the Service Lifecycle, as many of the services are already in production. ISO 27002, Section 12.1.2 Change Management, Texas Administrative Code Chapter 202.76 "Security Controls Standards Catalog", Section CM-Configuration Management, and ITIL v3 Framework will be utilized to address this observation.	Charlotte Russell, Chief Information Security Officer	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>5. Stakeholders and Communication Plan not included in change requests: Stakeholders and Communication Plan not included in change requests as required by standards.</p> <p>The ServiceNow records tested did not have a field or indicate in the record who were the Stakeholders of the change.</p> <p>Two of six (33%) changes tested did not contain a Communication plan. ITSS provided external communication of changes which occurred as part of the change process. While the ServiceNow record may serve as a communication of the change taking place, there was not a specific plan indicated.</p>	Moderate	<p>Recommendation for Chief Technology Officer:</p> <p>5a. Identify a location in the ServiceNow change request to identify stakeholders of the change.</p>	ITSS will use the ITILv3 framework to identify all necessary requirements in the service design process, this includes developing a communication plan. We will ensure that the stakeholders are identified and included in that communication plan and we will attach the plan to the ServiceNow ticket for the change.	Kendra Ketchum, Chief Technology Officer	7/31/2017	Open

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>5. Stakeholders and Communication Plan not included in change requests: Stakeholders and Communication Plan not included in change requests as required by standards.</p> <p>The ServiceNow records tested did not have a field or indicate in the record who were the Stakeholders of the change.</p> <p>Two of six (33%) changes tested did not contain a Communication plan. ITSS provided external communication of changes which occurred as part of the change process. While the ServiceNow record may serve as a communication of the change taking place, there was not a specific plan indicated.</p>	Moderate	<p>Recommendation for Chief Technology Officer:</p> <p>5b. Include a Communication Plan and communication of the change to interested parties in the ServiceNow change request.</p>	ITSS will use the ITILv3 framework to identify all necessary requirements in the service design process, this includes developing a communication plan. We will ensure that the stakeholders are identified and included in that communication plan and we will attach the plan to the ServiceNow ticket for the change.	Kendra Ketchum, Chief Technology Officer	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>6. Specifications and Notes not included in change requests.: Specifications and Notes were not included in change requests as required by standards.</p> <p>The EA Development Standards require Specifications and Notes to be included in all Change Requests. 48 of 50 (98%) of records did not include Specifications 45 of 50 (90%) of records did not include Notes</p>	Moderate	<p>Recommendation for IT Shared Services:</p> <p>6a. Either enforce the standard requiring specifications and notes in a change request, or eliminate this requirement from the standards.</p>	ITSS will review and update the standards document as needed to indicate the purpose of specifications and notes within PHIRE CR's. The Software Development Lifecycle (SDLC) process currently utilized for coding changes captures requirements and other specifications that document the change.	Dorothy Flores, Executive Director of Enterprise Applications	7/31/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	UNT Endowments Internal Audit	UNT	<p>Comment #1: Communication and Authority</p> <p>There are communication and information gaps between the UNT Foundation, Advancement, SFAS, and the Colleges/Departments; and there is not a clear delineation of responsibilities and authority for the management of university disbursement accounts.</p> <p>UNT has set up a taskforce to centralize the Scholarships process within the last year. However, during the course of fieldwork, IA noted several issues related to communication and responsibility, which has led to inconsistent disbursement processes across departments as well as a lack of sufficient information/training available for department personnel.</p> <p>Through interviews with Advancement, SFAS, and the sampled Colleges/Departments, IA identified several areas for improvement, including consistent communication between departments, as well as better defined authority and responsibilities in order to facilitate the related processes and help manage disbursement of endowment/scholarship funds appropriately.</p> <p>Refer to the following observations for further details:</p> <p>I. Management of Funds</p>	NA	<p>I. UNT should create a formal process for managing remaining balances in disbursement accounts and consider implementing a plan to cease distributions based on aging performed for each disbursement account's remaining balance. Additionally, UNT management should monitor the balances through the distribution of a university disbursement accounts report, addressed to the President of UNT, showing all disbursement account balances on a periodic basis.</p>	<p>I. Utilizing the new chart of accounts, UNT shall create a comprehensive report of all endowment/scholarship funds that shows the distribution of university disbursement account balances. Financial Aid and Scholarships will work in collaboration with Budget and Analytics, and Advancement, to develop the report. This report shall be generated monthly and distributed to the President, Divisional VP's, Deans and the Steering Committee. Each division and college shall designate a responsible party to review and reconcile the account balances. The Steering Committee (newly formed) shall monitor this activity, work to resolve issues, and escalate to division VP's and Deans as appropriate.</p> <p>I. The Division of Advancement has hired an Assistant Director of Donor Relations for Scholarship Stewardship and Compliance who will serve as a member of the university-wide team to create a formal process for managing balances in disbursement accounts.</p>	Collaboration between Mike Mlinac, UNT Foundation President & CEO; Finley Graves, Provost and Vice President for Academic Affairs; David Wolf, Vice President for Advancement; Shannon Goodman, Vice President for Enrollment; and Bob Brown, Vice President for Finance and Administration	12/22/2017	Open

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	UNT Endowments Internal Audit	UNT	<p>Comment #1: Communication and Authority</p> <p>There are communication and information gaps between the UNT Foundation, Advancement, SFAS, and the Colleges/Departments; and there is not a clear delineation of responsibilities and authority for the management of university disbursement accounts.</p> <p>UNT has set up a taskforce to centralize the Scholarships process within the last year. However, during the course of fieldwork, IA noted several issues related to communication and responsibility, which has led to inconsistent disbursement processes across departments as well as a lack of sufficient information/training available for department personnel.</p> <p>Through interviews with Advancement, SFAS, and the sampled Colleges/Departments, IA identified several areas for improvement, including consistent communication between departments, as well as better defined authority and responsibilities in order to facilitate the related processes and help manage disbursement of endowment/scholarship funds appropriately.</p> <p>Refer to the following observations for further details:</p> <p>II. Sharing of Information</p>	NA	<p>II. UNT should ensure that all disbursement account managers in addition to the respective Deans, are included in communications, reporting, and discussions involving related endowments and scholarships.</p>	<p>II. The Division of Advancement, Enrollment, Academic Affairs, Finance and Administration, and the Foundation will work collaboratively with the university-wide team to ensure Deans and disbursement account managers receive appropriate communication regarding endowments and scholarships.</p>	<p>Collaboration between Mike Mlinac, UNT Foundation President & CEO; Finley Graves, Provost and Vice President for Academic Affairs; David Wolf, Vice President for Advancement; Shannon Goodman, Vice President for Enrollment; and Bob Brown, Vice President for Finance and Administration</p>	12/22/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	UNT Endowments Internal Audit	UNT	<p>Comment #1: Communication and Authority</p> <p>There are communication and information gaps between the UNT Foundation, Advancement, SFAS, and the Colleges/Departments; and there is not a clear delineation of responsibilities and authority for the management of university disbursement accounts.</p> <p>UNT has set up a taskforce to centralize the Scholarships process within the last year. However, during the course of fieldwork, IA noted several issues related to communication and responsibility, which has led to inconsistent disbursement processes across departments as well as a lack of sufficient information/training available for department personnel.</p> <p>Through interviews with Advancement, SFAS, and the sampled Colleges/Departments, IA identified several areas for improvement, including consistent communication between departments, as well as better defined authority and responsibilities in order to facilitate the related processes and help manage disbursement of endowment/scholarship funds appropriately.</p> <p>Refer to the following observations for further details:</p> <p>III. Donor Compliance</p>	NA	<p>III - V. UNT should create a steering committee responsible for determining and implementing policies, processes, authority, and responsibility for various aspects related to managing scholarship and endowment awards and disbursement accounts. Specifically, UNT should consider implementation of an annual account-holder MOU-compliance certification letter and establishment of procedures for requiring Scholarship Committee Meeting Minutes as well as performing continuous monitoring of scholarship selections through review of the Minutes to ensure that MOUs are being followed appropriately and in alignment with donor wishes. The steering committee would also be responsible for 1) enhancement and distribution of existing policies and procedures to personnel responsible for managing endowment funds, 2) creating additional policies and procedures for internal reporting, and time limits/thresholds for accumulated unspent endowment distributions, 3) developing a detailed process flow document for the entire endowments process to be distributed to Colleges/Departments, and 4) implementation of formal endowment disbursement account training for all Colleges/Departments.</p> <p>Additionally, UNT should consider the use of new or existing software to assist in recording/monitoring the</p>	<p>III. The Division of Enrollment has appointed the Executive Director of Financial Aid and Scholarships and the Director of Scholarships to serve as members on the recommended steering committee.</p> <p>III. - V. The Division of Advancement has hired an Assistant Director of Donor Relations for Scholarship Stewardship and Compliance who will serve as a member of the recommended steering committee, along with the Director of Donor Relations and the Assistant Vice President for Donor Relations and Advancement Services.</p>	<p>Collaboration between Mike Mlinac, UNT Foundation President & CEO; Finley Graves, Provost and Vice President for Academic Affairs; David Wolf, Vice President for Advancement; Shannon Goodman, Vice President for Enrollment; and Bob Brown, Vice President for Finance and Administration</p>	12/22/2017	Open

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	UNT Endowments Internal Audit	UNT	<p>Comment #2: Incorrect Gift Agreement</p> <p>One out of the 14 MOUs sampled did not include all of the appropriate criteria in the revised gift agreement updated by the Office of Advancement.</p> <p>Advancement, responsible for donor solicitation as well as donor stewardship, revised a donor gift agreement for one sampled endowment in the College of Information in order to bring the gift agreement in alignment with current policy as the donor is deceased. However, the revisions made to the agreement did not include all of the required donor criteria from the original agreement, including GPA and career path requirements. Furthermore, the personnel responsible for the related disbursement account in the College of Information did not receive the updated gift agreement from Advancement. As a result, a review or reconciliation of the original and updated donor agreements to ensure that all criteria were appropriately transferred could not be performed.</p>	NA	The Office of Advancement should update the incorrect donor gift agreement for the endowment in the College of Information to include the correct criteria. Also, Advancement should consider formally documenting policies and procedures related to updating or changing MOUs and other gift agreements, including a review process to ensure all details of the updated memo are captured appropriately.	The Director of Donor Relations is drafting a memo to address the conflicting documentation for the endowment in question and will formally document the correct spending criteria according to original donor intent. This memo will be distributed to all appropriate parties on campus for record keeping purposes. Additionally, a Gift Agreement Handbook is currently in draft form written by Donor Relations to outline procedures currently used for writing new gift agreements/ memos and amending existing fund documentation. This handbook will include applicable laws the University must follow in regard to scholarship criteria, as well as University and UNT System policies that must be complied with in regard to gift acceptance and naming.	Rachel Kimball, Director of Donor Relations	12/22/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>1. Funding Source Not Accurately Set Up</p> <p>The funding source for the FDC grant was not accurately set up to include fringe benefits for FDC employees in accordance with the FDC State Grant Agreement. Specifically, the chart string field for fringe benefits was inaccurate, resulting in the designation of \$14,377.58 to the incorrect fund.</p>	High	1.1.a. Correctly set up the FDC grant in upcoming appropriation years to ensure that fringe benefits are configured as expenses to be included in the grant total from the correct funding source (i.e. chart field string) and coordinate with appropriate management from the Office of Finance & Planning as well as the UNT System Controller's office to confirm that the accurate funding source is being utilized.	1a. OGCM will coordinate with HSC Office of Finance & Planning and HSC System Controller's Office to ensure THECB appropriations for current and upcoming appropriation years are set up to indicate the correct funding source in the chart field string.	LeAnn Forsberg, Assistant Vice President of Research Administration	5/19/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>2. Not All Grant Expenses Were Charged Accurately</p> <p>The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.</p>	High	2.1.a. Initiate a cost transfer form for \$8,364.32 in unallowable expenses to be removed from the THECB FDC grant as well as a cost transfer form for \$8,730.55 in allowable expenses from the local/discretionary account (300610) to be included on the THECB FDC grant and submit the form to the OGCM for review.	The TCOM Office of Educational programs has initiated the recommended funds transfer in coordination with the OGCM.	LisaNash, Senior Associate Dean of Educational Programs (TCOM), and Cynthia Passmore, Director of Faculty Development Center	NA	Closed
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>2. Not All Grant Expenses Were Charged Accurately</p> <p>The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.</p>	High	2.1.b. Work with OGCM to update the workflow approval routing to go through the Director of the FDC, who, as head of the FDC, has greater oversight and first-hand knowledge of activities performed to be able to sufficiently review and approve expenses for the grant.	The Senior Associate Dean shall retain management oversight of the program and provide final approval of expenditures. Additionally, the Senior Associate Dean will provide guidance to participating staff, and an internal control/manual business process for the FDC Director to review expenses will be implemented.	LisaNash, Senior Associate Dean of Educational Programs (TCOM), and Cynthia Passmore, Director of Faculty Development Center	8/31/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.2.a. Review the expenses along with supporting documentation for appropriateness and provide approval to the UNT System Controller's office to post the transfer to the General Ledger.	OGCM has reviewed, approved and forwarded to the HSC System Controller's office the necessary cost transfers.	LeAnn Forsberg, Assistant Vice President of Research Administration	NA	Closed
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.2.b. Update the FDC grant AFR to appropriately reflect expenses charged to the grant and resubmit the AFR to the THECB.	OGCM will complete the revised FDC grant AFR and will forward the revised AFR to the THECB.	LeAnn Forsberg, Assistant Vice President of Research Administration	4/28/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.2.c. Implement a follow-up process with the grantees for all grants on a periodic basis to ensure that all expenses are being charged correctly and establish an escalation procedure to notify appropriate personnel to ensure timely submission of expenses, supporting documentation, and the completed AFR.	OGC will implement additional processes specifically for the FDC award and, where needed, additional TCOM awards through quarterly meetings to review award status and expenditures. The meetings and subsequent follow up will include escalation to management, as needed, to ensure proper grant oversight. Other grants will follow standard procedures of PIM meeting schedule, expenditure review and trainings.	LeAnn Forsberg, Assistant Vice President of Research Administration	5/31/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.3.a. Commit additional resources in TCOM and establish a transfer procedure in which personnel creates a journal worksheet with the cost transfer form, which is then routed to the OGCM for review and approval. Once it is approved, the OGCM will send the documentation to the UNT System Controller's office for posting to the General Ledger through a journal entry.	The Chief Financial Officer and the Dean of TCOM have committed to providing additional resources in TCOM by creating a new position embedded in TCOM to oversee business/accounting activity to ensure any financial reports are done correctly and timely. Additionally, a transfer procedure will be established in which personnel creates a journal worksheet with the cost transfer form to be routed to the OGCM for review & approval and posted by the Controller's Office.	Gregory Anderson, Chief Financial Officer and Don Peska, Dean of TCOM	9/30/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>3. Monitoring and Tracking of Grant Expenditures Was Insufficient</p> <p>The preparation of the FDC grant AFR was not performed in adherence with the FDC State Grant Agreement. The FDC grant AFR was not always supported by the sufficient level of documentation required to ensure accurate financial reporting, resulting in a delayed and inaccurate submission of the AFR.</p>	High	3.1.a. Establish a formal system (i.e. creating a spreadsheet, retaining invoices and receipts) of tracking and monitoring expenses throughout the appropriation year to be able to provide sufficient supporting documentation for the creation of the FDC grant AFR.	The Director of the Faculty Development Center will establish a formal system to track and monitor expenses as recommended.	Cynthia Passmore, Director of Faculty Development Center	8/31/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>3. Monitoring and Tracking of Grant Expenditures Was Insufficient</p> <p>The preparation of the FDC grant AFR was not performed in adherence with the FDC State Grant Agreement. The FDC grant AFR was not always supported by the sufficient level of documentation required to ensure accurate financial reporting, resulting in a delayed and inaccurate submission of the AFR.</p>	High	3.1.b. Perform quarterly reviews, at a minimum, of all expenditures on the FDC grant by reconciling all FDC grant expenses to what has been posted in the system to ensure expenses are appropriately charged to the grant based on the guidelines.	The Director of the Faculty Development Center will perform quarterly reconciliations to ensure FDC expenses are appropriately recorded.	Cynthia Passmore, Director of Faculty Development Center	8/31/2017	Open

Background Report



Committee: Audit

Date Filed: April 7, 2017

Title: UNT System Consolidated Quarterly Compliance Report, December 2016 through February 2017

Background: This report represents the quarterly compliance actions for the University of North Texas System, University of North Texas, University of North Texas Health Science Center and the University of North Texas at Dallas from December 1, 2016 through February 28, 2017. 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 is 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@untssystem.edu, c=US
Date: 2017.05.12 10:29:14 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office
of General Counsel, email=nancy.footer@untssystem.edu, c=US
Date: 2017.05.12 09:49:37 -05'00'

Vice Chancellor/General Counsel

Schedule:

No action required. Information only. Submitted by:

Steven A. Hill I

UNT System Compliance Officer

Chief Audit Executive

Chancellor

Attachments Filed Electronically:

- UNT System Consolidated Quarterly Compliance Report
December 2016 through February 2017

UNT System Consolidated Quarterly Compliance Report December 2016 through February 2017



Section I. Organizational Actions

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

Section II. Compliance Risks

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

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to three hundred and forty-two (342) new and current employees.
- IT support is provided to UNT System through Information Technology Shared Services.

Action Taken by System and/or Institutional Compliance:

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

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

Action Taken by Management and Records Management and/or Institutional Compliance

- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to develop online training that is designed to be completed by all applicable Records Management Representatives (RMRs) for UNT System Administration, UNT, and UNT Dallas.
- The Chief Records Management Officer, Director of Institutional Records Management, and Chief Records Management Representative continue to provide technical advice and guidance to management pertaining to complicated records management and retention questions and situations.

- The Chief Records Management Officer, the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce the Records Management Representative (RMR) network for UNT System Administration, UNT, and UNT Dallas.

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

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training and Ethics PowerPoint into web-based training following successful implementation of its Records Management Qualtrics pilot training initiative.

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

Action Taken by Management:

- All dedicated scanners are in place and use at UNT System organizations.
- The United States Citizenship and Immigration Services (USCIS) revised a required form and System/campus HR has indicated the revised form is in place. Talent Acquisition shared a one-page reference guide to update and incorporate the revised form into UNT System processes along with updating its training presentation.
- Additional I-9 Training is scheduled for next quarter. System/Institutional Compliance has agreed to work with System and campus HR to enhance training attendance and address specific compliance challenges. UNT System Talent Acquisition and campus Human Resources continue to review and monitor the efficiency and effectiveness of this revised process.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with UNT System and/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/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training and Ethics PowerPoint into web-based training following successful implementation of its Records Management pilot training initiative (in Qualtrics).

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 **one (1) report (via hotline)** received by UNT System during this quarter reveals the following breakdown of the complaint:

- **One report was received pertaining to an allegation that UNT Dallas is offering courses (in Music, Theater, etc.) that are knowingly being taught by individuals who do not meet the criteria to teach these subjects (no educational background in these fields).** System/Institutional Compliance requested additional information in order to clarify the allegation referenced in this report.



Section I. Organizational Actions

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

Section II. Compliance Risks

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

Action Taken by Management:

- Environmental Risk has implemented a more hands-on approach to laboratory inspections and tracking. RMS is actively narrowing in on acquiring auditing software to enhance the professional standard of its inspection program, and enhance the efficiency of the auditing process while improving reliability, tracking, reporting, and documentation.
- RMS has scheduled walkthroughs of laboratories with targeted faculty and are in discussions with additional units to conduct similar events, aimed at increasing lab safety awareness and communication between the groups in a low-stress and educational-type manner.
- An escalation policy addressing recurring inspection type actions has been drafted to enhance the enforcement arm of the environmental, health, and safety inspection program. This policy is scheduled for final university approval during the fourth quarter. Supporting standard operating procedures are currently being outlined.

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.

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

Action Taken by Management:

Emergency Planning & Preparedness and Business Continuity

- Continued efforts are underway to improve the availability of emergency equipment and preparedness. Collaboration with the Emergency Management arm of RMS will ultimately result in enhancing contingency and emergency preparedness, hazardous materials, and waste plans.
- Three successful hazardous material tabletop exercises were conducted this quarter by Emergency Management, Environmental Risk, and UNT Police. Additionally, a successful inclement weather exercise was conducted involving RMS, Facilities, Transportation, and University Relations Communications and Marketing (URCM).

- Additional Automated External Defibrillator (AED), Cardiopulmonary Resuscitation (CPR), Emergency Readiness, and Safety Coordinator training was conducted by the Emergency Operations Center (EOC).
- A Bidirectional Amplifier was installed during this reporting period and multi-provider cellular service is now available.
- The latest version of UNT's Continuity of Operations Plan (COOP) meets the core requirements set forth by the State Office of Risk Management (SORM). A formal plan to enhance and build upon current capabilities was established. The focus of the plan is to address additional essential functions unique to UNT that must remain operational or quickly resume when normal operations are disrupted.

International Risk Management

- RMS has continued to work with UNT System Business Services Center, UNT International, UNT Internal Audit, and the Office of Research Integrity and Compliance to ensure UNT faculty, staff and students are aware of UNT's System Regulation 08.15000, which requires all faculty, staff and students to register their university related international travel prior to departure. RMS attended a travel training session hosted by the Business Services Center in February to evaluate and render advice for how to improve the delivery of the international travel component.
- There have been 71 non-academic credit (study abroad) related international travel registrations between December 2016 and February 2017. Prior to traveling, registrants received the following: University provided international insurance cards; Country-wide risk assessments (if travel was to a high risk destination); Site-specific risk assessments (if requested); and, all travel is logged into an internal travel management system, which allows for the applicable unit to track travelers and alert them of potential hazards.

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:

- Continued efforts to enhance the hazardous waste program is a high-priority. An internal assessment of the program was conducted and a number of improvements are required. As such, a waste management plan will be drafted to address these improvements and outline a path to compliance.
- Annual Tier II, hazardous waste, and emissions inventory reporting have been completed for 2017. The annual stormwater report is being collaboratively drafted with Facilities and is on-track for timely submission.

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 Resource Conservation and Recovery Act (RCRA) metals, Fats, Oils, and Gases (FOG), or other applicable thresholds.

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

Action Taken by Management and Institutional Compliance:

- Due to the State hiring freeze, an exemption request was coordinated to expedite the hiring of a full-time Radiation Safety Officer (RSO) prior to the end of the hiring freeze. To ensure continuity, the Director of Environmental Risk has taken on the additional duty as RSO until this position is permanently filled. Efforts continue to enhance work efficiency such as the development of online radiation safety training.
- 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 - COI (Office of Research Integrity & Compliance)

Action Taken by Management and Institutional Compliance:

- The Office of Research Integrity & Compliance (ORI&C) has completed its annual Financial Conflict of Interest (FCOI) self-disclosure process for FY 2017. There has been substantial improvement in terms of timeliness as a result of targeted changes implemented. ORI&C reviewed the positive disclosures and will continue to monitor self-reported changes to the original disclosures within the required thirty (30) days.
- Institutional Compliance is working with ORI&C, division management, and other UNT System and campus risk partners to discuss opportunities that will enhance the effectiveness of research conflict of interest processes, practices, and procedures.

High-Risk #6: Time and Effort Reporting (Office of Grants & Contracts Administration)

Action Taken by Management and Institutional Compliance:

- Institutional Compliance is working with the Office of Grants & Contracts Administration, division management, and other UNT System and campus risk partners to discuss opportunities that will enhance the effectiveness of time and effort processes, practices, and procedures.

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

Action Taken by Management and Institutional Compliance:

- Institutional Compliance is working with the Office of Grants & Contracts Administration, division management, and other UNT System and campus risk partners to discuss opportunities that will enhance the effectiveness of grants management processes, practices, and procedures.

High-Risk #8: Electronic Information Handling (University Information Technology and Information Technology Shared Services - ITSS)

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.

- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to two thousand seven hundred and twenty-two (2,722) new and current employees.
- IT support is provided to UNT either directly or indirectly via UNT System IT Shared Services, UNT University Information Technology, and distributed IT staff in the various Colleges and Departments.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with System and campus IT assets to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #9: Health Insurance Portability and Accountability Act (HIPAA) Compliance (Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- Institutional Compliance continues to work towards having all applicable UNT System Administration, UNT, and UNT Dallas units complete a revised survey that will ensure that all applicable units are designated as health care components.
- The survey will also assist in identifying other applicable units that touch personally identifiable health information and are required to comply with other privacy protections, such as the Health Information Technology for Economic and Clinical Health (HITECH) Act requirements.
- Institutional Compliance continues to work with UNT System Administration, UNT, and UNT Dallas units to ensure that each component unit has a HIPAA Security and Privacy Officer.

High-Risk #10: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management, Records Management, and/or Institutional Compliance:

- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to develop online training that is designed to be completed by all applicable Records Management Representatives (RMRs) for UNT System Administration, UNT, and UNT Dallas.
- The Chief Records Management Officer, Director of Institutional Records Management, and Chief Records Management Representative continue to provide technical advice and guidance to management pertaining to complicated records management and retention questions and situations.
- The Chief Records Management Officer, the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce the Records Management Representative (RMR) network for UNT System Administration, UNT, and UNT Dallas.

High-Risk #11: 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:

- RMS continues to address campus procedures, screening of program staff, training for all individuals involved in activities that include minors; monitoring and supervision of the programs; risk assessments; communication to the campus and community; responding to incidents; and, administrative practices.
- RMS continues to focus on improving the communication of the policy and procedures to employees, students, and the community who participate in any Program For Minors activity. Internal processes have been developed to enhance the existing program and ensure a focus remains on continual oversight and improvement.

High-Risk #12: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training and Ethics PowerPoint into web-based training following successful implementation of its Records Management Qualtrics pilot training initiative.

High-Risk #13: I-9 Compliance (Associate Vice Chancellor for HR & Campus HR Director)

- All dedicated scanners are in place and use at UNT System organizations.
- The United States Citizenship and Immigration Services (USCIS) revised a required form and System/campus HR has indicated the revised form is in place. Talent Acquisition shared a one-page reference guide to update and incorporate the revised form into UNT System processes along with updating its training presentation.
- Additional I-9 Training is scheduled for next quarter. System/Institutional Compliance has agreed to work with System and campus HR to enhance training attendance and address specific compliance challenges. UNT System Talent Acquisition and campus Human Resources continue to review and monitor the efficiency and effectiveness of this revised process.

Action Taken by System and/or Institutional Compliance:

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

High-Risk #14: Individual Conflict of Interest (Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- S/IC is reviewing some peer institution policies and will develop its own policy to address this risk and reconfigure a portion of its Institutional Compliance Coordinating Committee (ICCC) to develop an Individual Conflict of Interest Committee that will review disclosures from all applicable personnel and develop applicable management plans as necessary.

Section III. Compliance Training

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training and Ethics PowerPoint into web-based training following successful implementation of its Records Management pilot training initiative (in Qualtrics).

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 (via hotline)** received by UNT during this quarter reveals the following breakdown of complaints:
 - **Two (2) reports were received pertaining to an employee management issue.** These reports were addressed by the university grievance process. The second report was a duplicate of the first report.
 - **There was one (1) report received pertaining to an alleged sponsored project management issue.** This report was referred to Internal Audit and the Office of General Counsel to review and address.

Section I. Organizational Actions

The Chief Compliance Officer assumed her role on February 27, 2017. We thank the Interim Compliance Officer for her contributions and the seamless transition of her duties. Therefore, please note, the information contained in this report is a reflection of the current Chief Compliance Officer's assessment and actions to date. We reserve the right to update if any significant changes arise as she continues her review.

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 2016-17 risk assessment. The **Second Quarter** actions taken by UNT Health Science Center (UNTHSC) to address the UNTHSC Compliance high risks are below:

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

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

Action Taken by Management:

- *UNT Health performed internal reviews and provided education for medical billing and documentation audits for many years. That process was continued through the first half of fiscal year 2016. After an assessment of the resources available and the needs of the organization, a decision was made that the audit function for billing and coding will be contracted to an outside vendor. Management is finalizing its process and will be signing a contract by May, 2017. A vendor contract is expected in early 2017. Contracting with an outside vendor for this service will provide more depth of knowledge, better stability in the process, and access to a higher level of billing/coding education for the providers. The Compliance Specialist provided education to the physicians and staff and continues to monitor issues, questions and concerns. During a focused audit, there have been additional concerns found that are being prioritized so that the original audit can resume.*
- *The UNTHSC Billing, Coding and Revenue Cycle Compliance Committee continues to meet monthly. As a reminder, the Committee's purpose is to serve as an oversight body to oversee proactive monitoring of UNT Health billing, coding and revenue cycle processes and controls to provide accurate documentation and reimbursement for health care services provided through UNT Health in compliance with laws, regulations and UNTHSC policies. A dashboard regarding claims issues has been developed and will be shared with the monthly with the committee to discuss progress and strategy.*

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

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 effort has made significant strides in recovering and encrypting laptops. The Office of Institutional Compliance, Information Technology Services and Property Control meet weekly to discuss progress. A final report of all encrypted and recovered laptops will be reviewed in Mid-May to determine if any additional concerns needed to be addressed before final assessment for any potential HIPAA concerns. The President's Cabinet has worked diligently to ensure that all UNTHSC faculty and staff are aware of the importance of this project and the need for full cooperation.
- 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. **The Chief Compliance Officer has no update at this time.**
- 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. **The Chief Compliance Officer has no update at this time.**
- Security Review of Enterprise Web Forms – A risk assessment and security review of existing UNTHSC web forms publishing technologies and associated customer workflow are currently in the beginning stages. The risk assessment was completed in the summer of 2016. This effort aims to identify current risks and possible mitigation actions for additional controls that should be implemented.

A "sweep" of web forms within the primary platforms was done. UNTHSC Information Technology Services (ITS) met with two groups of stakeholders (departments) in order to remediate two sets of web-forms that were collecting problematic data. Following a priority discussion ITS believes current resources should be used to retire a legacy web platform (Coldfusion-based) which carries a higher risk. The Office of Digital Outreach and Web Services is the custodian for most of what is under discussion. ITS is collaborating with them to complete these items.

Update this quarter: Requirements gathering and solution scoping complete to replace Daily News application that is hosted on legacy platform. Implementation of actual scope of work expected to continue during Q2 and Q3.

- The following activities capture ongoing risk management efforts that are built into the UNTHSC IT Security Program:
 - Training classes and new employee orientations include computer policies and security awareness training. "Refresher" training is delivered to existing staff on an annual basis. Compliance rate for most recently concluded "refresher" training is 100%.
 - Password security policies electronically enforced including use of strong passwords and changing passwords every 12 months.
 - Windows server 2003 (legacy platform) retirement – In progress
 - New Intrusion Detection System implementation – In progress

Action Taken by Compliance:

- The Institutional Compliance Office continues to work with ITS to closely monitor EMR access. The Chief Compliance Officer has met with leaders in research and UNT Health to discuss access and use of EMR and documentation required for use of patient record.
- **[NEW] Full-Time Information Security Officer (ISO)** - The Chief Compliance Officer and the Chief Information Security Officer has discussed with Interim Provost, Chief Financial Officer, and Human Resources the need for a full time Information Security Officer. As regulation surrounding information security, HIPAA and protection continue to increase, the need to protect the UNTHSC electronic information is significant. A full time ISO will provide the necessary oversight and regulatory knowledge needed to continue the prevention of any misuse and/or misconduct of the technology infrastructure. The role will report to the Chief Information Security Officer with a dotted line report to the Chief Compliance Officer.

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

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.
- As part of HHSC's on-going quality control efforts, UNTHSC continues to receive additional information requests from HHSC's contracted auditing firm. Five of six audits are complete with no significant findings. One audit is still in process and may result in the return of monies, the amount of which is undetermined at this time. Management does not believe the financial impact, if any, will be significant. (Update this quarter)

Action Taken by Compliance:

- **The Chief Compliance Officer has no significant updates at this time.**

High Risk #4: Distance Education (Academic Affairs Division) HM

Description: Distance Education is highly regulated by state and federal law. UNTHSC monitors compliance with regulatory requirements.

Action Taken by Management:

- The Distance Education Course Development and Release Procedures Policy addressing distance education (DE) at UNTHSC was approved January 20, 2016. According to that policy, faculty planning to offer DE towards a degree or certificate awarded through the UNTHSC must obtain approval to do so through the University's Distance Education Committee (DEC).

- The UNTHSC will adhere to rules and notification procedures established by the Texas Higher Education Coordinating Board (THECB) for the conduct and approval of distance education including the *THECB Principles of Good Practice for Academic Degree and Certificate Programs and Credit Courses Offered Electronically and Approval of Distance Education, including Off-Campus Course and Programs*.
- The DEC and the Center for Innovative Learning (CIL) work with faculty from the five colleges/schools at UNTHSC to assure that curriculum and instruction provided through distance education are appropriate to the requirements listed above. In addition, course and instructional activities are required to be appropriately evaluated for educational effectiveness, including assessments of student learning outcomes, student retention, and student satisfaction.
- Access to DE materials is restricted to properly enrolled students who possess a unique login identifier which has been assigned to them by the UNTHSC. Login identifiers shall only be provided to students who have been properly registered and who have been approved to participate in online courses by the respective academic school/program.
 - All requests to deliver DE materials for academic credit must be routed through the CIL for review and ultimately through the DEC for approval.
 - To date, no internal or external audits have been conducted. In February 2016, UNTHSC was approved as an institutional member of the National Council for State Authorization Reciprocity Agreements (NC-SARA).
 - As of November 2016, the DEC has completed review and approval of 90% of DE courses offered online by UNTHSC. The review process is ongoing. (Updated this quarter)

Action Taken by Compliance:

- **The Chief Compliance Officer has no significant updates at this time.**

High-Risk #5: Time and Effort Reporting (Research Grants and Contracts) HM

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.

Action Taken by Management:

- UNTHSC is working with the Office of General Counsel ("OGC") to address discrepancies in time and effort reporting.
- Obtained approval from UNT System ITSS Governance Board to move forward January 2017 with plans for developing and implementing Phase 3 enhancements to assist with monitoring effort reporting activities. Efficiencies identified in the continuous improvement project with TSI consultants have been incorporated into this project. (updated this quarter)
- OGCM significantly enhanced procedures for monitoring payroll allocation activities within department, centers, and institutes as follows: (updated this quarter)
 - Created new procedures for Post Award to perform an in-depth review and assessment of payroll allocations, cost sharing, and salary cap cost sharing prior to approving an Electronic Payroll Action Request form (ePAR);

- Created two new reports for OGCM Compliance to perform an in-depth review of payroll data prior to distributing effort reports for certification including (1) a Sponsor Commitment% vs Payroll% Report, and (2) an Overcommitted Report.
- Established a distribution and certification schedule that meets the UNT System requirement to complete the semester process, including any necessary payroll reallocations, within 90 days after the end of the semester.
- Established a post certification audit requirement to monitor departments, centers, and institutes on procedures for payroll allocation methodologies and practices, and proof of work documentation. Discussions are being scheduled to determine specific criteria and responsibility for performing and tracking the audits.

Action Taken by Compliance:

- The Chief Compliance Officer has met with the Vice Chancellor/General Counsel, the President and Interim VP for Research at UNTHSC to discuss the Office of Institutional Compliance support regarding Time and Effort reporting. The Office of General Counsel and Office of Institutional Compliance will work closely to ensure monitoring and proper procedures are in place.

High-Risk #6: Fair Pay Practices (Human Resources) – HM (New)

Description: The Department of Labor's rules and regulations that govern overtime for non-exempt employees were set to change. UNTHSC will review policies and procedures and re-classify employees in order to comply with the changes, when effective. (Note: DOL changes were delayed and HR is monitoring further developments)

Action Taken by Management:

- Policies are posted on the intranet and accessible to any employee. System HR monitors federal and state changes in laws, regulations, and guidelines, and revises or formulates policies and procedures intended to insure that our system of internal control appropriately limits exposure from failure to comply. System HR is responsible to develop, deliver or coordinate training and informational materials for use by our own employees, and all other campus employees whose duties require them to process human resource transactions. Such materials include but are not limited to – Daily News postings, email notifications, web site postings, posted announcements, and initiating specific changes to be made to official policy manuals as approved by the Administration. Institutional training is conducted for all new employees. Employees are required by Chapter 21, Sec. 21.010, Texas Labor Code to complete EO Training no later than thirty days after initial hire and bi-annually thereafter. An institutional database is maintained and employees are notified if they become non-compliant. Every effort is made to bring employees into compliance. Any employee who needs clarification or additional information can make an appointment to talk to the EO Office and receive answers to their questions. New Employee Orientation Attendance was 71. (updated this quarter)

Action Taken by Compliance:

- **The Chief Compliance Officer has no significant updates at this time.**

High-Risk #7: Contract Administration (Finance) – HH (New)

Description: The Contracts Office manages and monitors the contract process to confirm that contracts are appropriately drafted, routed and that payments due are received or payments owed are processed as required under the terms of the agreements.

Action Taken by Management:

- Monitored contracts to ensure each is executed in compliance with contract administration rules and regulations.
- Provided one-on-one training sessions for departments with specialized contracts.
- Posted an Expiring UNTHSC Contract report on the UNTHSC Intranet and emailed an Expiring Contracts Notice to Contract Liaisons, department representatives, and department heads with a link to the report.
- Distributed quarterly Contract Liaison Update to contract liaisons, department chairs, and department representatives to communicate contract-related information.

Action Taken by Compliance:

- The Chief Compliance Officer has met Office of Contract Administration to discuss the support from the Office of Institutional Compliance.

High-Risk #8: Physical Safety on Campus (Operations) – HM (New)

Description: The UNTHSC Police Department, in conjunction with other departments, manages and monitors the campus in order to provide a safe environment for students, visitors and employees.

- The UNT Health Science Center Police Department is staffed by 24 full-time employees and operates 24 hours a day. UNT Health Science Center Police Officers are licensed with the Texas Commission on Law Enforcement as peace officers vested with all powers, privileges and immunities of peace officers in the States of Texas. Each is a police academy graduate who receives at least 40 hours or more of additional training every two years as required by law.
- The UNT Health Science Center Police Department provides comprehensive law enforcement services. Officers routinely patrol the campus by car, bicycle and foot. State criminal laws are enforced, as are administrative and state traffic regulations governing driving and parking restrictions. Officers take police reports when an offense or an incident is reported and criminal cases are filed in court when necessary.
- The UNT Health Science Center Police Department also employs a number of non-licensed personnel to serve as Communications Officers and Public Service Officers (PSOs). Communication Officers are certified through the Texas Commission on Law Enforcement as Telecommunications Operators. They are responsible for answering telephone and walk-up complaints, dispatching calls, monitoring surveillance cameras and alarm systems. PSOs are responsible for providing patients, visitors, and vendors coming to UNT Health Science Center with basic information such as instructions on where to park and directions on how to find campus facilities and personnel. PSOs also issue parking citations, take non-law enforcement reports, assist in covering the communications office, and drive courtesy shuttle vehicles for transporting patients to and from their vehicles to clinic entrances.

- Each Operations web presence contains detailed reference information, including policy and statute where applicable, to stimulate awareness. Compliance is discussed in standing individual team and department meetings.

Action Taken by Compliance:

- **The Chief Compliance Officer has no significant updates at this time.**

Section III. Compliance Training and Additional Monitoring

New Employee Compliance Training: Second Quarter

- Code of Ethics/Standard of Conduct, HIPAA Privacy and Security, Reporting Child Abuse on Campus, Work Place Safety, Title IX Discrimination and Harassment, and Active Shooter training continues to be assigned to new employees timely.

FY2017 Annual Employee Compliance Training:

- The Chief Compliance Officer has been in discussion with ITS to place all training on one learning platform or Learning Management System (LMS) so that all employees access training in one system. Additionally, the Office of Institutional Compliance is preliminarily looking at technological solutions that would link training, policy management and incident reporting together to assist with measurements for compliance effectiveness, analytics and reporting.

Additional Monitoring: Second Quarter

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 Senior Compliance Manager resigned in May and the Chief Compliance and ERM Officer departed on 9/2/2016. The Interim Chief Compliance and ERM Officer assumed responsibilities on 9/1/2016. Limited additional monitoring took place during the first quarter due to lack of staff. The following report describes which areas were monitored.

The Chief Compliance Officer is currently assessing additional monitoring and compliance areas of focus. The Office of Institutional Compliance is currently be assessed for restructuring by the Chief Compliance Officer to determine additional resources and expertise needed to provide significant effectiveness and awareness of the Compliance Program at UNTHSC.

Introduction of Chief Compliance Officer: Second Quarter

- The Chief Compliance Officer assumed her role on February 27, 2017. Her areas of focus and strategic priority in addition to some structures placed by the interim Chief Compliance Officer are:
- RESTRUCTURE OF THE OFFICE OF INSTITUTIONAL COMPLIANCE FOR MAXIMUM EFFECTIVENESS AND RELATIONSHIPS
- CHANGE THE OVERALL PERCEPTION OF COMPLIANCE FROM PUNITIVE AND BURDENSOME TO AN AWARENESS AND SUPPORT AREA FOR THE INSTITUTION
- DEFINE AND IMPLEMENT MEASURES FOR COMPLIANCE EFFECTIVENESS THROUGH TRAINING, POLICIES AND TECHNOLOGY
- POLICY AND RECORDS MANAGEMENT EFFECIENCY

- ASSIST OPD WITH ONE UNIVERSITY HONOR CODE
- COMPLIANCE AWARENESS, TRAINING AND INCENTIVES
- MANAGEMENT OF INFORMATION SECURITY RISK
- ASSIST RESEARCH/RESEARCH COMPLIANCE WITH POLICIES, PROCESSES AND PROCEDURES

Section IV. Compliance Reports: Second Quarter

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.

The Office of Institutional Compliance and the Office of Internal Audit will be working with the vendor to update the hotline to the most recent iteration which will assist with the synergy discussed earlier for effectiveness, analytics and reporting.

FY 2017 First Quarter Reports: September 1, 2016 through November 30, 2016 **[FOLLOW-UP in SECOND QUARTER]**

- **One** Human Resources – (Hotline)
 - Employee feels he is being treated unfairly. **Resolved, without merit.** (Hotline) **ADDENDUM:** This case was noted as resolved in the First Quarter, however the complainant has contacted Human Resources and Institutional Compliance regarding progress and feedback. Normal procedures for response were followed and the complainant was told how to access his information from the Hotline. The Chief Compliance Officer was asked to review the information and attempted to assist the complainant with his issue and additional follow-up. Since the complainant feels the interim Compliance Officer did not follow-up with him personally, his issue is not being taken seriously and he has decided to seek external assistance to resolve.
- **One** Operations – (1 State Audit Office)
 - Complaint regarding plans to use 5th and 6th floors of the Patient Care Center for the new M.D. School. **In progress.** (State Audit Office). The Vice Chancellor and General Counsel has responded to the State Audit Office and following conclusion was stated: *“UNTHSC has the authority to assign or lease space in any of its buildings in furtherance of its joint, collaborative medical school program with TCU, and is not limited by the Texas Government Code in so doing. The medical school is not a private entity, but is a collaborative public-private medical education program. Additionally, the Board's assignment or lease of space in support of the medical school program, in whatever amount it deems appropriate, does not violate the Texas Code because Chapter 2165 of the Texas Government Code does not apply*

to UNTHSC as an institution of higher education and the power to manage and control UNT System campuses is vested by statute in the Board."

Copy of the letter will be provided by the Office of General Counsel and/or Office of Internal Audit.

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 (Interim UNT Dallas Police Chief and UNT Risk Management Services, as applicable)

Action Taken by Management and System Compliance:

- System Compliance briefed the Interim UNT Dallas Chief of Police of the results of the UNT Dallas Safety and Security Audit and both units are beginning the process of updating the UNT Dallas Emergency Management Plan so that the plan reflects the emergency processes and procedures that are currently in place.
- System and Institutional Compliance continues to meet regularly with the Interim 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.
- UNT Dallas initiated a Memorandum of Understanding with Dallas PD that insures their agency is reporting crimes and emergency situations that may impact the UNT Dallas campus community facilitating UNT Dallas' ability to send out emergency notifications and timely warnings expeditiously.
- UNT Dallas also joined the Greater Dallas Forth Worth Regional Law Enforcement Taskforce which is comprised of local agencies that share resources, equipment, and personnel during emergency crisis situations.

High-Risk #2: Electronic Information Handling (Information Technology Shared Services - ITSS)

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to one hundred seventy-five (175) new and current employees.
- IT support is provided to UNT Dallas through Campus Technology Support Services.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with Campus Technology Support Services and ITSS to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #3: Grants Management (UNT Dallas Grants Writer & Administrator and UNT's Office of Grants & Contract Administration, as applicable)

Action Taken by Management and System/Institutional Compliance:

- System and Institutional Compliance are working with UNT Dallas division management, UNT's Office of Grants & Contracts Administration, and other UNT System and campus risk partners to discuss opportunities that will enhance the effectiveness of grants management processes, practices, and procedures.

High-Risk #4: Having policies, procedures, and/or practices in place that may not provide protection of minors participating in UNT Dallas related activities (Interim UNT Dallas Police Chief, UNT Risk Management Services, and Institutional Compliance)

Action Taken by Management and System/Institutional Compliance:

- UNT Risk Management Services (RMS) continues to make the 3rd party web based Child Molestation Awareness Training available to UNT Dallas employees requiring this training.
- RMS, Interim UNT Dallas Chief of Police, and Institutional Compliance continue to address campus procedures, screening of program staff, training for individuals involved in activities that include minors, and planning for the upcoming annual risk assessment.

High-Risk #5: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management and Records Management and/or Institutional Compliance

- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to develop online training that is designed to be completed by all applicable Records Management Representatives (RMRs) for UNT System Administration, UNT, and UNT Dallas.
- The Chief Records Management Officer, Director of Institutional Records Management, and Chief Records Management Representative continue to provide technical advice and guidance to management pertaining to complicated records management and retention questions and situations.
- The Chief Records Management Officer, the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce the Records Management Representative (RMR) network for UNT System Administration, UNT, and UNT Dallas.

High-Risk #6: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training and Ethics

PowerPoint into web-based training following successful implementation of its Records Management Qualtrics pilot training initiative.

Section III. Compliance Training

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training and Ethics PowerPoint into web-based training following successful implementation of its Records Management pilot training initiative (in Qualtrics).

Section IV. Confidential and Other Complaint Reporting for UNT Dallas

- UNT Dallas maintains a Compliance Hotline reporting system that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- There were no reports received directly by UNT Dallas during this quarter.



Board Order

Title: Approval of the Minutes of the February 23-24, 2017 Board Meeting, March 22, 2017 Special Called Meeting by Teleconference and March 24-25, 2017 Special Called Board Meeting

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the minutes of the February 23-24, 2017 Board Meeting, March 22, 2017 Special Called Meeting by Teleconference and March 24-25, 2017 Special Called Board Meeting have been prepared by the Board Secretary and are attached here for Board approval,

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

1. The minutes of the February 23-24, 2017 Board Meeting, March 22, 2017 Special Called Meeting by Teleconference and March 24-25, 2017 Special Called Board Meeting.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



**MINUTES
BOARD OF REGENTS MEETING
February 23-24, 2017**

Thursday, February 23, 2017

The University of North Texas System Board of Regents convened on Thursday, February 23, 2017, in Founders Hall, Room 138, at the University of North Texas at Dallas, 7300 University Hills Blvd., Dallas, Texas, with the following Regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Al Silva, Glen Whitley, Laura Wright, and Christopher Lee. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 9:04 a.m.

Chairman Ryan recognized Chancellor Lee Jackson who reported on **Hiring Freeze and State Budgets, Law School Accreditation, and Construction and Real Estate Projects**. Following the Chancellor's remarks, UNT Dallas President Bob Mong commented on **Update on Goals, Recognition of Deans, Enrollment**, and showed the **Community Connectedness at UNTD Video**.

The chairman recessed the Board for the meetings of the Academic Affairs and Student Success, Strategic and Operational Excellence, Finance and Facilities, and Audit Committees.

Following the Committee meetings, the Board reconvened at 4:25 p.m., 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, .073, .074, and .076.

Chairman Ryan reconvened the Board into open session at 6:30 p.m. with two action items coming out of Executive Session.

**2017-01 UNT Delegation of Authority to Amend and Extend the
Employment Agreement with University of North Texas
Head Football Coach**

Pursuant to a motion by Regent Laura Wright seconded by Regent Rusty Reid, the Board approved the action item 8-0.

**2017-02 UNTS Approval of a Compensation Adjustment for the UNT System
Chief Audit Executive**

Pursuant to a motion by Regent Glen Whitley seconded by Regent A.K. Mago, the Board approved the action item 8-0.

There being no further business, the Board meeting was recessed at 6:33 p.m. on Thursday, February 23, 2017, to be reconvened at 9:00 a.m. on Friday, February 24, 2017, at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas.

Friday, February 24, 2017

The University of North Texas System Board of Regents convened on Friday, February 24, 2017, at the UNT System Building, Room 712, 1901 Main St., Dallas, Texas with the following Regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Al Silva, Glen Whitley, Laura Wright, and Christopher Lee. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 9:01 a.m.

Chairman Ryan recessed the Board for the meetings of the Academic Affairs and Student Success, and Finance and Facilities Committees.

Following the Committee meetings, Chairman Ryan reconvened the full Board at 9:16 a.m.

The Board considered the following items on the Consent Agenda:

- | | |
|-----------------------|--|
| 2017-03 UNTS | Approval of the Minutes of the November 17-18, 2016 Board Meeting |
| 2017-04 UNT | Approval of UNT Faculty Development Leave for 2017-2018 Academic Year |
| 2017-05 UNT | Approval of Tenure for New UNT Faculty Appointees |
| 2017-06 UNT | Award of Honorary Degree |
| 2017-07 UNTHSC | Approval of UNTHSC Emeritus Administrator Recommendation |
| 2017-08 UNTHSC | Approval of Tenure for New UNTHSC Faculty Appointee |
| 2017-09 UNTD | Approval of Tenure for New UNT Dallas Faculty Appointee |

Pursuant to a motion by Regent Glen Whitley seconded by Regent Rusty Reid, the Board approved the action items on the consent agenda 8-0.

The Board then considered the following action items coming out of committees:

Academic Affairs and Student Success Committee Item

- | | |
|-----------------------|--|
| 2017-10 UNTHSC | Approval of UNTHSC Request for New Master of Science Degree in Public Health Sciences |
|-----------------------|--|

Pursuant to a motion by Regent Al Silva seconded by Regent Glen Whitley, the Board approved the above action item 8-0.

Finance and Facilities Committee Items

- | | |
|---------------------|---|
| 2017-11 UNTS | Authorization to Amend the UNTS FY17 Capital Improvement Plan to Add a New Eagle Point Lot and to Modify the Project Scope and Budget for the Track and Field Stadium at UNT |
|---------------------|---|

- 2017-12 UNTS Procurement of External Services for Grants Systems Implementation**
- 2017-13 UNTHSC Approval of Affiliated Entity Agreement between the University of North Texas Health Science Center and UNTHSC Foundation**
- 2017-14 UNTHSC Approval of UNTHSC Professional Medical Malpractice Self-Insurance Plan Experience Dividend**
- 2017-15 UNTD UNT Dallas College of Law FY18 and FY19 Tuition Increase**
- 2017-16 UNTD UNT Dallas Residence Hall Fees**

Pursuant to a motion by Regent Rusty Reid seconded by Regent Laura Wright, the Board approved the above Finance and Facilities Committee action items. The motion was approved on an 8-0 vote.

At 9:19 a.m., Chairman Brint Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071 and 551.074.

Chairman Ryan reconvened the Board into open session at 12:18 p.m. with no action items coming out of Executive Session.

There being no further business, the Board meeting was adjourned at 12:19 p.m. on Friday, February 24, 2017.

Submitted By:

Approved By:

Rosemary R. Haggett
 Rosemary R. Haggett, Board Secretary
 Board of Regents

 Brint Ryan, Chairman
 Board of Regents

Date: March 9, 2017

Date: _____



**BOARD OF REGENTS
Teleconference Meeting Minutes
March 22, 2017**

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 Wednesday, March 22, 2017 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, Gwyn Shea, Glen Whitley, and Laura Wright. Regent Silva called in shortly after the Board of Regents recessed to Executive Session and was present for the remainder of the meeting.

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 2:32 p.m.

The Board Secretary called roll and identified all participants in the meeting.

At 2:34 p.m. Chairman Ryan moved the meeting into Executive Session in accordance with Texas Government Code Sections 551.074.

The Board reconvened in Open Session at 2:45 pm with one action item coming out of Executive Session.

**2017-17 UNT Delegation of Authority to Enter into an Employment Agreement
with a Head Men's Basketball Coach**

Regent Mago made the motion to approve, and Regent Shea 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 unanimously by a vote of 9-0.

There being no further business, the meeting was adjourned at 2:47 p.m.

Submitted By:

Approved By:

Rosemary R. Haggett

Rosemary R. Haggett,
Board Secretary

Brint Ryan,
Chairman

Date: *May 8, 2017*

Date: _____



**MINUTES
BOARD OF REGENTS
SPECIAL CALLED MEETING
March 24-25, 2017**

The Board of Regents met in an informal workshop format and two executive sessions to discuss the posted agenda items.

Friday, March 24

The meeting was called to order by Chairman Brint Ryan at 10:03 a.m. The other regents present were: Don Potts, Rusty Reed, Al Silva, Gwyn Shea, Glen Whitley, Laura Wright, and Christopher Lee.

After opening remarks, Chairman Ryan recessed the Board to go into Executive Session under Government Code Chapter 551, Section .071 at 10:08 a.m. and came out of Executive session at 11:12 a.m. with no action taken.

The Board reconvened in Open Session at 11:13 a.m. The first item of discussion was Intellectual Property and Commercialization Opportunities. Chancellor Jackson gave a brief history of activity in this space, which was followed by a presentation by Joe Allred and Claude Longoria, UNT Health Science Center about the new company, Cx Precision Medicine. Discussion followed.

The meeting recessed at 12:24 p.m. for lunch and reconvened at 1:16 p.m.

UNT Investment Policies was the next item of discussion. Janet Waldron and James Mauldin discussed the purpose and parameters of the short-term pool, the intermediate pool, and the long-term pool. Craig White and Erin Schumacher, Cambridge Associates, provided advice on what factors to consider regarding the management of investable assets going forward. Chairman Ryan requested that risk options with proposed allocations in dollar amounts be brought to the Finance Committee for consideration.

Mike Mlinac, UNT Foundation, who was accompanied by several UNT Foundation Board members, presented information to the Board of Regents on the proposed UNT Endowment Investment Management Agreement Renewal. Discussion followed and there was agreement in principle but no action was taken.

UNT Dallas President Bob Mong and UNT Dallas College of Law Dean Royal Furgeson discussed the upcoming SACS accreditation for UNT Dallas and the ABA accreditation meeting for the College of Law.

The next topic on the agenda was UNT Athletics Five Year Plan. Wren Baker, UNT Athletic Director, presented a strategic plan, a facilities plan, and an overview of five-year revenue projections.

The Board meeting recessed at 5:40 p.m. for a reception and dinner.

Saturday, March 25

The Board reconvened at 8:10 a.m. with the following regents present: Brint Ryan, Rusty Reed, Al Silva, Gwyn Shea, Glen Whitley, Laura Wright, and Christopher Lee.

At 8:11 a.m., the Board recessed to go into Executive Session under Government Code Chapter 551, Section .072 and .074. It came out of Executive Session at 10:09 a.m. with no action taken.

The Board reconvened at 10:10 a.m. to adjourn immediately thereafter.

No formal action resulted from the Board's discussions throughout the two days.

Submitted By:

Approved By:

Rosemary R. Haggett
Rosemary R. Haggett, Board Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Date: May 8, 2017

Date: _____



Title: Approval of Tenure for New UNT Faculty Appointees

Background:

In accordance with UNT Policy 15.0.1, *Faculty Appointments and Granting of Tenure*, 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."

And 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."

Jennifer Evans-Cowley will join UNT July 1, 2017 as the Provost and Vice President for Academic Affairs with an appointment to the College of Health and Public Service, department of Public Administration, with a courtesy appointment to the department of Emergency Management. Dr. Evans-Cowley received a BS in Political Science (1994), Master's in Urban Planning (1996), and PhD in Urban and Regional Science (2000) from Texas A&M University. In addition, she received a Master's in Publication Administration from UNT in 1997. Dr. Evans-Cowley has held a tenured appointment at The Ohio State University (OSU) since 2007. She is currently the Vice Provost for Capital Planning and Regional Campuses and a Professor of City and Regional Planning at OSU. Other OSU positions held include the Associate Dean for Academic Affairs and Administration in the College of Engineering and the Associate Director of the Center for Urban and Regional Analysis. She has published 51 refereed articles, 5 books, 12 book chapters, 26 technical reports, and 55 trade publications; has presented at numerous conferences; and has received over \$6,000,000 in grants. Dr. Evans-Cowley's OSU awards include the University Distinguished Diversity Enhancement Award, Faculty Award for Excellence in Community-Based Scholarship, and the Lumley Research Award for Outstanding Faculty Research over the Past 5 Years. She currently serves on the editorial board for the *International Journal of E-Planning Research*, *Journal of Urban Design*, and *Journal of Planning Literature*.

Jerome Agrusa will join the College of Merchandising, Hospitality, and Tourism as Professor and Department Chair of Hospitality and Tourism Management on August 1, 2017. Dr. Agrusa received a BS with a major in Political Science from the University of Houston (1987), a Master of Hospitality Management from the Conrad Hilton School of Hotel and Restaurant Management at the University of Houston (1990), and a PhD in Tourism Sciences with a minor in Planning from Texas A&M University (1996). Since 2002, he has served as Professor and Chair of the Department of Hospitality and Tourism Management in the College of Business at Hawaii Pacific

University. Dr. Agrusa also served at the University of Louisiana Lafayette (1997-2002), where he achieved tenure, and the University of Southern Mississippi (1994-1997). He has published over 100 refereed articles and conference proceedings and lectured/consulted in over 25 countries in the area of tourism and hospitality services as they relate to marketing and management. He is on the Editorial Review Boards of five (5) journals and serves on the Board of Directors for the Asia Pacific Tourism Association (APTA). In 2008, Dr. Agrusa was awarded the prestigious Fulbright Senior Specialist Award, and was awarded the 2008/2009 College of Business Administration's Excellence in Undergraduate Teaching Award. In 2005, he was awarded Hawaii Pacific University's 2005 Board of Trustees' Award for Teaching Excellence. He also received the 2007 Hawaii Pacific University's Golden Apple Award for Excellence in Scholarship.

Idean Salehyan will join the College of Arts and Sciences, Department of Political Science, in September 2017. Dr. Salehyan received a BA in Political Science (2000) and a PhD in Political Science (2006) from the University of California, San Diego. Since 2015, he has served as a tenured Associate Professor at the University of Texas at Dallas. Dr. Salehyan served at UNT from 2006-2015, achieving tenure and promotion to Associate Professor in 2011. His successful program in comparative politics resulted in 14 peer-reviewed articles and 1 university press book prior to achieving tenure. Since that time in 2011, he has published an additional 13 articles. Dr. Salehyan has a history of receiving grants, including a \$780,000 grant with the Department of Defense (2009-2013). His service record includes items such as serving as a visiting scholar at the Center for International Conflict Resolution at Columbia University in 2012, as well as serving as a manuscript/grant reviewer for the American Journal of Political Science and the American Political Science Review.

Elizabeth Murakami will join the College of Education, Department Teacher Education and Administration as a Professor in September 2017. Dr. Murakami received a BA in Communication and Marketing from Escola Superior P. and Marketing, Sao Paulo Brazil (1980), and an MA in Curriculum and Teaching (1999) and PhD in K-12 Educational Administration with Specialization in International Development (2005) from Michigan State University. Dr. Murakami currently serves at Texas A&M University, San Antonio as Professor and Director of Programs in Educational Leadership. She also served at the University of Texas San Antonio, receiving promotion to Associate Professor and tenure in 2011. From 2013-2014 Dr. Murakami served as Associate Dean/Associate Professor of the College of Education at the University of Texas, Permian Basin. Dr. Murakami has over 40 articles published in major peer-reviewed educational leadership journals. In addition, she has co-edited a book series and served as a journal editor. Dr. Murakami serves on editorial review boards and has held leadership roles in major professional organizations, including the American Educational Research Association (AERA) and University Council of Education Administrators (UCEA). She has been active in the Carnegie Project on the Education Doctorate, which focuses on the development of P-20 school leaders. In 2012, she was named a Distinguished National Educator by the Pacific Education Group.

Dhrubodhi Mukherjee will join the College of Health and Public Service, Department of Social Work as an Associate Professor in September 2017. Dr. Mukherjee received a BA from Jadavpur University, Calcutta, India (1997); a Master of Social Work from Tata Institute of Social Sciences, Mumbai, India (1999); and a PhD in Social Work from the University of South Carolina (2006). Dr. Mukherjee has served at Southern Illinois University since 2006, achieving tenure and promotion to Associate Professor in 2012. Dr. Mukherjee currently serves as the Program Director for the Campus Suicide Prevention Initiative, the Program Director for the Trauma Based Behavioral Health Fellowship, and the Undergraduate Program Director. Dr. Mukherjee has published 12 journal articles, 4 book chapters, and has presented at dozens of conferences through the United States and globally. He is currently Principal Investigator on over \$2,000,000 in external grants, part of which is funded by the Substance Abuse and Mental Health Administration. In his current position, Dr. Mukherjee has taught 9 different preparations. He has served on over 15 committees at his current institution, and serves on 6 local advisory

committees and 3 national committees, including the Council of Social Work Education's Taskforce on Trauma Competencies.

Nat Pope will join the College of Business, Department of Finance, Insurance, Real Estate, and Law as an Associate Professor in September 2017. Dr. Pope received a BS from the University of Wisconsin-River Falls (1979); a Master of Business Administration from the Thunderbird School of Global Management at Arizona State University (1988); and an MS in Risk Management and Insurance (1997) and PhD in Risk Management and Insurance from the University of Wisconsin-Madison (1999). Dr. Pope currently serves as an Associate Professor at Illinois State University, achieving tenure in 2010. Prior to Illinois State, he held teaching positions at Bradley University; the University of New South Wales, Sydney, Australia; and the University of Wisconsin-Madison. Dr. Pope has published 20 articles in refereed journals, and was recently appointed for a 3-year term as a co-editor of the Journal of Insurance Issues. In 2016, Dr. Pope received the Excellence in Teaching Award by the American Risk and Insurance Association. In 2011, he received the Innovation of Business Education Award from ACCSB International. Dr. Pope also holds multiple professional designations, including the Casualty Property Commercial Underwriter (CPCU), the Associate in Risk Management (ARM), and the Chartered Financial Consultant (ChFC) designations.

Yu-Luen Ma will join the College of Business, Department of Finance, Insurance, Real Estate, and Law as a Professor in September 2017. Dr. Ma received a BA in International Relations from National Taiwan University (1994), and an MS in Actuarial Science (1995) and PhD in Risk Management and Insurance from the University of Wisconsin-Madison (1999). Dr. Ma has served at Illinois State University since 2001, achieving tenure and promotion to Associate Professor in 2005, and promotion to Professor in 2011. Prior to Illinois State, she held teaching positions at the University of New South Wales, Sydney Australia; and the University of Wisconsin-Madison. Dr. Ma has published 38 refereed articles and proceedings, has won multiple awards for outstanding papers at prestigious meetings, and is the recipient of outstanding researcher awards both within the College of Business at Illinois State University and by other organizations. She has taught a variety of undergraduate and graduate courses, in both traditional and online formats. Dr. Ma received the Outstanding Teaching Award from her department in 2013, and in 2003 she received the Stickler Innovation in Instruction award from the American Risk Management Association. Dr. Ma recently accepted a 3-year term as co-editor of the Journal of Insurance Issues.

Financial Analysis/History:

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

Bob Brown
Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas,
ou=VP for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2017.05.04 16:37:46 -0500

Institution Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2017.05.09 09:28:43 -05'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas
System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.05.09 15:58:46 -05'00'

Vice Chancellor/General Counsel

Schedule:

Tenure will be awarded upon the first day of employment for the following individuals:

- Jennifer Evans-Cowley
- Jerome Agrusa
- Idean Salehyan
- Elizabeth Murakami
- Dhruvodi Mukherjee
- Nat Pope
- Yu-Luen Ma

Recommendation:

The President recommends that the Board of Regents authorize and approve the award of tenure for Jennifer Evans-Cowley, Jerome Agrusa, Idean Salehyan, Elizabeth Murakami, Dhruvodi Mukherjee, Nat Pope, and Yu-Luen Ma.

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: 2017.05.05 08:37:51 -05'00'

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of
North Texas System, ou=Vice Chancellor for
Academic Affairs and Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2017.05.08 15:57:17 -05'00'

Vice Chancellor

Lee
Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.05.09 16:41:27 -05'00'

Chancellor



Board Order

Title: Approval of Tenure for New UNT Faculty Appointees

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, 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, *Faculty Appointments and Granting of Tenure*,

"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, Jennifer Evans-Cowley, Jerome Agrusa, Idean Salehyan, Elizabeth Murakami, Dhruvodi Mukherjee, Nat Pope, and Yu-Luen Ma were awarded tenure at their previous institutions, and

Whereas, Jennifer Evans-Cowley, Jerome Agrusa, Idean Salehyan, Elizabeth Murakami, Dhruvodi Mukherjee, Nat Pope, and Yu-Luen Ma have the credentials and experience to be awarded tenure as confirmed by their department, college, and provost, and

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

1. The conferring of tenure to Jennifer Evans-Cowley, Jerome Agrusa, Idean Salehyan, Elizabeth Murakami, Dhruvodi Mukherjee, Nat Pope, and Yu-Luen Ma upon their first day of employment.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Approval of UNT Recommendations for New and Continued Regents Professor Designation

Background:

In accordance with Regents Rule 06.304, Regents Professors:

"The Board may award the designation of "Regents Professor" to provide recognition and salary support to a tenured full professor who has performed outstanding teaching, research, and service to the profession and who has achieved a high level of national and international recognition. To be considered, a candidate must meet the eligibility requirements set by the institution and be recommended to the Board following the institution's selection procedures. "

To be eligible for this award, an individual must:

- be a full-time tenured professor;
- have an outstanding record of teaching, research, and service to UNT and to the profession, and have achieved a high level of national and international recognition; and
- demonstrate evidence of the potential for continued distinguished performance.

As outlined in UNT Policy 06.017, Regents Professorship, "During transition from the former provision that allowed up to 25% of the faculty at the rank of professor to hold the Regents Professorship, designations relinquished by retirement, resignation, or through review shall be replaced at a ratio of one new designation for every three relinquished, until the 10% ceiling is reached." As reflected in the above stipulation, it was determined that one vacant professorship is eligible to be filled.

The recommendation for a new Regents Professor is as follows:

Dr. James D. Meernik, Regents Professor Nominee, Political Science

Dr. Meernik has served UNT in a number of important positions, including Department Chair, Associate Dean of the College of Arts and Sciences, and Dean of the Graduate School. He served in each of these roles with distinction. For most, assuming administrative duties such as Dr. Meernik has would cause some slowing of scholarly production, so it is especially noteworthy that his productivity as a scholar and his excellence as an educator have continued without abating. Dr. Meernik's scholarship principally involves war crimes tribunals and his work is regarded as path-breaking both nationally and internationally. Since his promotion to Professor in 2006, he has published 4 books and approximately 30 scholarly articles/book chapters on this topic. He has 2 additional books pending publication with Cambridge University Press. Over his career, Dr. Meernik has published more than 70 scholarly articles and book chapters in areas as diverse as foreign policy, international conflict, and judicial politics. His scholarship has been cited by researchers in his field more than 2,300 times. Although external funding in Political Science is unusual, his work has been funded by the National Science Foundation and the Harold Simmons Foundation. It is also noteworthy that much of his scholarship has involved collaborations with

graduate students and junior colleagues – an indication of the mentorship for which he is well known. Dr. Meernik has made remarkable contributions as a teacher as well. He regularly teaches freshman courses in the Lyceum, the largest capacity classroom on campus. This work has been the model for other faculty, and many graduate students have learned pedagogy by training with him. He has also developed and taught many upper-level courses, including a remarkable study abroad course for UNT undergraduate students that is taught at the International Criminal Tribunal for Yugoslavia in the Hague, Netherlands. The course was recognized by the American Political Science Association as the most innovative course in the United States.

Dr. Meernik is an internationally known scholar and the letters supporting his nomination make plain the major contributions he has made in international relations. He is an excellent instructor, an exceptional mentor to students and colleagues, and has served the university with distinction in many different capacities. There is no doubt that Dr. Meernik has achieved the high level of national and international recognition that is stated in the UNT Board of Regents Rules.

Faculty being recommended for the continued designation of Regents Professor:

The Regents Professors listed below were reviewed by the Regents Professor Selection and Review Committee under the Regents Rule adopted by the UNT System Board of Regents. The Regents Professor Selection and Review Committee, as required by institution policy, examined their credentials in light of the Regents Rule adopted February 7, 2008, to determine continued eligibility for the position.

The Regents Professor Selection and Review Committee recommended 3 faculty members for continuation of this award, and all 3 faculty members are being recommended by the Provost and Vice President for Academic Affairs. Each has continued at the high level of national and international recognition stated in the UNT Board of Regents Rules. The Regents Professors who are recommended for the continuation of the designation of Regents Professor are:

Dr. Samuel Atkinson, Regents Professor, Biological Sciences

Dr. Samuel Atkinson was appointed a Regents Professor in 2010. Since his appointment, Dr. Atkinson has continued to be a remarkably productive scholar, an effective educator, and an outstanding member of the university community. During his appointment as a Regents Professor, Dr. Atkinson has published 13 articles (with 2 more accepted for publication), 2 international conference proceedings, and a book. He has also attracted almost \$2.5 million in external funding over this period. His area of research involves environmental systems models, especially as they relate to the effects of land use activities on water quality and aquatic ecosystems. In the recent past, he has begun collaborations with geographers, epidemiologists, and computer scientists to apply his modeling techniques in order to consider the effects of the environment on infectious diseases. Such is the strength of his national reputation as a scholar that he was appointed by the United States government (and vetted by then-Secretary of Defense Leon Panetta) in 2012 to serve on the Environmental Advisory Board, a body that provides independent scientific advice to the United States Army Corps of Engineers on national and international environmental issues. He currently serves as vice-chair of this body. Since 2010, Dr. Atkinson has taught many large sections of undergraduate students, in addition to more typically-sized undergraduate courses, large graduate courses, and specialized sections of graduate courses. The evaluations of his teaching effectiveness have been consistently strong. He is an enthusiastic and effective mentor to students. In addition to serving a 2-year stint as acting chair of one of the largest departments on campus, he is the Director of the Institute of Applied Science at UNT, and has served on numerous committees with distinction. Dr. Atkinson is regularly placed in the highest category in his department's annual review process, a process that considers scholarship, teaching, and service.

Dr. Kent Chapman, Regents Professor, Biological Sciences

Dr. Kent Chapman was appointed a Regents Professor in 2010. Since his appointment, he has published 60 articles in scholarly journals, a figure more than twice his output in the period of the same length preceding 2010. An expert in plant lipid metabolism and signaling and in trait improvement in cotton, his work since his appointment as Regents Professor is already heavily cited by other scholars. In this period, Dr. Chapman has also published 7 opinion pieces (including one invited by *Nature*) and 2 book chapters. He is much in demand as a speaker, both nationally and internationally, having made 43 invited presentations of his work on 4 continents. During his appointment as a Regents Professor, Dr. Chapman has continued to attract large amounts of external funding, with more than \$5 million in grants from the National Science Foundation, the Department of Energy, the USDA, and others. Dr. Chapman has mentored several graduate students during his appointment, including supervising 4 completed dissertations and 3 Master's theses, and he is supervising another 5 students at present. Dr. Chapman is a dedicated and effective instructor. He teaches undergraduate courses in cell biology and the biology of higher plants. He also notably developed a course in research methods in life sciences, an effort funded by a grant from the Howard Hughes Medical Institute. This course provides students with the opportunity to understand how experimental science actually proceeds. His student evaluations in these rigorous courses are uniformly high. Dr. Chapman is engaged in professional service on an ongoing basis, both on-campus and outside our walls. He was asked to serve a 2-year term as Director of the Division of Integrative Organismal Systems at the National Science Foundation, a role that speaks to his international reputation as a scholar and one that has brought acclaim to UNT. He also serves as executive editor for the premier journal in his field. Dr. Chapman's colleagues routinely place him in the highest category in the Department of Biological Sciences' annual review process.

Dr. Richard Rogers, Regents Professor, Department of Psychology

Dr. Richard Rogers was appointed a Regents Professor in 2010. Since his appointment, Dr. Rogers has received one of UNT's highest faculty honors, the UNT Foundation Eminent Faculty Award, and over this period his departmental peers evaluate his research in the outstanding to exceptional range and his service in the laudable range. He is nationally known for his research into Miranda warnings, and his findings led the American Bar Association to call for important reforms to this fundamental part of the American criminal justice system. So far, this has resulted in reforms enacted by the state of Illinois that have helped thousands of juvenile arrestees properly understand the Miranda warning. Similar reforms are under consideration in New York. Since his appointment as a Regents Professor, Dr. Rogers has published (or has in press) 35 articles in scholarly journals, 14 book chapters, and a book on the topic of Mirandized statements. He has also developed 2 forensic assessment instruments, including one that assesses how well criminal suspects comprehend Miranda warnings. His work over this period has been supported by nearly \$800,000 in funding from the National Science Foundation. Dr. Rogers teaches graduate courses, and has supervised 9 Master's theses and 10 dissertations since 2010. Of this latter, it is especially remarkable that these students have themselves been productive scholars with an average of 6 publications in scholarly journals each. His graduate students have also won dissertation grants from the American Academy of Forensic Psychology and numerous UNT awards and scholarships while under Dr. Rogers' tutelage. These are impressive indications of his mentorship. Dr. Rogers has served his university and profession well and often, including service on the editorial boards of 5 different professional journals. In 2011, the American Psychological Association awarded Dr. Rogers their Distinguished Professional Contributions to Public Policy award. He is only the fourth psychologist in the long history of that body to receive this distinction and the APA's Distinguished Professional Contributions to Applied Research award, bestowed on him just before his appointment as a Regents Professor.

Financial Analysis/History:

According to UNT Policy 06.017 Regents Professorship, "The award consists of the designation Regents Professor, and a one-time supplement of \$7,500 added to the base salary." The recommendations for reappointments require no additional funds for the faculty to continue to carry the designation of Regents Professor.

Bob Brown
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Institution Chief Financial Officer

**Janet
Waldron**
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System, ou=Vice Chancellor for
Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2017.05.10 13:59:57 -05'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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ou=Office of General Counsel, email=nancy.footer@untsystem.edu,
c=US
Date: 2017.05.11 10:11:59 -05'00'
Vice Chancellor/General Counsel

Schedule:

Fall 2017

Recommendation:

The President recommends that the Board of Regents approve the awarding of the designations of Regents Professor for Dr. James Meernik effective, September 1, 2017. The President also recommends that the Board of Regents approve the continuation of the designation of Regents Professor for Dr. Samuel Atkinson, Dr. Kent Chapman, and Dr. Richard Rogers effective September 1, 2017.

Recommended By:

O. Finley Graves

Provost and Vice President for
Academic Affairs

**Neal
Smatresk**
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North Texas, ou=President,
email=neal.smatresk@unt.edu, c=US
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President

Rosemary R.
Haggett

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North Texas System, ou=Vice Chancellor for
Academic Affairs and Student Success,
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Date: 2017.05.10 14:37:36 -0500'

Vice Chancellor

Lee Jackson

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ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2017.05.10 11:24:37 -0500'

Chancellor



Board Order

Title: Approval of UNT Recommendations for New and Continued Regents Professor Designation

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in accordance with Regents Rule, 06.304, Regents Professors,

"The Board may award the designation of "Regents Professor" to provide recognition and salary support to a tenured full professor who has performed outstanding teaching, research, and service to the profession and who has achieved a high level of national and international recognition," and

Whereas, the faculty were reviewed by the Regents Professor Selection and Review Committee in light of the Regents Rule adopted by the UNT System Board of Regents on February 7, 2008, and

Whereas, all faculty recommended for the designation of Regents Professor and those recommended for continuation of the designation of Regents Professor have achieved a high level of national and international recognition as stated in the Regents Rules,

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

1. The designation of Regents Professor effective September 1, 2017 for Dr. James D. Meernik.
2. The continuation of the designation of Regents Professor effective September 1, 2017 for Dr. Samuel Atkinson, Dr. Kent Chapman, and Dr. Richard Rogers.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Approval of Tenure for New UNTHSC Faculty Appointee

Background:

In accordance with the University of North Texas Health Science Center (UNTHSC) Faculty Bylaws, *Article X – Tenure, Section A – Non-tenured Faculty Members on the Tenure Track*,

“...each new faculty member shall serve a minimum probationary term of no less than one year before application for tenure, unless the President, in special circumstances, recommends immediate tenure.”

Dr. Charles Taylor will join the University of North Texas System College of Pharmacy (UNTSCP) as Dean and Professor in the Department of Pharmacotherapy in June 2017. Dr. Taylor received a Bachelor of Science and Doctor of Pharmacy from Auburn University. He continued his education at Duke University Medical Center as a Pharmacy Practice resident, becoming a Board Certified Pharmacotherapy Specialist. Dr. Taylor started his academic career at Auburn University achieving tenure as an Associate Professor. He served as Associate Dean with tenure at both St. Louis College of Pharmacy and the University of Minnesota College of Pharmacy. His current position is Dean and Vice President for Academic Affairs at Northeast Ohio Medical University. Dr. Taylor is an accomplished leader in pharmacy education and an advocate of interprofessional education and collaborative practice. At his current institution, he launched a research center addressing Neurodegenerative Diseases and Aging. He initiated a commercialization enterprise to support early-stage biomedical companies that leverage faculty expertise and university research facilities. Dr. Taylor promotes pharmacy education to train the pharmacist of the future who will be an integral part of the health care team and provide medication management services. Dr. Taylor’s educational philosophy and values are aligned closely with those of the UNTSCP and the UNTHSC.

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.

Gregory R.
Anderson

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Institution Chief Financial Officer

Janet
Waldron

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Date: 2017.05.08.09:20:20 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
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ou=Office of General Counsel,
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Date: 2017.05.09 13:59:35 -0500

Vice Chancellor/General Counsel

Schedule:

Tenure will be awarded for Dr. Charles Taylor upon the approval of the Board of Regents on his first day of employment at the UNTHSC.

Recommendation:

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

Recommended By:

Claire Peel

Interim Provost

Dr. Michael R. Williams Digitally signed by Dr. Michael R. Williams
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ou=President,
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Date: 2017.05.05 11:38:22 -0500

President

Rosemary R. Haggett Digitally signed by Rosemary R. Haggett
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Date: 2017.05.08 15:59:05 -0500

Vice Chancellor

Lee Jackson Digitally signed by Lee Jackson
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Date: 2017.05.09 16:45:44 -0500

Chancellor



Board Order

Title: Approval of Tenure for New UNTHSC Faculty Appointee

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, 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 Health Science Center (UNTHSC) Faculty Bylaws, *Article X – Tenure, Section A – Non-tenured Faculty Members on the Tenure Track*,

“...each new faculty member shall serve a minimum probationary term of no less than one year before application for tenure, unless the President, in special circumstances, recommends immediate tenure”, and

Whereas, Dr. Taylor is an outstanding educator and clinician scientist and was awarded tenure at his previous institution, and

Whereas, Dr. Taylor is endorsed by the Interim Provost, and the President,

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

1. Confer tenure for Dr. Charles T. Taylor, upon approval by the Board of Regents effective on his first day of employment at the University of North Texas Health Science Center.

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: April 7, 2017

Title: Approval of Sub-award to Tarrant County under CDC Agreement 200-2011-41271

Background:

UNTHSC received a sponsored project agreement from the Centers for Disease Control (CDC) for approximately \$4.2 million in 2011. The PI on this project is Dr. Thaddeus Miller. Tarrant County Public Health plays an integral part in performance of the research for this project as a sub-awardee. In accordance with CDC's policies, the CDC grant is authorized and issued on an annual basis, and a new sub-award must be entered into with Tarrant County Public Health in connection with each annual authorization. The sub-award presented for Board review is to continue the research with Tarrant County Public Health for the project period 9/29/2017 to 9/28/2018 under the CDC agreement.

Financial Analysis/History:

This sub-award will provide an amount not to exceed \$124,859.00 to Tarrant County Public Health for facilitating UNTHSC's successful performance of task order #1 of the CDC agreement. TCPH will act as UNTHSC's enrollment and primary work site and will implement and perform activities as required within its TB, Refugee, and other appropriate clinics. The prime agreement was issued to UNTHSC by the CDC in 2011, and is re-issued annually. This work is a continuation of the work performed by Tarrant County Public Health for the project period of 9/29/2016 to 9/29/2017 as a subcontractor under the CDC project.

Gregory R.
Anderson

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Institution Chief Financial Officer

Janet
Waldron

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Date: 2017.05.08.09:21:07 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Date: 2017.05.09 16:00:11 -05'00'

Vice Chancellor/General Counsel

Schedule:

Project period is 9/29/17 to 9/28/18, the contract is expected to be renewed annually under a new sub-award for the remainder of the CDC project term, which expires 9/28/2021.

Recommendation:

That the Board of Regents approve the execution of a sub-award to Tarrant County under CDC agreement 200-2011-41271.

Recommended By:

Gregory R. Anderson

Institution Chief Financial Officer

Dr. Michael
R. Williams

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o=UNT Health Science Center,
ou=President,
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Date: 2017.05.04 18:11:12 -05'00'

President

Lee
Jackson

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c=US
Date: 2017.05.09 16:55:44 -05'00'

Chancellor



Board Order

Title: Approval of Sub-award to Tarrant County under CDC Agreement 200-2011-41271

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, Tarrant County Public Health acts as UNTHSC's Tuberculosis Epidemiologic Studies Consortium (TBESC) enrollment and primary work site for CDC's task order # 1 for the project entitled "Prospective Comparison of the Tuberculin Skin Test (TST) vs. Interferon Gamma Release Assays (IGRAs) in Diagnosing Latent Tuberculosis Infection (LTBI) and in Predicting Progression from LTBI to Active Disease."; and implements and performs activities as required within its TB, Refugee, and other appropriate clinics, and

Whereas, the current sub-award to Tarrant County Public Health expires on September 28, 2017, and

Whereas, the parties wish to continue the project and execute a new sub-award for the period of September 29, 2017 through September 28, 2018 in accordance with the CDC agreement issued for the new term,

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

1. Delegation of Authority to the Chancellor to negotiate, approve, and sign the sub-award to Tarrant County Public Health for the term of September 29, 2017 through September 28, 2018.

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: April 7, 2017

Title: Authorization to Execute an Agreement Between UNTHSC and Tarrant County to Provide Limited Dermatologic Services to Patients Referred by the Tarrant County Public Health Department

Background:

The Tarrant County Public Health Department contracts for dermatologic procedures, consultations and assistance in the management of dermatologic disorders complicated by HIV, that do not require parenteral anesthesia, per individual client as requested. Services are paid on a per patient basis, at rates consistent with other government medical services payers.

Financial Analysis/History:

Clinical revenue paid under contract for these services from April 2016 – March 2017 was approximately \$7,000. UNTHSC expects to receive up to \$7,000 for specialty services rendered under the renewal term.

Gregory R.
Anderson

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Date: 2017.05.05 10:25:28 -05'00'

Institution Chief Financial Officer

Janet
Waldron

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Date: 2017.05.08 09:21:50 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Date: 2017.05.09 16:00:49 -05'00'

Vice Chancellor/General Counsel

Schedule: June 1, 2017 to May 31, 2018

Recommendation:

It is recommended that the Board of Regents authorize and approve the execution of the contract for Tarrant County and UNTHSC for specialty patient care services.

Recommended By:

Gregory R. Anderson
Institution Chief Financial Officer

Dr. Michael
R. Williams

Digitally signed by Dr. Michael R. Williams
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Science Center, ou=President,
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Date: 2017.05.04 18:11:46 -05'00'

President

Lee Jackson

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ou=Office of the Chancellor,
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c=US
Date: 2017.05.09 16:57:36 -05'00'

Chancellor



Board Order

Title: Authorization to Execute an Agreement Between UNTHSC and Tarrant County to Provide Limited Dermatologic Services to Patients Referred by the Tarrant County Public Health Department

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on May 18-19, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNTHSC provides certain dermatologic procedures, consultations and assistance, and

Whereas, the Tarrant County Public Health Department wishes to purchase these services under the care of its Preventative Health Clinic.

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

1. Execution of an Agreement between UNTHSC and Tarrant County for UNTHSC to provide limited dermatologic services to patients referred by the Tarrant County Public Health Department.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents