



University of North Texas System

Board of Regents

Schedule of Events for Board of Regents Meeting

November 15-16, 2018

University of North Texas
University Union, Room 333
1155 Union Circle
Denton, TX

The University of North Texas System Board of Regents will meet on Thursday, November 15, 2018, from 8:30 am until approximately 6:00 pm and on Friday, November 16, 2018, from 9:00 am until approximately 11:00 am.

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 University Union building at the University of North Texas. Please contact the Office of the Board Secretary with any questions at 214.752.5533.

Thursday, November 15, 2018

8:30 am **CONVENE FULL BOARD** (Room 333)

8:35 am **CHANCELLOR'S REMARKS**

- Progress Since Last Quarterly Board Meeting, August 9-10, 2018

8:40 am **UNT PRESIDENT'S INSTITUTIONAL UPDATE**

- FY18 in review
- Introductions
- News updates

9:00 am CAMPUS UPDATES

- Michael Williams, UNTHSC, President
 - Campus Update
 - TCU and UNTHSC School of Medicine
 - Significant Developments
- Bob Mong, UNTD, President
 - Campus Update
 - College of Law Update
 - Significant Developments

9:20 am SPOTLIGHT ON STUDENTS

Recess Full Board to Strategic and Operational Excellence Committee.

9:40 am STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE

Call to Order:

- Approval of minutes of August 9, 2018 meeting

Briefings:

UNT System Strategic Plans Review

- Lesa Roe, UNTS, Chancellor
- Michael Williams, UNTHSC, President
- Bob Mong, UNTD, President
- Neal Smatresk, UNT, President

University of North Texas System Progress Card

- Lesa Roe, UNTS, Chancellor

BACKGROUND MATERIAL

- Quarterly Operations Report

Adjourn Strategic & Operational Excellence Committee.

12:30 pm LUNCH

1:30 pm ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Call to Order:

- Approval of minutes of August 9-10, 2018 meeting

Briefing:

Update on Research at UNT and UNT Health Science Center

- Jennifer Cowley, UNT, Provost and Vice President for Academic Affairs
- Narendra Dahotre, UNT, Interim Vice President of Research and Innovation
- Charles Taylor, UNTHSC, Provost and Executive Vice President
- Anuja Ghorpade, UNTHSC, Vice President for Research

BACKGROUND MATERIAL

- Quarterly Academic Measures Report

Recess Academic Affairs & Student Success Committee.

2:15 pm AUDIT COMMITTEE

Call to Order

- Approval of minutes of the August 10, 2018 meeting
- Review of revisions to committee calendar

Briefings:

FY18 Annual Recap of Internal Audit Activities

- Tracy Grunig, UNT System, Chief Audit Executive

Quarterly Report of Audit Activities

- Tracy Grunig, UNT System, Chief Audit Executive

UNT System Enterprise Audit Report Inventory

- Tracy Grunig, UNT System, Chief Audit Executive

UNT System, UNT Dallas, UNTHSC and UNT Compliance and Standards of Conduct Update

- Steve Hill, UNT System & UNT Dallas, Compliance Officer
- Desiree Ramirez, UNTHSC, Chief Compliance Officer
- Clay Simmons, UNT, Chief Compliance Officer

University Compliance and Ethics Program and Risk Assessment Overview

- Clay Simmons, UNT, Chief Compliance Officer

BACKGROUND MATERIAL

- UNT System Consolidated Annual Compliance Report, September 2017 through August 2018

Adjourn Audit Committee.

3:30 pm FINANCE AND FACILITIES COMMITTEE

Call to Order:

- Approval of minutes of the August 9-10, 2018 meeting

Briefings:

Annual Investment Updates

UNT Foundation

- Mike Mlinac, UNT Foundation, President and CEO
- Alfred Lockwood, UNT Foundation Director of Investment Administration

UNTHSC Foundation

- James Meintjes, J.P. Morgan Chase, CFA Banker
- Kyle Hitchcock, J.P. Morgan Chase, Investment Specialist

UNT Frisco: Capital Planning & Programming Update

- Bob Brown, UNT, Senior Vice President for Finance and Administration

UNT Campus Master Plan Update

- Cassandra Nash, UNT System, Interim Vice Chancellor for Facilities, Planning & Construction

BACKGROUND MATERIAL

- Quarterly Operations Report

Recess Finance & Facilities Committee.

4:30 pm CONVENE FULL BOARD AND RECESS TO EXECUTIVE SESSION
(Room 385 A&B)

Government Code, Chapter 551, Section .073 - Deliberations Regarding Prospective Gifts

- Discussion regarding a negotiated contact for a prospective donation with naming possibilities at UNT Dallas, and possible action

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

- Discussion regarding the value, lease and/or development of commercial space on the first floor of the real property and improvements located at 1900 Elm Street, Dallas, Texas 75201, and possible action
- Discussion regarding the purchase, exchange, lease or value of real property in Denton County, Texas

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 employment agreement with the UNT Dallas President, and possible action
- Consideration of individual personnel matters related to the performance objectives and performance evaluation of and the employment agreement with the UNT System Chancellor, and possible action

6:00 pm CONVENE FULL BOARD AND RECESS

Friday, November 16, 2018

9:00 am CONVENE FULL BOARD

Recess for committee meetings.

9:00 am ACADEMIC AFFAIRS & STUDENT SUCCESS COMMITTEE

Action Items:

8. UNT Approval to Add the UNT Bachelor of Science Degree Program with a Major in Data Science
9. UNT Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Latino Culture, Economy, and Policy

Adjourn Academic Affairs & Student Success Committee.

9:15 am FINANCE AND FACILITIES COMMITTEE

Action Items:

10. UNT Approval of New UNT Undergraduate Differential Tuition Beginning Fall 2019
11. UNT Approval of New UNT Graduate Differential Tuition Beginning Fall 2019
12. UNT Approval of Increase to Board Designated Tuition for Graduate Students Beginning Fall 2019
13. UNT Approval of Reduced Rate for Excessive Undergraduate Hours Beginning Fall 2019
14. UNT Approval of New Save and Soar (Fixed Rate) Tuition Plan and Discontinuance of Eagle Express Tuition Plan
15. UNT Honoring Naming of Room 269 of the College of Visual Arts and Design Building as “The Ray and Georgia Gough Design Research Space”
16. UNT Naming of the Building Located at 6170 Research Road in Frisco, Texas, as “Inspire Park”

Adjourn Finance and Facilities Committee.

10:00 am CONVENE THE FULL BOARD

CONSENT AGENDA

1. UNTS Approval of the Minutes of the August 8-9, 2018, Board Meeting and the October 9, 2018, Special Called Board Meeting
2. UNTS Authorize to Permit Negotiation and Granting of Pedestrian Easement to the City of Dallas for the Runyon Creek Greenbelt Trail Project at UNT Dallas

3. UNT Approval of Emeritus Recommendations
4. UNT Approval of Tenure for New UNT Faculty Appointees
5. UNTHSC Approval of Tenure for New Faculty Appointee
6. UNTHSC Authorization to Enter into Interlocal Agreement with Tarrant County for Disposition of Certain Decedents
7. UNTHSC Delegation of Authority to Extend GME Formula Funding Agreement Between UNTHSC and the Tarrant County Hospital District

ACTION ITEMS

8. UNT Approval to Add the UNT Bachelor of Science Degree Program with a Major in Data Science
9. UNT Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Latino Culture, Economy, and Policy
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15. UNT Honorific Naming of Room 269 of the College of Visual Arts and Design Building as “The Ray and Georgia Gough Design Research Space”
16. UNT Naming of the Building Located at 6170 Research Road in Frisco, Texas, as “Inspire Park”

11:00 am ADJOURNMENT

UNT Institutional Update

It was a record setting year!

- World record lecture – Andrew Torget
- 9,465 degrees awarded
- We became a minority majority institution this year
- Research expenditures at \$37M
- Fundraising exceeding \$36M
- 72 programs in the top 100
- UNT ranked best Texas university employer and a best place to work for women by *Forbes*
- We partnered with the City of Frisco to build a new campus on 100 plus acres at the Brinkman Ranch site
- Best fundraising and academic success in Athletics history and best winning percentage in 40 years

Introductions

- Adam Fein – VP for Digital Strategy and Innovation
- SGA President and VP, Muhammed Kara and Dominique Thomas
- Grad Association President Giselle Greenidge and Vice President David Lacy

UNT news updates

- Accolades and awards
 - Renee Bryce – 2018 Tech Titans Award for developing software for middle and high school students
 - Accounting program in top 50 ratings
 - Esports team doing well
 - UNT received the Higher Education Excellence in Diversity award – top college for diversity
 - Celebrated 100 anniversary of student health and wellness center (founded as a result Spanish influenza pandemic of 1918)
 - UNT named one of top most haunted schools
- Capital projects
 - CVAD
 - Biomed Engineering
 - Inspire Park
 - Joe Greene hall
 - Tour Center
 - Dining Hall

UNT news updates

- Athletics updates
 - Light the tower
 - Teams performance this year
 - Indoor Practice facility
 - Joe Greene statute
 - Attendance
 - Fake Fair catch
- Academic updates
 - Winter session
 - Scholarship strategy
 - New Frisco Cohort
 - Student Success initiative
- Campus process improvements
 - Mediation training
 - Faculty development – supervisory building blocks, navigating leadership
 - Automated classroom alert system for emergency notification
 - Created new enrollment team to improve enrollment business processes



MINUTES
BOARD OF REGENTS
Strategic and Operational Excellence Committee
August 9, 2018

The Strategic and Operational Excellence Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 9, 2018, in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas, with the following committee members in attendance: Regents Milton Lee, Carlos Munguia, Gwyn Shea, and Glen Whitley.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Milton Lee, at 9:42 a.m.

The minutes of the May 17, 2018, Strategic and Operational Excellence Committee meeting were approved on a 4-0 vote following a motion by Regent Glen Whitley seconded by Regent Carlos Munguia.

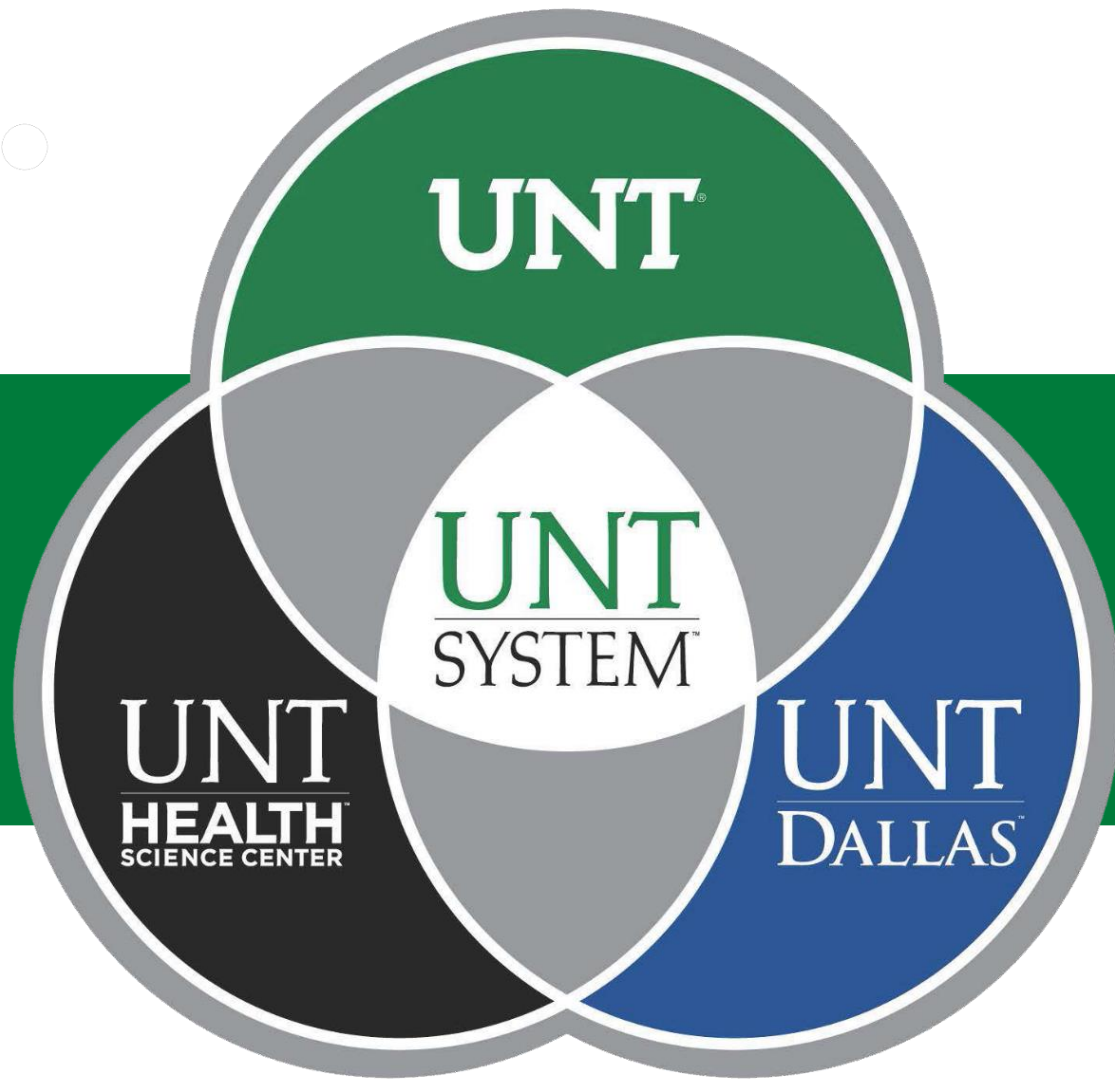
The Committee was briefed on the **UNT System Strategic Plans Review** by UNT System Chancellor Lesa Roe, UNT Dallas President Bob Mong, UNT President Neal Smatresk, and UNT Health Science Center President Michael Williams.

There being no further business, the Strategic and Operational Excellence Committee meeting adjourned at 11:28 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: Aug 20, 2018



UNT SYSTEM ADMINISTRATION STRATEGY

Content Sections

1. Background
2. Culture – Where We Want to Be
3. Purpose, Vision, Goals
4. Systems Administration: Where Are We Going

SECTION 1: Background

Background

At our System Administration retreat in September, we had a positive discussion on the future culture, purpose and vision statements for the UNT System and System Administration. We also talked about how we identify results with metrics that are memorable, measurable, and meaningful.

- System Administration is fully aligned with my vision of leading and serving. Efforts to improve services and efficiencies system-wide will be ongoing.
- The Presidents and I acknowledge we are on the same team by setting the tone at the top – publicly and privately – acknowledging that the “reset button” is a must, and that System Administration is a strategic partner with our Universities. We have a great team and we all want the same vision and will work hard to accomplish it – and celebrate it – together.
- We ask for the grace and space to change as needed.

SECTION 2: Culture

- Where We Want to Be – Values and Behaviors
- Behaviors We Will Not Tolerate

Culture – Where We Want to Be

- Strategic
- One-Team: Aligned
- Transformational
- Extraordinary
 - Innovative
 - Effective
 - Collaborative

Behaviors – Where We Want to Be

Leadership Behaviors: Accountable; Whole system thinking; Open dialogue; Aligned; Truth to power; Know limitations; Passionate; Supportive

Self Behaviors: Listening (listen and consider alternative viewpoints); Respectful; Forgiveness; Trust; Constructive kindness; Motivated; Creative; Responsive

How We Hold Each Other Accountable

Leadership: Set expectations; Clarity in roles & responsibilities; Manage your team; Own it; Clear and crucial communications; Celebrate success; Trust environment; Provide training (trust, learning organization attributes, holding each other accountable).

Self: Model the behavior; Positive reinforcement; Welcome feedback; Support; Empathetic; Check in; Tell the person – not someone else; Disagree and then commit to the decision; Discuss in person or on a call (not email).

Behaviors – We will NOT Tolerate

- Blame game
- Accepting mediocracy
- Accepting bad behaviors
- Lack of ownership
- Non-collaborative leadership
- Manipulative
- Intolerance of failure (OK to take risk)
- Exclusion
- Not having difficult conversations
- Shooting the messenger
- Inability to adapt
- Disloyal
- Selfish
- Defensiveness
- Lack of time- tyranny of urgent
- Passive aggressive
- Rumor or gossip
- Deception
- Dishonest
- Fear
- Quick Fix

SECTION 3: Purpose, Vision, Goals

- PURPOSE (Meaning)
- VISION (Direction)
- GOALS (Results to Achieve Vision)

UNT World Purpose (Our meaning; Why we are here):

With our heart in North Texas, we transform lives and create economic opportunity . (draft)

University Purpose:

UNT: We produce the creative leaders of tomorrow. (draft)

UNT HSC: Transforming lives to improve the lives of others.

UNT Dallas: Increase educational attainment in urban metro Dallas.

UNT World Vision:

One system, supporting and celebrating the achieved visions of our universities.

University Visions:

UNT: *As a Next Generation University*, UNT will become a leader in driving the creative economy. (draft)

UNT HSC: One university, built on values, defining and producing the providers of the future.

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

System Administration Purpose (Meaning):

Lead, Serve, Inspire

System Administration Vision (Direction):

Recognized as a trusted partner of exceptional performance and service.

Goals (Results to get to Vision):

- People
- Service
- Strength

People

Our people are the only way to meet and exceed our mission, vision and purpose. In order to achieve this goal, our people (faculty, staff, administration, student workers, graduate students, etc.) need the following:

- Onboarding that is streamlined, seamless and incorporates system culture.
- Trusted HR data and pay and benefits.
- To understand how they fit into the success of our system as a whole and contribute to our universities success.
- Performance planning and feedback that set high expectations with routine reinforcement from leadership.
- Professional development that offers growth, strategic opportunity and develops leadership of self and others.
- A compensation strategy that is in line with market, campus and system needs while understanding the every changing job market in North Texas.
- Recognition of success from peers, supervisors and leadership.

In order to provide core services that are ranked by our universities as 'Best in Class' we will do the following:

- Have agreed upon core customer service metrics in place by 2019 with an expectation of annual improvement from our baseline.
- Conduct external reviews of core and campus services.
- Implement recommendations from external reviews.
- Think strategically to ensure our services are aligned with the university initiatives.
- Provide opportunities annually for formal feedback on all core services.
- Provide opportunities for informal feedback on core services throughout the year.

Achieve strengthened financial planning, simplified policies, and create/preserve value through:

- Best value at lowest cost.
- Strengthen regional and corporate relations.
- Take action from brand study.
- Establish financial planning processes and tools.
- Decide on future ERP.
- Lead and support policy reinvention initiatives.
- Cooperatively develop and execute state and federal relations/legislative strategies.
- Identify risk posture and be responsive, strategic partner to resolve complaints, investigations, audits and litigation

SECTION 4: System Administration

Where are we going?

Oversight and coordination of the activities of each component institution within the system. (Texas Education Code)

We are talking about two things— administration and centralized services.

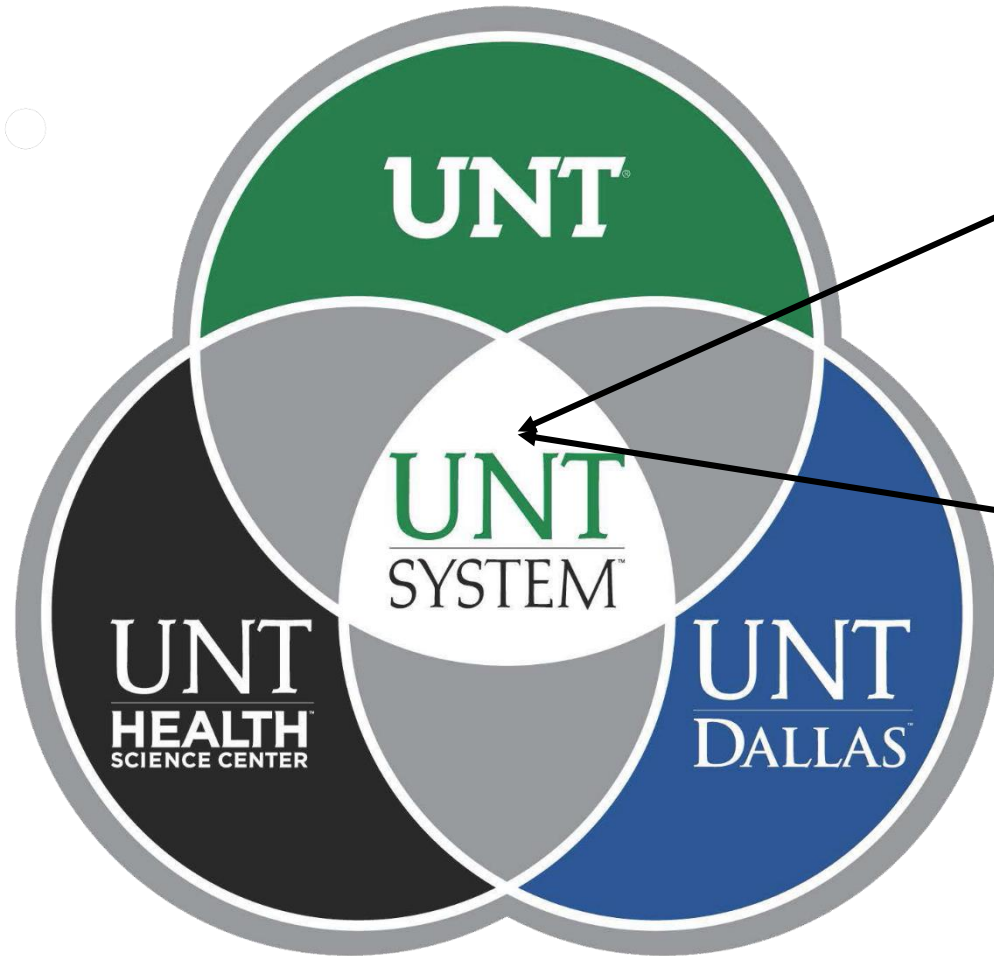
Administration: Strategic and operational planning, financial services, institutional evaluation and assistance on performance goals, legal, compliance, and regulatory matters in support of the fiduciary duties of the Board. (Texas Education Code and Regent Rules)

Centralized (core) services: an array of services that can be provided centrally based on criteria that we establish.

Criteria for Central (Core) Services

1. A need common to all or more than one of our Universities.
2. By having one entity provide the core service to all, leads to:
 - a) Cost Savings – economy of scale.
 - b) Consistently better service.
 - c) Better insight and analysis for future improvement.
 - d) Simplification – internally and/or externally.
 - e) Same streamlined, consistent process across universities.
 - f) Reliability – quality and compliance.
 - g) Single manager of an external service provider.
 - h) Ability to recruit higher-level talent to apply expertise across the whole.

System Administration Today



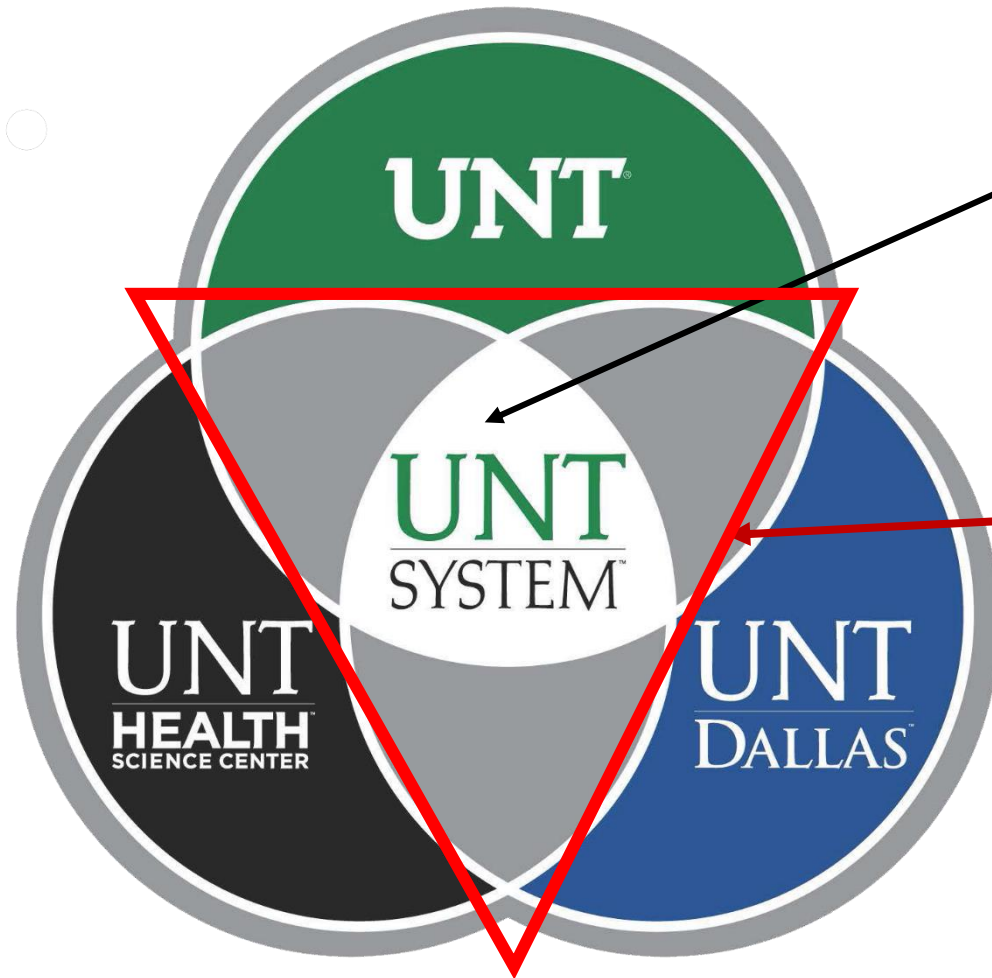
System Administration:

- Finance
- Legal
- Government Relations
- Board Support
- Communications
- Academic Affairs and Student Success
- Audit

Core Services:

- HR
- IT
- Accounting
- Treasury
- Facilities

System Administration Going Forward



System Administration:

- Finance
- Legal
- Government Relations
- Board Support
- Communications
- Academic Affairs and Student Success
- Audit

Core Services:

- HR
- IT
- Accounting
- Treasury
- Facilities

Assess campus and core service opportunities for lowering costs, automating, eliminating redundancy, improving operations – utilizing external review to identify new approaches and best practices.

UNT Health Science Center Strategic Review

Goal: Grow Research

FY18 Target: **Grow research productivity across all schools**

Research Awards	2013	2017	2018*
Total Dollar Amount Awarded	\$32,887,989	\$50,139,118	\$54,051,578
Graduate School (GSBS)	\$20,299,843	\$33,398,045	\$36,870,848
School of Health Professions	\$193,000	\$467,076	\$202,447
School of Public Health	\$6,899,715	\$3,825,972	\$4,841,207
TCOM	\$3,810,696	\$5,971,284	\$5,294,482
College of Pharmacy	\$50,000	\$2,808,527	\$3,605,456
TCU-UNTHSC School of Medicine	NA	NA	NA

*FY18 estimates subject to change when Annual Financial Report is finalized

Goal: Grow Foundation Assets

Annual Gifts & Pledges

Fiscal Year	Gifts & Pledges
FY13	\$3.9M
FY14	\$4.6M
FY15	\$3.5M
FY16	\$9.8M
FY17	\$10.2M
FY18	\$21.4M
FY19 Target	\$25M

PEOPLE

We will intentionally **retain and recruit** UNTHSC team members who are **engaged**, active **learners**, **innovative** and committed to **self development**.

STRENGTH

We will amplify our **brand**, grow **philanthropy** and continuously **operate with excellence**.

PROGRAMS

We will strengthen HSC curricula and student experiences to produce **emotionally intelligent, team-oriented, communication-savvy leaders.**

We will grow **high impact research** with particular emphasis on regional health and care needs.

UNTHSC SEE_2020: THE ROADMAP 2019

HSC DIFFERENCE	FOCUS AREA	INITIATIVES	2019 DESIRED RESULTS (OWNER)	MEASURES/ TARGETS	SEE_2020 DESIRED RESULTS
<p>PURPOSE Transform lives in order to improve the lives of others</p> <p>VALUES (Based on Trust) Serve Others First Integrity Respect Collaboration Be Visionary</p> <p>VISION One university, built on values, defining and producing the providers of the future</p> <p>MISSION Create solutions for a healthier community</p>	EXTRAORDINARY TEAMWORK	<p>PEOPLE (Drive our culture)</p> <p>1.1 Recruit and Retain</p> <ul style="list-style-type: none"> - Engaged - Learners - Innovative - Self-developers 	<p>1.1.1 Employee engagement improved (All Cabinet members & Deans)</p> <p>1.1.2 Innovation mindset established (Monty Mohon)</p> <p>1.1.3 Performance management process built on coaching (All Cabinet members and Deans)</p>	<p>M: Gallup survey results T: 55%</p> <p>M: # of campus-wide ideas that lead to institutional change initiatives T: 5</p> <p>M: % of departments utilizing quarterly performance coaching in FY20 to improve annual evaluations T: 100%</p>	<p>Nationally recognized as a Best Place For All</p> <p>Living by Our Values</p> <p>Known for our extraordinary service experience</p> <p>The education & research partner for health systems of Tarrant County</p> <p>Total research increased: expenditures to \$55,000,000</p> <p>Have 6 high-performing schools</p> <p>National leader in Interprofessional Education/Interprofessional Practice</p> <p>Sponsor of >300 PGY1 GME slots</p> <p>Nationally recognized Patient Safety Institute</p> <p>New donor gifts of over \$100,000,000 given/pledged</p>
		<p>PROGRAMS (Deliver our promises)</p> <p>2.1 Strengthen curricula and student experiences</p> <ul style="list-style-type: none"> - Emotional Intelligence - Team orientation - Communication - Leadership <p>2.2 Grow high-impact research</p> <ul style="list-style-type: none"> - Regional health and care needs 	<p>2.1.1 Emotional intelligence curriculum created across all schools and colleges (Charles Taylor)</p> <p>2.1.2 *Organizational well-being program established (Frank Rosinia)</p> <p>2.1.3 Interprofessional practice fully integrated into Clinical Practice Group (Charles Taylor)</p> <p>2.2.1 Focused growth of clinical and translational research (Anuja Ghorpade)</p>	<p>M: % of schools and colleges with approved EQ/EI curriculum plans T: 100%</p> <p>M: Utilization of organizational well-being program T: 50% faculty, staff and students</p> <p>M: # of quality IPE activities implemented into Clinical Practice Group T: 5</p> <p>M: # of clinical and translational research programs T: 10% increase</p>	
		<p>STRENGTHS (Defend our position)</p> <p>3.1 Operate with excellence</p> <ul style="list-style-type: none"> - Amplify our brand - Grow philanthropy - Execute 	<p>3.1.1 Culture of philanthropy strengthened (Doug White)</p> <p>3.1.2 Revenue streams diversified (Greg Anderson)</p> <p>3.1.3 Policy efficiency created (Desiree Ramirez)</p> <p>3.1.4 Brand identity refreshed (Monty Mohon)</p> <p>3.1.5 Data-driven space utilization implemented (Anuja Ghorpade/Charles Taylor/Greg Anderson)</p>	<p>M: Total FY19 pledges and gifts T: \$25M</p> <p>M: Funding from new revenue streams T: \$1M</p> <p>M: Total # of policies T: <80</p> <p>M: % of campus identity components updated by end of FY20 T: 90%</p> <p>M: % of UNTHSC space utilization optimized T: 100%</p>	

BUILDING OUR BRAND TOGETHER

*Organizational well-being is defined as the organization's ability to promote and maintain the physical, emotional and social wellbeing at all levels

UNTHSC

2018_10_24



University of North Texas at Dallas Strategic Vision

PURPOSE.

Increase educational attainment in the urban metro Dallas market.

Tactics

- ✓ Build out our partnership model
 - Recruit from urban Dallas, the inner ring suburbs and the community colleges.
 - Increase and strengthen collaboration with school districts, community colleges, industry, foundations and other four-year institutions.
 - Build community capacity through our service efforts

- ✓ Rigorously measure our educational outcomes
 - Increase enrollment, retention, graduation numbers and execute our Career Ready Education model for ALL graduates as part of UNT System's 1st goal
 - Survey students and employers about how well we prepared them.
 - Meet our 60/30 goals.

- ✓ Build our brand as a major catalyst for improving life in urban Dallas.
 - Be an active participant in the UNT System brand initiative.

VISION.

Make good on being a pathway to social and economic mobility for our students.

Tactics

- ✓ Keep tuition and fees affordable.
 - Lowest in North Texas.
- ✓ Increase scholarship dollars through philanthropy.
 - Grow Foundation Assets as part of UNT System's 3rd goal.
- ✓ Begin multi-semester registration.
 - Encourages student longer range awareness.
- ✓ Help the Dallas County Promise succeed.
 - Because the Promise reaches under-served students.
- ✓ Put our best teachers in front of first year students.
- ✓ Increase our industry pipeline.
- ✓ Grow Top Rated Programs as part of the UNT System's 4th goal.

VALUES.

Live by our values

Diversity

- We value our differences, experiences and backgrounds. People are individuals and a great asset to the group.

Creativity

- We teach, learn, research and support each other and the community in creative ways. We boldly find new ways to approach a problem or issue. We turn new and imaginative ideas into reality.

Leadership and Integrity

- We lead. We strive to consistently make the right decision for the right reason in every circumstance.

Trailblazing

- We create better tomorrows. We establish new pathways for building and mentoring tomorrow's leaders. We exemplify our commitment to helping first generation students completing degrees, with job placements and overall student and life success.

Lifelong Learning

- We are self-motivated to learn and to never stop learning. We know being open to new ideas and information gives us a better understanding of the world around us, which provides us with more and better opportunities and improves the quality of our lives.

CULTURE.

We are five Generations, one University, one Mission, one Vision

Details

- ✓ Be a best place to work.
 - Meet or exceed UNT System's 5th goal "Become Best Place to Work."
 - Create a sense of urgency among investors about UNT Dallas' unique value proposition.
- ✓ Hire for mission.
 - Work aggressively to attract and retain talent.
- ✓ All employees have a career plan.
- ✓ All employees are evaluated, know where they stand.
- ✓ Our students receive a Career Ready Education (CRED) through a three-step process.

PLANNING.

Successfully manage the challenges of a developing urban university.

Details

- ✓ Wisely align available dollars to our goals.
- ✓ Develop a range of solutions to accommodate growth.
- ✓ Use partnerships, including with UNT System schools, to foster growth and play bigger than we are.
- ✓ Work closely with the UNT System and Regents to execute steady and sustainable growth.
- ✓ Align our business practices with UNT System's 6th goal to Achieve Efficient and Effective System.
 - Consistently improve the business practices and financial acumen on our campus.
 - Closely track revenues and expenses.
- ✓ Successfully train and implement the Toyota Productive System on our campus.
- ✓ Make the most of the Historic Tax Credit coming to UNT Dallas.
 - It is our hope that it can be turned into an endowment.
- ✓ Strongly consider creating UNT Dallas Downtown at 1901 Main St.
 - Goal would be to create discreet value that does not cannibalize strong growth at the Main Campus.

CONCLUSION.

Increasingly learn to meet the problems-to-be-solved in our service area.

- ✓ Help reverse low college going traditions.
 - Through partnerships such as the Promise, Early College High Schools, Upward Bound etc.
- ✓ Work to reverse intergenerational poverty.
- ✓ Help address a general indifference historically by Dallas influencers to southern Dallas.
 - This is changing, and we hope to accelerate this change through our mission, vision and goals.
- ✓ Build legislative support for our developing university.
- ✓ Help close pipeline gaps in teacher training, law enforcement, tech, mental and behavioral health workers and many other fields.
- ✓ Be an option in our area for much needed workers in the health care field.
- ✓ As part of UNT System's 2nd goal to Grow Research, UNT Dallas will find appropriate avenues of research that fit our status as a developing university.
 - UNT Dallas will continue to encourage and showcase student research projects.

UNT Strategic Plan

Record Setting Year

**9,465
Degrees
Awarded**

**\$36M
Fundraising**

**Forbes
Best Place to
Work**

**\$37M
Research
Expenditures**

**72 Top 100
Programs**



**Athletics
Best
Winning % in
40 Years**

**Partnered
with Frisco
on New
Campus**



Our students want UNT to transform them into successful professionals with strong skills, confidence and a network of friends.

We are the catalysts for their transformation.

Our Current Mission

At the University of North Texas our caring and creative community prepares students for careers in a rapidly changing world.

Our Evolving Vision

In this age of digital disruption, the union of creativity and technology will drive innovation and growth of the creative economy.

As a Next Generation University, UNT will become a leader in driving the creative economy.

Our Purpose

We produce the creative leaders
of tomorrow at UNT.

We are leaders in the creative economy, uniting creativity and technology to drive innovation in the digital age. We are courageous in our search for new and diverse paths, throwing out convention and taking strategic risks to move us forward.

We are guided by a few deeply held beliefs.

We Care

We embrace and empower students in a supportive community at UNT.

Our deeply supportive environment empowers students to achieve their greatest goals. Our caring, people-centered community, enriched by inclusive student groups and services, invites positive interactions and provides the resources necessary for the development of successful lives and careers. Every person is appreciated, their needs are considered, and their contributions are recognized. Not only do we strive to understand student goals, we cultivate them, **going the extra mile to connect students to their dreams.**



Student Success Is Our Top Priority

■
Significantly increased advising support

■
Class Concierge helps Seniors Graduate

■
Increased retention to 78.6%

■
Reconfigured scholarship support

■
Created Seamless Transfer Pathways

■
Opened a One-Stop Academic Success Center

We Connect Students To Their Dreams

By building marketable skills, connecting students to an employer network, providing professional development, and developing leading edge degree programs.





Our students want UNT to transform them into successful professionals with strong skills, confidence and a network of friends.

We are the catalysts for their transformation.

Creativity Is Our Identity



We are uniting creativity and technology to drive innovation in the digital age by ...



■ Building on our strengths

■ Recruiting a VP of Research and Innovation

■ Partnering with business and industry

■ Expanding our reach online and in Frisco

Growing our research enterprise will drive us forward



■ Building on our strengths

■ Expand collaborative research partnerships

■ Partnering with foundations and corporations

■ Grow our state and federal appropriations

■ Amplify tech transfer

Over the past four years

**40% Increase
in
Advancement**

**Dramatic
increase in
major gifts**

**Alumni base
expanded
63%**

**Fundraising
up by 100%**

**2018 Best
Year Ever for
Academic
and Athletic
Gifts**

**125%
Endowment
Growth**

**100 Acre
Land Gift
from the City
of Frisco**



Expanding Giving

By expanding corporate, foundation and community advancement offices we will build towards more major gifts and higher alumni engagement. Capital Campaigns will aid in bringing resources for our facilities to match our aspirations.



This plan requires resources...

We are a campus of passionate contenders, preparing students to succeed in a global society. Our invested faculty and knowledge-rich programs instill in students the life skills, proficiencies, and determination to overcome impediments and maintain momentum to attain their degrees. Here, change and challenge are but opportunities to persevere in our beliefs, forge a better course, and advance steadily toward our goal of building a better world.



UNT System Progress Card

1. Grow Enrollment and Graduation	Fall 2014 (FY15)	Fall 2015 (FY16)	Fall 2016 (FY17)	Fall 2017 (FY18) Target	Fall 2017 (FY18) Actual	Fall 2018 (FY19) Target	Fall 2018 (FY19) <i>Unofficial Actual</i>	Fall 2019 (FY20) Target
1.a. Total Fall Headcount Enrollment	40,966	42,025	43,375	43,923	43,860	45,362	44,169	44,914
1.a. UNT	36,164	37,175	37,979	38,121	38,081	39,128	38,154	38,354
1.a. UNTHSC	2,227	2,362	2,366	2,288	2,270	2,233	2,259	2,260
1.a. UNTD	2,575	2,488	3,030	3,514	3,509	4,001	3,756	4,300
	FY15	FY16	FY17	FY18 Target	<i>FY18 Preliminary</i>	FY19 Target	FY19 Actual	FY20 Target
1.b. Total Degrees Awarded	9,193	9,243	10,360	10,553	11,061	11,234		11,275
1.b. UNT	8,052	8,105	8,994	9,075	9,465	9,500		9,500
1.b. UNTHSC	666	663	766	712	790	800		800
1.b. UNTD	475	475	600	766	806	934		975

2. Grow Research	FY15	FY16	FY17	FY18 Target	<i>FY18 Preliminary</i>	FY19 Target	FY19 Actual	FY20 Target
2.a. Total Research Expenditures	\$68,421,831	\$67,417,014	\$75,895,230	\$79.20M	\$82.98M	\$88.10M		\$96.00M
2.a. UNT	\$29,181,911	\$22,791,952	\$31,441,781	\$32.40M	\$37.64M	\$39.00M		\$41.00M
2.a. UNTHSC	\$39,235,790	\$44,578,672	\$44,420,752	\$46.80M	\$45.30M	\$49.10M		\$55.00M
2.a. UNTD	\$4,130	\$46,390	\$32,697	No Projections in SP	\$0.04M	No Projections in SP		No Projections in SP

3. Grow Foundation Assets	FY15	FY16	FY17	FY18 Target	FY18 Actual	FY19 Target	FY19 Actual	FY20 Target
3.a. Grand Total Foundation & Institutional Gifts, UNT System Consolidated	\$27,625,822	\$35,796,120	\$40,561,568	\$52.40M	\$60,472,819	\$62.60M		\$70.8M
3.a. UNT	\$22,788,702	\$25,112,372	\$29,286,920	\$33.00M	\$36,439,033	\$36.50M		\$40.00M
3.a. UNTHSC	\$3,644,258	\$9,991,807	\$10,238,561	\$18.50M	\$21,401,148	\$25.00M		\$29.60M
3.a. UNTD	\$1,192,862	\$691,941	\$1,036,087	\$0.90M	\$2,632,638	\$1.10M		\$1.20M
3.b. Total Institutional and Foundation Endowments	\$188,023,604	\$195,829,199	\$222,575,400	\$239.7M	\$263,076,423	\$268.6M		\$275.3M
3.b. UNT	\$136,376,591	\$142,774,041	\$165,476,757	\$173.8M	\$194,859,685	\$197.5M		\$200.2M
3.b. UNTHSC	\$50,583,854	\$51,777,750	\$55,550,769	\$62.7M	\$66,892,522	\$69.7M		\$73.6M
3.b. UNTD	\$1,063,159	\$1,277,408	\$1,547,874	\$3.2M	\$1,324,216	\$1.4M		\$1.5M

4. Grow Top Rated Programs	FY15	FY16	FY17	FY18 Target	FY18 Actual	FY19 Target	FY19 Actual	FY20 Target
4.a. UNT: Number of Programs in the Top 100	-	-	68	70	72	72		75
4.b. UNTHSC: SEE_2020: The Roadmap 2019	SEE MEASURES/TARGETS IN ROADMAP							
4.c. UNTD: Number of Priority Programs Identified	-	-	5	6	6	7		9

5. Become Best Place to Work	FY15	FY16	FY17	FY18 Target	FY18 Actual	FY19 Target	FY19 Actual	Long-term Target
5.a. Employee Engagement Grand Mean ¹ (System-wide)	NA	NA	3.80	>FY17 Value	3.83	3.90		4.40
5.a. UNT	NA	NA	3.73	>FY17 Value	3.79	3.85		4.40
5.a. UNTHSC	NA	NA	3.93	>FY17 Value	3.92	4.01		4.40
5.a. UNTD	NA	NA	3.80	>FY17 Value	3.83	3.90		4.40
5.a. UNTS Administration	NA	NA	3.81	>FY17 Value	3.90	3.94		4.40
5.b. % Engaged Employees (System-wide)	NA	NA	37.6%	>FY17 Value	41.0%	46.0%		Best Place to Work
5.b. UNT	NA	NA	35%	>FY17 Value	38%	42%		Best Place to Work
5.b. UNTHSC	NA	NA	43%	>FY17 Value	46%	55%		Best Place to Work
5.b. UNTD	NA	NA	44%	>FY17 Value	44%	50%		Best Place to Work
5.b. UNTS Administration	NA	NA	35%	>FY17 Value	47%	52%		Best Place to Work

6. Achieve Efficient and Effective System	FY15	FY16	FY17	FY18 Target	FY18 Preliminary	FY19 Target	FY19 Actual	FY20 Target
6.a. Administrative Cost **	10.60%	12.56%	12.20%	12.00%	11.40%	11.20%		11.00%

Notes:

* To be determined

** Administrative Cost is: Institutional Support ÷ Total Operating Expenses

¹ Employee engagement grand mean represents overall engagement on a scale of 1-5, with 5 being the highest level of engagement. Numbers noted in **turquoise** are preliminary actual numbers.

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MINUTES

BOARD OF REGENTS Academic Affairs and Student Success Committee August 9-10, 2018

Thursday, August 9, 2018

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 9, 2018, in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following committee members in attendance: Regents Mary Denny, A.K. Mago, Rusty Reid, and Gwyn Shea.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Gwyn Shea at 11:30 a.m.

The minutes of the May 17-18, 2018, Academic Affairs and Student Success Committee meeting were approved on a 4-0 vote following a motion by Regent A.K. Mago seconded by Regent Rusty Reid.

UNTS Vice Chancellor Rosemary Haggett, UNT Provost Jennifer Cowley, UNTD Provost Betty Stewart, and UNTHSC Provost Charles Taylor briefed the Committee on **Strategies Supporting Student Success**.

Dean of the TCU and UNTHSC School of Medicine, Stuart Flynn, presented an **Update on the TCU and UNTHSC School of Medicine**.

There being no further business, the Academic Affairs and Student Success Committee meeting recessed at 12:38 p.m. until Friday, August 10, at approximately 9:35 a.m.

Friday, August 10, 2018

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System reconvened on Friday, August 10, 2018, in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas, with the following committee members in attendance: Regents Mary Denny, A.K. Mago, and Gwyn Shea.

There being a quorum present the meeting was called to order by Committee Chair Shea at 10:21 a.m.

Chair Shea noted that the Committee had four action items to consider, as item #15 had been withdrawn by UNT prior to the Board meeting. Three of the four action items were presented by UNT Provost, Jennifer Cowley.

16. UNT Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Urban Policy and Planning

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

17. UNT Approval to Add the UNT Master of Business Administration Degree Program with a Major in Business Analytics

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

18. UNT Approval to Add the UNT Doctor of Philosophy Degree Program with a Major in Consumer Experience Management

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

19. UNTD Approval of UNT Dallas Faculty Development Leave for 2018-19 Academic Year

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

There being no further business, the Committee meeting adjourned at 10:34 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: Aug 27, 2018

Research Action Plan


Dr. Narendra Dahotre, Interim VP for Research and Innovation and

Dr. Jennifer Cowley, Provost


UNT November 15, 2018

What's the Challenge?

UNT has emerged as a Carnegie Tier 1 Research University. We have bold aspirations to solidify our standing and gain increasing national recognition as a research university.



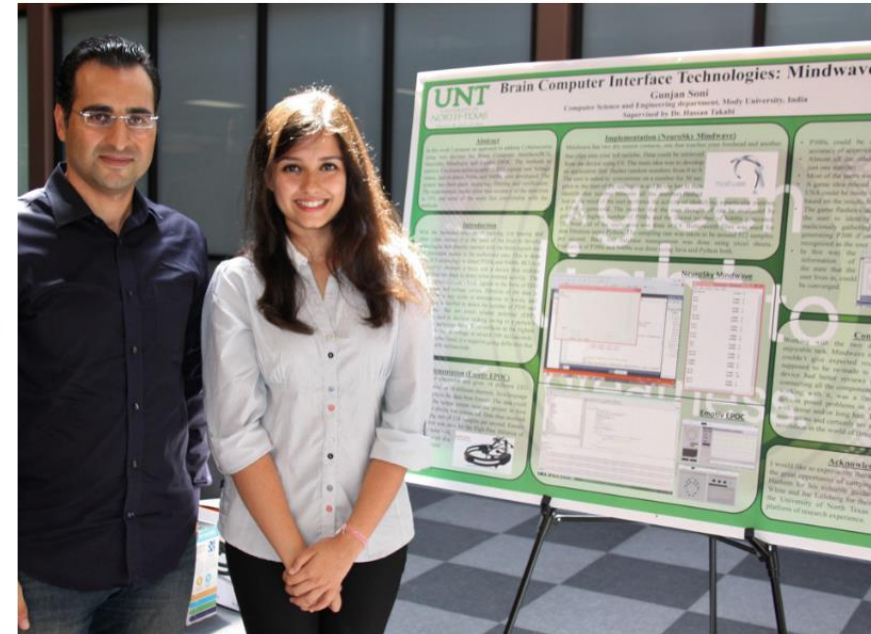
Highly competitive research grant environment, with declining federal funds available



Research talent is limited in key growth areas

Our Solution

An action plan that positions the university to move forward and have significant success in advancing our research mission.



Growth in Research Expenditures

Faculty succeeded in growing research expenditures to \$37.4M in FY 18, up 20% over FY 17



Increase Doctoral Graduation Rates

Increase focus on student success

■
Increase
graduate
retention and
timely progress
to degree



■
Increase
graduate
stipends

Graduation

Increase Portion of Faculty Engaged in Research Expenditures

Focused hiring strategy



■
Asst. Prof.
Hassan Takabi in
Computer
Science &
Engineering \$1M
National Science
Foundation to
design
cybersecurity
systems

■
Asst. Prof Angie
Wilson in Counseling
& Higher Education
\$1.5M US Dept of
Health and Human
Services grant to
increase cultural
competency in mental
health services

Increase Research Expenditures

Focus on major interdisciplinary proposals



**The Texas General Land Office
wants to reduce risk from disasters**

UNT responds by forming the North
Texas Consortium for Data Analytics,
Research & Engagement for Multi-
Sector Advances in Community
Resilience

- UNT lead with UNTHSC,
Texas A&M, Johns
Hopkins, Rice, University
of Delaware, UTA, and
TWU as partners

- \$3M per year proposal

Increase Research Collaborations with National Labs and Industry



Establish and develop research collaborations with national defense

Army Research Lab & Temple University partnered with UNT to conduct research on shelter systems

UNT built a rapidly deployable, immediate, mobile ballistic protection shelter

Nominate Faculty for Major Awards and Fellowships

Encourage faculty to seek fellowships for greater exposure and impact



Asst. Prof Alexandra Ponette-Gonzalez in
Geography & the Environment
National Science Foundation CAREER Award

Distinguished Research Prof
Richard Dixon in Biological Sciences
Elected to the Royal Society



Invest Strategically in Institutes

Provide financial support to build and sustain growth in key research areas.



Chinese scientists discover the Violet Cress has unusual properties



Prof. Chapman brought an idea to the BioDiscovery Institute



Prof. Berman tested and determined the oil is ideal for engine lubrication

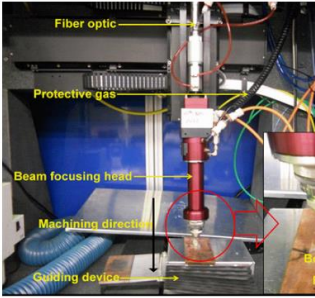
Innovation...

Invest Strategically in Institutes

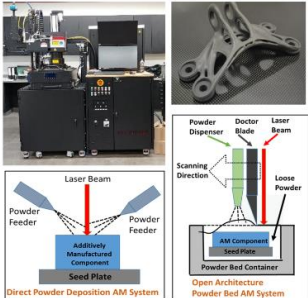
Provide financial support to build and sustain growth in key research areas.



Performing Arts
Health



BioManufacturing



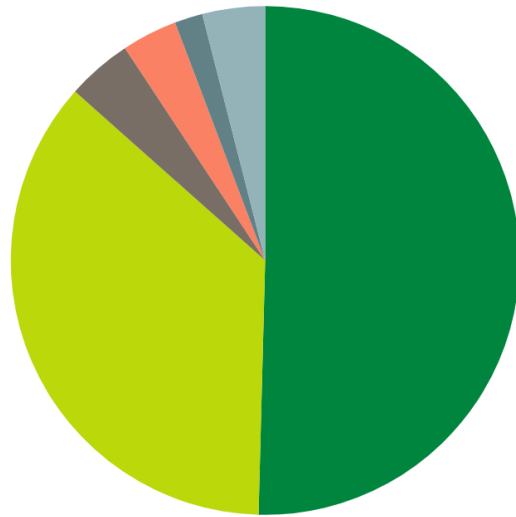
Additive
Manufacturing

Innovation...

Research Performance

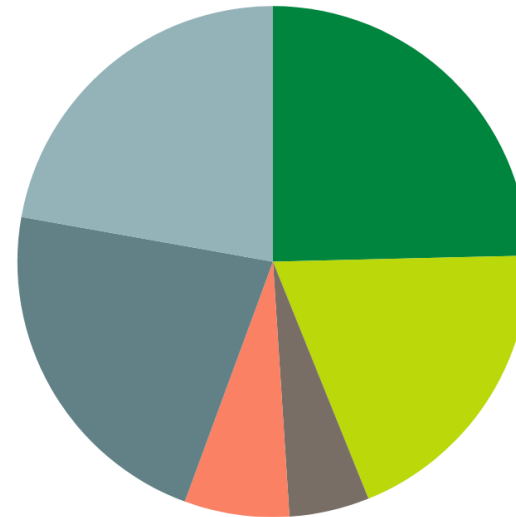
Average R&D Expenditure by Sponsor Type

University of North Texas
FY 18



Federal (50.41%) Institutional (36.15%)
Foundation/NonProfit (4.15%) Corporate (3.53%)
State (1.78%) Appropriation (3.98%)

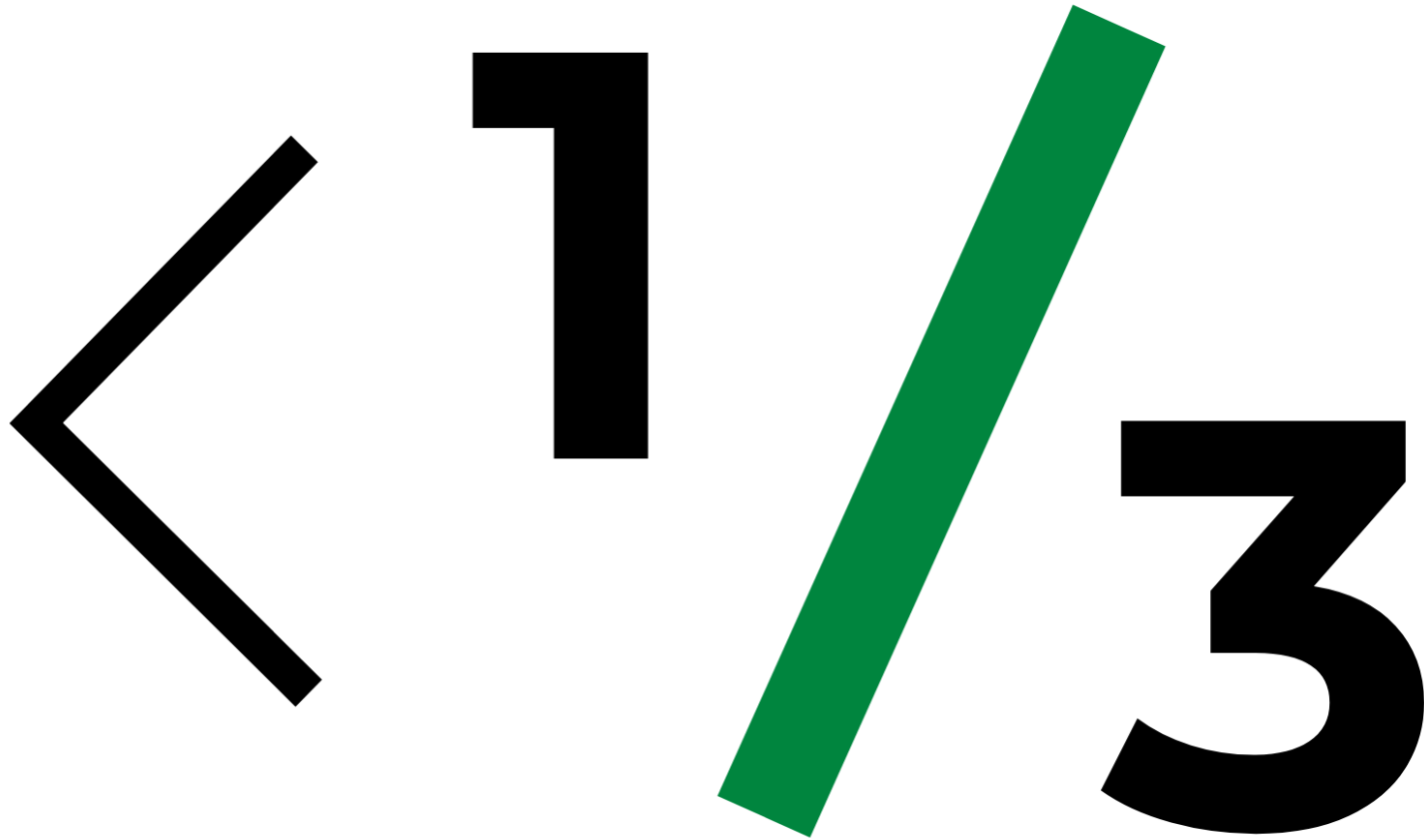
Texas Peer Institutions
FY 17



Federal (24.62%) Institutional (19.28%)
Foundation/NonProfit (5.06%) Corporate (6.64%)
State (22.20%) Appropriation (22.20%)

Research Performance

UNT receives only a third, \$1M, of the research funds from the state compared to the \$3M on average that peer institutions in the state receive.



1/3

Research Performance

UNT receives only \$3.1M of the research funds from appropriations compared to the \$25.5M that other peer institutions in the state receive on average.



Faculty Member	Total in Sponsored Active Awards	Funding Agency
Rajiv Mishra, Materials Science and Engineering	\$11.8M	US Army & Temple University
Daniel Taylor, Psychology	\$4.9M	NIH & Department of Defense
Richard Dixon, Biology	\$4.2M	NSF, UT-Battelle, Grasslanz Technology, Forage Genetics Intl.
Kent Chapman, Biology	\$2.1M	NSF & Department of Energy, Cotton Incorporated, BASF Plant Science
Narendra Dahotre, Materials Science & Engineering	\$2.1M	US Army & Northeastern University
Ramanamurthy Dantu, Computer Science	\$2.0M	NSF
Arup Neogi, Physics	\$2.0M	NSF
Thomas Cundari, Chemistry	\$1.9M	Department of Energy
Donghui Zhu, Biomedical Engineering	\$1.8M	NIH
Krishna Ravi, Computer Science	\$1.8M	NSF
Angie Cartwright, Counseling and Chandra Carey, Rehabilitation & Health Services	\$1.6M	Texas Higher Education Coordinating Board
Pamela Padilla, Biology	\$1.4M	NSF & NIH
Raj Banerjee, Materials Science and Engineering	\$1.4M	NSF & US Air Force

UNTHSC Research Update

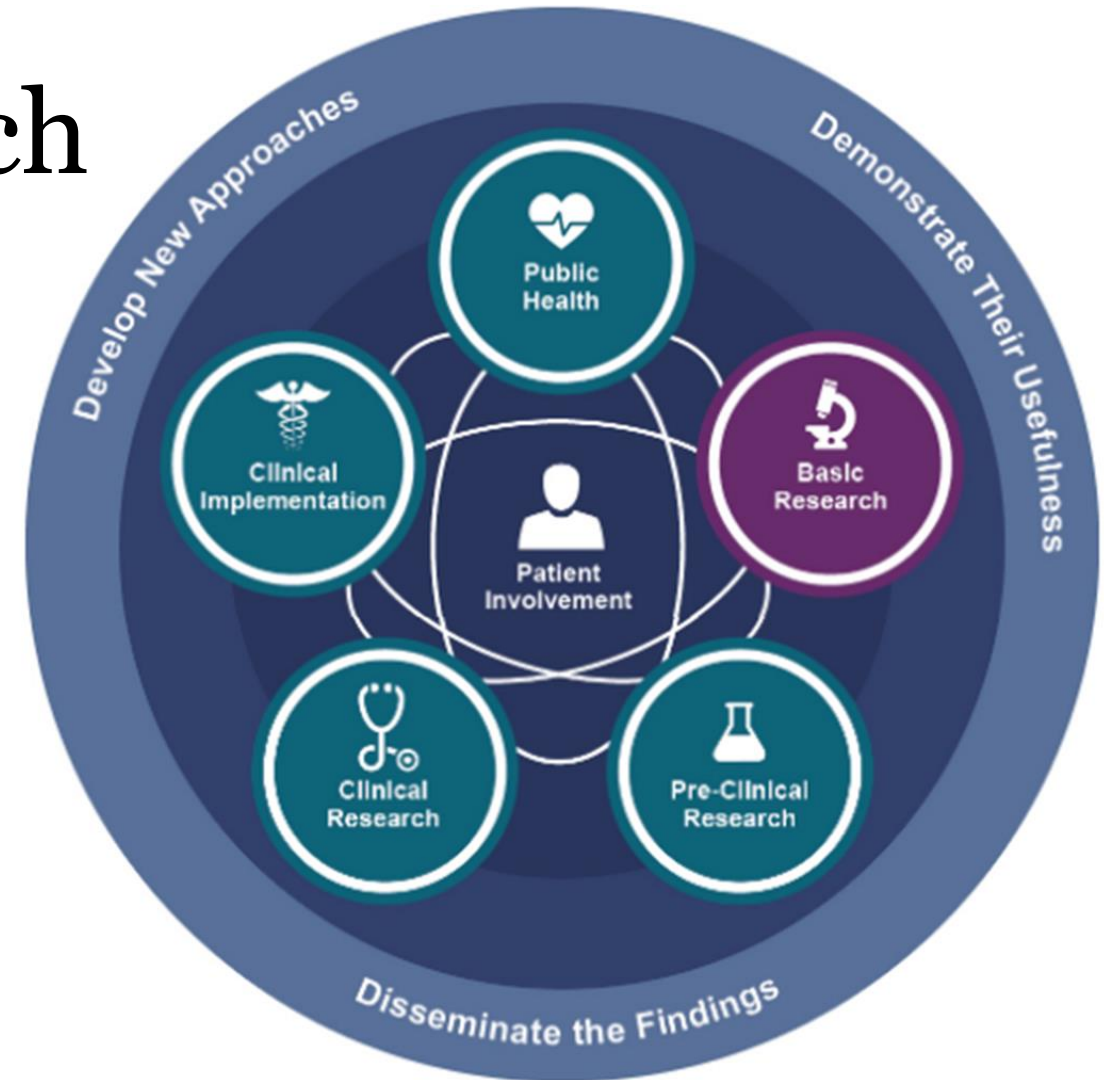
Anuja Ghorpade

- **40 seconds**
- **4 minutes**
- **65 seconds**

Serve Others, First...Our Patients

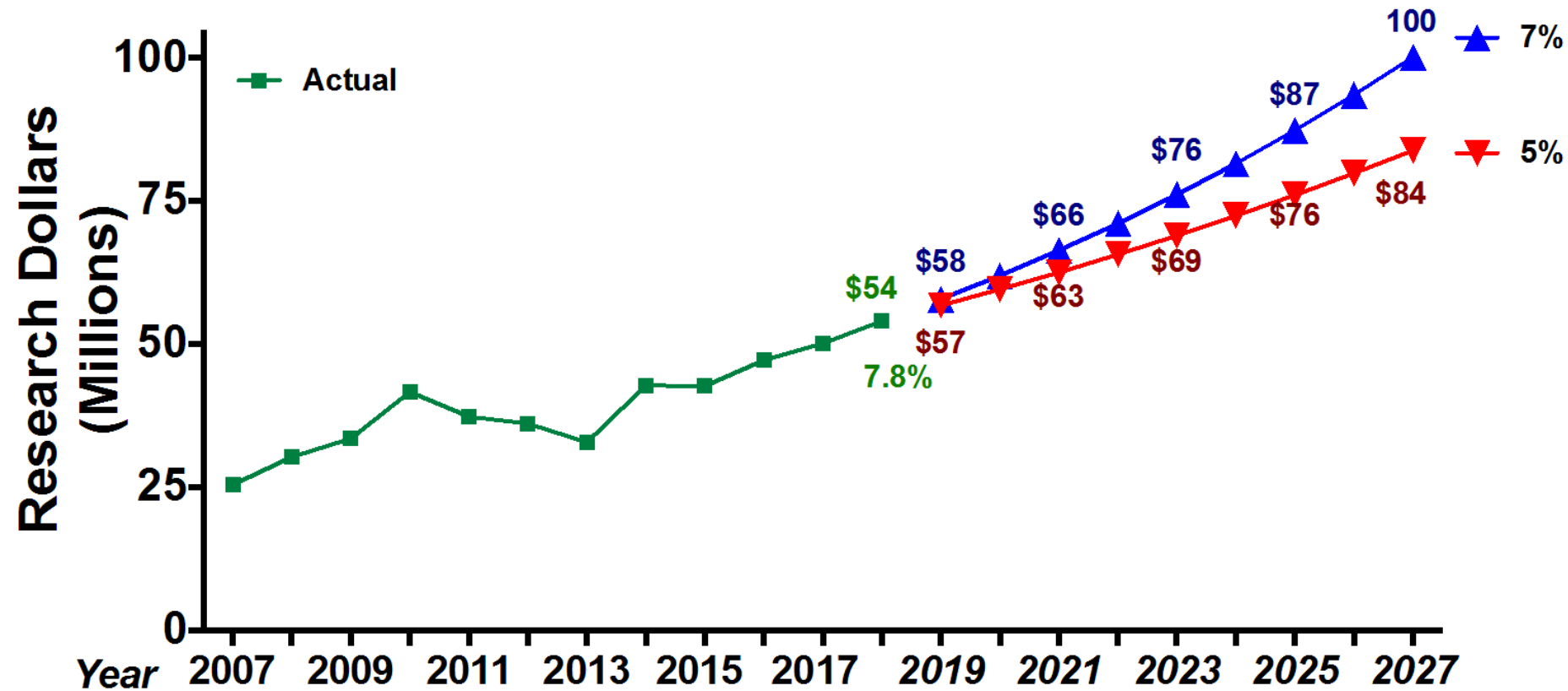
“Translational” Research

- Depicted by the NIH National Center for Advancing Translational Sciences:
 - <https://ncats.nih.gov/translation/spectrum>

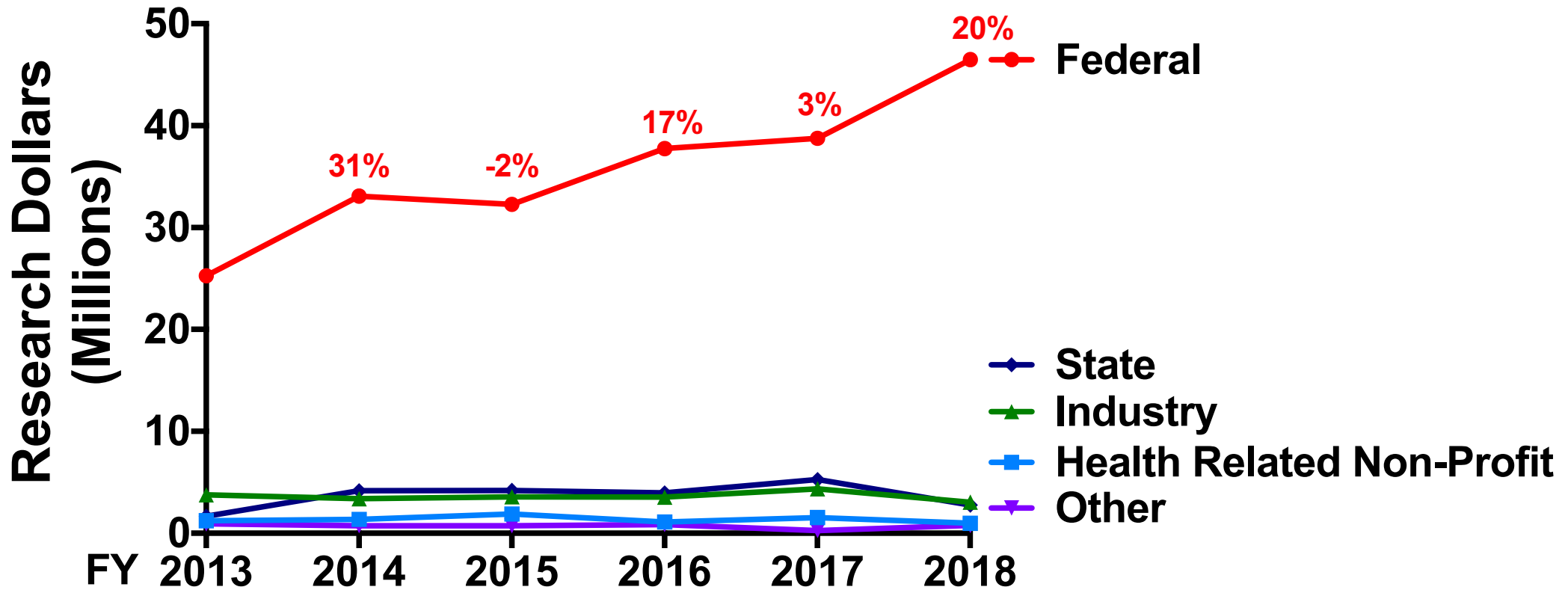


<https://ncats.nih.gov/translation/spectrum>

HSC Research – Now, and Next



Where does it come from?



FY18 Division of Research Strategic Priorities

• **Proactive Research Risk Management**

- Create a culture of compliance and accountability
- Improve training, knowledge and communication
- Solidify institutional support and infrastructure

Strategic Research Enterprise for One University

- Expand research development programs
- Facilitate research commercialization
- Foster collaborative research
- Promote translational research

Oct 2017

GSBS & Institutes Restructure

Outcomes Timeline

Nov 2017

Division of Research & Innovation Reorganization

Dec 2017

Implemented the new PeopleSoft Grants Billing Module

Jan 2018

Embarked on a campus-wide Spring 2018 VPR listening tour

Feb 2018

North Texas Regional IRB registered, Final Settlement

Mar 2018

North Texas Genome Center approval & press release
Launch of Seed Grants Programs

April 2018

IRB Net for online submission of protocols

FY 2019

Elsevier Pure internal release
FRST program launch
Grant writing workshop

“Focused growth of clinical & translational research”

May 2018

Launched Elsevier Pure Pilot for HSC experts

June 2018

UNT Denton & HSC Faculty Mixer

July 2018

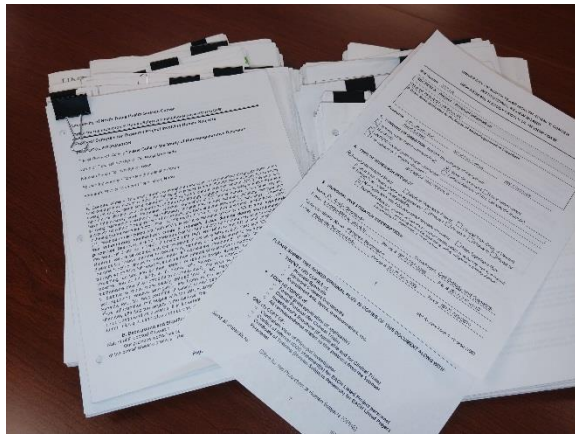
OSP PowerBI dashboard went live

Aug 2018

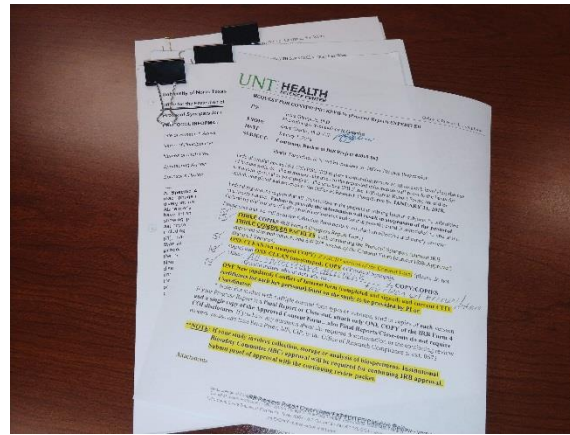
Research Productivity Metrics
Research Space Inventory



- A Founding and Funding Partnership between
- JPS Health Network & UNTHSC



~ 10 years ago



~ 5 years ago

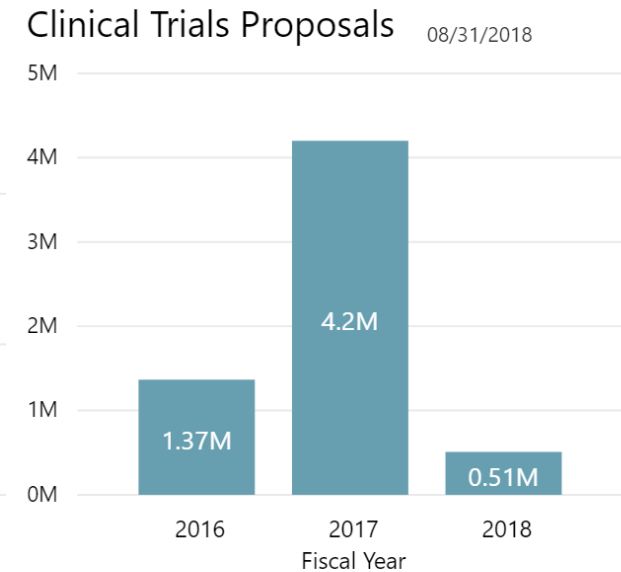
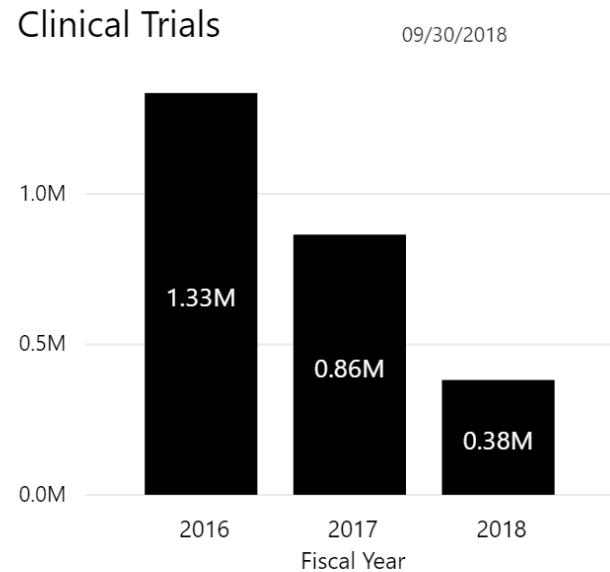
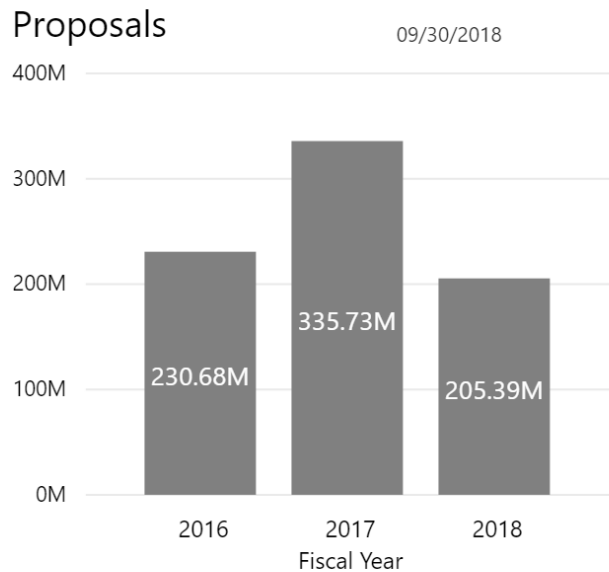
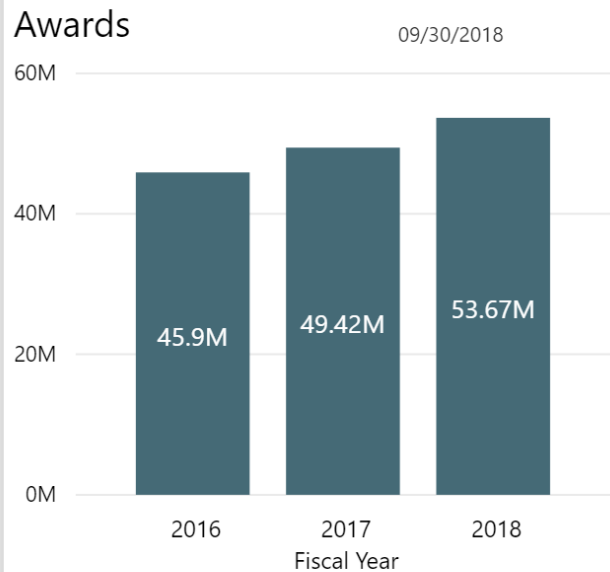


Today

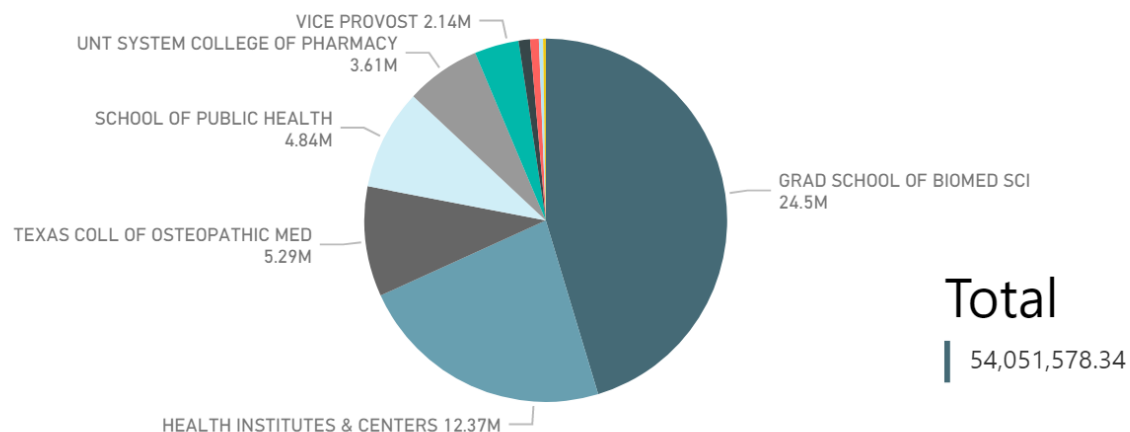
Data – Driven Decisions

Key Research Productivity Measures

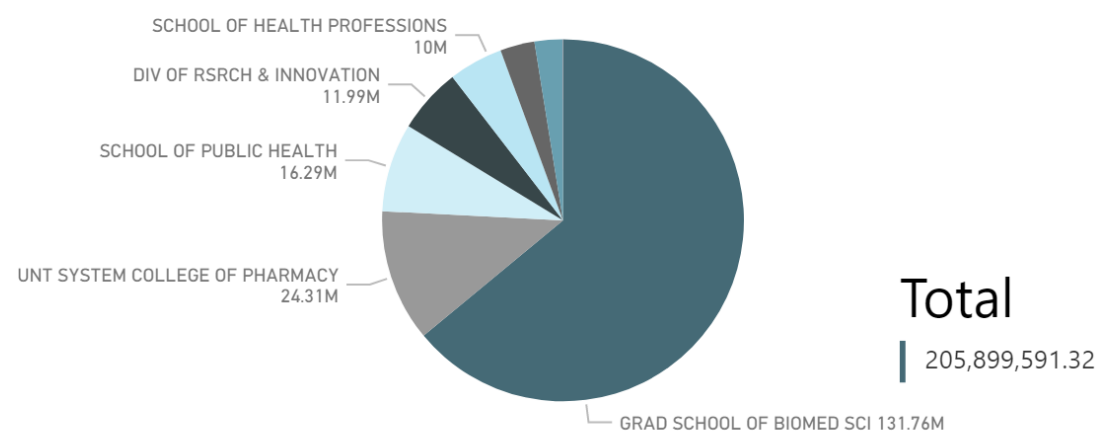
1. Manuscripts
2. Grants (Submissions to Success)
3. Salary coverage (FY % average)
4. F&A and other returns on start-up investments
5. Funding \$/sq. ft. research space
6. Seed grants longer-term success



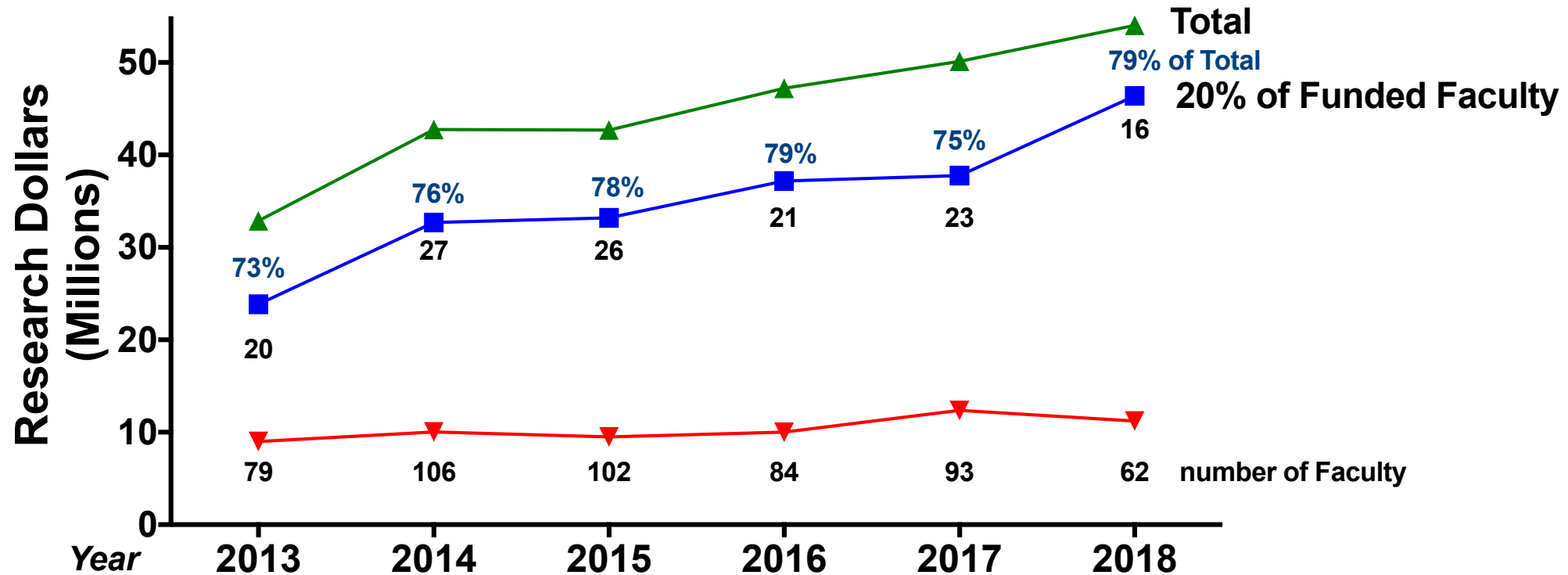
Awarded Sponsored Projects - Fiscal Year 2018



Sponsored Project Proposals - Fiscal Year 2018



Data helps us help faculty better...



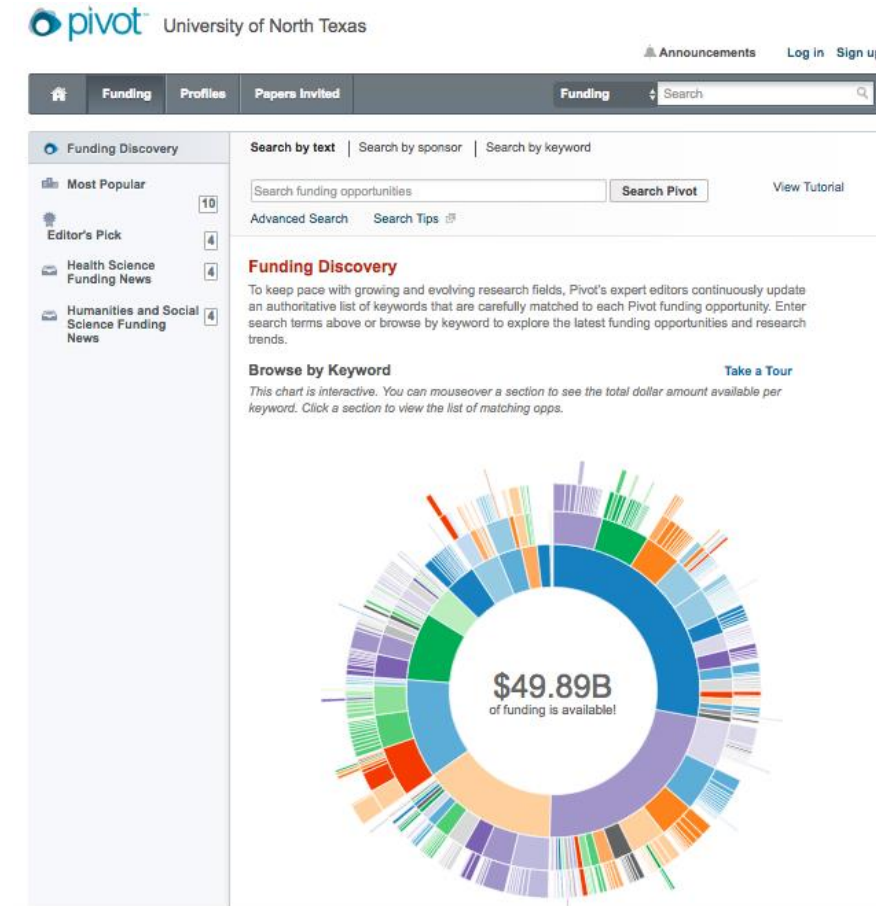
Seed Grant Programs

- Four new seed grant programs to catalyze innovation
 1. Basic research
 2. Applied research
 3. Digital healthcare prototypes
 4. SBIR Phase Zero
- \$500,000 investment in calendar year 2018
- Program designed with accountability
 - SMART goal milestones
 - Tranched funding

Research Cores

- Strategic move from department to Division of Research
- \$2.5 million investment in new and upgraded equipment
- Launch of a new genetics core will operate in collaboration with the new North Texas Genomic Center
- Implementing enterprise platform to manage use and payment processes for internal and external users

Finding the optimum funding opportunity



https://experts.unthsc.edu

UNT HEALTH SCIENCE CENTER

Welcome to UNT Health Science Center

All content ▾ Explore profiles, expertise and research at UNT Health Scien 🔍 ⚙️

298 Profiles 23 Research Units 8626 Research Output

Welcome to the Experts Portal of the UNT Health Science Center

This portal showcases the expertise of scholars, researchers and healthcare providers at the University of North Texas Health Science Center and aids in the search of collaborative partner and subject matter experts. We invite you search our database by key word, field of expertise or last name using the search panel. Alternatively, you can browse for experts in the Profiles tab or for teams in the Research Units tab. More information about the UNT Health Science Center can be found at <https://www.unthsc.edu>

Collaborations and top research areas from the last five years

Click dots and donuts to bring up details.



https://experts.unthsc.edu

Search concepts

HIV HIV Infections HIV-1 Anti-HIV Agents HIV Protease Inhibitors

Profiles (16)

Research Units (8)

Research Output (221)

16 results

Relevance ▾



Showing results for HIV as a concept ⓘ

Did you want to search for HIV as free text



Johnny He, PhD

Johnny.He@unthsc.edu

Graduate School of Biomedical Sciences - Interim Dean

Microbiology, Immunology & Genetics

- Interim Chair and Regents Professor

1995 2018

52 matches



Scott Penzak, PharmD, FCP

Scott.Penzak@unthsc.edu

UNT System College of Pharmacy
Pharmacotherapy - Interim Chair and Professor

1997 2018

41 matches



Anuja Ghorpade, PhD

Anuja.Ghorpade@unthsc.edu

Graduate School of Biomedical Sciences

Microbiology, Immunology & Genetics

- Professor

1993 2018

38 matches



Patrick Clay, PharmD

Patrick.Clay@unthsc.edu

UNT System College of Pharmacy

Pharmacotherapy - Professor

1999 2018

27 matches



Ying Liu, MD

Ying.Liu@unthsc.edu

Graduate School of Biomedical Sciences

Microbiology, Immunology & Genetics

- Research Associate Professor

2000 2018

23 matches



InWoo Park, PhD

Inwoo.Park@unthsc.edu

Graduate School of Biomedical Sciences

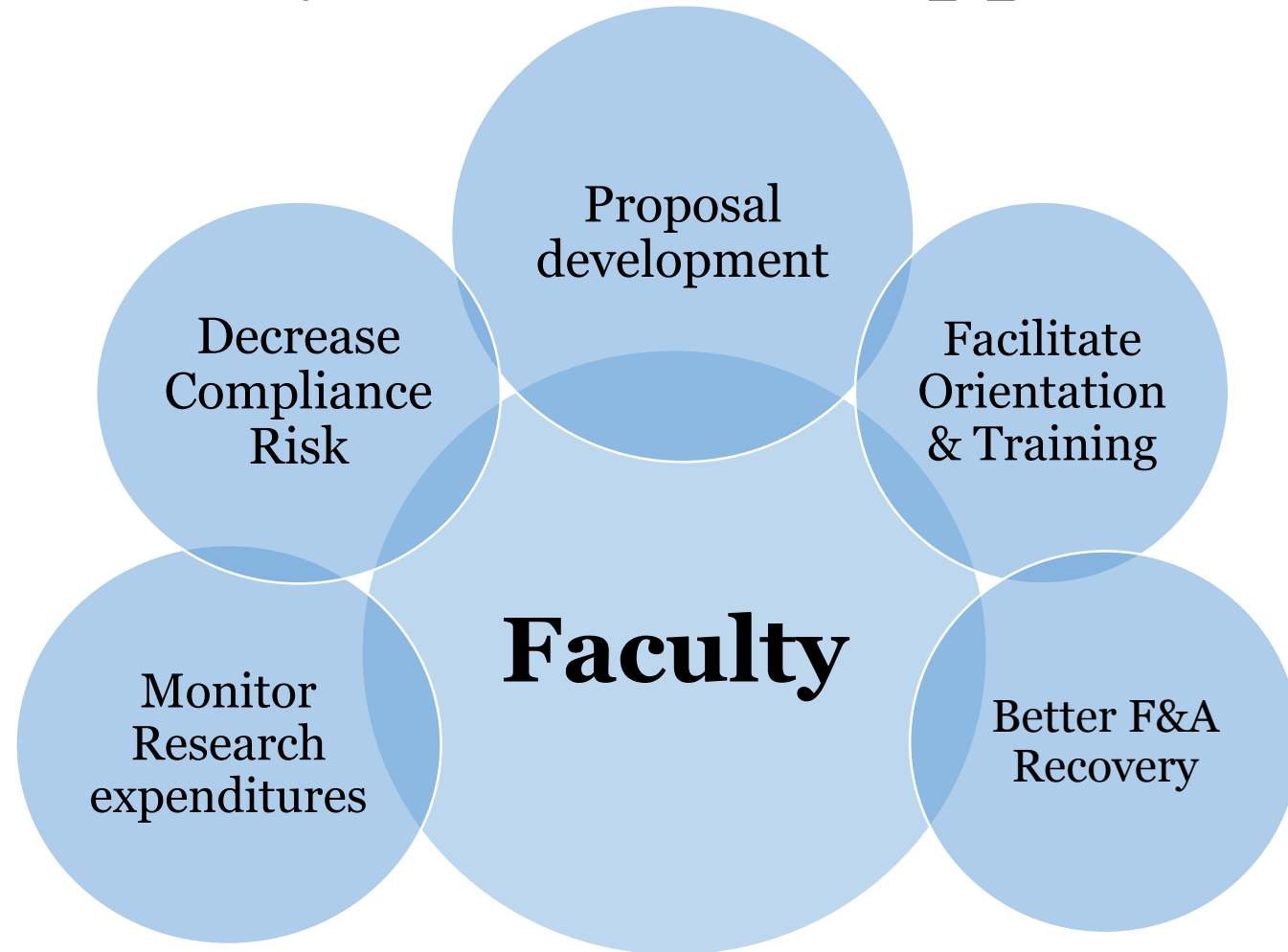
Microbiology, Immunology & Genetics

- Associate Professor

1987 2016

21 matches

FRST – Faculty Research Support Team



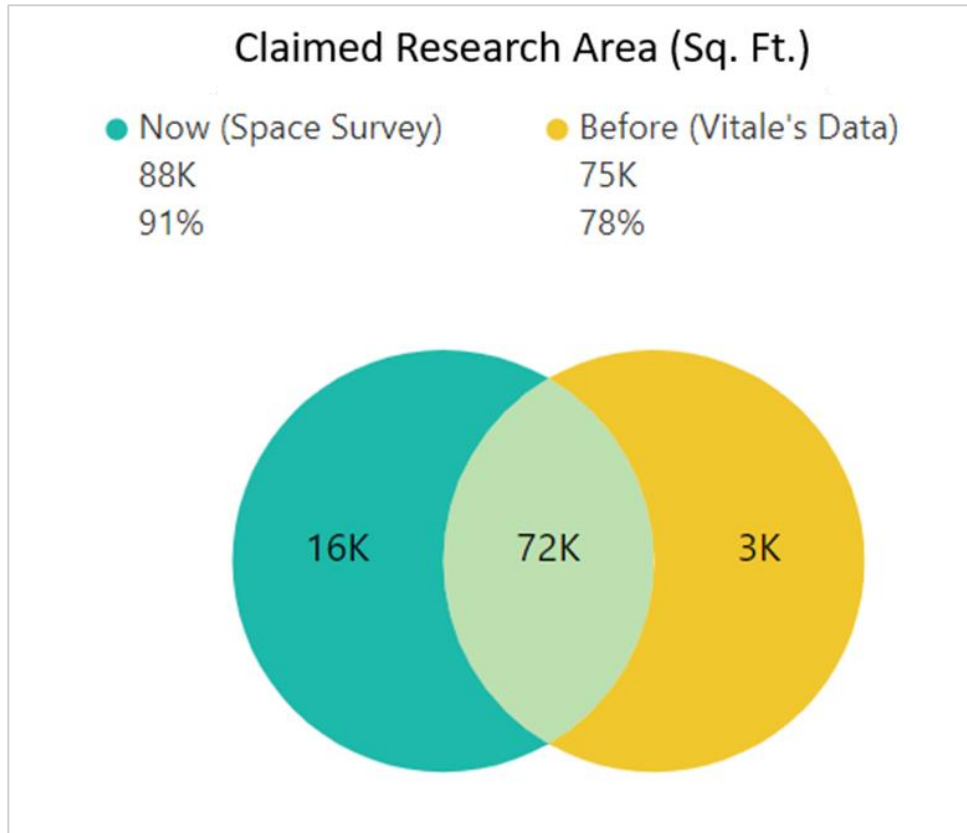
Research faculty focus more on science and less on administrative tasks

Strategic Assessment of Research Space

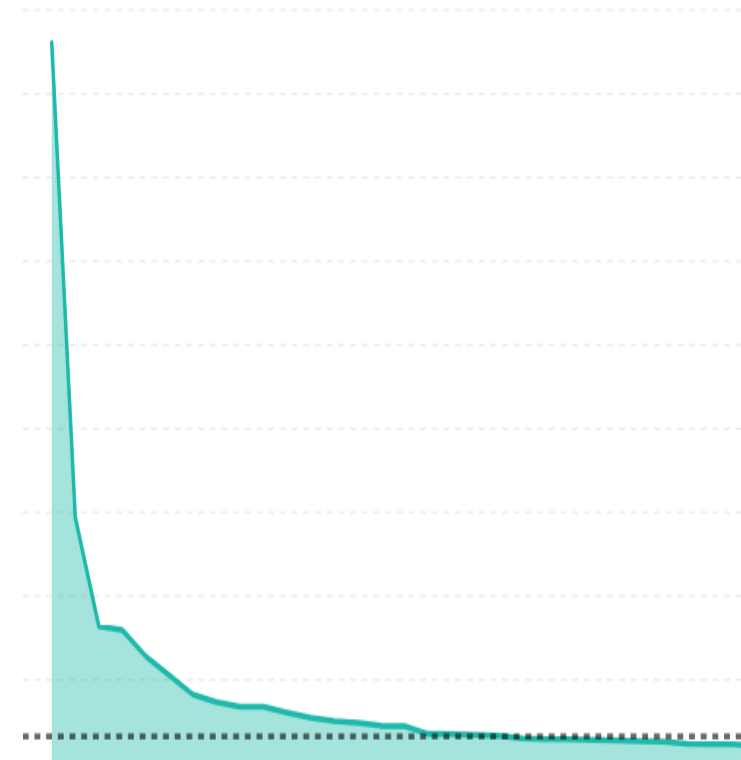
Research Area: **96 K sq. ft.**

FY 2016-2018 Average Funding: **\$49.7 M**

Overall: 583 \$/sq. ft. (\$49.7M / 96K sq. ft.)



Funding Per Sq. Ft. by PI



Research Space Dashboard

Research Space Survey Results

Survey Completion Status

262!

Goal: 299 (-12.37%)

Available sq. ft.

96.00K

Claimed sq. ft.

88.56K

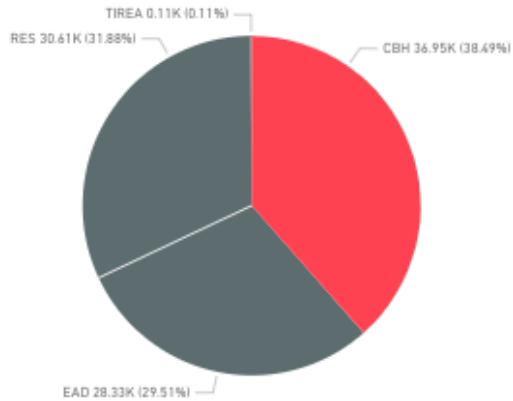
% Claimed sq. ft.

92.25%

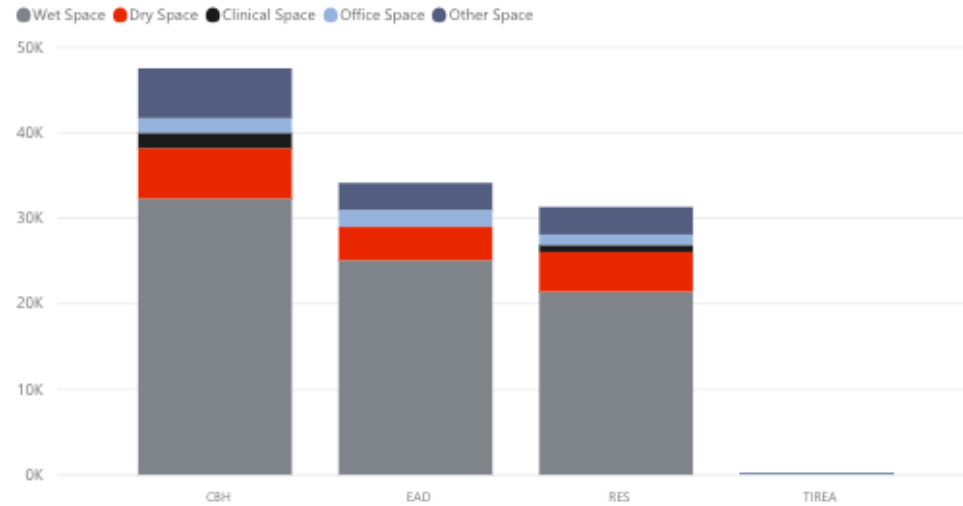
Room Category (as per Vitale's Data)

- Non-Research
- Research

Available Area by Building



Space Type by Building (as claimed by PIs)



Please note that the available Research Space number is exclusive of REB.

FY19 Division of Research Strategic Priorities

• **Proactive Research Risk Management**

- Create a culture of compliance and accountability
- Improve training, knowledge and communication
- Solidify institutional support and infrastructure

Strategic Research Enterprise for One University

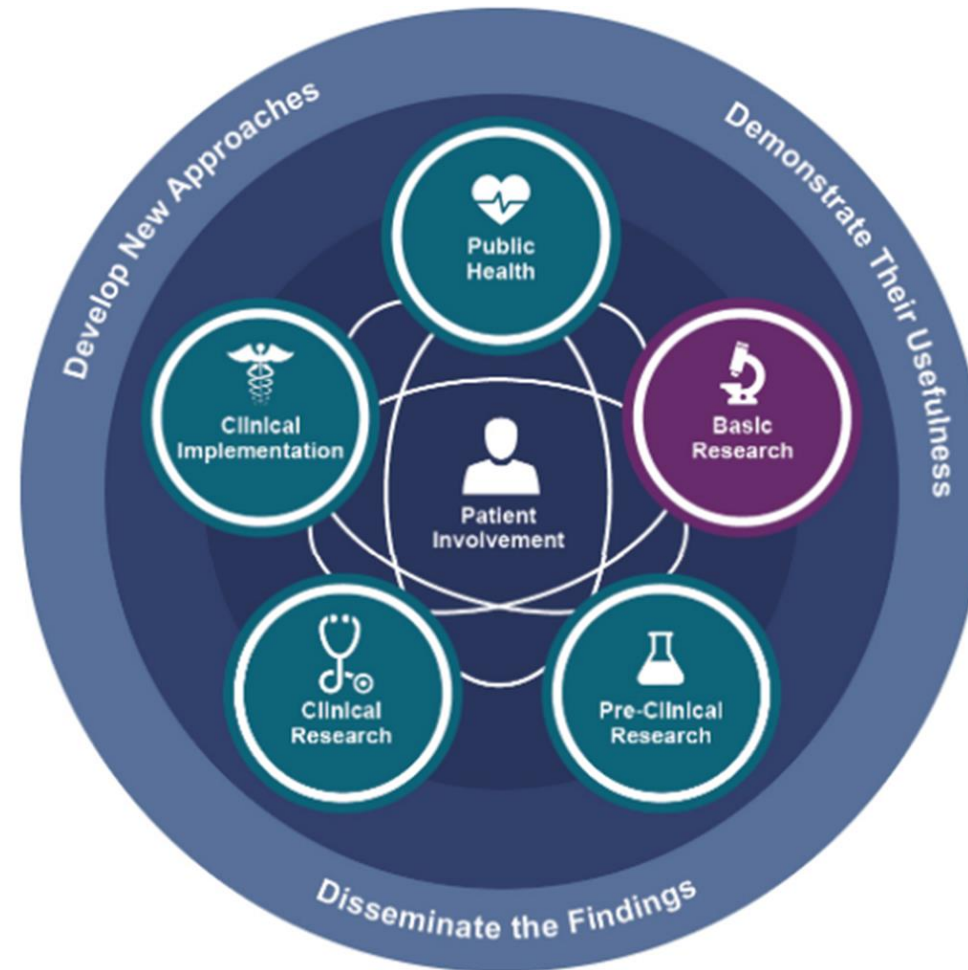
- Expand research development programs
- Facilitate research commercialization
- Foster collaborative research
- Promote translational research

Institute for Translational Research



Sid O'Bryant, PhD
Executive Director Institute for Translational Research

“Translational” Research



- Depicted by the NIH National Center for Advancing Translational Sciences: <https://ncats.nih.gov/translation/spectrum>



MINUTES

BOARD OF REGENTS Audit Committee August 10, 2018

The Audit Committee of the Board of Regents of the University of North Texas System convened on Friday, August 10, 2018, in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following committee members in attendance: Regents Mary Denny, A.K. Mago, Glen Whitley, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Glen Whitley, at 9:03 a.m.

The minutes of the May 17, 2018, Audit Committee meeting were approved on a 4-0 vote following a motion by Regent Mary Denny seconded by Regent Laura Wright.

There were five briefings and two action items for the Committee's consideration.

Tracy Grunig, UNT System Chief Audit Executive, initiated a discussion of **Enterprise Risk Management**. Desiree Ramirez, UNTHSC Chief Compliance Officer, then presented **UNTHSC Compliance Assessment Workflow**. Gary Rahlfs, UNT System Vice Chancellor for Finance, gave an **Overview of UNT System-wide Risk Management**.

Following the discussion on Enterprise Risk Management, Tracy Grunig presented two briefings: **Report of Audit Activities** and **UNT System Enterprise Audit Report Inventory**.

Tracy Grunig, UNT System Chief Audit Executive, presented the FY19 System Internal Audit Plan.

13. UNTS Approval of FY19 UNTS Internal Audit Plan

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

Steve Hill, UNT Senior Director, Business Development, Institutional Compliance, presented the next action item.

14. UNTS FY19 UNT System Compliance Risk Assessment and Work Plan

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

Committee Chairman Whitley noted that there was one background report, **UNT System Consolidated Quarterly Compliance Report, March 2018 through May 2018**, for the Committee's information, located in the meeting appendix.

There being no further business, the Audit Committee meeting adjourned at 10:21 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: Aug 20, 2018

Audit Annual Committee Calendar

Committee Responsibilities from Charter	February	May	August	November	As Needed
Review annual consolidated financial statements with report of significant financial reporting issues and judgements	X				
Review significant accounting policies used by System and alternative methods under GAAP	X				
Review proposed and promulgated changes to GAAP affecting future financial statements					X
External Auditor's report on annual audit	X				
Retain External Auditor for annual audit		X			
Approve External Auditor fees		X			
Evaluate External Auditor performance	X				
External Auditor independence report	X				
Review External Auditor audit plan and scope		X			
Independent Auditor internal quality review report		X			
Select Chief Audit Executive					X
Evaluate Chief Audit Executive performance and approve compensation			X		
Review Internal Audit charter, scope, and responsibilities	X				
Review annual Internal Audit plan, budget, staffing, and organizational structure			X		

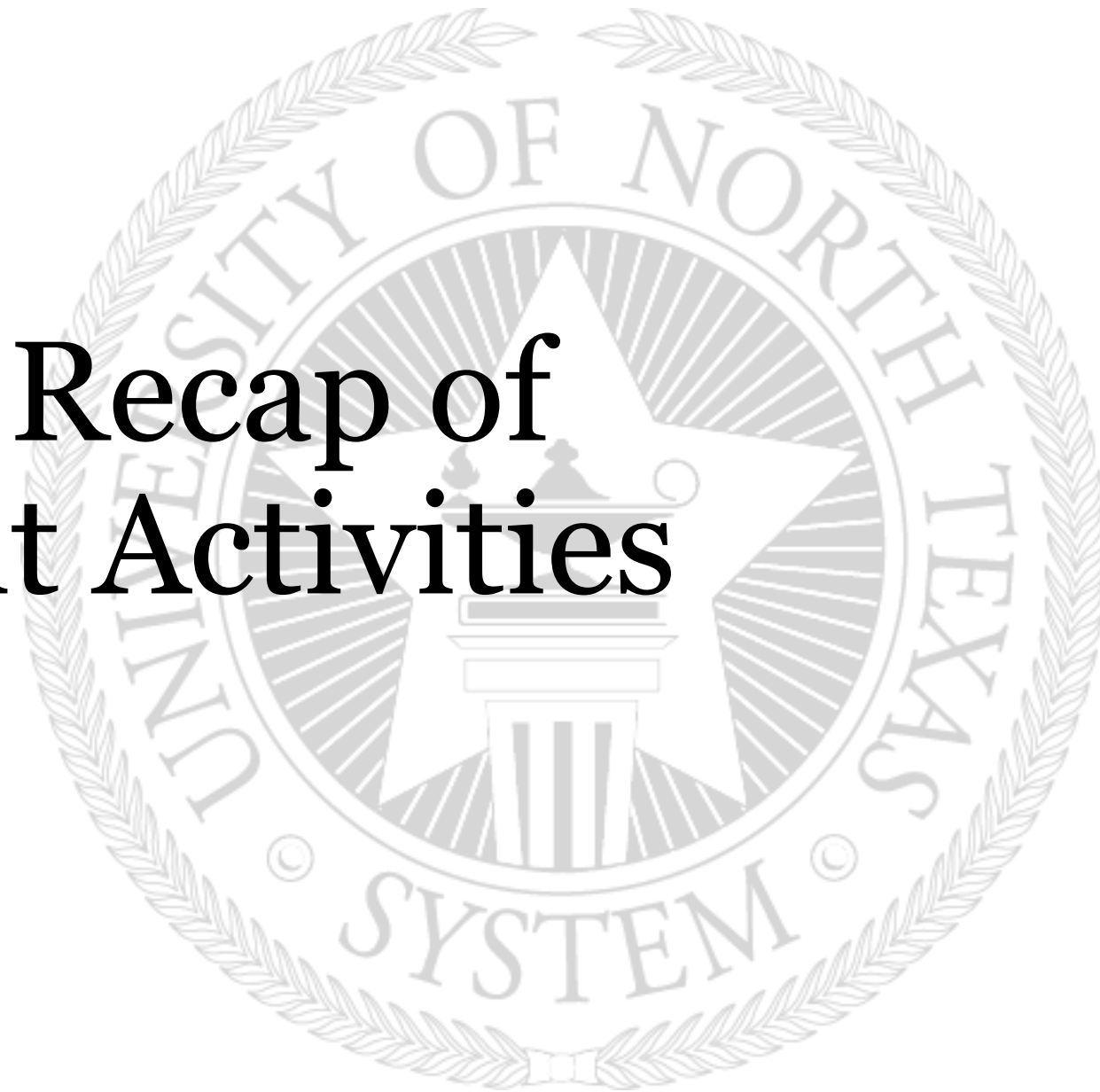
Revised on 09.07.18

Review Internal Audit reports and investigations	X	X	X	X	
Monitor Internal Audit remediation results	X	X	X	X	
Review Code of Conduct and update as required			X		
Review risk assessment process and results				X	
Chief Compliance Officer report	X	X	X	X	
Review legal and regulatory matters impacting financial statements					X
Review Audit Committee Charter	X				
Audit Committee performance assessment	X				

FY18 Annual Recap of Internal Audit Activities

Presented by Tracy Grunig

November 15-16, 2018



FY18 Annual Audit Plan Status

- **90% of the FY18 Plan Completed (Includes Issued, Final Draft Reports, Draft Report, and Value-Added Management Services)**
- 72 Audit Projects Total on FY18 Plan - 51 Originally Allocated Audits, and 21 Unallocated Audits
 - 55 Audits and Value-Added Management Services Completed
 - **38 Audit Reports on the FY18 Plan Issued** (Graduate Medical Education; Enrollment; Chancellor's/President's Expenditure Reviews; Investments; THECB Faculty Development Center Award; THECB Plaza Medical Center Family Medicine Residency Program (FMRP); UNT Provost Transition Audit; Counseling Center Audit; School of Health Professions Financial Review; BCP - College of Education; BCP - College of Business; Counseling Center Audit; UNTHSC Provost Transition Audit; School of Health Professions Financial Review; BCP - College of Science; BCP - College of Liberal Arts & Social Sciences; BCP - Mayborn School of Journalism; BCP - TAMS and Honors ; BCP - Libraries; BCP - College of Engineering; BCP - College of Health and Public Service; BCP - College of Merchandising, Hospitality and Tourism; BCP - College of Information; BCP - College of Visual Arts & Design; BCP; Toulouse Graduate School; BCP - College of Music; IT Asset Inventory Controls Audit; Student Awareness and Training- Lab Safety; Out-of-State Teaching Fee Research Project; Cancer Prevention and Research Institute of Texas (CPRIT) ; Student-Managed Investment Fund (SMIF); Senate Bill 20 Mandated Internal Audit; Benefits Proportionality; College of Pharmacy Financial Review; Student Awareness and Training-Lab Safety)
 - **8 Audit Reports In Final Draft Report Status** (Biological Sciences Audit; Advancement; UNT Grants and Contracts Compliance; UNT Effort Reporting Process; UNT Grants and Contracts Compliance; UNT Effort Reporting Process; Kristin Farmer Autism Center Audit (FY18); HIPPY Grant)
 - **1 Audit Report In Draft Report Development Status** (Security Camera Access)
 - **8 Value-Added Management Services** (Primary Care Innovation Grant Validation; Inventory Control Management; Campus Cash Count; University-Owned Cell Phone Billing Process; Data Security for Network Multifunction Printers; Monitoring Printer Usage; Deloitte Financial Remediation; Property Management)
 - **7 Audit Projects In-Process** (SACS; IT Risk Assessment; IT Governance; Residence Hall Access; Role Based Access; Telecom Transition Audit; Financial Aid Processes)
 - **10 Audit Reports on the FY17 Audit Plan Issued in FY18** (Minor Capital Projects; Community Counseling; Faculty and Staff International Travel; College of Music Transition Audit; Lifelong Learning & Professional Development Business Process Review; Financial Review of UNTHSC Reserves; Classroom Support Services; Registrar's Office Business Process; Graduate Medical Education; Enrollment)
 - **3 Audits Cancelled** (Microbiology, Immunology, and Genetics Transition Audit; Disaster Recovery)
 - **1 Management Advisory Service Cancelled** (UNTHSC Student Awareness and Training- Lab Safety)
 - **2 Audits Deferred to FY19** (Student Safety Awareness and Training-Lab Safety; NCAA Compliance)

Strategic Plan Objectives & Staff Professionalism

- Customer Service Metrics
 - Post Audit Survey
 - For the first half of FY18, we monitored 4 questions that we felt were most impactful to assist in developing our level of service
 1. All appropriate areas of risk, including your specific concerns, were thoroughly considered.
 2. Internal Audit staff fostered a relationship of cooperation and were responsive to your questions or concerns.
 3. Internal Audit findings and recommendations were constructive, accurate, mutually agreed upon and addressed the root cause of the problems.
 4. The Audit enhanced your awareness of business risks and controls and added value to the department/organization.
 - Survey sent to 162 persons correlated to 28 audits in FY18, 37 responses returned.
 - Based on the responses for those 4 questions, we received 15 Strongly Agree, 18 Agree, 4 Disagree, 0 Strongly Disagree ratings.
 - Mid-year 2018 we decided to re-examine the survey to refresh the content to elicit more responses.
 - Starting with FY18, surveys will be more targeted and will seek more quantitative information.
 - Staff Professional Certifications Earned in FY18
 - 2 professional certifications earned
 - One staff member obtained the CFE
 - One staff member obtained the CISA

Value-Added Management Services

- Met with Senior Leadership quarterly to discuss audit results & identified risk activities
- Served on various workgroups and committees including the following:
 - Payroll and Employee Benefit Process Review;
 - Journal Entry Process Review;
 - PCI DSS Compliance Process Review;
 - Information security/Privacy Committee;
 - NextGen Post implementation follow up;
 - Clinical Billing, Coding and Revenue Cycle Compliance Committee;
 - Committee and Staff Meetings at UNT;
 - Academic Computing at UNT;
 - PeopleSoft Grants, Billing and Account Receivable;
- Facilitated co-source opportunity with PricewaterhouseCoopers (PwC) for the IT Risk Assessment
- Employed two Student Interns at the Denton Internal Audit Office
- Presented and facilitated discussions for an academic course
- Provided resources as Subject Matter Experts on Business and IT Processes, Policies and Procedures
- Staffed booths to distribute information at campus events (Mean Green Fling and Homecoming)

University of North Texas System Internal Audit FY18 Annual Audit Plan

Source	Functional Area		Title of Audit	Status	Report Presented at Audit Committee	Component Institution				Identified Risk
						UNT System	UNT	UNTHSC	UNT Dallas	
FY17 Audits Issued in FY18:										
MGMT REQUEST	MGMT ADVISORY SERVICES (MAS)	U	Graduate School of Biomedical Sciences 70/30 Rule	MAS IA Work Completed				X		Financial; Operational; Reputational
CO-SOURCED	COMPLIANCE		Student-Managed Investment Fund (SMIF)	Issued	Nov 2017		X			Compliance; Reputational; Financial; Operational
CO-SOURCED	ACADEMIC		Scholarships Review	Issued	Nov 2017				X	Compliance; Reputational; Operational
INTERNAL AUDIT	FINANCIAL		Minor Capital Projects	Issued	Nov 2017		X			Financial; Operational; Contract Compliance; Economical and Efficient Use of Resources
MGMT REQUEST	FINANCIAL		Community Counseling	Issued	Nov 2017				X	Compliance; Reputational; Financial; Operational; Regulatory
INTERNAL AUDIT	FINANCIAL	U	Faculty and Staff International Travel	Issued	Nov 2017		X			Compliance; Operational; Reputational
MGMT REQUEST	FINANCIAL	U	College of Music Transition Audit	Issued	Nov 2017		X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	Lifelong Learning & Professional Development Business Process Review	Issued	Nov 2017		X			Compliance; Reputational; Financial; Operational; Regulatory
CO-SOURCED	FINANCIAL	U	Financial Review of UNTHSC Reserves	Issued	Nov 2017			X		Financial; Operational; Reputational
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Classroom Support Services	Issued	Nov 2017		X			Compliance; Operational; Reputational
MGMT REQUEST	MAS	U	Graduate Medical Education	Issued	May 2018			X		Financial; Operational; Reputational
CO-SOURCED	STUDENTS		Enrollment	Issued	Feb 2018		X	X	X	Compliance; Reputational; Financial; Operational; Regulatory

University of North Texas System Internal Audit FY18 Annual Audit Plan

Source	Functional Area	Title of Audit	Status	Report Presented at Audit Committee	Component Institution				Identified Risk
					UNT System	UNT	UNTHSC	UNT Dallas	
FY18 Audit Projects Allocated FY18 Hours:									
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Liberal Arts & Social Sciences	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - Mayborn School of Journalism	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - TAMS and Honors	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - Libraries	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Engineering	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Health and Public Service	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Merchandising, Hospitality and Tourism	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Information	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Visual Arts & Design	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - Toulouse Graduate School	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Liberal Arts & Social Sciences	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational

University of North Texas System Internal Audit FY18 Annual Audit Plan

Source	Functional Area	Title of Audit	Status	Report Presented at Audit Committee	Component Institution				Identified Risk
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FY18 Audit Projects Allocated FY18 Hours:									
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Liberal Arts & Social Sciences	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - Mayborn School of Journalism	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - TAMS and Honors	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - Libraries	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Engineering	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Health and Public Service	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Merchandising, Hospitality and Tourism	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Information	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Visual Arts & Design	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - Toulouse Graduate School	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning - College of Music	Issued	May 2018		X			Information Technology Security; Operational; Compliance with Policies; Reputational

University of North Texas System Internal Audit FY18 Annual Audit Plan

Source	Functional Area		Title of Audit	Status	Report Presented at Audit Committee	Component Institution				Identified Risk
						UNT System	UNT	UNTHSC	UNT Dallas	
FY18 Audit Projects Allocated FY18 Hours:										
INTERNAL AUDIT	INFORMATION TECHNOLOGY		IT Asset Inventory Controls	Issued	May 2018				X	Financial; Asset Misappropriation; Economical and Efficient Use of Resources; Safeguarding of Assets
MGMT REQUEST	STUDENTS		Student Awareness and Training-Lab Safety	Issued	May 2018		X			Student Safety; Operational; Compliance with Policies; Reputational
MGMT REQUEST	COMPLIANCE	U	Out-of-State Teaching Fee Research Project	Issued	Aug 2018		X			Compliance; Reputational; Financial; Regulatory
REQ-REG AGENCY	COMPLIANCE		Cancer Prevention and Research Institute of Texas (CPRIT)	Issued	Aug 2018			X		Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE	U	Student-Managed Investment Fund (SMIF)	Issued	Aug 2018		X			Compliance; Reputational; Financial; Operational
REQ-REG AGENCY	COMPLIANCE		Senate Bill 20	Issued	Aug 2018	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
CO-SOURCED	COMPLIANCE		Benefits Proportionality	Issued	Aug 2018		X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL		College of Pharmacy Financial Review	Issued	Aug 2018			X		Financial; Operational
MGMT REQUEST	STUDENTS		Student Awareness and Training-Lab Safety	Issued	Aug 2018				X	Student Safety; Operational; Compliance with Policies; Reputational
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Security Camera Access	Final Draft Report	Nov 2018				X	
MGMT REQUEST	OPERATIONAL	U	Biological Sciences	Final Draft Report	Nov 2018		X			Financial; Operational
MGMT REQUEST	OPERATIONAL	U	Advancement	Final Draft Report	Nov 2018		X			Financial; Operational

University of North Texas System Internal Audit FY18 Annual Audit Plan

Source	Functional Area		Title of Audit	Status	Report Presented at Audit Committee	Component Institution				Identified Risk
						UNT System	UNT	UNTHSC	UNT Dallas	
FY18 Audit Projects Allocated FY18 Hours:										
INTERNAL AUDIT	RESEARCH		Grants and Contracts Compliance	Final Draft Report	Nov 2018		X	X		Compliance; Reputational; Financial; Operational; Regulatory
INTERNAL AUDIT	RESEARCH		Effort Reporting Process	Final Draft Report	Nov 2018		X	X		Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	Kristin Farmer Autism Center	Final Draft Report	Nov 2018		X			Financial; Operational
MGMT REQUEST	RESEARCH	U	HIPPY Grant	Final Draft Report	Nov 2018		X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	COMPLIANCE	U	Primary Care Innovation Grant Validation	MAS THECB IA Work Completed				X		Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	INTEGRITY UNIT	U	Inventory Control Management	MAS Work UNTHSC IA Work Completed				X		Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	Campus Cash Count	MAS SYS IA Work Completed		X	X	X	X	Financial; Operational
MGMT REQUEST	INFORMATION TECHNOLOGY	U	University-Owned Cell Phone Billing Process	MAS SYS IA Work Completed					X	Information Technology Security; Operational; Compliance with Policies
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Data Security for Network Multifunction Printers	MAS SYS IA Work Completed					X	Information Technology Security; Operational; Compliance with Policies
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Monitoring Printer Usage	MAS SYS IA Work Completed					X	Information Technology Security; Operational; Compliance with Policies
MGMT REQUEST	FINANCIAL	U	Deloitte Financial Remediation	MAS SYS IA Work Completed		X				Compliance; Financial; Operational
INTERNAL AUDIT	OPERATIONAL	U	Property Management	MAS THECB IA Work Completed				X		Operational; Compliance

University of North Texas System Internal Audit FY18 Annual Audit Plan

Source	Functional Area		Title of Audit	Status	Report Presented at Audit Committee	Component Institution				Identified Risk
						UNT System	UNT	UNTHSC	UNT Dallas	
FY18 Audit Projects Allocated FY18 Hours:										
CO-SOURCED	FINANCIAL		SACS	In-Process				X		
CO-SOURCED	INFORMATION TECHNOLOGY		IT Risk Assessment	In-Process		X				Information Technology Security; Operational; Compliance with Policies; Reputational
CO-SOURCED	INFORMATION TECHNOLOGY		IT Governance	In-Process		X				Information Technology Security; Operational; Compliance with Policies
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Residence Hall Access	In-Process					X	Information Technology Security; Operational; Compliance with Policies
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Role Based Access	In-Process					X	Information Technology Security; Operational; Compliance with Policies
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Telecom Transition	In-Process				X		Financial; Operational
MGMT REQUEST	COMPLIANCE	U	Financial Aid Processes	In-Process			X			Financial; Operational
INTERNAL AUDIT	NCAA		NCAA Compliance	Cancelled			X			Regulatory; Reputational; Compliance with Policies; Operational
INTERNAL AUDIT	ACADEMIC		Scholarships Review	Cancelled				X		Compliance; Reputational; Operational
INTERNAL AUDIT	FINANCIAL		Minor Capital Projects Construction	Cancelled			X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	STUDENTS		Student Awareness and Training-Lab Safety	Cancelled				X		Student Safety; Operational; Compliance with Policies; Reputational
MGMT REQUEST	FINANCIAL	U	Microbiology, Immunology, and Genetics Transition Audit	Deferred to FY 2019				X		Compliance; Reputational; Financial; Operational
MGMT REQUEST		U	Disaster Recovery	Deferred to FY 2019		X				

Quarterly Report of Audit Activities

Presented by Tracy Grunig
November 15-16, 2018

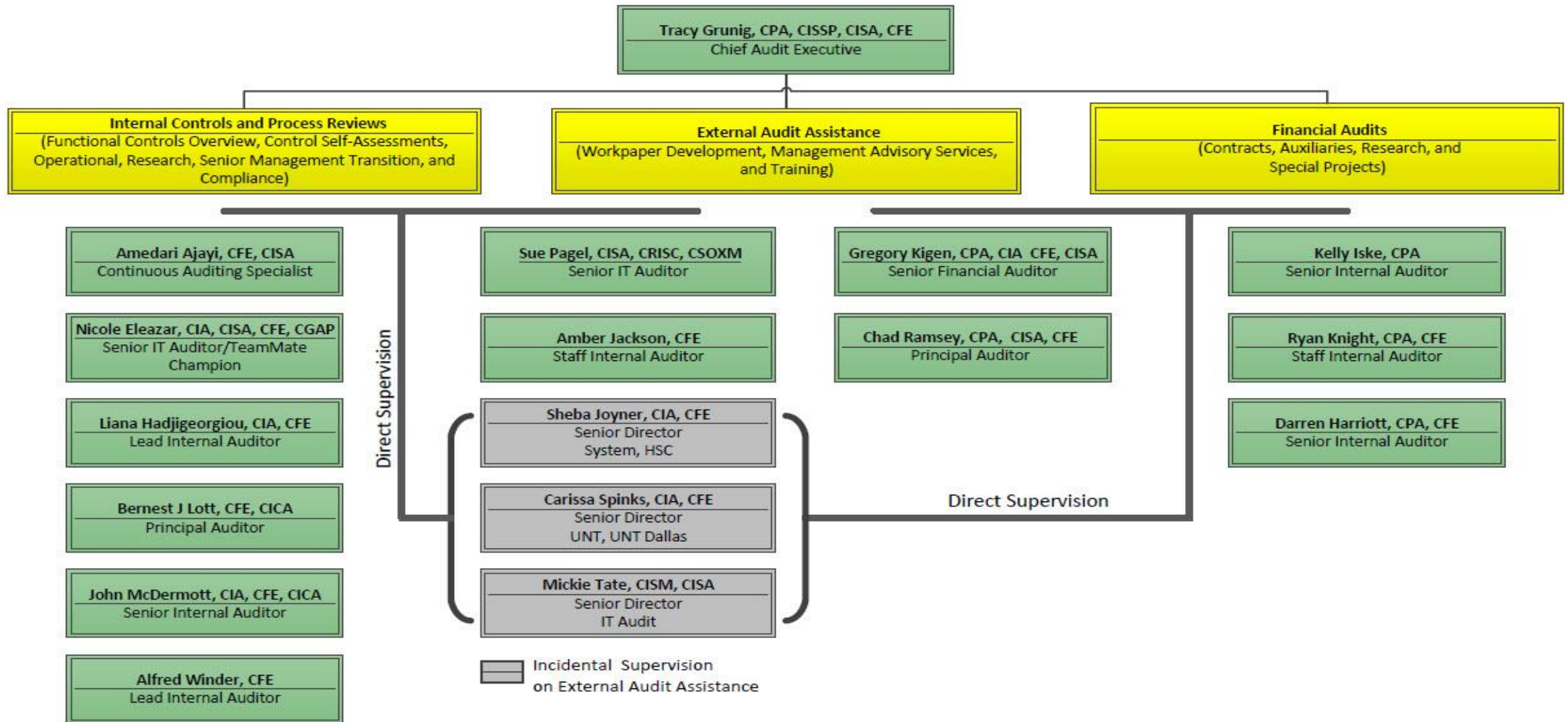
Activities reflected within are as of September 30, 2018



Summary Statements

- Completed FY18 Annual Audit Plan (AAP)
- Completing Compliance Audits in the First Quarter of FY19 AAP Using Co-Sourced and Internal Resources
- Realigning FY19 AAP to Reflect New Emphasis on Process Functional Reviews, Assisting with External Audit, and Financial Audits
- Co-Sponsoring Enterprise Risk Management Process in Partnership with System Finance

UNTS Internal Audit Functional Organization Chart



FY19 Internal Audit Plan Activity to Date

	Title of Audit	Description and Audit Objectives	Status	Component Institution				Identified Risk
				UNT System	UNT	UNTHSC	UNT Dallas	
FY18 Audits Requiring FY19 Audit Hours:								
	Grants and Contracts Compliance	Review grants and contracts for compliance with grant conditions, System/University policies, and state and federal laws.	Final Draft Report Nov 2018 AC		X			Compliance; Reputational; Financial; Operational; Regulatory
	Effort Reporting Process	Review effort reporting process for grants for compliance with grant conditions, System/University policies, and state and federal laws.	Final Draft Report Nov 2018 AC		X			Compliance; Reputational; Financial; Operational; Regulatory
	Home Instruction for Parents of Preschool Youngsters (HIPYPY)	Assess compliance with the sponsor's terms and conditions in the carrying out of the Texas HIPYPY Corp project.	Final Draft Report Nov 2018 AC		X			Compliance; Reputational; Financial; Operational; Regulatory
	Kristin Farmer Autism Center	Review and determine if controls for revenue collection, purchasing, travel, and operational expenditures comply with University/System policies and regulations.	Final Draft Report Nov 2018 AC		X			Compliance; Reputational; Financial; Operational; Regulatory
	Grants and Contracts Compliance	Review grants and contracts for compliance with grant conditions, System/University policies, and state and federal laws.	Final Draft Report Nov 2018 AC			X		Compliance; Reputational; Financial; Operational; Regulatory
	Effort Reporting Process	Review effort reporting process for grants for compliance with grant conditions, System/University policies, and state and federal laws.	Final Draft Report Nov 2018 AC			X		Compliance; Reputational; Financial; Operational; Regulatory
FY19 Audits Requiring FY19 Audit Hours:								
	Chancellor's/President's Expenditure Reviews	Evaluate whether travel, entertainment, and business expenses are in compliance with System/University policies, employment agreement provisions, state, and federal laws as required by employment agreements.	In-Process	X	X	X	X	Compliance; Reputational; Financial; Operational
	Investments	Evaluate whether 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 Public Funds Investment Act (PFIA) including State Auditor's Office (SAO) Article III, Rider 5 reporting requirements.	In-Process	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory

FY19 Internal Audit Plan Activity to Date

	Title of Audit	Description and Audit Objectives	Status	Component Institution				Identified Risk
				UNT System	UNT	UNTHSC	UNT Dallas	
FY19 Audits Requiring FY19 Audit Hours: (continued)								
	Export and DOD Grant Compliance Audit	Review partnerships for compliance with Department of Defense (DOD) grant guidelines.	In-Process		X			Compliance; Reputational; Operational; Regulatory
	External Audit Fieldwork Assistance - Grant Thornton	Internal Audit assistance with the annual audit of UNTS financial statements for FY18.	In-Process	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
	Data Validation Controls - (Vendor, HR, payroll)	Determine whether the employee contribution amounts for TexasSaver are in accordance with plan provisions and whether contribution amounts are properly recorded and timely submitted to the respective agency. Validate that options on electronic forms have the necessary controls and validations in place to prevent improper manipulation of information input into the system.	In-Process	X				Compliance; Reputational; Financial; Operational; Regulatory
	Role Based Access	Determine if role based access exists within EIS and if segregation of duties conflicts exist within and between assigned roles.	In-Process	X				Information Technology; Financial; Operational
	Federal Reporting	Ensure required federal reports are submitted timely, accurately and completely.	In-Process			X		Compliance; Reputational; Financial; Operational; Regulatory
	Enterprise Risk Management	Assess framework used by organizations to manage risks and opportunities related to the achievement of institutional and department objectives. Review processes for effectiveness.	In-Process	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
	Employee Benefits Reconciliation Ad-Hoc Committee	Committee headed by Brandi Renton to explore issues discovered concerning TRS deductions not taken properly from employee paychecks, particularly those hired after 1/17/18. IA to explore processes and controls concerning ERS benefits, identifying weaknesses.	In-Process	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
	Control Assessment - TBD	Assess the adequacy of internal controls; identifying potential areas of weakness, non-compliance, and/or unsound practices; and determining whether revenues are identified, managed, and reported in accordance with University policy and state law.	In-Process	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory

FY19 Internal Audit Plan Activity to Date

	Title of Audit	Description and Audit Objectives	Status	Component Institution				Identified Risk
				UNT System	UNT	UNTHSC	UNT Dallas	
FY19 Audits Requiring FY19 Audit Hours: (continued)								
	Senate Bill 20 Mandated Internal Audit	Internal Audit is required under SB 20 regulations to review contracting process for adherence to requirements on annual basis.		X				Compliance; Reputational; Financial; Operational; Regulatory
	Student-Managed Investment Fund (SMIF)	Assess compliance with the donor agreement between UNT and Colonel Guy M. Cloud, Jr. related to SMIF.			X			Compliance; Reputational; Financial; Operational
	THECB Facilities Certification	Determine whether the projects and acquisitions of real property that were submitted to THECB received the 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.					X	Compliance; Reputational; Financial; Operational; Regulatory
	Employee Benefits Percentage Deductions	Determine whether the employee percentage deduction amounts and employee contributions are in accordance with plan provisions and whether they are accurately recorded.		X				Compliance; Reputational; Financial; Operational; Regulatory
	Security Camera	Review effectiveness of security camera coverage; security of physical and logical access to the cameras and systems that support the cameras.				X		Information Technology; Reputational; Operational
	Microbiology, Immunology, and Genetics Transition	The audit will focus on processes, procedures and controls for cash handling, purchasing, budgeting, travel expenses, contract agreements and asset inventory.				X		Compliance; Reputational; Financial; Operational
	School of Medicine Review	Identify and ensure a foundational analysis of policies and practices between HSC and TCU is performed.				X		Reputational; Operational
	Student Fees	Determine whether fees are authorized, charged, recorded, and expended in compliance with University policies and State laws.					X	Compliance; Reputational; Financial; Operational; Regulatory
	College of Health and Public Service Dean Transition	Review and determine whether processes, procedures and controls for cashing handling, purchasing, travel expenses, and asset inventory are in compliance with University/System policies and regulations.			X			Compliance; Reputational; Financial; Operational

FY19 Internal Audit Plan Activity to Date

	Title of Audit	Description and Audit Objectives	Status	Component Institution				Identified Risk
				UNT System	UNT	UNTHSC	UNT Dallas	
FY19 Audits Requiring FY19 Audit Hours: (continued)								
	Auxiliary Enterprise Department	To ensure departmental activities accomplish the department's goals/objectives and revenue is used appropriately.				X		Compliance; Reputational; Financial; Operational; Regulatory
	College of Law Dean Transition	Review processes, procedures, and controls for cashing handling, purchasing, travel expenses, and asset inventory is in compliance with University/System policies and regulations.					X	Compliance; Reputational; Financial; Operational
	Training and Education Outreach Services - New Business Manager Orientation	Educate management on common control failures and promote compliance and enhance operational effectiveness through best practices.		X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
	College of Merchandising, Hospitality & Tourism Dean Transition	Review and determine whether processes, procedures and controls for cashing handling, purchasing, travel expenses, and asset inventory are in compliance with University/System policies and regulations.			X			Compliance; Reputational; Financial; Operational
	Libraries Dean Transition	Review and determine whether processes, procedures and controls for cashing handling, purchasing, travel expenses, and asset inventory are in compliance with University/System policies and regulations.			X			Compliance; Reputational; Financial; Operational
	Psychology Clinic	Determine whether Patient Health Information was adequately protected in accordance with the Texas Medical Records Privacy Act (Texas House Bill 300/ Texas Health & Safety Code § 181); Determine whether cash handling processes/procedures provide an adequate system of internal controls to help ensure compliance with System/University policies.			X			Compliance; Reputational; Financial; Operational
	Physician Compensation Model	Ensure physician compensations based on the model are recorded accurately, completely and paid timely.				X		Financial; Operational

FY19 Internal Audit Plan Activity to Date

	Title of Audit	Description and Audit Objectives	Status	Component Institution				Identified Risk
				UNT System	UNT	UNTHSC	UNT Dallas	
FY19 Audits Requiring FY19 Audit Hours: (continued)								
	Facilitation of Co-Sourcing IT & Internal IT Projects	Respond to requests for IT audit support and consultation in all matters. Represents audit hours designated for institutional use but individual audit projects have not been determined. Audit projects will be identified over the course of FY19.		X	X	X	X	Information Technology; Compliance; Reputational; Operational
	Data Validation Controls - Employee Benefits (TRS/ORP)	Test the recorded retirement elections of full time employees of UNT Systems and Institutions to ensure they are proper based on policy, employee selection and positions. Validate whether election options on electronic forms have the necessary controls and validations in place to ensure elections are input correctly.		X				Compliance; Reputational; Financial; Operational; Regulatory
	Disaster Recovery	Review disaster recovery plans to ensure plans have been tested and are in accordance with published SLA's to the University.		X				Information Technology; Compliance; Reputational; Financial; Operational
	System Accessibility and Availability Uptime	Determine if outages are occurring to the network and if so, what systems are impacted, user community affected and determine if published Service Level Agreement's (SLAs) are being met.		X				Information Technology; Financial; Operational
	Effort Reporting Process	Review effort reporting process for grants for compliance with grant conditions, System/University policies, and state and federal laws.			X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
	Enterprise Review of Policy Framework	Review the processes surrounding how policies and procedures are developed and the frequency policies and procedures are reviewed or revised.		X	X	X	X	Compliance; Financial; Operational; Regulatory
	Data Classification and Protection of Information	Determine if data classification is being performed and if the data is being protected in accordance with the level of security required for the classification assigned.			X			Information Technology; Compliance; Reputational; Operational
	Revenue Streams Enterprise Wide	Identify sources of revenue enterprise-wide and assess the accounting treatment to determine compliance with policy and statutory requirements.		X	X	X	X	Compliance; Financial; Regulatory

FY19 Internal Audit Plan Activity to Date

	Title of Audit	Description and Audit Objectives	Status	Component Institution				Identified Risk
				UNT System	UNT	UNTHSC	UNT Dallas	
FY19 Audits Requiring FY19 Audit Hours: (continued)								
	Benefits Proportionality	Assess the processes and controls related to completion of Form APS 011 as required by the General Appropriations Act, Article IX, Section 6.08, Benefits Paid Proportional by Fund.			X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
	Tuition Revenue Recognition Enterprise Wide - Pilot Program	Review the cash management / check processing procedures in student accounting at UNT Dallas.					X	Compliance; Financial; Regulatory
	Grants and Contracts Compliance	Review grants and contracts for compliance with grant conditions, System/University policies, and state and federal laws.			X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
	Office of Innovative Continuing Education Delivering Outcomes (INCEDO) - Course Development / Fee Revenue & Operational Audit	Review and evaluate payments for development and delivery of continuing education courses; and evaluate departmental expenditures using funds to assess compliance with University policy and state law. Additionally, determine whether revenue rates are appropriate and financial resources obtained are utilized correctly.				X		Compliance; Financial; Regulatory
U	Unallocated Hours	Represents audit hours designated for institutional use but individual audit projects have not been determined. Audit projects will be identified over the course of FY19 to be responsive to management's high risk and high impact areas (E.G., shared services, business process reviews, fraud hotline investigations, etc.).		X	X	X	X	Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
	Investigations	Examine allegations or complaints of fraud, waste, abuse or employee misconduct.	Continuous	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
	Follow-Up of Prior Audits	The IIA Professional Standards for internal auditing require auditors to follow-up on implementation of recommendations included in prior audit reports.	Continuous	X	X	X	X	Due Diligence

Audit and Management Advisory Services Reports Issued

UNT:

- UNT Biological Sciences
- UNT Kristin Farmer Autism Center
- UNT Advancement
- UNT Home Instruction for Parents of Preschool Youngsters (HIPPIY)
- UNT Grants and Contracts Compliance
- UNT Effort Reporting Process

UNT HSC:

- UNTHSC Effort Reporting Process
- UNTHSC Grants and Contracts Compliance
- UNTHSC Title IV Compliance

UNT System:

- UNTS Deloitte Business Remediation

Audit and Management Advisory Services Reports Issued

Matrix of Objectives and Issues Identified

Audit Name	Component Institutions				Original Objectives	Issues Identified
	UNTS	UNT	UNT HSC	UNT Dallas		
Deloitte Business Remediation	X	X	X	X	Perform validation for remedial actions implemented by management related to gaps identified by Deloitte & Touche.	None
Biological Sciences		X			Review and determine if processes, procedures, and controls related to expending funds, receiving revenue, and maintaining University assets complied with System and University policies.	<ul style="list-style-type: none"> Documents with Personal Identifiable Information, bank account information, and confidential financial data were not appropriately secured both physically and in electronic transmission. One ineligible individual operated vehicles in Biological Sciences. Support documentation was not available for 12 of 17 (70.6%) months of purchasing card transactions totaling \$23,586 for a program in Biological Sciences. University assets in Biological Sciences are not managed in compliance with UNT Policy 10.048. UNT Cash Handling policies were not consistently followed. International travel was not registered prior to departure, and UNT System Travel Guidelines were not consistently followed.
Kristin Farmer Autism Center		X			Review and determine if controls for revenue collection in FY18 comply with University/System policies and regulations	<ul style="list-style-type: none"> Two employees did not have documented HIPPA training. UNT Cash Handling policies were not consistently followed.

Audit and Management Advisory Services Reports Issued

Matrix of Objectives and Issues Identified

Audit Name	Component Institutions				Original Objectives	Issues Identified
	UNTS	UNT	UNT HSC	UNT Dallas		
Advancement		X			Review donations and gift processing.	<ul style="list-style-type: none"> Documents with Personal Identifiable Information, bank account information, and confidential financial data were not appropriately secured. Advancement does not have a written Business Continuity Plan for mission critical information resources.
Home Instruction for Parents of Preschool Youngsters (HIPPPY)		X			Assess compliance with the HIPPPY program sponsor's terms and conditions and identify any opportunities to strengthen controls.	<ul style="list-style-type: none"> Purchasing card expenses were not consistently reconciled or approved and contained unsupported expenses.
Grants and Contracts Compliance		X			Review grants and contracts for compliance with grant conditions, System/University policies, and state and federal laws.	<ul style="list-style-type: none"> None
Effort Reporting Process		X			Review effort reporting process for grants for compliance with grant conditions, System/University policies, and state and federal laws.	<ul style="list-style-type: none"> None
Effort Reporting Process			X		Review effort reporting process for grants for compliance with grant conditions, System/University policies, and state and federal laws.	<ul style="list-style-type: none"> UNTHSC Grant Management Policies, Chapter 13, have not been updated to reflect changes in accordance to the Federal Regulations and National Institution of Health (NIH) policies.
Grants and Contracts Compliance			X		Review and determine if controls for revenue collection in FY18 comply with University/System policies and regulations	<ul style="list-style-type: none"> No high risk

Audit and Management Advisory Services Reports Issued

Matrix of Objectives and Issues Identified

Audit Name	Component Institutions				Original Objectives	Issues Identified
	UNTS	UNT	UNT HSC	UNT Dallas		
Title IV Compliance			X		<p>Determine whether internal controls over Title IV processes are in place to ensure that consistent processes are implemented and designed effectively to address the compliance risks within the Title IV sub-processes and to ensure compliance with the federal law.</p> <p>Verify that awards, disbursements, and returns of Title IV funds are complete, accurate, and in compliance with federal requirements.</p>	<ul style="list-style-type: none"> No high risk

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	14	1	(10)	5	1	4
UNT	32	0	(18)	14	8	6
UNTHSC	39	8	(16)	31	31	0
UNTD	48	3	(4)	47	40	7*
Total	133	12	(48)	97	80	17

* Internal Audit is verifying whether 5 of the 7 recommendations have been fully implemented.

Questions?

UNT System-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: High</p> <p>Report Name: Retirement Contributions</p> <p>Report Number: 17-407 SYS</p> <p>Component Institution: SYS</p> <p>Department: Retirement</p> <p>Brief Description of Audit: Internal Audit completed a review of Retirement Contributions for the Optional Retirement Program (ORP). This audit was performed at the request UNT System Senior Management and the Assistant Vice Chancellor of Total Rewards as part of assessment of the existing ORP contribution plan.</p>	<p>The validation process to reconcile data and funds received is not consistent between VRSCO (lead record-keeper) and the ORP financial service companies. This creates unnecessary delays in the depositing of ORP contributions to the participants' accounts and non-compliance with the 3 business day rule required by the Texas Government Code and Texas Administrative Code as referenced in issue in number 3.</p> <p>Recommendations for the Vice Chancellor of Finance in consultation with the Office of General Counsel:</p> <p>4.1.a. Work with the third party ORP administrator and the financial service companies to identify all required information and/or documentation needed by both parties to consider the ORP contributions in good order for depositing.</p>	<p>1a. In partnership with our Retirement Consultant, cross-campus and cross-functional Retirement Committee, and internal departments, we will update contracts, processes, file feeds, and documentation. Due to the complexity of making vendor, process, and programming changes, anticipated full implementation is within the coming fiscal year.</p> <p>Party responsible for implementation: Janet Waldron Vice Chancellor of Finance</p> <p>Expected Implementation Date: August 31, 2018</p> <p>Revised Implementation Date: May 1, 2019</p>	<p>2 months Past Due</p> <p>Currently, there is a Letter of Understanding between UNT System and Fidelity that was signed 04/23/18 to negotiate, in good faith, a recordkeeping and/or trust or custodial account agreement. However, there is not a draft agreement that is being reviewed or negotiated. The transition from current lead record-keeper, VRSCO to Fidelity is set to be in February 1, 2019.</p>

UNT System-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: High</p> <p>Report Name: Retirement Contributions</p> <p>Report Number: 17-407 SYS</p> <p>Component Institution: SYS</p> <p>Department: Retirement</p> <p>Brief Description of Audit: Internal Audit completed a review of Retirement Contributions for the Optional Retirement Program (ORP). This audit was performed at the request UNT System Senior Management and the Assistant Vice Chancellor of Total Rewards as part of assessment of the existing ORP contribution plan.</p>	<p>The validation process to reconcile data and funds received is not consistent between VRSCO (lead record-keeper) and the ORP financial service companies. This creates unnecessary delays in the depositing of ORP contributions to the participants' accounts and non-compliance with the 3 business day rule required by the Texas Government Code and Texas Administrative Code as referenced in issue in number 3.</p> <p>Recommendations for the Vice Chancellor of Finance in consultation with the Office of General Counsel:</p> <p>4.1. b. Request the validation processing requirements followed by the third party administrator is consistent with the financial service companies.</p>	<p>1b. Financial service companies' performance will be addressed through the project.</p> <p>Party responsible for implementation: Janet Waldron, Vice Chancellor of Finance</p> <p>Expected Implementation Date: August 31, 2018</p> <p>Revised Implementation Date: May 1, 2019</p>	<p>2 months Past Due</p> <p>Currently, there is a Letter of Understanding between UNT System and Fidelity that was signed 04/23/18 to negotiate, in good faith, a recordkeeping and/or trust or custodial account agreement. However, there is not a draft agreement that is being reviewed or negotiated. The transition from current lead record-keeper, VRSCO to Fidelity is set to be in February 1, 2019.</p>

UNT System-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: High</p> <p>Report Name: Retirement Contributions</p> <p>Report Number: 17-407 SYS</p> <p>Component Institution: SYS</p> <p>Department: Retirement</p> <p>Brief Description of Audit: Internal Audit completed a review of Retirement Contributions for the Optional Retirement Program (ORP). This audit was performed at the request UNT System Senior Management and the Assistant Vice Chancellor of Total Rewards as part of assessment of the existing ORP contribution plan.</p>	<p>ORP contributions were not always deposited within the 3 business day requirement described in issue number 3 by certain financial service companies for 21 pay periods reviewed from January 2015 - September 2016.</p> <p>Recommendations for the Assistant Vice Chancellor of Total Rewards in consultation with the Office of General Counsel and the Sr. Director of Controller Operations:</p> <p>5.1.b. Work with the Office of General Counsel to update the current agreement(s) to include but not be limited to the following:</p> <ul style="list-style-type: none"> -Timeliness of notification of discrepancies from the ORP financial service companies to UNT System Controller Operations and Human Resources departments. -Post all ORP participant contributions in good order in accordance with state regulation. Only withhold contributions for each individual ORP participant for whom contributions submitted were not in good order until resolved. 	<p>1b. Contract and service level agreements will be addressed in item 1a in coordination with the Office of General Counsel.</p> <p>Party responsible for implementation Christopher DeClerk, Assistant Vice Chancellor of Total Rewards and the Sr. Director of Controller Operations in collaboration with the Office of General Counsel</p> <p>Expected Implementation Date: August 31, 2018</p> <p>Revised Implementation Date: May 1, 2019</p>	<p>2 months Past Due</p> <p>Currently, there is a Letter of Understanding between UNT System and Fidelity that was signed 04/23/18 to negotiate, in good faith, a recordkeeping and/or trust or custodial account agreement. However, there is not a draft agreement that is being reviewed or negotiated. The transition from current lead record-keeper, VRSCO to Fidelity is set to be in February 1, 2019.</p>

UNT System-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: High</p> <p>Report Name: Retirement Contributions</p> <p>Report Number: 17-407 SYS</p> <p>Component Institution: SYS</p> <p>Department: Retirement</p> <p>Brief Description of Audit: Internal Audit completed a review of Retirement Contributions for the Optional Retirement Program (ORP). This audit was performed at the request UNT System Senior Management and the Assistant Vice Chancellor of Total Rewards as part of assessment of the existing ORP contribution plan.</p>	<p>A manual process breakdown in updating the year-to-date contribution amount in PeopleSoft caused two employee's ORP accounts to be over contributed by both the Institution and employee. This occurred when employee benefit changes were not entered into PeopleSoft, since the process is manual rather than a system configuration which automatically calculates contribution amounts.</p> <p>Recommendations for the Assistant Vice Chancellor of Total Rewards:</p> <p>6.1.d. Work with Information Technology Shared Services (ITSS) and the Controller Operations team to configure an automatic calculation in PeopleSoft for the year-to-date contribution amount when an employee elects a different financial service company during the year. This will eliminate the need for a manual process.</p>	<p>1c. Partner with OGC to take appropriate action for any excess contributions.</p> <p>Party responsible for implementation Christopher DeClerk, Assistant Vice Chancellor of Total Rewards</p> <p>Expected Implementation Date: August 31, 2018</p> <p>Revised Implementation Date: June, 1 2019</p>	<p>2 months Past Due</p> <p>The ITSS automatic configuration of PeopleSoft will be completed after the transition to the new lead record-keeper which is set to be February 1, 2019.</p>

UNT-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Co-Sourced (PwC)</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: UNT Endowments Internal Audit</p> <p>Report Number: 16-303 UNT</p> <p>Component Institution: UNT</p> <p>Department: UNT Endowments</p> <p>Brief Description of Audit: The primary objective of this audit was to assess the effectiveness of processes in place to expend endowment distributions in compliance with donor agreements and institutional guidance. The review also included an evaluation of the processes related to gift planning/acceptance, management, and reporting.</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>1.1.a. 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>Party responsible for implementation: Collaboration between Mike Mlinac, UNT Foundation President & CEO; Jennifer Cowley, 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> <p>Expected Implementation Date: December 22, 2017</p> <p>Revised Implementation Date: November 1, 2018</p>	<p>10 months Past Due</p> <p>On track and anticipated to be completed by the revised implementation date of Nov. 1, 2018.</p>

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<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: High</p> <p>Report Name: Residence Hall – Student Safety Practices</p> <p>Report Number: 17-021 UNT</p> <p>Component Institution: UNT</p> <p>Department: Residence Halls</p> <p>Brief Description of Audit: Internal Audit performed an audit of the safety of students residing in University residence housing. Additionally, Internal Audit evaluated current evacuation plans and other safety measures. This audit is part of the approved audit plan for fiscal year 2017. The scope of this audit pertained to the current safety practices in place during fiscal year 2017.</p>	<p>Fire egress signage was either missing or not updated.</p> <p>Fourteen of the fifteen residence halls were either missing or did not have updated fire egress signage. This was also noted previously on the State Fire Marshal’s Report dated November 1, 2016.</p> <p>Recommendation for Director of Housing and Residence Life:</p> <p>4.1.a. Continue work to ensure fire egress signage is updated.</p>	<p>1a. Housing and residence life has secured procurement for the appropriate signage through Facilities. A production and implementation set back was experienced with Facilities delaying the installation. Director Vanacore will follow up with Facilities staff weekly until installation is completed.</p> <p>Party responsible for implementation: Gina M. Vanacore, Director of Housing and Residence Life</p> <p>Expected Implementation Date: January 31, 2018</p> <p>Revised Implementation Date: December 21, 2018</p>	<p>8 months Past Due</p> <p>Procurement and installation issues resulted in a delay. Fire egress signage has been updated in most residence halls, and completion of remaining residence halls is scheduled for the end of the fall semester.</p>

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<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: UNT-I Sponsored Students Process Review</p> <p>Report Number: 17-409 UNT</p> <p>Component Institution: UNT</p> <p>Department: UNT International (UNT-I)</p> <p>Brief Description of Audit: Internal Audit conducted a process review of the UNT International (UNT-I) sponsored students program operated by the UNT-I Sponsored Students and Special Programs Center. The UNT-I Sponsored Students and Special Programs Center provides multiple services to over 500 international sponsored students and over 10 international sponsors each semester.</p>	<p>UNT cash handling policy 10.006 Cash Handling Controls and best practices were not consistently followed in the UNT International (UNT-I) Main Office. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • Student workers were handling cash without receiving appropriate training and without necessary documentation completed; • UNT-Dallas' Main Office Cash Handling Procedure Manual was not up-to-date with current University policies; • Cash was not being logged upon receipt; and • Deposits taken to Student Accounting and University Cashiering Services (SAUCS) by employees were not concealed in transit. <p>Recommendation for Vice Provost for International Affairs and Director of Financial Services, Student Finance:</p> <p>7.1.a. Coordinate to ensure all UNT International cash handling functions are transferred to Student Accounting and University Cashiering Services.</p>	<p>1a. Management agrees. Following notification, UNT-I addressed cash handling training and documentation issues and updated the Main Office Cash Handling Procedure Manual to reflect current university policy. UNT-I implemented a check log (initial check logged on 1/3/2017) and began concealing the locked bank bag inside a generic bag when transporting deposits to SAUCS.</p> <p>UNT-I will coordinate with the Director of Financial Services, Student Finance, to explore the feasibility of transferring cash handling functions to Student Accounting and University Cashiering Services. In order to transfer this function, it will be necessary to address the ability of Sponsored Students to see complete and accurate accounts receivable reports per Observation 2. If this function can be transferred, the Sponsored Students will immediately instruct all new sponsors to direct deposits to Student Accounting and University Cashiering Services. They will work with existing sponsors to follow the same procedure with the expectation that there may be some delay in effectively communicating this. If check payment are still directed to UNT-I, staff will follow university policy on cash handling.</p> <p>Party responsible for implementation: Pia Wood, Vice Provost for International Affairs, and Jeane Olson, Director of Financial Services, Student Finance</p> <p>Expected Implementation Date: June 30, 2018</p> <p>Revised Implementation Date: May 31, 2019</p>	<p>4 months Past Due</p> <p>As of Tuesday, July 17, 2018, per Aleka Myre, Director of Sponsored Students Programs, the implementation date has been updated to May 31, 2019.</p> <p>"UNT I and Student Financial Services are coordinating the transfer of cash handling to Student Financial Services. The current strategy includes identifying and training the appropriate personnel to take on this duty. Additional time is required to separate the billing and collection functions while ensuring a high level of service to our international sponsors. Corrective actions will be partially implemented by January 31, 2019 and fully implemented by May 31."</p>

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<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: UNT College of Music Transition Audit</p> <p>Report Number: 17-412 UNT</p> <p>Component Institution: UNT</p> <p>Department: College of Music</p> <p>Brief Description of Audit: Internal Audit completed a transition audit in the College of Music. This audit was performed at the request of the new Dean, who joined the UNT College of Music in August 2016. The audit objective was to review and determine if processes, procedures and controls for expending M&O funds, receiving revenue, and awarding scholarships were in compliance with UNT policies.</p>	<p>The current process for tracking instrument repair and rental activity is ineffective.</p> <p>Internal Audit observed numerous issues related to the processing, recording, and tracking of instrument repair and rental transactions, including:</p> <ul style="list-style-type: none"> -Website registration was not available for external instrument repair customers. -Dates of payment received were not consistently documented. -The system was not able to automatically generate invoices. -Invoices are manually created. -There was no effective method of tracking accounts receivable. -There was no effective method of tracking transactions from internal customers versus external customers. <p>Musical instrument repairs and rentals are performed in the Music Repair Shop located in the Music Annex. The primary source of tracking instrument repairs consists of a paper repair tag.</p> <p>Recommendation for Dean of the College of Music:</p> <p>9.1.a. Evaluate upgrading the functionality of the Music Repair Shop website or acquiring a recordkeeping software program that is compatible with PeopleSoft.</p>	<p>1a. The College has invested in the development of a new instrument-repair-shop database. The new database addresses the majority of the concerns but requires more testing and the addition of other features that will enhance functionality.</p> <p>Party responsible for implementation: Jon Nelson, Associate Dean for Operations (until Assistant Dean for Business and Finance has been hired)</p> <p>Expected Implementation Date: January 31, 2018</p> <p>Revised Implementation Date: September 1, 2018</p>	<p>9 months Past Due</p> <p>The contract for the new software program was held up for four months, which delayed implementation of the new system.</p>

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<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: High</p> <p>Report Name: Classroom Support Services</p> <p>Report Number: 17-414 UNT</p> <p>Component Institution: UNT</p> <p>Department: Classroom Support Services</p> <p>Brief Description of Audit: The purpose of the audit was to determine if controls are in place to determine if websites containing/hosting improper content (i.e. child porn) are being visited via classroom computers when classrooms are left unoccupied; if equipment in classrooms support faculty needs; and if equipment is physically secured.</p>	<p>Unique authentication is not required to use classroom computers.</p> <p>A user is not required to log in or authenticate to use classroom computers. Just hitting a key on the keyboard or jostling the mouse will activate the computer, and the user then has unlimited access to the internet via several browsers. Even if a logon was required, a generic user id and password is available and published on the CSS website.</p> <p>Recommendation for Classroom Support Services Director:</p> <p>2.1.a. Based on conclusions determined by the Senior level committee (from Observation #1), CSS should implement the necessary security measures to comply with the direction provided by the committee.</p>	<p>1a. We agree. The information from the committee will help to establish boundaries of information security to be considered by CSS. CSS will ensure that it's security protocol is aligned with the Computer Use Policy.</p> <p>Party responsible for implementation: Dr. Allen Clark, Associate Vice President for Information Services and Transportation, UNT</p> <p>Expected Implementation Date: March 1, 2018</p> <p>Revised Implementation Date: December 31, 2018</p>	<p>8 months Past Due</p> <p>As of 3/28/18: This issue is directly tied to Observation 1, so modifications to UNT policy 14.003 need to be finalized in order for CSS to comply with necessary security measures. Implementation date will be changed to coincide with the date to committee will complete their work.</p>

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<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: High</p> <p>Report Name: Student Awareness and Training – Lab Safety Audit</p> <p>Report Number: 18-020 UNT</p> <p>Component Institution: UNT</p> <p>Department: Lab Safety</p> <p>Brief Description of Audit: Internal Audit’s objective was to perform a high-level review of the safety of students participating in instructional and research labs. This audit is part of the approved audit plan for FY18. The scope of this audit pertained to current safety practices in place during FY18.</p>	<p>There are no fire sprinkler and full-coverage fire detection systems in Oak Street Hall and Oak Street Annex.</p> <p>On August 9, 2017, the UNT System Fire Marshal performed a high-level life-safety inspection walkthrough of Oak Street Hall and Oak Street Annex. The project is titled UNT Oak Street Hall and Oak Street Annex – Review for Major Life Safety Issues. The purpose of the inspection was to address critical life-safety deficiencies in the buildings.</p> <p>Recommendation for Provost and Vice President for Academic Affairs:</p> <p>1.1. a. Collaborate with the UNT Vice President for Finance and Administration, and the Dean of the College of Visual Arts and Design to develop a plan to correct the life-safety deficiencies as related to fire sprinkler and detection systems.</p>	<p>1a. Actions have been taken to address as many of the life and safety issues as possible, including for example, moving a gas line. The College of Visual Arts and Design, in partnership with UNT Facilities and Academic Affairs is evaluating alternatives for a new facility to allow for the vacating of the existing facility.</p> <p>Party responsible for implementation: Jennifer Cowley, Provost and Vice President for Academic Affairs</p> <p>Expected Implementation Date: August 1, 2018</p> <p>Revised Implementation Date: December 31, 2018</p>	<p>3 months Past Due</p> <p>Provost Cowley recommended a revised date of 12/31/18 due to the facilities update below:</p> <p>Facilities Status Update: Requisition #0000222572 was entered on September 15, 2018 and the PO #0000215357 received final approval on September 24, 2018. The PO is currently waiting to be issued to Great Southwestern Fire and Safety to address the issues in Oak Street Hall. Facilities personnel believe that the installation will be completed within the next two months. This is dependent on the execution by the contractor.</p>

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<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: High</p> <p>Report Name: UNTD IT Inventory Controls and Data Protection</p> <p>Report Number: 18-017 UNTD</p> <p>Component Institution: UNT Dallas</p> <p>Department: IT Inventory Controls and Data Protection</p> <p>Brief Description of Audit: The UNT Dallas Chief Financial Officer (CFO) requested this project to gain an understanding of the control environment surrounding IT assets and to identify possible process improvements. The audit objective was to assess the inventory process for computing devices at UNT Dallas, from procurement to end-of-life. This includes how computing devices are procured, tracked, encrypted, installed with antivirus, and handled upon disposal or surplus to protect University data and IT assets. All workstations and laptop computers maintained at UNT Dallas, the inventory and security controls governing them, were under review.</p>	<p>The University of North Texas at Dallas lacks a Central Receiving function to count and examine received merchandise to match to the approved purchase order.</p> <p>Goods are received at the UNT Dallas loading bay, referred to as the mailroom. A Facilities Specialist signs for the goods if the number of boxes equals the delivery courier's receipt. The Facilities Specialist does not have access to the central ordering system in EIS to reconcile goods received to the purchase order. Boxes are not opened in the mailroom. If the box indicates it is from Apple or Dell, a call is placed for a resource from the Office of IT (OIT) to pick up the box. If the vendor is not Apple or Dell, the department indicated on the address label is contacted for pickup. When an invoice arrives to the Business Service Center, a Payment Analyst will inquire with the ordering department if the goods were received and with instruction on how to use Desktop Receiving to mark the goods as received in EIS.</p> <p>Recommendation for Chief Financial Officer:</p> <p>1.1.a. Create a dedicated, independent Central Receiving unit or a single Property Management resource to verify goods received match the purchase order at the time of receipt and immediately document receipt of goods in the central system.</p>	<p>1a. UNT Dallas will reorganize the current mailroom into a central receiving unit. One full-time position (Property Manager) will be dedicated to oversee the central receiving area and verify goods received match the purchase order at the time of receipt. This dedicated resource will report to the AVP Finance & Administration as to segregate the duties from Facilities.</p> <p>Party responsible for implementation: Jim Main, Executive VP for Finance and Administration & CFO</p> <p>Expected Implementation Date: September 1, 2018</p> <p>Revised Implementation Date: March 1, 2019</p>	<p>2 months Past Due</p> <p>UNTD has initiated a matching procedure/process for capital assets received against the issuing PO.</p> <p>In early 2019, UNTD will provide dedicated hours of labor to fulfill the position description criteria (property manager) recently approved by HR.</p>

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UNT Dallas-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Co-Sourced (PwC)</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: High</p> <p>Report Name: UNTD Scholarships Review</p> <p>Report Number: 17-310 UNTD</p> <p>Component Institution: UNT Dallas</p> <p>Department: Scholarships Review</p> <p>Brief Description of Audit: The University of North Texas at Dallas management proactively requested that UNT System Internal Audit (“IA”) perform a review of the University of North Texas at Dallas (“University” or “UNT Dallas”) scholarships processes, including reception and subsequent administration of funds, management of endowments, and disbursement of awards. Prior to 2015, processes related to scholarships and financial aid in the UNT System were managed centrally. However, through decentralization of these processes beginning in spring 2015, each university within the UNT System became responsible for managing the respective scholarships and financial aid programs. At the time, basic information regarding endowment balances, available funds, and award history was not available for management due to the transition of control from System to UNT Dallas.</p>	<p>Opportunities exist for strengthening internal control processes related to the management of scholarships.</p> <p>Donations are received by various departments at UNT Dallas (including UNT Dallas College of Law). If the funds are received by any department other than Financial Aid & Scholarships to be awarded to students, an authorization form is filled out and sent to the UNT Dallas’ Financial Aid & Scholarships office. While Institutional scholarship decisions are automated, and External scholarships are selected by the donor and passed through the system from the donor to the students, Donor scholarships are backed by a written gift agreement outlining the use of the funds. Note: Management was aware of concerns around Scholarship Committee and Sharing of Information and requested that the review specifically address these areas. See below for details on the observations related to the management of scholarships:</p> <p>Recommendation:</p> <p>1.1.e. Financial Aid & Scholarships should evaluate how many individuals should have access to the disbursement override function (i.e. Director and a delegate), restrict disbursement override access to appropriate personnel as necessary, and consider requiring a second level of approval for manual overrides.</p>	<p>Director of Financial Aid has been hired effective 8/28/2017. Also, funding has been allocated to hire an Accountant focused on Scholarships, Financial Aid, and gift funds. Additionally, management is in the process of creating a general scholarship committee, updating application criteria to be in alignment with respective MOUs, and developing necessary processes and procedures and policy if applicable based on the study of best practices.</p> <p>Party responsible for implementation: Stephanie Holley, VP for Student Access & Success</p> <p>Expected Implementation Date: September 1, 2018</p> <p>Pending Actual Implementation Date: January 31, 2018</p>	<p>2 months Past Due</p> <p>Documentation of manual overrides is captured in notes of individuals permitted to override and contains information about what was overridden, why it was overridden and how much was overridden. The director serves as the second level reviewer on manual overrides</p> <p>(Internal Audit is still verifying that the recommendations have been fully implemented)</p>

UNT Dallas-Detail for Follow-up Activity

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UNTS Enterprise Audit Report Inventory

Presented by Tracy Grunig

November 15-16, 2018



Summary of UNTS Enterprise Audit Inventory

	Fiscal Year 2019				Fiscal Year 2018				Fiscal Year 2017				Fiscal Year 2016			
	# 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	0	0	0	0	5	16	0	16	7	54	5	49	5	31	0	31
UNT	0	0	0	0	21	94	5	89	13	144	9	135	9	63	0	63
UNTHSC	0	0	0	0	9	62	31	31	7	72	0	72	4	47	0	47
UNTD	0	0	0	0	7	16	9	7	4	50	38 ¹	12	2	41	0	41
Total Internal Audit Activity	0	0	0	0	42	188	45	143	31	320	52	268	20	182	0	182

	Fiscal Year 2019				Fiscal Year 2018				Fiscal Year 2017				Fiscal Year 2016			
	# 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	0	0	0	0	0	0	0	0	1	1	0	1
Audits of Sponsored Research Activity	0	0	0	0	1	1	0	1	3	7	0	7	4	9	0	9
State Auditor's Office	1	9	2	7	2	6	0	6	1	5	0	5	3	7	0	7
Other External Agencies	0	0	0	0	1	1	0	1	19	314	8 ²	306	20	278	6 ³	272
Total Other Audit Agencies	1	9	2	7	4	8	0	8	23	326	8	318	28	295	6	289

¹Internal Audit is verifying whether 5 of the 38 recommendations have been fully implemented.

²Comprised of the following: 8 State Fire Marshal's Office recommendations.

³Comprised of the following: 5 State Office of Risk Management recommendations; 1 State Fire Marshal's Office recommendation.

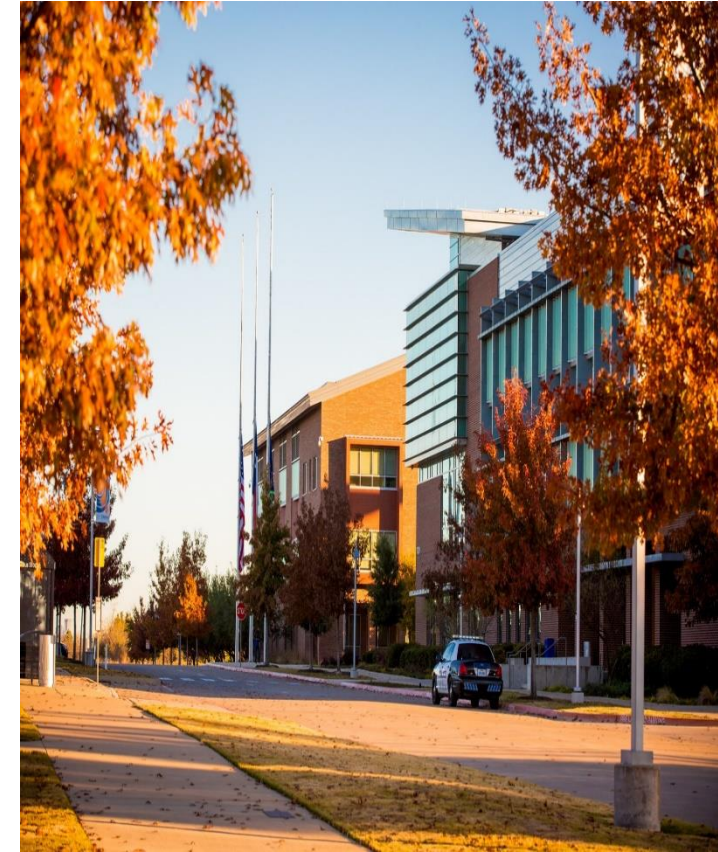
Questions?

UNT System Administration & UNT Dallas Compliance and Standards of Conduct Update



- Audit Committee
- Board of Regents Meeting
- November 15-16, 2018

Steven A. Hill, MBA., CCEP
Director of Institutional Compliance



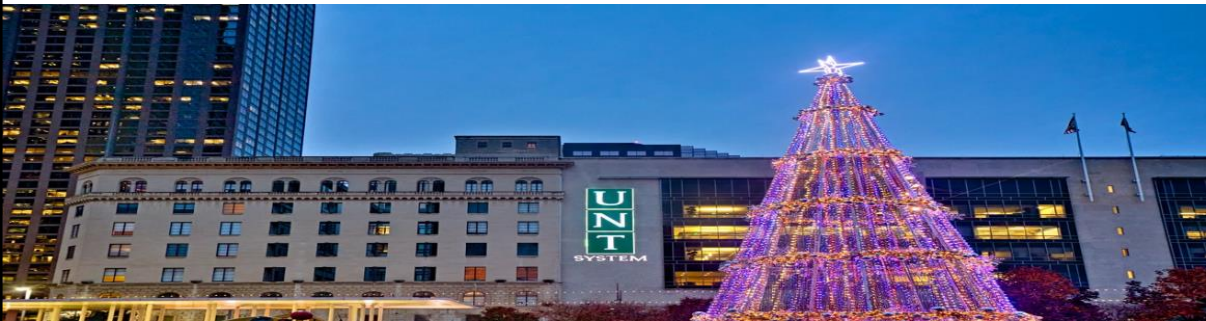
Compliance Update

- **New Hotline.** System Administration and UNT Dallas Compliance Programs' new compliance reporting hotline ("Trust Line") launched September 1, 2018. All System components now using same reporting system.
- **Electronic Information Mis-Handling:** IT Shared Services continues to monitor and address any threats and vulnerabilities associated with unauthorized data disclosures resulting from human error and successful phishing attempts.



Compliance Update

- **Required Compliance Related Training:** System and UNT Dallas continue to coordinate with HR to roll-out Compliance Awareness Training no later than the end of this calendar year.
- **Records Management and Retention:** Institutional Records Management (IRM - now under UNT's Office of Business Development) continues to provide in-person training to System Administration, UNT, and UNT Dallas Records Management Representatives (RMRs).
 - IRM continues to develop web-based training for RMRs and provide technical guidance to management on complicated situations.



Compliance Update

- **Protecting Minors Participating in UNT Dallas Activities:** UNT Dallas formed a campus-wide committee to consolidate all requests for use of campus space, including activities involving minors. One compliance goal is to ensure all individuals with access to minors have completed the applicable criminal history background check and sexual abuse and child molestation awareness training well in advance of the event.
- **Grants Management:** The Sponsored Research Committee facilitated the transition of certain responsibilities for sponsored research from UNT to UNT Dallas.
 - The Executive Director and Director for Sponsored Projects Accounting developed policies and procedures for pre and post award administration, which includes overseeing and managing all areas of sponsored research.
 - UNT Dallas began this next step of research independence on September 1, 2018.

Standards of Conduct Update

- Regents Rule 05.702 requires components of the UNT System to adopt an ethics policy that includes:
 - Federal and state ethics laws applicable to employees
 - Ethics/Standards of Conduct outlined in Regents Rule 5.700
 - A procedure for employees to report ethical violation
 - Guidance on the use of institutional resources
 - Requirement for regular ethics training of employees

Standards of Conduct Update

- System Administration Ethics (03.701) and UNTD Employee Ethics and Standards of Employee Conduct (5.007) policies address the following areas in compliance with Regents Rule 5.700:
 - **General Standards of Conduct**
 - **Conflicts of Interest**
 - **Travel**
 - **Benefits, Gifts, and Honoraria**
 - **Reporting Requirements (Benefits, Gifts, and Honoraria)**
 - **Political Activities**
 - **Use of Authority**
- Policies also include:
 - A procedure for employees to report ethical violation
 - Guidance on the use of institutional resources
 - Requirement for regular ethics training of employees

Compliance & Integrity Program (C&IP) Regulation

- Our component ethics' policies are the foundation of our System-wide Compliance and Integrity Program.
- 02.1005 of the C&IP Regulation requires that UNT System components adopt and maintain policies essential to establishing a culture of compliance, which includes but is not limited to Ethics and Standards of Conduct, Conflict of Interest, a system for reporting suspected misconduct, and a requirement for mandatory education and training.

Questions



UNTHSC Office of Institutional Compliance and Integrity

Presented By

Desiree K Ramirez, CCEP, CHC
Chief Compliance and Integrity Officer

November 15, 2018

Code of Conduct

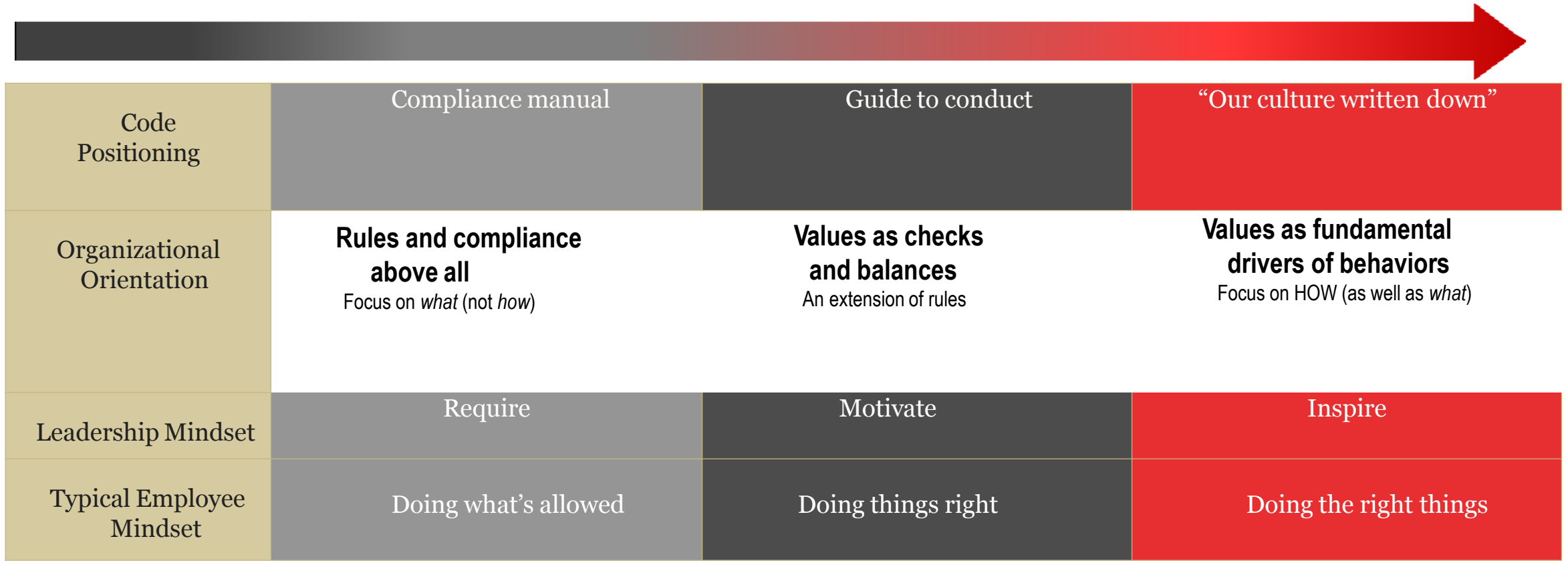
UNTHSC

Code of Conduct: Evolution from Rules to Values

Blind Obedience
Compliance 1.0

Informed
Acquiescence
Compliance 2.0

Self Governance
Compliance 3.0



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UNTHSC Code of Conduct

- 1. Organize around an overall theme/message**
- 2. Undertake a topic review**
- 3. Focus on practical, relevant guidance**
- 4. Use visuals to maximum effect**

Policy Transformation

UNTHSC

Building on momentum from our Code of Conduct initiative, UNTHSC will strategize to decrease the number of policies and clarify procedures.

Policy Transformation

Policies must

- Be distinguishable between those that protect the institution (sexual harassment, anti-discrimination, confidentiality, health and safety, etc.) and those that are operational.
- Incorporate accountability, fairness and transparency
- Assist institution in making better decisions to determine where it wants to go and what it wants to accomplish as an organization;
- Support an inclusive business strategy and much more

Policy Transformation

- Not having the right policies and procedures can restrict innovation and flexibility.
- Too many policies accompanied by burdensome procedures can become the enemy to progress and moving the institution forward.
- Policies need to be regularly evaluated to determine if they are necessary and appropriate for the institution

Conflict of Interest

UNTHSC

Research Conflict of Interest

All UNTHSC personnel, whose institutional responsibilities include the design, conduct, or reporting of research are required to complete annual Research Conflict of Interest (RCOI) training and a Research Conflict of Interest Disclosure.

Research Conflict of Interest

- Possible conflict of interest, a sub committee will review the Disclosure
- Committee will recommend that a Management Plan be developed by the Investigator in collaboration with the Research Monitor
- Plan is completed and appropriate signatures maintained

Institutional Conflict of Interest

All UNTHSC employees are required to complete Conflict of Interest training and the Institutional Conflict of Interest Disclosure Questionnaire, annually.

Institutional Conflict of Interest

- Institutional Conflicts of Interest are vetted through the Office of Compliance and Integrity
- Disclosure response tracking is a manual process
- Automated process to be implemented in January
- Looking at one solution to distribute questionnaires for both institutional and research conflict on interest.

Compliance Program Updates

UNTHSC

Policies and Procedures

Successful implementation of PolicyTech (policy management system) in July.

Next steps:

- Effective Policy Writing Guidelines and Workshop
- Reviewer Training
- Comments section for draft institutional policies
- Policy Transformation

Education and Training

- Currently all students and employees continue to meet their required education and training.
- Contracted with Bridge by Instructure and Everfi to provide our LMS and compliance education content.
Bridge also gives access to LinkedIn Learning (formerly Lynda.com)
- We will launch the LMS and training in November

Trust Line Reporting

The improved reporting line, Trust Line, was implemented in late April.

- Posters are bilingual
- Posters as well as wallet cards include a Quick Response (QR) code
- The Trust Line received 21 inquiries/case types from May 1-Sept 30
 - 17 cases closed
 - 4 pending

Compliance Work Plan Progress

- Tool that combines the COSO Internal Control Integrated Framework and the Enterprise Risk Management—Integrating with Strategy and Performance framework.
- Assist in assessing the control environment, risk, and control as well as the assessment of departmental strategies in mitigating the risk.
- Assistance with measurements of effectiveness metric from Informatics Department
 - Less subjective ways to measure effectiveness

Questions?

Thank You



UNT Compliance Fourth Quarter Update

Clay Simmons, Chief Compliance Officer

UNT Compliance Fourth Quarter Update

Compliance and Ethics Program Developments

- Institutional Compliance renamed University Compliance and Ethics
- Trust Line implemented in conjunction with UNT System, UNTHSC, and UNT Dallas
- Review of all UNT compliance activities underway

UNT Compliance Fourth Quarter Update

Significant Risk Mitigation Actions

- Protecting Minors Participating in UNT Activities
 - Strengthening procedures requiring background checks and training
- Time and Effort Reporting
 - New Assistant VP for Office of Grants and Contracts Administration
 - Improving the university's policies and training
 - Developing more effective processes and procedures in coordination with Internal Audit
- Hazardous Waste Management
 - New Environmental Program Manager
 - Drafting an improved hazardous waste management plan
 - Improving waste stream documentation



University Compliance and Ethics Program and Risk Assessment Overview

Clay Simmons, Chief Compliance Officer

Compliance in Higher Education

Higher education is very heavily regulated. Here is a small sampling of regulatory schemes with which UNT must comply:

- ✓ **Campus Operations:** environmental regulations, lab safety, Clery Act, Americans with Disabilities Act
- ✓ **Employment:** discrimination laws, variety of reporting and process requirements
- ✓ **Financial and Asset Management:** IRS rules, State of Texas laws
- ✓ **Research:** research integrity (including human and animal research), sponsored programs
- ✓ **Information Technology:** Gramm Leach Bliley Act, EU-GDPR
- ✓ **Student:** Title IV student financial aid, Title IX sexual harassment, Family Educational Rights & Privacy Act (“FERPA”)
- ✓ **Athletics:** NCAA rules

Compliance and Ethics Program - Importance

Purpose of the program:

- ✓ Demonstrate that UNT exercises due diligence to prevent and detect criminal, illegal, and/or unethical conduct
- ✓ Promote an organizational culture that encourages ethical conduct and a commitment to compliance with the law

Benefits:

- ✓ Increased safety of UNT community
- ✓ Retain credibility with key stakeholders
- ✓ Reduce penalties and liability of unforeseen non-compliance
- ✓ Model ethical behavior for UNT community including students



UNT Code of Conduct

- Current
 - UNT Ethics Policy 05.015 covers standards and principles of ethical conduct
 - Major Topics
 - Conflicts of Interest
 - Travel rules
 - Gifts
 - Political Activities
 - Use of system property
 - Conflict of Commitment
- Future
 - Ethics policy under active revision – Ethics and Standards of Conduct
 - Training for employees on Standards of Conduct
 - Development of Standards of Conduct handbook

Compliance and Ethics Program - Structure

- Individuals and units are responsible for managing compliance aspects of their daily jobs
 - ✓ Supervisors, Managers, and Employees

- Many compliance programs are already in place across the university
 - ✓ These Operational Compliance Functions oversee specialized compliance programs, provide relevant training and guidance, and provide monitoring functions
 - ✓ Risk Management Services, Office of Equal Opportunity, Dean of Students, University Police Department, Research Integrity & Compliance, Athletics Compliance, and many others...

- University Compliance and Ethics acts as the hub for compliance activities
 - ✓ Ensures compliance programs are established and functioning
 - ✓ Provides guidance and coordination
 - ✓ Escalates risk to the Executive Compliance Committee

Federal Sentencing Guidelines for Organizations

Elements of an Effective Compliance and Ethics Program

1. Standards and procedures
2. Oversight
3. Due diligence in delegating authority
4. Education and training
5. Auditing and monitoring
6. Enforcement and discipline
7. Response and prevention

Foundation - Risk Assessment

Definition of Compliance Risk

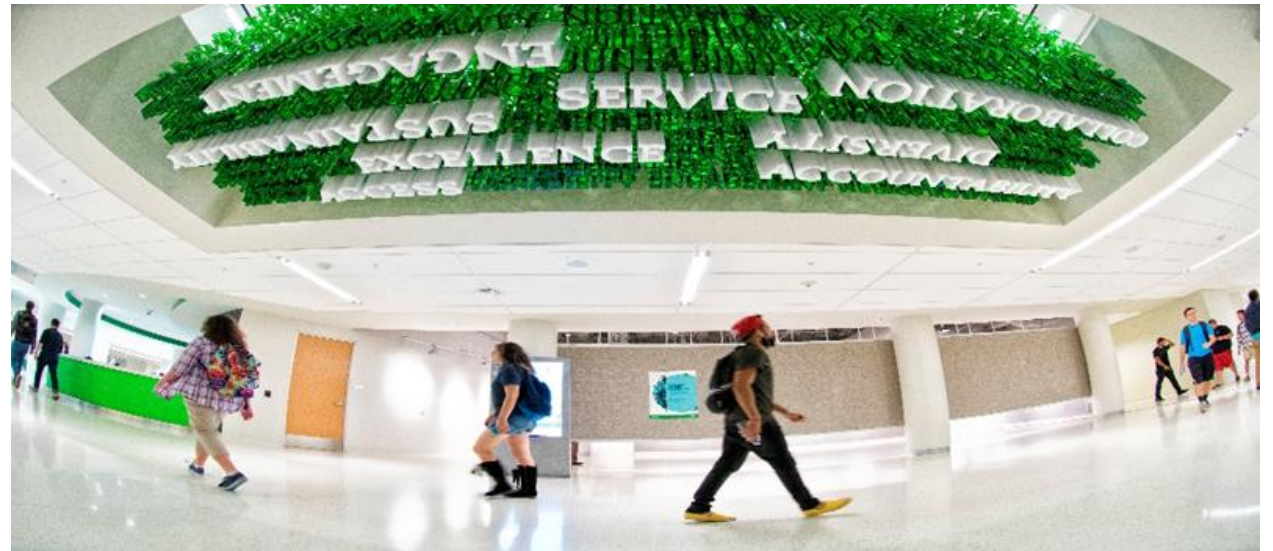
The possibility of a negative outcome resulting from a violation of or nonconformance with laws, rules, regulations, or policy.

Possible negative outcomes include:

- death or serious injury
- criminal liability for the university and/or its employees
- civil liability for the university
- business interruption or financial loss for the university
- change in law creating a new financial or administrative burden for the university
- reputational damage and/or loss of public trust for the university

4 Steps to Controlling Risks within the University

1. Identification
2. Evaluation
3. Ranking
4. Mitigation



Risk Assessment Process

Risk Identification

- ✓ Continuous process with annual comprehensive review
- ✓ Global Review
 - System partners
 - National higher education organizations/publications/news stories
 - Discussions with compliance colleagues at other institutions
 - Experience
- ✓ Personal Meetings
 - Continuous relationship-building and interactions
 - Conversations on risks present in their area of responsibility
 - Vice Presidents
 - VP Direct Reports
 - Subject Matter Experts
 - Those with significant compliance responsibilities



Risk Assessment Process

Risk Evaluation

✓ Group identified risks into broad operational areas

*Governance

*Human Resources

*Auxiliary Operations and Athletics

*Academics

*Fiscal and Asset Management

*Research

*Student Services

*Information Technology

*Campus Operations

- Allows consolidation of similar issues
- Enables identification of systemic issues



Risk Assessment Process

Risk Ranking

- ✓ Evaluate likelihood of each risk occurring and its impact on the university
 - Evaluations are made after taking into consideration any existing mitigation activities
 - Risks are evaluated in relation to each other
- ✓ Final review by Executive Compliance Committee



Risk Assessment Process

Risk Ranking

Higher	<ol style="list-style-type: none"> 1. Failure to assure compliance with conflict of interest/conflict of commitment laws and policies (Provost/Legal Affairs) 2. Failure to adhere to applicable rules, regulations & laws associated with the commencement of employment of students (Human Resources/Provost) 3. Failure to comply with laws and regulations applicable outside Texas (Legal Affairs) 4. Failure to develop and update policies to implement and maintain compliance with laws, regulations, and BOR Rules (University Policy Office) 	<ol style="list-style-type: none"> 1. Failure to protect mission-critical IT systems confidentiality, integrity and availability in areas other than ITS (ISO) 2. Failure of IT resources to comply with information security regulations in areas other than ITS (ISO) 3. Failure of IT resources to appropriately manage applications in areas other than ITS (ISO) 4. Failure to protect research data privacy/integrity in areas other than ITS (Research) 5. Failure to follow export control guidelines and regulations in areas other than sponsored research (Research) 6. Failure to comply with conflict of interest policies in non-sponsored research (Research) 7. Failure to ensure all student, faculty, and staff traveling internationally are registered (Provost) 8. Failure to appropriately supervise and protect minors on campus or involved in university programs (Student Affairs)
Perceived Likelihood	<ol style="list-style-type: none"> 1. Failure to adhere to the terms of endowment agreements (Development) 2. Failure to protect against improper supplier/contractor activity (CFO) 3. Failure to protect against improper billings and other fraudulent financial activity (CFO) 4. Failure to safeguard physical assets (CFO) 5. Failure to properly record and report time & effort (Research) 6. Failure to conduct research in accordance with approved protocols (Research) 7. Failure to monitor terms of commercialization agreements (Tech Comm) 8. Failure to adhere to applicable rules, regulations and laws pertaining to equal opportunity (OIE) 9. Failure to adhere to applicable rules, regulations and laws pertaining to sexual harassment and conduct (OIE) 10. Failure to adhere to rules, regulations & laws pertaining to accommodations for those with disabilities (OIE) 11. Failure to effectively monitor and protect against retaliation (OIE) 12. Failure to comply with immigration laws (Academic Affairs/Provost) 13. Failure to secure applicable accreditation (Academic Affairs/Provost) 14. Failure to adhere to applicable rules, regulations & laws associated with the commencement of employment of non-students (Human Resources/Provost) 	<ol style="list-style-type: none"> 1. Failure to adhere to tenure/promotion procedures (Academic Affairs/Provost) 2. Failure to maintain effective fire safety program (Campus Security & Safety(CSS)) 3. Failure to maintain effective emergency response program (CSS) 4. Failure to maintain effective environmental protection program (CSS) 5. Failure to comply with applicable food safety laws (CSS) 6. Failure to protect physical well-being of students/faculty/staff/attendants at large events(CSS) 7. Failure to adhere to effective laboratory safety program regulations and policies(CSS) 8. Failure to protect against improper use, disposal, handling, and transportation of hazardous materials and waste (CSS) 9. Failure to maintain effective campus notification system (CSS) 10. Failure to safeguard financial assets (CFO) 11. Failure to maintain effective procedural accounting controls (CFO) 12. Failure to comply with conflict of interest policies in sponsored research (Research) 13. Failure to comply with Federal contract and grant requirements (Research) 14. Failure to follow export control guidelines and regulations in sponsored research (Research) 15. Failure to control visiting and former faculty/researcher access to sensitive research (Research) 16. Failure to develop, communicate adhere to, and monitor appropriate internal and external Athletics-related procedures (Athletics) 17. Failure to monitor, adhere to and sustain a UT Athletics compliance training and education plan (Athletics)
Lower	Lower	Higher
	Perceived Impact	

Risk Mitigation Process

✓ Develop mitigation plans for high risk items

- Identify risk owner who is accountable for mitigating the risk
- Identify risk mitigation team
- Develop objectives and mitigation activities
- Develop metrics to track activity and enable accountability



Risk Mitigation Process

Oversight	Risk Topic	University Goal	Type(s) of Risks to be Prevented	Risk Owner(s)	Primary Risk Mitigation Strategy(ies)	Risk Mitigation Team
Executive Compl Committee	Employee Training	Well-trained, effective and competent staff and faculty to ensure the safety of employees and lessen exposure to violations	Operational, Compliance, Financial, Reputational	Provost, VP for Finance and Administration	Reduce	Associate Vice President for Administration, Chief Compliance Officer
Mitigation Plan						
Objectives to Achieve		Actions to Satisfy Objectives			Status Report	
1. Develop comprehensive training courses		a. Hire critical HR and compliance leadership positions b. Convene workgroup on critical training to identify and prioritize critical training needs and resources c. Develop training modules for each critical area identified by the Critical Training Workgroup, incorporating and expanding the best current practices				
Performance Metrics						
Metric			Current Measure	Goal	Comments	
1. Percentage of employees trained based upon position requirements						

Questions?





MINUTES

BOARD OF REGENTS Finance and Facilities Committee August 9-10, 2018

Thursday, August 9, 2018

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Thursday, August 9, 2018, in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following committee members in attendance: Regents Milton Lee, Carlos Munguia, Rusty Reid, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Rusty Reid, at 1:37 p.m.

The minutes of the May 17-18, 2018, Finance and Facilities Committee meeting were approved on a 4-0 vote following a motion by Regent Laura Wright seconded by Regent Milton Lee.

The Committee began by discussing the proposed FY19 UNT System Consolidated Budget.

20. UNTS Approval of the FY19 UNT System Consolidated Budget

Paige Smith, Associate Vice Chancellor, began the discussion by presenting the UNT System Consolidated Budget. The Presidents presented highlights of each of their component FY19 Operating Budgets. Finally, Vice Chancellor Gary Rahlfs presented the UNT System Administration Budget.

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

Interim Vice Chancellor for Facilities Planning and Construction, Cassandra Nash, presented the next item.

21. UNTS Approval of the UNTS FY19 Capital Improvement Plan and Amending the FY18 Capital Improvement Plan

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

The Committee received a presentation on **Consolidated Financial Ratios and Debt Measures** given by James Mauldin, Associate Vice Chancellor for Treasury.

UNT Vice Chancellor for Finance Gary Rahlfs gave an **Investment Management Update** followed by the introduction and overview of the new investment advisors, DiMeo Schneider and Associates. Matthew Rice, Jeff Barrow, and Steve Proffer, DiMeo Schneider and Associates, addressed the Committee.

UNT Vice President for Advancement, David Wolf, provided the Committee with a **UNT Advancement Update**.

Chair Reid noted that the **Quarterly Operations Report** appeared in the meeting appendix as background material.

There being no further business, the Finance and Facilities Committee meeting recessed at 4:17 p.m. until Friday, August 10, at approximately 10:10 a.m.

Friday, August 10, 2018

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Friday, August 10, 2018, in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following committee members in attendance: Regents Milton Lee, Carlos Munguia, and Laura Wright.

There being a quorum present the meeting was called to order by Regent Laura Wright, who served as Committee Chair in Regent Reid's absence, at 10:35 a.m.

Chair Wright noted that the Committee had nine action items to consider. Associate Vice Chancellor James Davis and Jack Black, Design Director with Ayers Saint Gross Architects, presented the first item of the day.

22. UNTS Adoption of the 2018 Campus Master Plan for the University of North Texas Health Science Center

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

The next two action items were presented by James Mauldin.

23. UNTS Amendment to Regents Rule 10.300, Debt Management

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

24. UNTS Twenty-Seventh Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale, and Delivery of Board of Regents of the University of North Texas System

**Revenue Financing System Bonds, in One or More Series;
and Approving and Authorizing Instruments and
Procedures Relating Thereto**

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

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

**25. UNTS Approval of Amendment to Regents Rule 04.1000,
Retirement and Deferred Compensation Plans**

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

Rama Dhuwaraha, UNT System CIO, presented the next action item.

**26. UNTS Approval to Restructure and Renew UNT System's
Existing Converged Computer Infrastructure**

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

UNT Vice President for Student Affairs, Elizabeth With, presented the next item.

27. UNT Extension of Eagle Post Operating Agreement

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

The next action item was presented by UNT Vice President for Advancement, David Wolf.

**28. UNT Honoring Naming of the Student Exhibition Gallery in the
College of Visual Arts and Design (CVAD, Room C105) as
"The Paul Voertman Gallery"**

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

Greg Anderson, UNTHSC Chief Financial Officer, presented the next action item for the Committee's consideration.

**29. UNTHSC Delegation of Authority to the University of North Texas
Health Science Center President for Approval of UNTHSC
Intergovernmental Transfers (IGT) of Funds for FY 2019
in the Texas Healthcare Transformation and Quality
Improvement Program (1115 Transformation Waiver)**

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

Bob Mong, UNTD President, presented the last action item for the Committee's consideration.

30. UNTD Naming of the Old Dallas City Hall (106 S. Harwood Street) as "UNT Dallas Law Center"

Pursuant to a motion by Regent Carlos Munguia 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 11:19 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: Aug 27, 2018

UNT Foundation

UNT System Investment Update
Board of Regents Meeting
November 2018

Mike Mlinac, UNT Foundation President and CEO
Alfred Lockwood, UNT Foundation Director of Investment Administration

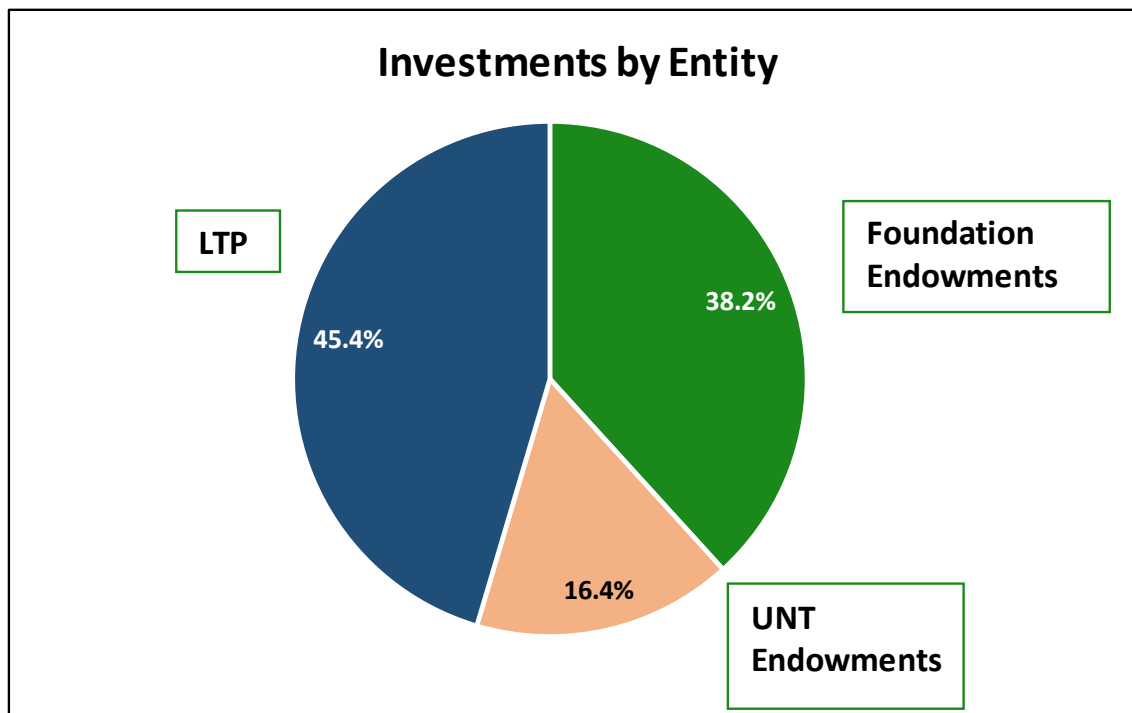
Agenda

- Transition of LTP assets to UNT System.
- Assets under management at August 31, 2018.
- Investment performance – 1, 3, 5, 10 Years.
- Recent performance drivers.
- Asset allocation.
- Recent market trends.
- New UNT-F investment consultant onboarded.

Transition of LTP Assets to UNT System

- All liquid and semi-liquid assets have been transferred to UNT System.
- Redemption requests for all illiquid assets have been submitted. Funds will be received pursuant to the terms of the manager agreements.
- Funds received from illiquid asset redemptions will be promptly transferred to UNT System upon receipt by UNT-F.
- UNT Foundation will provide UNT System and DiMeo Schneider updates on values and cash flows until all remaining assets are fully redeemed and transferred.

Assets Under Management – 8/31/2018

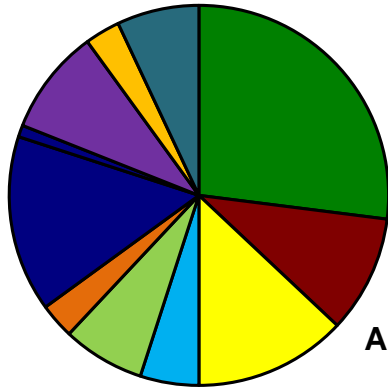


Foundation Endowments	\$133.5MM
UNT Endowments	<u>\$ 57.1MM</u>
Total Endowments	\$190.6MM
UNT Long-Term Pool (LTP)	<u>\$158.5MM</u>
Total AUM	<u><u>\$349.1MM</u></u>

UNT Foundation manages investments for its own endowments and those of UNT. Effective September 1, 2018, DiMeo Schneider assumed management of UNT System's Long-Term Pool.

LTP Policy Asset Allocation – 8/31/2018

UNT System LTP



FY18 Return 9.1%

**Equities
65%**

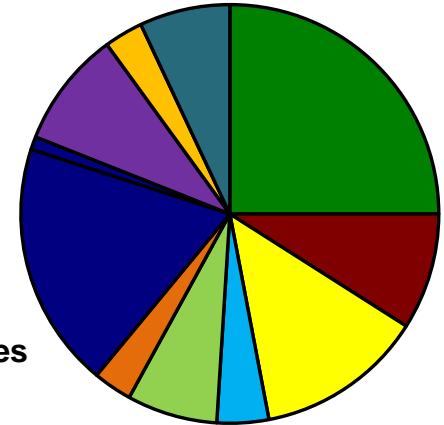
**Fixed
Income
16%**

**Alternatives
19%**

- 27% US All-Cap Stocks (GA)
- 10% US Large Quality Stocks (GA)
- 13% Int'l Large-Cap Stocks (GA)
- 5% Int'l Small-Cap Stocks (GA)
- 7% Emerging Market Stocks (GA)
- 3% Non-Traditional Equity (GA)
- 15% US Fixed Income (RRA)
- 1% Cash (RRA)
- 9% Hedge Funds (RRA)
- 3% Liquid Absolute Return (RRA)
- 7% Real Assets (IPA)
- 25%
- 9%
- 13%
- 4%
- 7%
- 3%
- 19%
- 1%
- 9%
- 3%
- 7%

Portfolio objectives: Growth (GA), Risk Reduction (RRA), Inflation Protection (IPA)

Endowments



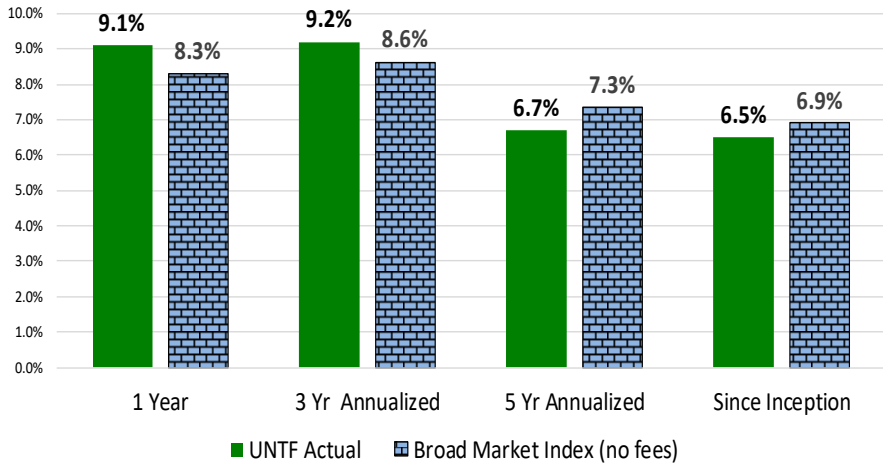
FY18 Return 9.0%

**Equities
61%**

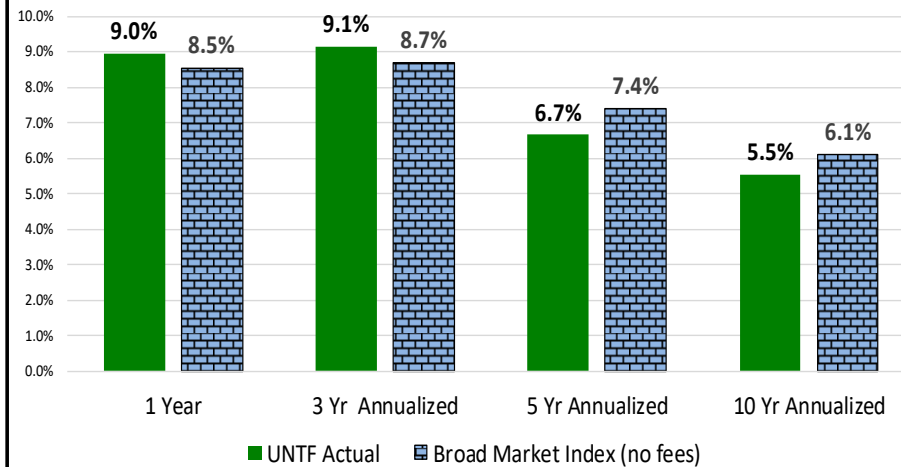
**Fixed
Income
20%**

**Alternatives
19%**

**UNT System LTP - Historical Returns
August 2018**



**Endowment Pool - UNT Foundation Historical Returns
August 2018**



Asset allocation reflects the LTP's more aggressive stance per updated policy guidelines. LTP is broadly diversified and avoids overlap with the UNT System Intermediate Investment Pool.

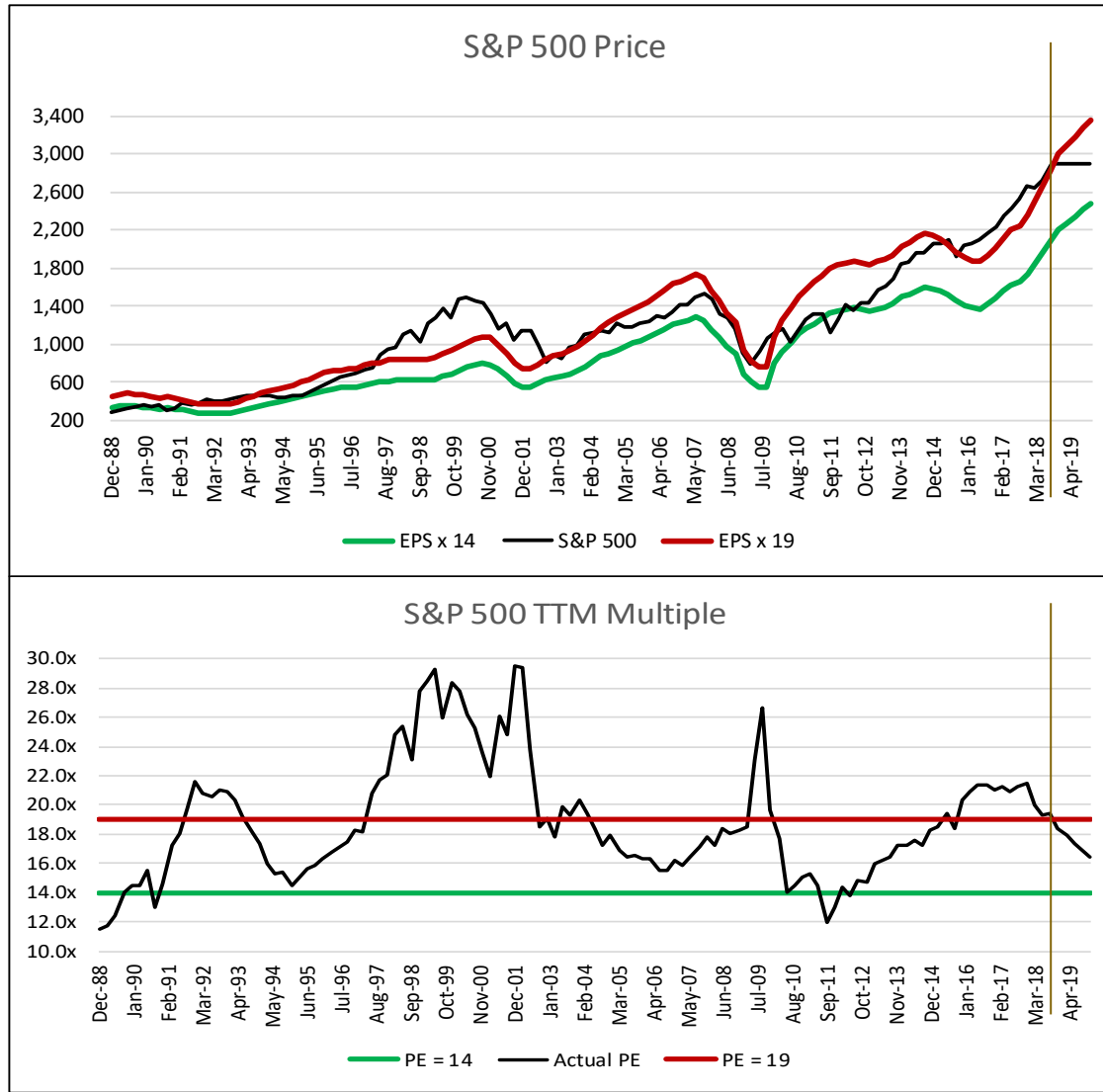
Performance Attribution

	Return	Return	Return	Return
	FY 2018 Endow	FY 2018 LTP	FY 2017	5 Yr Annual
Endowments/Long-Term Pool	9.0%	9.1%	11.1%	6.7%
UNTF Policy Index	9.2%	9.3%	10.8%	7.0%
Broad Market Index	8.5%	8.3%	10.1%	7.3%
Domestic Equity	19.8%	19.8%	15.9%	14.0%
Developed International Equity	6.3%	6.3%	16.8%	6.3%
Global Equity	12.5%	12.5%	17.1%	na
Emerging Market Equity	1.2%	1.2%	22.1%	5.0%
Fixed Income	-1.1%	0.1%	1.0%	2.2%
Hedge Funds	4.5%	4.5%	8.5%	2.9%
Energy & Commodities	4.5%	4.5%	-7.4%	-5.5%
Global Real Estate	8.0%	8.0%	2.8%	7.0%

NOTE: All returns adjusted to be net of investment manager and consultant fees.

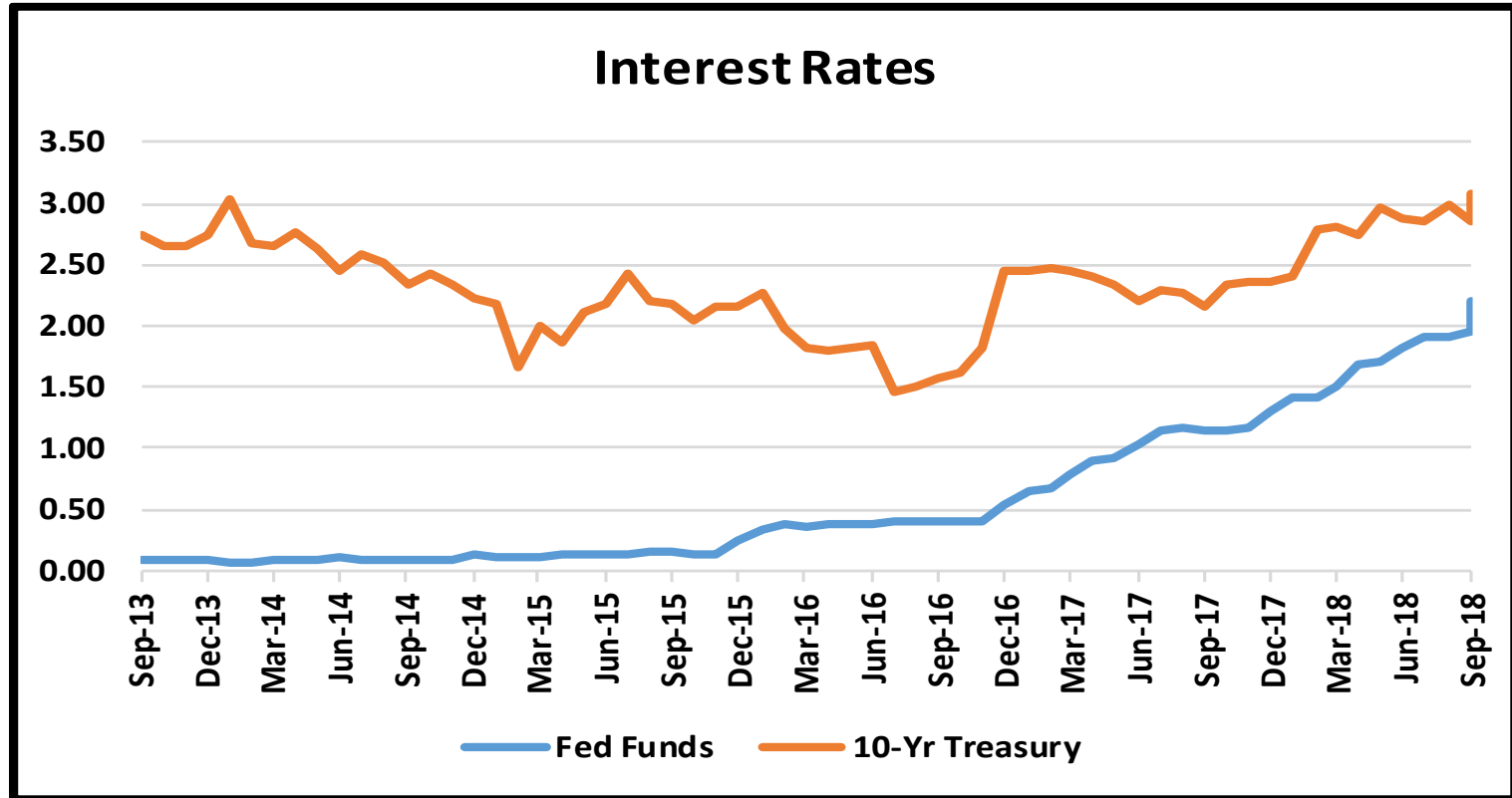
Equity markets carried the portfolio in 2018, particularly the U.S. Rising interest rates dampened fixed income returns. Commodities and international equity were held back by a strong dollar.

U.S. Earnings Growth And Valuation



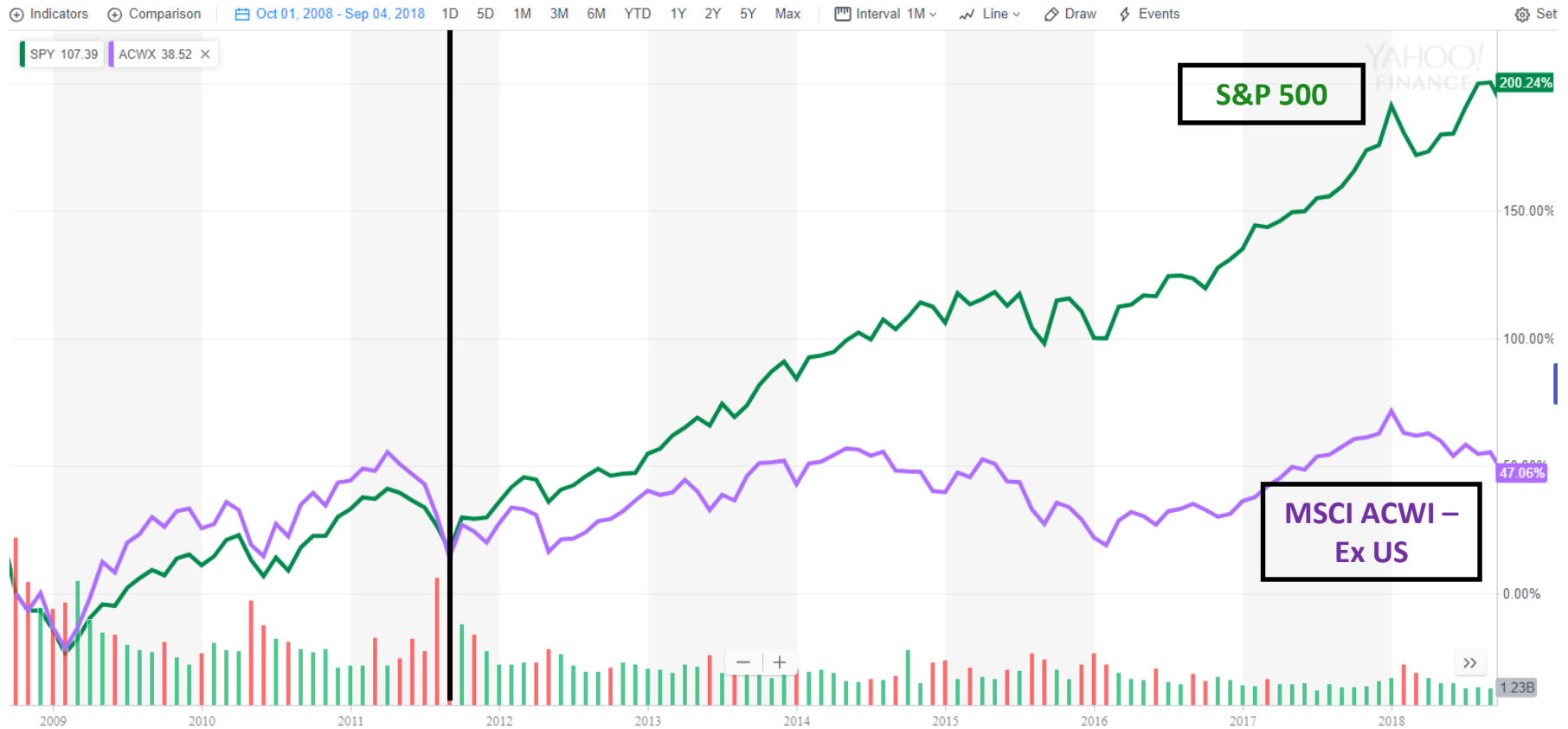
Over the past year, strong earnings growth by U.S. companies has reduced valuation multiples to within the historical ranges.

Interest Rates On The Rise



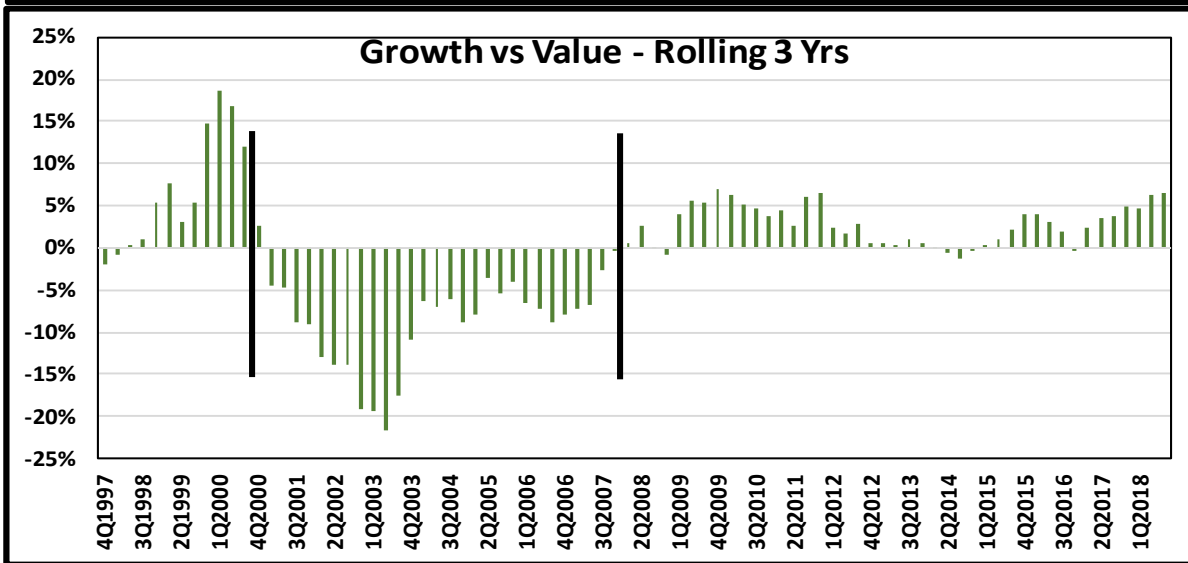
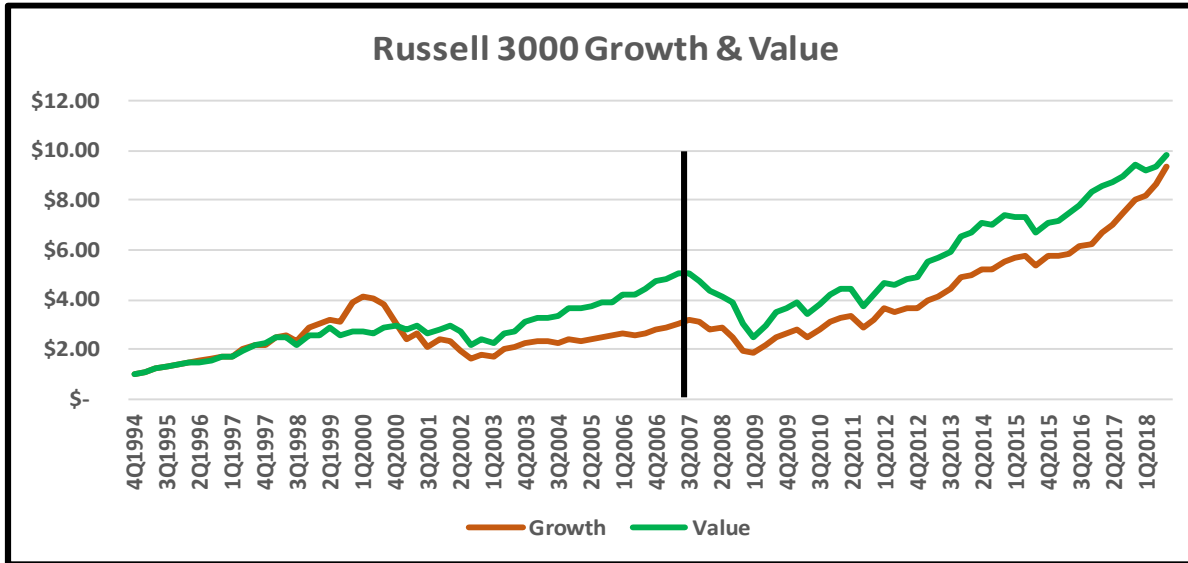
The Federal Reserve has maintained its steady normalization of interest rates given a sound U.S. economy and increasing inflation pressures. 10-Year Treasury yield is back to 2011 levels.

Domestic and Int'l Markets Have Diverged Substantially



Since mid-2011, U.S. equities have outperformed the rest of the world on strong earnings growth, a strengthening dollar and multiple expansion.

Extended Period of Growth Outperforming Value



Although historical results are comparable, equity markets tend to favor growth and value equities at different times. We have been in an extended period favoring growth since the 2008 bear market.

UNT-F Engaged a New Investment Consultant

- LCG Associates onboarded January 1, 2018 as UNT-F's new investment consultant. UNT-F is pleased with the progress taking place, and also with LCG's capabilities, professionalism and responsiveness.
- UNT-F is further embracing the "endowment model," increasing its allocation to private investments to capture "illiquidity premiums." Endowment investment pool growth and excess liquidity supports investment in alternative assets that can enhance long-term performance.
- Commitments to private investments initiated with proven management teams. Further investments will continue to be evaluated for opportunity and fit.

Summary and Questions

- 2018 was a positive year. Market has recently favored U.S. equities, but long-term global opportunities exist.
- Things to keep in mind:
 - Investments and strategies cycle in and out of favor; diversification is a beneficial long-term approach.
 - Corrections are a normal part of market cycles; current bull market is extended.
 - Future market return expectations are muted at current valuations.
- UNT-F continually reviews portfolio to enhance risk-adjusted returns.
- UNT-F - LCG relationship has had a solid launch.
- Transition of LTP is largely completed. Illiquid assets will be transferred as redemptions are received.
- Questions?

Appendix

Note: UNT System Long-Term Pool Broad Market Index prior to March 1, 2016 is 60% MSCI ACWI / 40% Barclays Aggregate. Post February 29, 2016, the Broad Market Index was 40% DJ U.S. Total Stock Market / 20% MSCI ACWI ex U.S. / 30% Barclays Aggregate / 10% CPI. Post February 28, 2016, the Broad Market Index is 35% Russell 3000 / 30% MSCI ACWI ex U.S. / 15% Barclays Aggregate / 10% Barclays Long Credit / 5% Dow Jones U.S. Select REIT / 5% S&P 500 Materials Sector

Note: Endowment Investment Pool Broad Market Index prior to March 1, 2016 is 60% MSCI ACWI / 40% Barclays Aggregate. Post February 29, 2016, the Broad Market Index is 40% DJ U.S. Total Stock Market / 20% MSCI ACWI ex U.S. / 30% Barclays Aggregate / 10% CPI.

FINANCIAL REVIEW AND MARKET OUTLOOK

UNTHSC FOUNDATION

November 15, 2018

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Banker

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Investment Specialist

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We are giving you this report at your request and for your information. It is not an official account record.

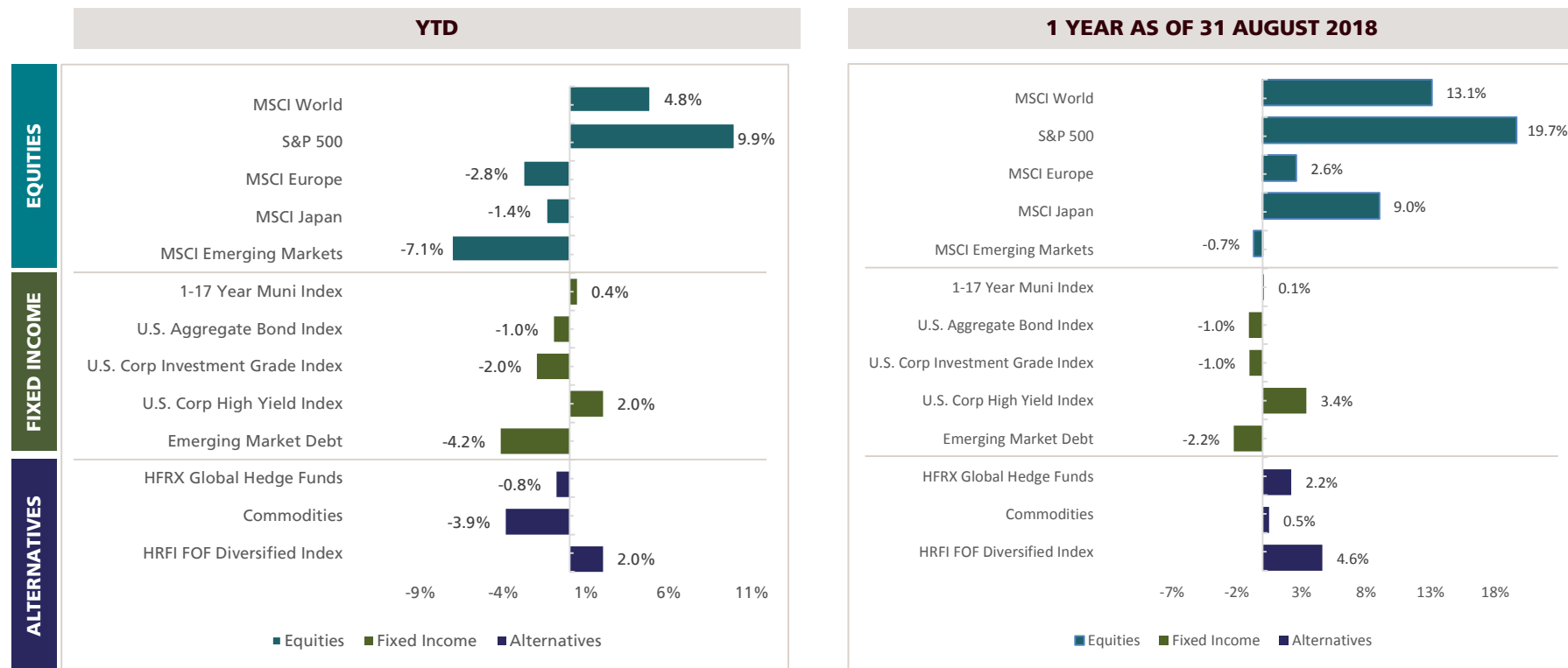
Please read the important disclosures at the end of this report. This report could cover some or all of your J.P. Morgan accounts and even some assets held elsewhere. See the "Assets Covered by This Report" section in the important disclosures at the end of the report.

If you have questions about this report or your accounts, please contact your J.P. Morgan representative.

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Recent Market Returns



Source: Bloomberg, 8/31/2018. All fixed income indices are maintained by Barclays Capital. All returns shown in USD. HFRX numbers are based on preliminary estimates.

Outlooks and past performance are not reliable indicators of future results. It is not possible to invest directly in an index.

Investing in fixed income products is subject to certain risks, including interest rate, credit, inflation, call, prepayment and reinvestment risk.

Investments in alternative investment strategies is speculative, often involves a greater degree of risk than traditional investments, including limited liquidity and limited transparency among other factors, and should only be considered by sophisticated investors with the financial capability to accept the loss of all or part of the assets devoted to such strategies.

Investments in commodities may have greater volatility than investments in traditional securities and may be affected by changes in overall market movements, commodity index volatility, changes in interest rates, or factors affecting a particular industry or commodity, such as drought, floods, weather, livestock disease, embargoes, tariffs, and international economic, political and regulatory developments.

Performance Detail for the periods ending August 31, 2018

UNTHSC FOUNDATION (HGP-FXXXX7006)*

	Market Value (\$)	Current Allocation (%)	Returns (%)					Since Inception	Inception Date
			YTD	1YR	3YR	5YR	10YR		
Total Portfolio (Gross of Fees)	55,716,442	100.0	3.4	8.8	8.3	7.1	6.2	6.8	12/31/1994
Total Portfolio (Net of Fees)	55,716,442	100.0	3.2	8.5	8.0	6.8	5.8	6.4	12/31/1994
Equity	36,147,896	64.9	5.3	14.4	12.3	10.8	7.6	8.5	12/31/1994
<i>MSCI World USD Net</i>			4.8	13.1	11.9	10.2	7.1	7.3	12/31/1994
<i>S&P 500 Total Return Index USD</i>			9.9	19.7	16.1	14.5	10.9	10.2	12/31/1994
<i>MSCI World ex US USD Net</i>			-2.3	4.5	7.2	5.5	3.5	5.3	12/31/1994
Total US Equity	24,860,733	44.6	10.2	20.7	15.3	13.8	10.4	8.9	12/31/2005
US Large Cap Equity	18,186,072	32.6	10.2	20.3	15.7	14.2	10.6	8.8	12/31/2005
US Mid Cap Equity	5,481,600	9.8	9.6	22.1	13.4	12.4	10.2	9.0	12/31/2005
US Small Cap Equity	1,193,061	2.1	12.1	23.1	15.0	12.4	-	12.4	5/31/2013
Total Non-US Equity	11,287,164	20.3	-3.1	3.6	7.1	5.9	3.3	5.6	10/31/2001
EAFE Equity	8,391,369	15.1	-1.7	4.7	8.0	6.6	4.5	4.4	12/31/2005
Japanese Large Cap Equity	955,279	1.7	-6.4	3.4	2.3	-	-	7.2	5/31/2014
Asia ex-Japan Equity	828,945	1.5	-	-	-	-	-	-6.4	2/28/2018
Emerging Market Equity	1,111,571	2.0	-5.0	3.3	-	-	-	18.8	4/30/2017
Fixed Income & Cash	19,148,220	34.4	0.5	1.0	2.8	2.7	4.0	5.3	12/31/1994
<i>BB U.S. Aggregate Index</i>			-1.0	-1.0	1.8	2.5	3.7	5.5	12/31/1994
Cash & Short Term	1,308,957	2.3	1.1	1.5	0.7	0.4	0.3	2.3	12/31/1994
US Fixed Income	17,839,263	32.0	0.3	0.8	3.0	3.0	4.8	5.7	12/31/1994

* HGP-FXXXX7006 is comprised of: BXXXX4009, FXXXX7006, VXXXX5000.

	Inception Date	Commitment Amount	Net Capital Called	% Called	Net Distributions	Estimated Market Value	Net IRR
Private Investments	7/31/2016	2,000,000	405,212.09	20 %	3,774	420,326	-
Diversified Strategies (LBO/VC)	7/31/2016	2,000,000	405,212.09	20 %	3,774	420,326	-
* Vintage 2016 Private Inv O/F	7/31/2016	1,000,000	242,830.22	24 %	3,774	246,785	-
* Vintage 2017 Private Inv LLC	6/30/2017	1,000,000	162,381.87	16 %	-	158,533	-
* Vintage 2018 Private Inv O/F	8/31/2018	1,000,000	15,008	NA	-	15,008	-

* Priced On 09/05/2018

Net IRR is after management fees, carried interest and fund expenses.

Please see the important disclosures at the end of this report. Percentages may not add to 100% due to rounding.

Past performance does not guarantee future results. Returns for periods greater than one year are annualized, and returns for periods less than one year are not annualized. Index names are italicized. You cannot invest directly in an index. The Inception Date is generally the last day of the month in which the account was opened or in which the index was established (except that, for indices established before an account's Inception Date, the Inception Date shown for the index is instead the account's Inception Date).

"Gross of Fees" returns reflect fees paid by any funds in which the selected accounts invest (i.e., fees embedded in the valuation of underlying funds) and certain transaction costs. As well as those fees, **Net of Fees** returns reflect the advisory fees paid to J.P. Morgan for the services it provides in any investment management accounts and advisory accounts, and any additional product fees for investment vehicles in these accounts, based in each case on the total market value of managed assets in the account. Net of Fees returns might not include certain miscellaneous fees or expenses in any type of account. Net of Fees returns would be lower if they reflected all fees and expenses. Please see your account statement for all fees charged to your account.

Returns shown for asset classes, investment vehicles and indices do not reflect the deduction of any fees or expenses, other than embedded fund-level fees and certain transaction costs. These returns would be lower if they reflected all fees and expenses.

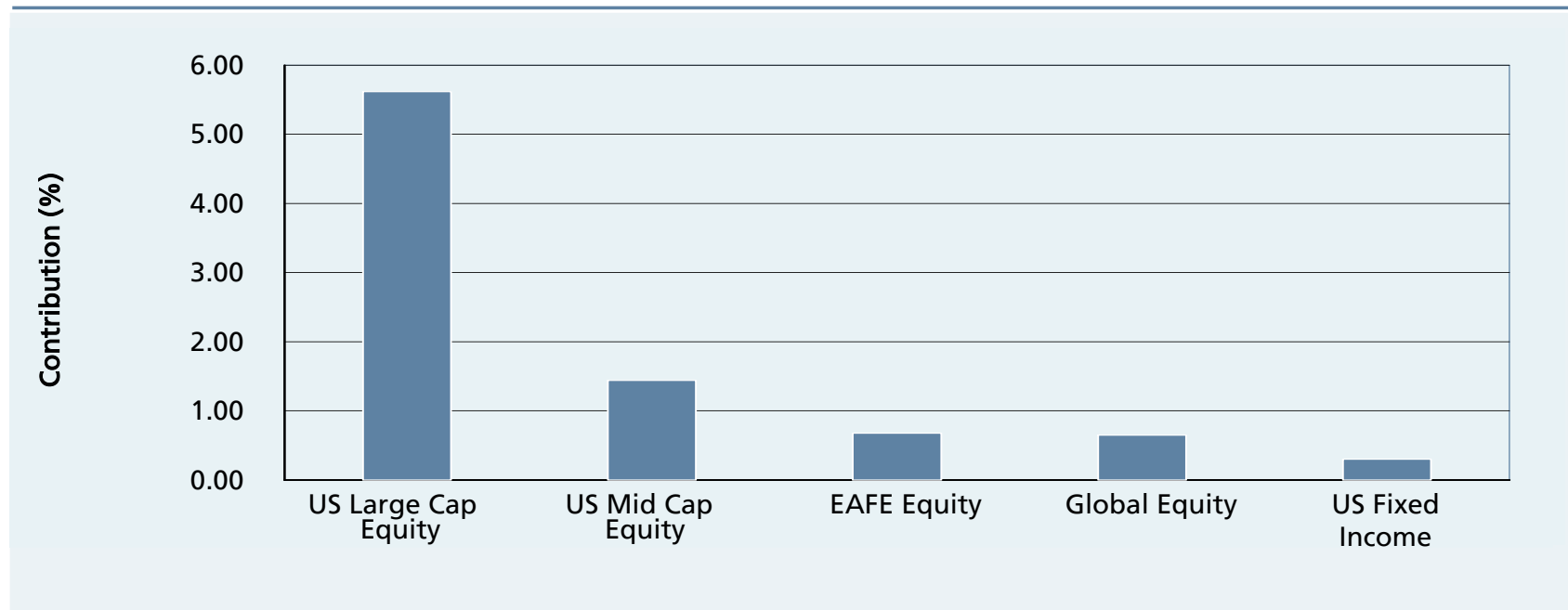
If this report includes Excluded Assets, they are included in the Total Portfolio, and this section also shows the Total Portfolio less Excluded Assets.

Contributors to Performance for the period ending August 31, 2018

UNTHSC FOUNDATION (HGP-FXXXX7006)*

Top Contributing Investments

	Contribution (%)
	Total
US Large Cap Equity	5.62
US Mid Cap Equity	1.44
EAFE Equity	0.67
Global Equity	0.65
US Fixed Income	0.30



Results shown represent 12 month(s) as of 8/31/18

* HGP-FXXXX7006 is comprised of: BXXXX4009, FXXXX7006, VXXXX5000.

Please see the important disclosures at the end of this report.

Past performance does not guarantee future results. Returns shown are gross of fees and would be lower if they reflected all fees and expenses.

To calculate the top and bottom contributing investments, we first determine the component of the overall rate of return attributable to each asset class. For each asset class, we take into account both its rate of return and asset size. The sum of all such components is the overall return. This report shows you the top five and bottom five of those asset classes.

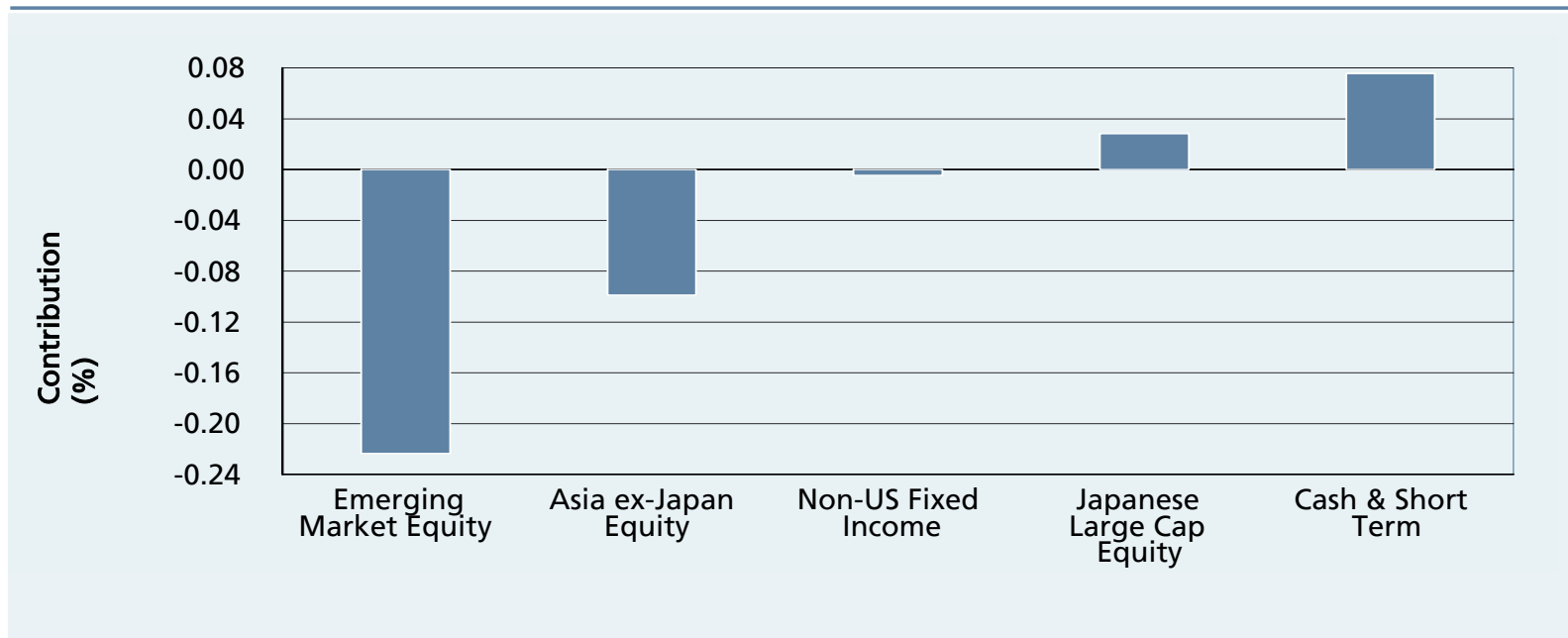
If this report includes Excluded Assets, they are included in this section.

Contributors to Performance for the period ending August 31, 2018

UNTHSC FOUNDATION (HGP-FXXXX7006)*

Bottom Contributing Investments

	Contribution (%)
	Total
Emerging Market Equity	-0.22
Asia ex-Japan Equity	-0.10
Non-US Fixed Income	0.00
Japanese Large Cap Equity	0.03
Cash & Short Term	0.08



Results shown represent 12 month(s) as of 8/31/18

* HGP-FXXXX7006 is comprised of: BXXXX4009, FXXXX7006, VXXXX5000.

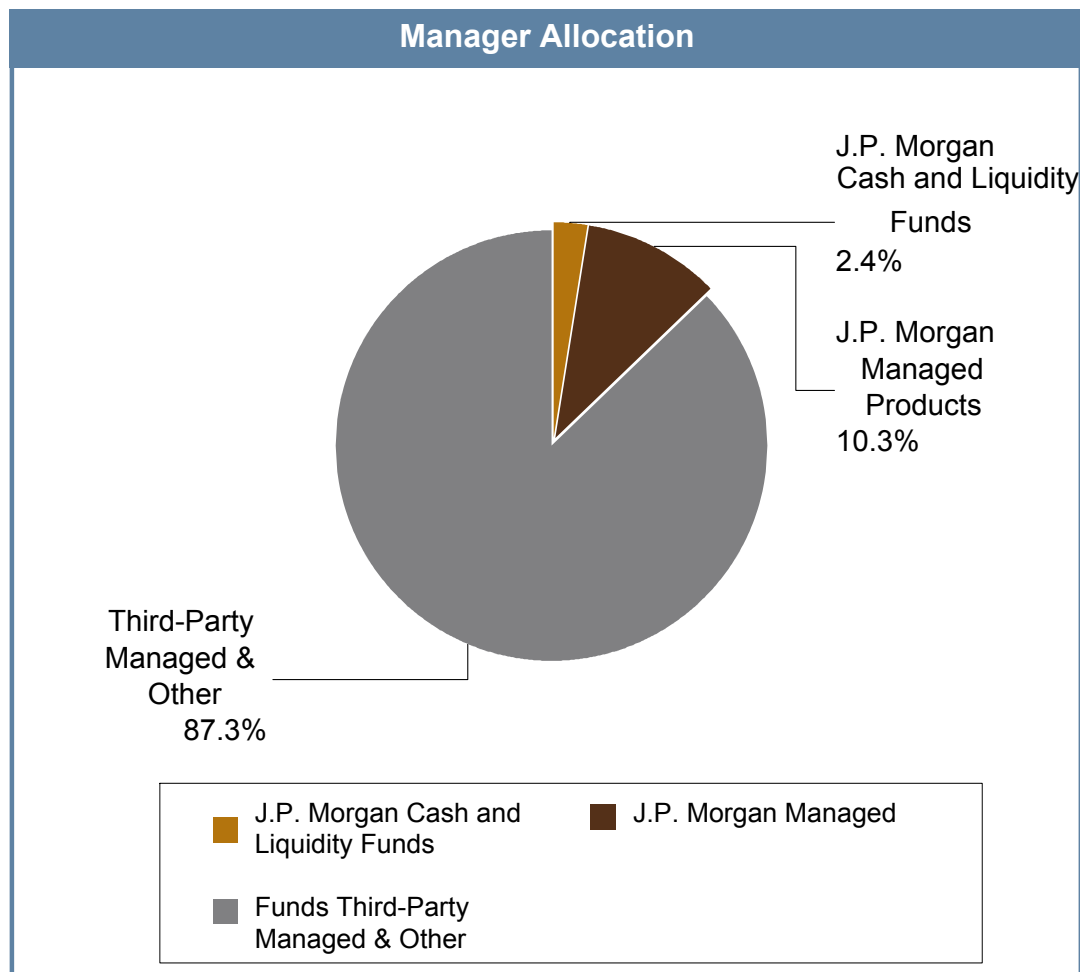
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Investment Summary for Discretionary Accounts as of August 31, 2018

UNTHSC FOUNDATION (HGP-FXXXX7006)*



J.P. Morgan Managed Products include mutual funds, exchange-traded funds, other registered funds and hedge funds managed by J.P. Morgan and structured products issued by JPMC (excludes Six Circles Funds and J.P. Morgan Cash and Liquidity Products).

Third-Party Managed & Other includes mutual funds, exchange traded funds, hedge funds, and separately managed accounts managed by parties other than J.P. Morgan; separately managed accounts managed by J.P. Morgan where a party other than J.P. Morgan is the appointed investment advisor; structured products and exchange traded notes issued by parties other than J.P. Morgan; investment conduits investing in non-J.P. Morgan managed hedge funds, where J.P. Morgan is solely administrator to the conduit; and other investments not managed or issued by J.P. Morgan.

J.P. Morgan Cash & Liquidity Funds includes cash, J.P. Morgan deposit sweeps and J.P. Morgan money market mutual funds.

*Discretionary account(s) are comprised of: FXXXX7006.

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Account Summary as of August 31, 2018

Account Number	Account Name	Product	Current Balance (\$) As of Aug 31, 2018
Investments			
HGP-FXXXX7006	UNTHSC FOUNDATION		55,716,442
VXXXX5000	UNTHSC/TCOM FOUNDATION ENDOWMENT		0
MND-FXXXX7006	UNTHSC FOUNDATION		55,295,535
FXXXX7006	UNTHSC FOUNDATION	Balanced	55,295,535
BXXXX4009	UNTHSC FOUNDATION	Standard Custody (with JPMSI)	420,907
<i>Excluded Assets</i>			
	VINTAGE 2016 PRIVATE INVESTMENTS, OFFS		246,785
	VINTAGE 2018 PRIVATE INVESTMENTS OFFS		15,008
	VINTAGE 2017 PRIVATE INVESTMENTS, OFFS		158,533
Total Investments¹			55,716,442
Total Assets¹			55,716,442

¹ If an account is in more than one group, the market value will only be accounted for once in Total Investments. Total Investments includes Excluded Assets.
² Deposit products and services are offered by JPMorgan Chase Bank, N.A. Member FDIC.

An asterisk () next to account number indicates an account/facility that is currently closed

Benchmark Indices

Indices are unmanaged. They do not reflect management fees, transaction costs or other expenses, and assume reinvestment of dividends and interest. An individual cannot invest directly in an index. Past performance of any index does not guarantee future results.

Your Benchmark is comprised of one or more indices. If index data is not available throughout a period, a return for that index and the Benchmark cannot be calculated for the period (n/a). If this report covers only accounts opened under a single Discretionary Portfolio Mandate, your Benchmark is based on the Strategic Asset Allocation in your Discretionary Portfolio Mandate. If this report covers only accounts forming part of a single Holistic Group, your Benchmark is the custom blended benchmark that you and your J.P. Morgan representative have agreed to show for informational purposes. It might not be a meaningful comparison to your Holistic Group returns. Your Holistic Group is not managed by J.P. Morgan as a collective group of accounts or with reference to your Benchmark, and we have no duty to periodically review or recommend changes to the Holistic Group's Benchmark. Please contact your J.P. Morgan representative if you would like to change the Benchmark for your Holistic Group.

Benchmark Definitions

The **Bloomberg Barclays 1-17 Year Municipal Bond Index** is an index that represents the performance of municipal bonds with maturities from 1-17 years. It is a component of the Municipal Bond Index which is a rules-based, market-value-weighted index engineered for the long-term tax-exempt bond market.

The **Bloomberg Barclays Global Aggregate 1-10y ex-Japan hedged to EUR (Total Return Gross)** provides a broad-based measure of the global investment-grade fixed income markets. The three major components of this index are the US Aggregate, the Pan-European Aggregate, and the Asian-Pacific Aggregate (excluding Japan) Indices. The index also includes Eurodollar corporate bonds, Canadian government, agency and corporate securities, and USD investment grade 144A securities. The securities included in the Barclays Capital Global Aggregate 1-10y ex-Japan hedged to EUR (Total Return Gross) have maturities between 1 and 10 years.

The **Bloomberg Barclays Taxable Indices** represent fixed income securities that are U.S. domestic, taxable, and dollar-denominated. The Barclays Capital Aggregate Index covers the U.S. investment grade bond market, with index components for government and corporate securities, mortgage pass-through securities, and asset-backed securities. These major sectors are subdivided into more specific indices that are calculated and reported on a regular basis.

The **Bloomberg Barclays Municipal Bond Indices** are broad market performance benchmarks for the tax-exempt bond market. They are also rule-based and market weighted.

The **Bloomberg Barclays US TIPS Index** includes all publicly issued, U.S. Treasury inflation protected securities that have at least one year remaining to maturity, are rated investment grade, and have \$250 million or more of outstanding face value.

The **Bloomberg Barclays 1-10 Year U.S. Treasury Inflation-Protected Securities (TIPS) Index** tracks the performance of 1-10 year inflation-protected securities issued by the U.S. Treasury.

The **Bloomberg Barclays Global Aggregate Index** provides a broad-based measure of the global investment grade fixed-rate debt markets. The Global Aggregate Index contains three major components: the U.S. Aggregate, the Pan-European Aggregate, and the Asian-Pacific Aggregate Index. In addition to securities from these three benchmarks, the Global Aggregate Index includes Global Treasury, Eurodollar, Euro-Yen, Canadian and Investment Grade 144A index-eligible securities not already in the three regional aggregate indices.

The **Bloomberg Barclays (BB) US Aggregate Bond Index** is a broad-based flagship benchmark that measures the investment grade, US dollar-denominated, fixed-rate taxable bond market. The index includes Treasuries, government-related and corporate securities, MBS (agency fixed-rate and hybrid ARM pass-throughs), ABS and CMBS (agency and nonagency).

The **BofA Merrill Lynch USD Libor 3 Month Constant Maturity Index** is an unmanaged index of 3 month constant maturity dollar-denominated deposits derived from interest rates on the most recent available dollar-denominated deposits.

The **BofA Merrill Lynch 3-month US Treasury Bill Index** is an unmanaged index which represents the performance of 3-month U.S. Treasury bills and it is based on a single issue held for a month, sold and then rolled into a new issue the next month.

The **BofA Merrill Lynch High Yield Bond Master II Index** is an unmanaged index that tracks the performance of below investment grade U.S. dollar-denominated corporate bonds publicly issued in the U.S. domestic market.

The **BofA Merrill Lynch 1-3 Year Treasury Index** is a subset of the BofA Merrill Lynch Treasury Master Index. The maturity range of these securities is from one to three years. This index is available on a monthly basis in price-only and total return versions. The value was set at 100 on 12/31/1975.

The **BofA Merrill Lynch 91 Day Treasury (Auction Rate) Index** is an unmanaged index that reflects the total return of a hypothetical Treasury Bill with a discount rate equal to the average rate established at each of the auctions during a given month. The monthly return of this index is based on the assumption that the bill is held to maturity. Therefore, it represents a risk-free total return. The performance of the index does not reflect the deduction of expenses associated with a mutual fund, such as investment management fees.

CONTINUED ON NEXT PAGE

Benchmark Indices

Benchmark Definitions (continued)

The **BofA Merrill Lynch High Yield Europe Index** is an unmanaged index that tracks the performance of below investment grade corporate bonds issued in the European Market.

The **CBOE S&P 500 BuyWrite Index (BXMSM)** is designed to represent a proposed hypothetical buy-write strategy.

The **CISDM Trading Advisor Qualified Universe Index** is a dollar weighted index that includes the performance of commodity trading advisors that have the objective of speculative trading profits.

The **Citigroup Broad Investment-Grade Bond Index (BIG)** (formerly Salomon Brothers BIG Bond Index) comprises all public, non-convertible fixed rate domestic debt of the U.S. government and its agencies, including GNMA, FNMA and FHCMC mortgage-backed bonds. Corporate bonds of industrial, utility and financial companies are also included. All bonds must have an outstanding par value of at least \$75 million and a maturity of at least one year.

The **Citigroup Corporate 1-10 Index** is an unmanaged broad-based index of corporate bonds with maturities between 1 and 10 years.

The **Citigroup Non-US World Global Bond Index** is a market capitalization weighted benchmark that measures the performance of 19 government bond markets outside the US.

The **Citigroup 1-5 Year U.S. Treasury Agency Index** is an unmanaged index comprised of U.S. Treasury Notes and Agency securities with maturities of one year or greater, but less than five years.

The **Citigroup 3 month T-Bill Index** measures monthly return equivalents of yield averages that are not marked to market. The Three-Month Treasury Bill Indexes consist of the last three three-month Treasury bill issues.

The **Citigroup World Global Bond Index Hedged USD (WGBI)** is a market-capitalization-weighted benchmark that tracks the performance of 19 government bond markets.

The **Bloomberg Commodity Index** is a commodity price index composed of futures contracts on 19 physical commodities and designed to be a highly liquid and diversified benchmark for the commodity futures market.

The **Dow Jones U.S. Utilities Sector Index** is comprised of fifteen of the largest utilities companies in the United States.

The **Dow Jones Transportation Average** is the most widely recognized gauge of the transportation sector.

The **Emerging Markets Bond Global Index** tracks the total return for the U.S. dollar-denominated emerging markets debt, included Brady bonds, Eurobonds, and loans. It does not include fees or expenses.

The **EONIA Total Return Index** is a measure of the effective interest rate prevailing in the euro interbank overnight market. It is calculated as a weighted average of the interest rates on unsecured overnight lending transactions denominated in euro, as reported by a panel of contributing banks.

The **Eureka Global Macro Fund of Funds Index** tracks the performance of Macro funds of funds globally since 2000. The index is equally weighted and monthly index values are the respective mathematical means (average) of monthly returns of all constituents in the index at that time.

The **FTSE XINHUA China 25 Index** includes the largest 25 Chinese companies comprising H Shares and Red Chip Shares, ranked by total market capitalization.

The **Goldman Sachs Commodity Index (GSCI)** provides a reliable and publicly accessible investment performance benchmark. The index's components qualify for inclusion in the index based on liquidity measures and are weighted in relation to their global production levels.

The **Goldman Sachs Natural Resource Index** is a market capitalization-weighted index of 112 stocks designed to measure the performance of companies in the natural resources sector, which includes energy, precious metals, timber, and other sub sectors.

The **Goldman Sachs Technology Composite Index** is an equity benchmark for United States-traded, technology-related stocks. The Index includes companies in categories, such as producers of computer-related devices; electronics networking and Internet services; producers of computer and Internet software; consultants for information technology, and providers of computer services.

The **HFRI Fund of Funds Conservative Index** is an equally-weighted, unmanaged index comprised of domestic and offshore hedge fund of funds. FOFs classified as 'Conservative' exhibit one or more of the following characteristics: seeks consistent returns by primarily investing in funds that generally engage in more 'conservative' strategies such as Equity Market Neutral, Fixed Income Arbitrage, and Convertible Arbitrage; exhibits a lower historical annual standard deviation than the HFRI Fund of Funds Composite Index. A fund in the HFRI FOF Conservative Index shows generally consistent performance regardless of market conditions.

The **HFRI Fund of Funds Diversified Index** is an equally-weighted, unmanaged index comprised of domestic and offshore hedge fund of funds. FOFs classified as "Diversified" exhibit one or more of the following characteristics: invests in a variety of strategies among multiple managers; historical annual return and/or a standard deviation generally similar to the HFRI Fund of Fund Composite index; demonstrates generally close performance and returns distribution correlation to the HFRI Fund of Fund Composite Index.

The **HFRI Fund of Funds Composite Index** is an equally-weighted, unmanaged index comprised of domestic and offshore hedge fund of funds.

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Benchmark Indices

Benchmark Definitions (continued)

The **HFRX Global Hedge Fund Index** is designed to be representative of the overall composition of the hedge fund universe. It is comprised of all eligible hedge fund strategies; including but not limited to convertible arbitrage, distressed securities, equity hedge, equity market neutral, event driven, macro, merger arbitrage, and relative value arbitrage. The strategies are asset weighted based on the distribution of assets in the hedge fund industry.

The **Ibbotson U.S. Treasury Bill Index** is an unmanaged index that is generally considered representative of a portfolio of Treasury bills with less than a month left to maturity.

The **iMoneyNet National Institutional Tax Free Index** consists of all national tax-free and municipal institutional funds.

The **iMoneyNet Stock Broker & General Purpose Index** consists of all national tax free and municipal retail funds.

The **J.P. Morgan Global High Yield Index** is designed to mirror the investable universe of the U.S. dollar global high yield corporate debt market, including domestic and international issues.

The **J.P. Morgan Government Bond Index - Emerging Markets (GBI-EM) Global Diversified Index** tracks the performance of local currency debt issued by emerging market governments, whose debt is accessible by most of the international investor base.

The **J.P. Morgan Government Bond Index (Global)** tracks the total returns of government issued bonds across 13 core countries weighted by market capitalization.

The **Lipper Averages** are the average level of performance for all mutual funds and exchange traded-funds, as reported by Lipper Analytical Services.

The **MSCI All Country Asia ex-Japan Index** measures Asian (ex-Japan) stock market performance and does not include fees or expenses.

The **MSCI AC Far East Index** offers exposure to companies within developed and emerging countries in the Pacific Rim area, including Japan.

The **MSCI All Country World Index** is a free float-adjusted market capitalization index that is designed to measure equity market performance in the global developed and emerging markets.

The **MSCI Brazil Index** is designed to represent Brazilian equities that are available to non-domestic investors.

The **MSCI China Free Index** is designed to represent Chinese companies that are available to non-domestic investors.

The **MSCI EAFE GDP Index** is an unmanaged index generally representative of the performance of the international stock markets.

The **MSCI Small Cap Index** targets 40% of the eligible Small Cap universe within each industry group, within each country.

The **MSCI EAFE Index (Europe, Australasia, Far East)** is a free float-adjusted market capitalization index that is designed to measure developed market equity performance, excluding the US & Canada.

The **MSCI EAFE Value Net Index** is unmanaged and is a representation (or model) of the performance of the value-oriented stocks in the world's equity markets, excluding the U.S. and Canada. Total return figures assume the reinvestment of dividends.

The **MSCI EM (Emerging Markets) Latin America Index** is a free float-adjusted market capitalization index that is designed to measure equity market performance in Latin America.

The **MSCI Emerging Markets Equity Index** measures emerging stock market performance and does not include fees or expenses.

The **MSCI Europe Net Index** is unmanaged and is a replica (model) of the performance of the European equity markets. Total return figures assume the reinvestment of dividends.

The **MSCI Far East Index** is a Morgan Stanley international index that includes stocks traded in Far East market, weighted by capitalization.

The **MSCI Germany Index** represents publicly traded securities in the German market.

The **MSCI World Growth Index** captures large and mid cap securities exhibiting overall growth style characteristics across 23 Developed Markets (DM) countries.

The **MSCI India Index** is designed to represent Indian equities that are available to non-domestic investors.

The **MSCI Japan Net Index** is unmanaged and is a replica (model) of the performance of the Japanese equity market. Total return figures assume the reinvestment of dividends.

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Benchmark Indices

Benchmark Definitions (continued)

The **MSCI Pacific ex Japan Index** is a free float-adjusted market capitalization index that is designed to measure equity market performance in the Pacific region excluding Japan.

The **MSCI US REIT Index** broadly and fairly represents the equity REIT opportunity set with proper investability screens to ensure that the index is investable and replicable.

The **MSCI World Healthcare Index** is a measure of the performance of the world health care market.

The **MSCI World Index** is a free float-adjusted market capitalization index that is designed to measure global developed market equity performance.

The **MSCI World Index Local Currency (Total Return Net)** is a free float-adjusted market capitalization weighted index that is designed to measure the equity market performance of developed markets, without the associated sensitivity to currency movements accounting for the price movement of each security in its denomination (local) currency which effectively leaves aside the effect of foreign exchange.

The **NAREIT Equity Index** is an unmanaged index of publicly traded U.S., tax-qualified REITs that have 75% or more of their gross invested book assets invested in the equity ownership of real estate.

The **NCREIF Property Index** is a very large pool of individual commercial real estate properties acquired in the private market for investment purposes only.

The **Nasdaq Composite Index** is a broad market index that encompasses about 4,000 issues traded on the Nasdaq National Market--virtually every firm that trades on the exchange.

The **NOMURA CEE Index** broadly covers the main market stocks of 11 Central and East European countries.

The **Russell 1000 Growth Index** measures large cap growth stock performance. The index does not include fees or expenses.

The **Russell 1000 Index** is used as a representation of the performance of securities in the large capitalization equity securities universe.

The **Russell 1000 Value Index** measures the performance of large cap value stocks.

The **Russell 2000 Growth Index** consists of those securities in the Russell 2000 index with a greater-than-average growth orientation. Companies in this index generally have higher price-to-book and price/earnings ratios. The index is unmanaged.

The **Russell 2000 Index** measures small company stock market performance. The index does not include fees or expenses.

The **Russell 2000 Value Index** consists of those securities in the Russell 2000 Index with a lower-than-average growth orientation. Companies in this index generally have lower price-to-book and price/earnings ratios. The index is unmanaged.

The **Russell 2000 Growth Index** consists of those securities in the Russell 2000 index with a greater-than-average growth orientation. Companies in this index generally have higher price-to-book and price/earnings ratios. The index is unmanaged.

The **Russell 2500 Index** measures the performance of the 2,500 smallest companies in the Russell 3000 Index.

The **Russell 2500 Value Index** measures the performance of those Russell 2500 companies with lower price-to-book ratios and lower forecasted growth values.

The **Russell 3000 Growth Index** measures the performance of those Russell 3000 Index companies with higher price-to-book ratios and higher forecasted growth values.

The **Russell 3000 Index** is used as a representation of the performance of U.S. Equity securities across all market capitalizations.

The **Russell 3000 Value Index** measures the performance of those Russell 3000 Index companies with lower price-to-book ratios and lower forecasted growth values.

The **Russell Microcap Index** measures the performance of the microcap segment of the U.S. equity market, which consists of the smallest 1,000 securities in the small-cap Russell 2000 Index, plus the next 1,000 smallest eligible securities by market cap.

The **Russell MidCap Growth Index** measures mid cap stock performance. The index does not include fees or expenses.

The **Russell MidCap Index** measures mid cap stocks.

The **Russell MidCap Value Index** is an unmanaged index and is used as a representation of the performance of funds in the mid cap value securities universe.

The **S&P 100 Index** measures large cap company performance.

The **S&P 1000 Index** is a combination of the already widely followed S&P MidCap 400 and S&P SmallCap 600 indices, where the S&P MidCap 400 represents approximately 70% of the index and the S&P SmallCap 600 represents 30%.

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Benchmark Indices

Benchmark Definitions (continued)

The **S&P MidCap 400 Index** consists of 400 domestic stocks chosen for market size, liquidity and industry group representation.

The **S&P 500 Index** is an unmanaged broad-based index that is used as representation of the U.S. stock market. It includes 500 widely held common stocks. Total return figures reflect the reinvestment of dividends. "S&P500" is a trademark of Standard and Poor's Corporation.

The **S&P 500/BARRA Growth Index** is an unmanaged market-weighted index of companies with higher price-to-book ratios. It includes 500 widely held common stocks.

The **S&P 500/BARRA Value Index** contains large U.S. companies with low price-to-book ratios relative to the S&P 500.

The **S&P Small Cap 600 Index** includes 600 stocks of U.S. small companies chosen for market size, liquidity, and industry group representation.

The **S&P Small Cap 600/BARRA Growth Funds Index** is a capitalization-weighted index of all the stocks in the S&P Small Cap 600 Index that have high price-to-book ratios.

The **S&P Small Cap 600/BARRA Value Funds Index** is an unmanaged index that tracks the performance of value stocks, as determined by low price-to-book ratios included in the S&P SmallCap 600 Index.

The **S&P Europe 350 Index** combines the benefits of representation with investability for the Europe region, spanning 17 exchanges.

The **S&P Global Sector Indices** represent the opportunity set of investable equities around the globe based on Global Industry Classification Standard's (GICS) 10 Sectors. These indices are designed to offer increased diversification as well as opportunities to benefit from global exposure and currency movements.

The **S&P MidCap 400/BARRA Growth Index** is a market capitalization-weighted index of the stocks in the S&P 400 Mid Cap Index having the lowest book to price ratios.

The **S&P MidCap 400/BARRA Value Index** is a market capitalization-weighted index of the stocks in the S&P 400 Mid Cap Index having the highest book to price ratios. The Strategic Policy Benchmark is comprised of one or more indices, based upon the investment mandate for the portfolio, and its components may change over time if the investment mandate changes. The benchmark will not be available (n/a) for any period prior to the mandate inception.

The **Tokyo Stock Exchange (TOPIX) Index** consists of over 1,500 of the most prestigious Japanese companies which are listed on the Tokyo Stock Exchange.

The **US Cash Indices LIBOR Total Return 1 Month Index** is generated using the theory that a basket of cash is invested daily at the prevailing Libor maturity rate. Interest is compounded daily for the Total Return series.

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Definitions

Statistical Definitions

Annual Percentage Yield (APY) is the rate earned if balances remain on deposit for a full year with compounding, there is no change in the interest rate, and all interest is left in the account.

CD is an abbreviated term denoting Certificate of Deposit.

Internal Rate of Return (IRR): This is the discount rate that equates the cost of an investment with the cash generated by the investment. IRR tracks the performance of actual dollars invested over time. The primary driver of the IRR is the amount and timing of cash inflows and outflows. Cash flow effects make comparisons to benchmarks inappropriate. Gross IRR does not reflect management fees, carried interest and fund expenses. Net IRR is after management fees, carried interest and fund expenses.

IRA is an abbreviated term denoting Individual Retirement Account.

Large-Capitalization (Large-Cap) Stocks are the stocks of companies with a market capitalization (the total value of a company's outstanding stock) of more than \$10 billion.

Lending Value is the percentage of the market value that can be applied to an asset to cover the collateral requirements of an exposure. Lending Values are based on purpose and non purpose exposure asset liquidity, market volatility, security type, credit history, and other risk factors.

Loans/Lines could include any of the following: revolving credit loans, term loans, lines of credit.

Medium-Capitalization (Mid-Cap) Stocks are the stocks of companies with a market capitalization (the total value of a company's outstanding stock) between \$2.4 billion and \$10.2 billion. This is Lipper's market-capitalization breakpoint as of September 30, 2001, although it may be subject to change based on market fluctuations.

Private Asset Line of Credit (PALOC) is a demand line of credit secured by a client's unpledged investment accounts.

Small-Capitalization (Small-Cap) Stocks are the stocks of companies with a market capitalization (the total value of a company's outstanding stock) of less than \$2.4 billion. This is Lipper's market-capitalization breakpoint as of September 30, 2001, although it may be subject to change based on market fluctuations.

Time-Weighted Return (TWR): The return produced over time by an investment independent of contributions or withdrawals. TWR measures the compounded rate of growth over a specified time period. TWR performance minimizes the impact of cash flows and, as a result, is widely accepted as the appropriate method of comparison for investment managers and market index returns. Time-weighted returns are calculated using Modified BAI methodology.

Risk Measure Definitions

Alpha: A measure of the portfolio's excess return relative to the return of the benchmark.

Annualized Volatility: Otherwise known as standard deviation. A measure of return dispersion. The larger the number, the more volatile the returns. A representative sample of observations is needed to estimate this dispersion.

Beta: A measure of portfolio volatility in comparison to the benchmark. A beta of less than one indicates the portfolio is theoretically less volatile than the benchmark. A beta of greater than one indicates the portfolio is theoretically more volatile than the benchmark.

Best Month: Highest monthly percentage return.

Correlation: A measure of directional co-movement between the portfolio and the benchmark. The range of possible correlations is between -1 and +1. A result of -1 means a perfect negative correlation and +1 means a perfect positive correlation.

Down Market Capture: For the months in which the Benchmark had negative returns, the Portfolio's gross returns divided by the Benchmark's returns. A Down Market Capture of less than [1.00] shows that, when the market went down, the Portfolio lost less than the Benchmark (except that the Down Market Capture is a negative number if the Portfolio had positive returns while the Benchmark had negative returns). A Down Market Capture of more than [1.00] shows that, when the market went down, the Portfolio lost more than the Benchmark.

Information Ratio: A measure of value added by the manager. It is the ratio of excess return to tracking error

Maximum Drawdown: Largest cumulative percentage loss experienced by the portfolio in consecutive months with negative return.

Sharpe Ratio: A measure of risk-adjusted performance, using the ML 3-Month T-bill for the risk-free rate.

Tracking Error: A measure of how closely the portfolio's returns track the returns of a benchmark. It is the standard deviation of excess returns over a benchmark.

Up Market Capture: For the months in which the Benchmark had positive returns, the Portfolio's gross returns divided by the Benchmark's returns. An Up Market Capture of more than [1.00] shows that, when the market went up, the Portfolio performed better than the Benchmark. An Up Market Capture of less than [1.00] shows that, when the market went up, the Portfolio performed worse than the Benchmark.

Worst Month: Lowest monthly percentage return.

% of Positive Months: A measure of the number of times the portfolio had a positive return compared with the total number of returns to date.

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Definitions

Structured Investment Definitions

Annual Review Note (ARN) is automatically called and pays a fixed coupon after one year if the underlying has appreciated above its initial value. If markets are down at the review date, the note does not pay a fixed coupon, but instead remains outstanding until the subsequent review/maturity date.

Buffer: Protection against downside risk.

Buffered Return Enhanced Note (BREN) provides a defined amount of downside protection and an opportunity to earn double or triple the equity return potential up to a predetermined maximum return, in exchange for accepting a capped return and foregoing downside protection below the buffer zone.

Callable Contingent Note (CCN) gets called prior to maturity and receives its principal plus a return if the underlying trades above a specified level on observation day. The note also has a contingent buffer and chance at a small coupon if the underlying does not get called early and if the underlying trades between the coupon level and the buffer level. The buffer is monitored daily close-of-business.

Cap/Pmt: Ceiling set on return, combined with leverage to derive the max

Contingent Buffered Equity Note (CBEN) provides the opportunity to earn the better of the underlying performance up to a cap or a fixed coupon as long as the underlying does not decrease below the barrier level.

Credit Linked Note (CLN) offers a coupon payment that is linked to the performance of a reference asset and provides credit exposure by selling CDS.

Curve Steepener or Flattener, based on the relationship between two reference rates, offers a coupon payment that can be fixed or floating and is typically contingent on the reference rates being below or above a certain level. Typically, the reference rates are related to the interest rate yield curve.

Delta One (DO) offers one-for-one participation in the performance of the underlying and provides an additional coupon amount.

Dual Currency Note (DCN), after depositing a currency with a quoted strike and coupon, offers initial principal amount and coupon payment in either the deposited currency or the counter currency.

Dual Directional BREN (DD BREN) provides leveraged upside returns and the absolute value of downside returns up to a predetermined maximum, in exchange for accepting a capped upside return and foregoing downside protection below the buffer zone.

In **First to Default Basket** trades, investors earn (or pay) income to sell (or buy) protection on a basket of credit default swaps (CDS), with the trade terminating upon the **first** credit event or after a fixed term (typically five years) if there are no credit events. These trades are leveraged.

Floating-Rate Note (FRN) offers a variable coupon that resets periodically against the underlying. Some FRNs have special features such as maximum or minimum coupons, called Capped FRNs and Floored FRNs respectively. Those with both minimum and maximum coupons are called collared FRNs. Some FRNs have variable coupons that reset periodically against the inverse of a benchmark rate; these are called inverse floating rate notes.

Leverage: Magnification ratio of potential earnings.

Market Plus Note (MPLUS) provides the opportunity to earn the better of the underlying performance or a fixed coupon as long as the underlying does not decrease below the barrier level.

Max Return: Maximum return that can be earned on the security.

Max Note is a structure in which the interest rate is equal to the greater of several reference rates.

Principal-Protected Note (PPN) has a certain level of principal protection (typically 100% or 98%) and receives one-for-one participation on the upside up to a cap; can also be structured as uncapped with a lower amount of participation.

Range Accrual offers a coupon payment that is dependent on the reference rate falling within a particular range.

Return Enhanced Note (REN) offers double or triple the equity return potential up to a predetermined maximum return in exchange for accepting a capped return and no downside protection.

Reverse Convertible offers a coupon payment that is typically higher than the yield on a conventional debt instrument due to the risk that the investor could receive less than full return of his principal at maturity. If the price of the underlying is lower than the strike price, investors receive a predetermined number of shares of the linked asset or equivalent proceeds paid in cash at maturity in place of the principal amount to which they subscribed.

Review Note offers a fixed coupon payment and is automatically called if the underlying has appreciated above its initial value at the pre-determined review date. If the underlying does not appreciate above the strike level by the review date, the note does not pay a fixed coupon and remains outstanding until the next review date. These notes typically offer a defined amount of downside protection in exchange for accepting a capped return in the form of a fixed coupon payment. Depending on the frequency of review dates until maturity, these notes typically include Annual Review Notes, Semi-Annual Review Notes, Quarterly Review Notes, and Monthly Review Notes.

Rising Rate Note offers a coupon payment that is dependent on the increase in the underlying. These notes typically employ a leverage factor and may have a minimum and/or maximum coupon.

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Definitions

Structured Investment Definitions (continued)

Semi-annual Review Note (SARN) is automatically called and pays a fixed coupon after six months if the underlying has hit the strike level. If markets are down at the review date, the note does not pay a fixed coupon, but instead remains outstanding until the subsequent review/maturity date; there is a buffer at maturity.

Step-Up Note offers a coupon payment for an initial pre-determined time period and a second higher coupon payment after the initial time period. These notes typically contain callable features.

Fixed Income Definitions

Complementary Fixed Income investments are used to complement an allocation to Core Fixed Income through opportunistic ideas that aim to enhance and diversify the sources of return as well as to capitalize on short-term market dislocations.

The **Core Portfolio** refers to a client's long-term strategic fixed income allocation focusing on high quality diversified fixed income investments.

Escrowed to Maturity (ETM): Municipal bonds generally without a call feature and with sufficient funding held in an escrow account to pay debt-service requirements such as principal and interest up to the maturity date. The funds held in an escrow account are typically invested in U.S. Treasury and Agency securities.

Prerefunded: Municipal bonds generally with a call feature and with sufficient funding held in an escrow account to pay debt-service requirement such as principal, interest, and the call premium up to the call date. The funds held in an escrow account are typically invested in U.S. Treasury and Agency securities.

Short Term Ratings are given to debt instruments which have an original maturity of 12 months or under and reflect the issuers' future ability to repay principal and pay interest on a timely basis. In some instances where accounts hold both long term and short term securities, we [the Private Bank] correlate the numerical rankings of short term ratings to long term ratings to provide our clients a uniform view of their credit quality exposure of all long term and short term securities held in their accounts.

CREDIT CONSIDERATIONS

The credit quality of a particular security or group of securities does not ensure the stability or safety of the overall portfolio and does not guarantee that the issuer will not default. The quality ratings of individual issues/issuers are provided to indicate the credit worthiness of such issues/issuer and generally range from Aaa, AAA or AAA (highest) to C, D or D, (lowest) for Moody's Investors Service (Moody's), Standard & Poor's Ratings Corp (S&P), Fitch Ratings (Fitch), respectively. In the case of split-rated securities, the highest rating among Moody's, S&P and Fitch will be used. Securities not rated by Moody's, S&P or Fitch are not included in the portfolio average credit quality. Credit ratings are based on a bond's rating at time of purchase. Investment grade rated securities are considered equal to or higher than the ratings designations Baa3, BBB-, BBB-, from Moody's, S&P and Fitch, respectively.

Additional Definitions

Downside Protection: Provides cushion against loss that would result from a decline in a security or market.

LBO: Leveraged Buyout

VC: Venture Capital

Vintage Year: The year in which a private investment fund makes its first investment.

Discretionary Portfolio Mandate (MND): The JPMorgan Discretionary Portfolio Mandate document that, among other things, describes the philosophy and investment principles that govern the investment management of your assets.

Holistic Group (HGP): Consolidated view of a client's wealth in accounts held by J.P. Morgan, including investment management accounts, advisory accounts and accounts managed by the client. This report does not include assets held in a Self-Directed Investing Account. If a brokerage account was transitioned from a Full-Service Account to a Self-Directed Investing Account, assets will be reflected only for the period prior to the transaction date.

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Important Information

Calculation Methodology in this Report

From time to time, we make enhancements to the systems that generate this performance report. Updates that went into effect on December 8, 2017 may result in changes to performance data and other presentations in this report.

Assets Covered by this Report

This report includes some or all of your:

- investment management accounts, managed by JPMorgan Chase Bank, N.A., in accordance with the Discretionary Portfolio Mandate
- advisory accounts, advised by JP Morgan Chase Bank, N.A., in accordance with the Portfolio Schedule, and in which you choose the investment vehicles
- custody accounts held at JPMorgan Chase Bank, N.A., and in which you make all decisions on which securities and other assets to buy and sell, subject to any applicable appropriateness standards and documentation or other requirements
- brokerage accounts that are Full-Service Accounts at J.P. Morgan Securities LLC and its brokerage affiliates, and in which you make all decisions on which securities and other assets to buy and sell, subject to any applicable suitability standards and documentation or other requirements.

It may also include:

- Excluded Assets, being assets you hold at J.P. Morgan that are included in certain sections of this report, as disclosed in the report
- External Accounts, being accounts you hold outside J.P. Morgan that you have asked us to include for limited purposes, as disclosed in the report. Please direct any questions about accounts held outside J.P. Morgan to the financial institution at which you hold those accounts.

The "J.P. Morgan Investment Profile" and "Account Summary" sections show which accounts are included. If you would like a report adding other accounts or otherwise changing the accounts shown, please contact your J.P. Morgan representative.

This report does not include any Self-Directed Investing Accounts. If a brokerage account was transitioned from a Full-Service Account to a Self-Directed Investing Account, assets will be reflected only for the period prior to the transition date.

Purpose of This Report

We are giving you this report at your request and for your information. It is confidential and for your personal use. It is not an official record of your account holdings, balances or transactions. Your J.P. Morgan monthly account statement is the official record of your J.P. Morgan account activities and, if applicable, credit facilities and credit payment history.

Nothing in this document is an offer to buy or sell securities, a solicitation of any offer to buy or sell securities, a recommendation or advice (financial, accounting, legal, tax or otherwise). It is not a research report.

Do not rely on the information in this report to make investment decisions. Other factors not shown in this report could be relevant to your investment decisions. An investment shown in this report may or may not still be a suitable investment for you.

Nothing in this report creates a duty of care owed to you or an advisory relationship with you.

Information Might Not Be Accurate

We believe the information in this report is reliable, or comes from sources that we believe to be reliable. But it might not be accurate or complete, and we are not liable for any loss or damage (whether direct or indirect) arising from your use of this information.

We are not obligated to update you if information in this report is corrected or changes for any other reason.

Any views, opinions or estimates expressed in this report constitute our judgment based on current market conditions and are subject to change without notice. Any forward looking statements are not guarantees or predictions of future events. Any projected results are based on assumptions and actual results could differ.

Performance results

Past performance does not guarantee future results. You could get back less than you invest. Performance reflects time-weighted rates of return.

Asset classes

We have categorized investment vehicles into asset classes in this report. While investment vehicles might focus on, e.g., particular market segments (such as large cap companies) or regions, they might hold a proportion of their assets in other securities or investments not consistent with that focus. Therefore, please treat asset class allocations shown in this report as approximate. Please read any documents provided to you about the investment vehicle or ask your JPMorgan representative if you would like more information on the types of assets the investment vehicle could hold.

Definitions

Accrued Income: income which has been earned but not yet received

Cash value: the value of your US Dollar cash and Money Market sweep position(s) except any short term positions you hold, as of the date of this report, of all accounts covered by this report

Cost: the total cost of all of a particular type of security in your portfolio

EAFE: Europe, Australasia and Far East

Est. Annual Income: the current coupon rate or an estimated annual dividend multiplied by the quantity of the security held

Mkt Value: the total market value of securities as of the date of this report (Price x Quantity)

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Important Information

MV%: the percentage of your portfolio that the securities represent
Portfolio value: the value, as of the date of this report, of all accounts covered by this report
Price: Market price per security, as of the date of this report
Total Liability: the total credit and outstanding balances across traditional credit product
Unrealized G/L(\$): the difference between the Mkt Value and the Cost
Unrealized G/L (%): the Unrealized G/L (\$) as a percentage of Cost

Tax

J.P. Morgan and its affiliates and employees do not provide tax, legal or accounting advice. Please consult your own tax, legal and accounting advisors before engaging in any financial transactions.

Valuation

General

We may value an asset using one of our own pricing models or an external pricing service. Its resulting value could be based on, among other things, estimates and assumptions about relevant future market conditions, which are subject to change without notice. Values based on other models or different estimates or assumptions could be materially different. Values might not represent the actual terms at which transactions or securities could be bought or sold, at which new transactions could be entered into, or at which existing transactions could be liquidated, assigned or unwound.

Values shown in this report may differ from those in other documents, such as statements and performance reports, because of, e.g., updated pricing, late posted trades and income accruals. An asset's value could reflect a price estimate on a day different from the specified date.

We do not validate data for external accounts. If you have questions about your external accounts, please ask your external service provider. Please notify us promptly if you believe any information you have given us is inaccurately reflected in this report.

Exchange-traded funds

For exchange-traded funds, the market value includes the value of any non-marketable securities, which are valued monthly using a fair value methodology approved by the fund manager's board. The market price also reflects the line of credit used to finance the non-marketable securities and the swap contracts used to mitigate the interest rate risk between the floating rate on the line of credit and the fixed rate of the non-marketable securities. The fund can draw down on the line of credit to pay expenses and management fees at startup or if dividend income from the underlying securities cannot pay the fund's expenses.

Private investments and Real Estate

Direct private investments and pooled private investments (e.g., interests in limited partnerships and limited liability companies) are generally illiquid securities. Values are estimates and might not be accurate.

Direct private investments are generally valued at cost, unless there is an active secondary trading market in the securities, in which case direct private investments are valued using market prices as of the close of the business day as of which the value is shown in this report.

Pooled private investments are valued according to the General Partner's or Manager's stated methodology. Pooled private investments are generally valued at cost unless a significant investment event requires a revaluation. The valuation methodologies generally include an appraisal of the underlying assets at the lower of cost or a written-down amount, at a value at which third party financing has occurred, at a market price if an active secondary market develops, or at a value calculated by an independent party. Please see the operative documents for each investment for its specific valuation methodology.

For Pooled Private Investments and Real Estate, the "Estimated Market Value" is an estimate based on the latest value received from the underlying fund, which value may be as of a date before the date shown in this report. The value provided by the fund has been adjusted for any cash flows between your account and the fund since the fund value date to determine the Estimated Market Value. Therefore, the Estimated Market Value might not reflect the value of your interest shown on the fund's books and records as of the date of this report.

Hedge funds

Hedge funds generally calculate the price (shown in this report as the "Market Value") 10-15 business days after the last business day of the month. Therefore hedge fund Market Values shown may be the value of the month before the month for which the Market Value is shown. The Market Value is generally stated net of management and incentive fees, and calculated according to the General Partner's or Manager's stated methodology. Please see the operative documents for each hedge fund for its specific valuation methodology. Effective December 31, 2010, hedge fund prices are retroactively updated for prior months once final pricing is determined. Before December 31, 2010, the hedge fund performance was priced on a one-month lag without retroactive updates.

Hedge funds generally allow monthly or quarterly subscriptions. Your interest in a hedge fund or hedge fund of funds is generally as of the first business day of the subscription period. If the fund has early funding requirements, your account could be debited for the subscription amount before the subscription date. Please see the applicable hedge fund's operative documents for more details.

Alternative Investments

Alternative assets could include publicly available mutual funds using non-traditional investment management strategies, for example, strategies commonly used by hedge funds. Mutual funds generally calculate their price daily. Mutual fund values shown in this report are generally the value as of the close of the applicable business day, unless stated otherwise. Please see the mutual fund prospectus for more details. If the mutual fund is a JPM Fund, please see the disclosures in this report on JPMorgan Funds for other important information.

CONTINUED ON NEXT PAGE

Important Information

Conflicts of Interest

Conflicts of interest will arise whenever JPMorgan Chase Bank, N.A. or any of its affiliates (together, "J.P. Morgan" in this "Conflicts of Interest" section) have an actual or perceived economic or other incentive in its management of its clients' portfolios to act in a way that benefits J.P. Morgan. Conflicts will result, for example: (1) when J.P. Morgan invests in an investment product, such as a mutual fund, structured product, separately managed account or hedge fund issued or managed by JPMorgan Chase Bank, N.A. or an affiliate, such as J.P. Morgan Investment Management Inc.; (2) when J.P. Morgan obtains services, including trade execution and trade clearing, from an affiliate; (3) when J.P. Morgan receives payment as a result of purchasing an investment product for a client's account; or (4) when J.P. Morgan receives payment for providing services (including shareholder servicing, recordkeeping or custody) with respect to investment products purchased for a client's portfolio. Other conflicts will result because of relationships that J.P. Morgan has with other clients or when J.P. Morgan acts for its own account.

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As a general matter, we prefer J.P. Morgan managed strategies. We expect the proportion of J.P. Morgan managed strategies will be high (in fact, up to 100%) in strategies such as, for example, cash and high-quality fixed income, subject to applicable law and any account-specific considerations.

While internally managed strategies generally align well with J.P. Morgan's forward looking views, and J.P. Morgan is familiar with the investment processes as well as the risk and compliance philosophy of the firm, it is important to note that J.P. Morgan receives more overall fees when internally managed strategies are included. J.P. Morgan offers the option of choosing to exclude J.P. Morgan managed strategies (other than cash and liquidity products) in certain portfolios.

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UNT Frisco: Capital Planning & Programming Update

Bob Brown

UNT Senior Vice President for Finance and Administration

November 15, 2018

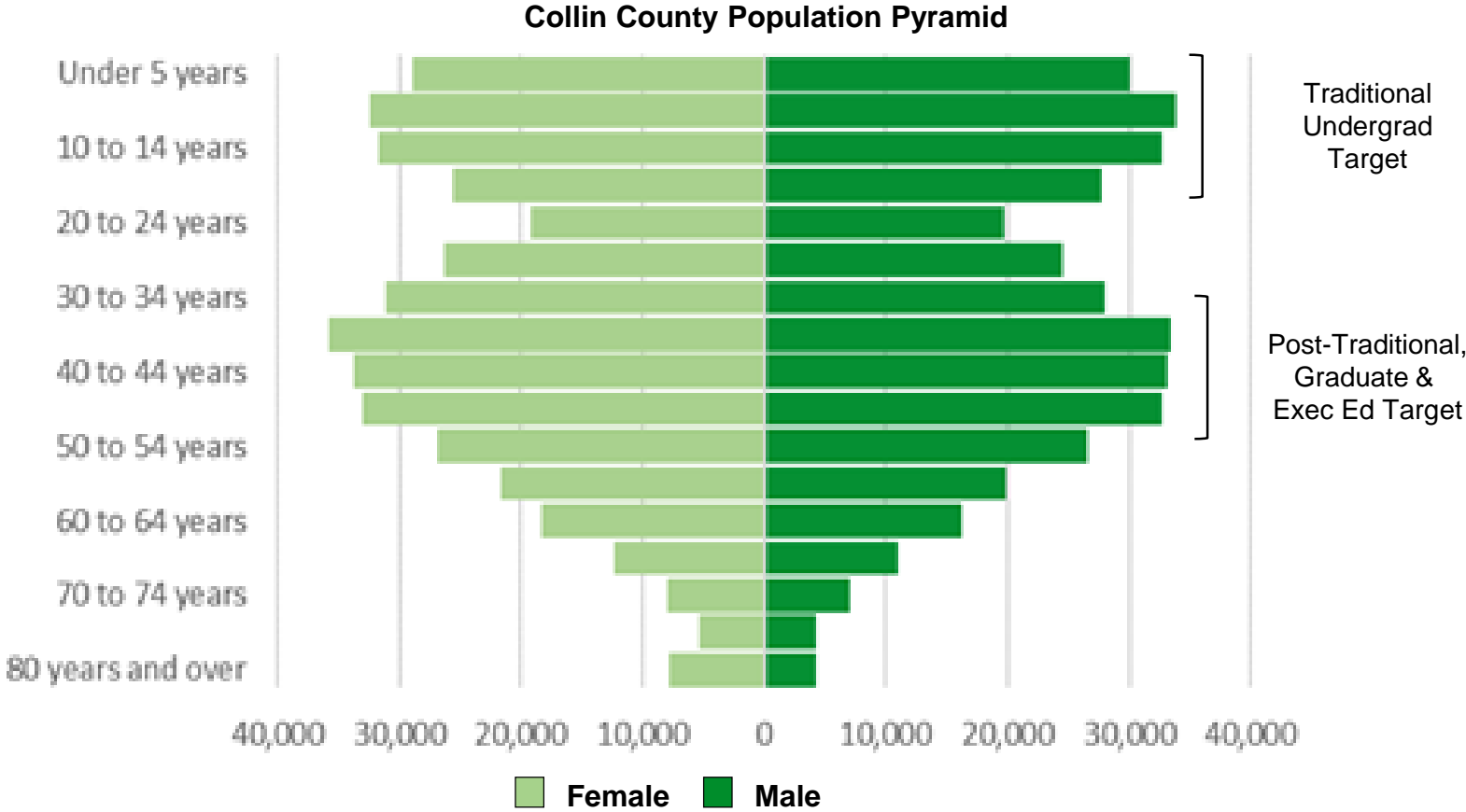
Board of Regents Approval - May 2018

- Approved strategic partnership between UNT and Frisco
- Gifted 100 acres by Frisco Entities for initial campus
- Secured option for 50 additional acres
- Agreed to acquire nearby Frisco Tech Incubator building



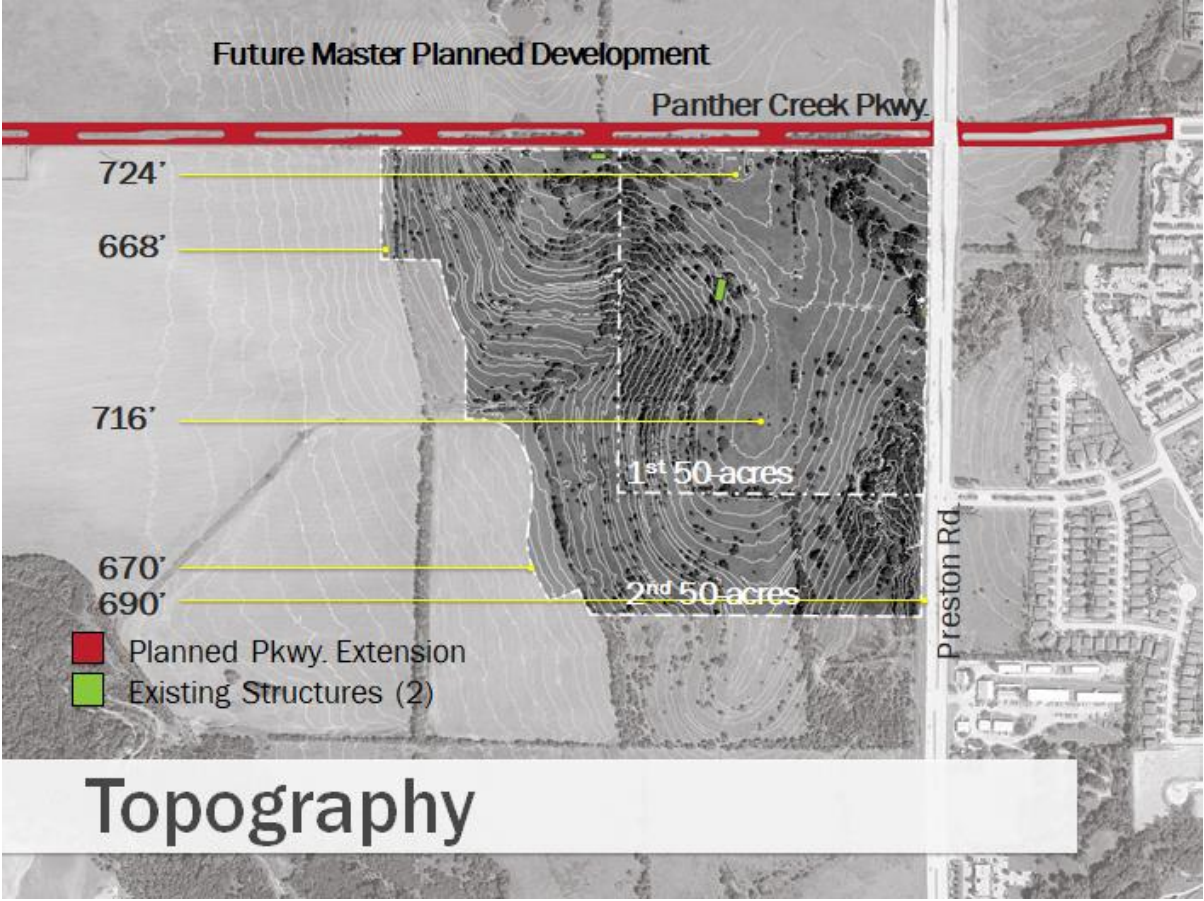
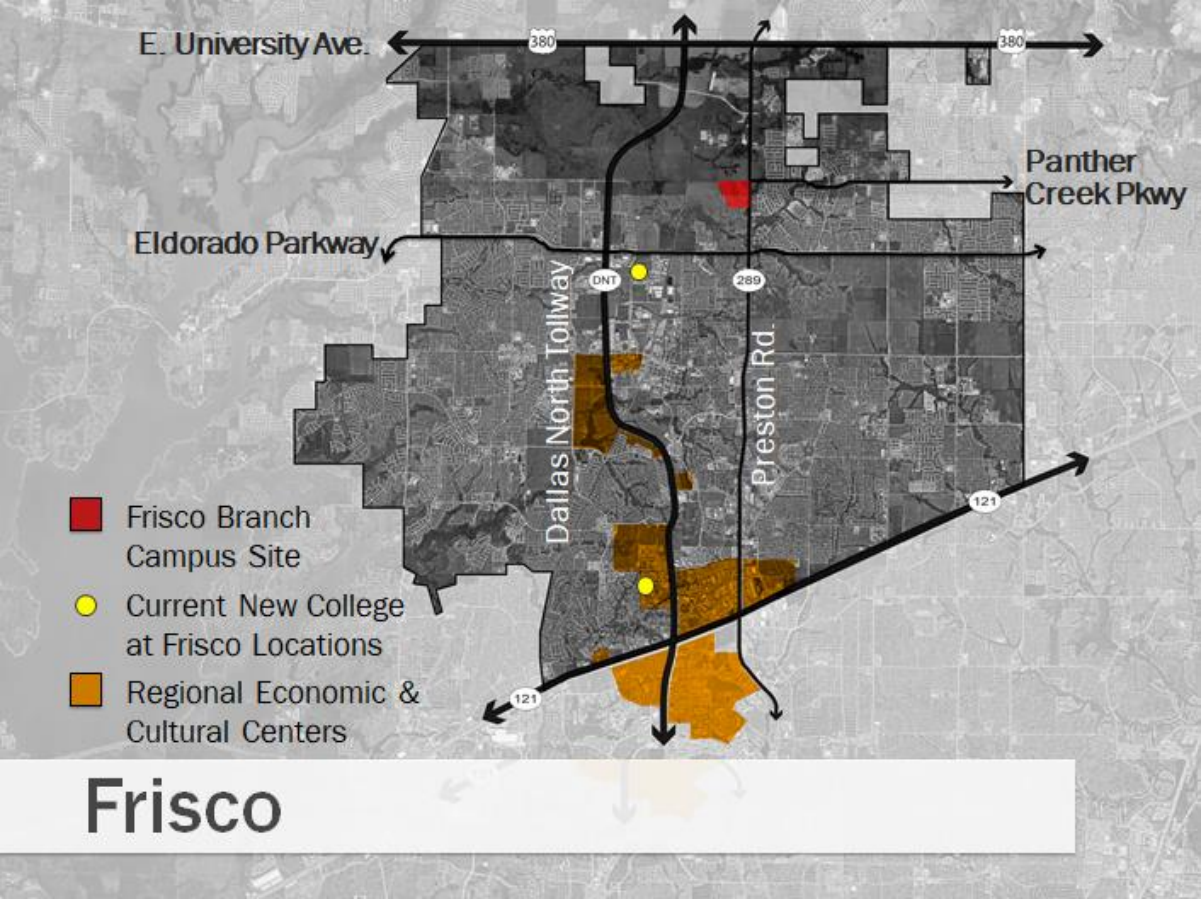
Strong Population Trends

- Dual cohort bulges for Collin County vs. more flat cohort patterns in Denton, Dallas and Tarrant counties.
- These are prime targets for both undergraduate education and graduate education + professional development



Source: 2010 Census data, validated against 2016 projections, analyzed by Dr. Lisa Weston (CLSCM & PDI)

Great Location



- Phase 1 Environmental Assessment revealed no significant issues

Business Community

- Great opportunity to source future talent pipeline
- Eager to see existing employees at UNT to complete degrees
- High interest in professional development

North Texas Area Partners



Frisco Area Partners



Timeline and Major Milestones



- ★ May 2018: Deal Finalized
- ★ Jun 2018: A/E Selection RFQ
- ★ Jul 2018: Begin Master Planning Effort
- ★ Sep 2018: A/E Selection Complete
- ★ Jun 2019: Master Plan Complete
- ★ Aug 2019: Master Plan @ Board of Regents
- ★ Jan 2020: Design Begins
- ★ March 2021: Design Complete, Construction Begins
- ★ Oct 2022: Construction Substantially Complete
- ★ Jan 2023: Final Construction Complete
- ★ Aug 2023: Fall Classes Live

Timeline and Major Milestones: Potential



- ★ May 2018: Deal Finalized
- ★ Jun 2018: A/E Selection RFQ
- ★ Jul 2018: Begin Master Planning Effort
- ★ Sep 2018: A/E Selection Complete
- ★ Jun 2019 Master Plan Complete
- ★ Aug 2019 Master Plan @ Board of Regents
- ★ Aug 2019: Design Begins
- ★ Nov 2020: Design Complete, Construction Begins
- ★ Jun 2022: Construction Substantially Complete
- ★ Sep 2022: Final Construction Complete
- ★ Jan 2023: Spring Classes Live
- ★ Aug 2023: Fall Classes Live

Architectural & Engineering Firm Selection

Ayers Saint Gross

PHILOSOPHY

“We engage people and places to create designs that enrich the world.”

FOCUS



All of our work is for mission-driven clients.

FOUNDED

1912

STAFF

170

85%
Higher Education

10%
Cultural Institutions

5%
K-12 and Private Sector

Select Campus Planning Experience

- University of Arizona
- Arizona State University
- Boise State University
- California State University, Channel Islands
- Carnegie Mellon University
- Case Western Reserve University
- College of Charleston
- University of Chicago
- University of Colorado, Colorado Springs
- Dallas Community College**
- University of Delaware
- DePauw University
- Duke University
- Eckerd College
- Emory University
- George Mason University
- George Washington University
- University of Georgia
- Harvard Medical School
- Harvard University, Allston Campus
- Hawaii Pacific University
- Johns Hopkins University
- Kansas State University
- University of Kentucky
- Lafayette College
- Loyola University
- University of Maryland
- University of Massachusetts, Amherst
- University of New Hampshire
- University of New Mexico, Rio Rancho
- University of North Carolina at Chapel Hill
- University of North Carolina at Charlotte
- University of North Florida
- University of North Texas**
- University of North Texas Health Science Center**
- University of Notre Dame
- Northern Arizona University
- Old Dominion University
- University of Rhode Island
- University of Richmond
- University of Rochester
- Rutgers, State University of New Jersey
- University of Scranton
- Smithsonian Institution
- University of Southern California
- SUNY Brookport
- Swarthmore College
- Tarrant County College**
- University of Texas at Austin**
- University of Texas at El Paso**
- Texas A&M University**
- Texas State University, San Marcos**
- Towson University
- University of Virginia
- Virginia Commonwealth University
- Wake Forest University
- Washington University in St. Louis
- University of Wisconsin



Master Planning Committee

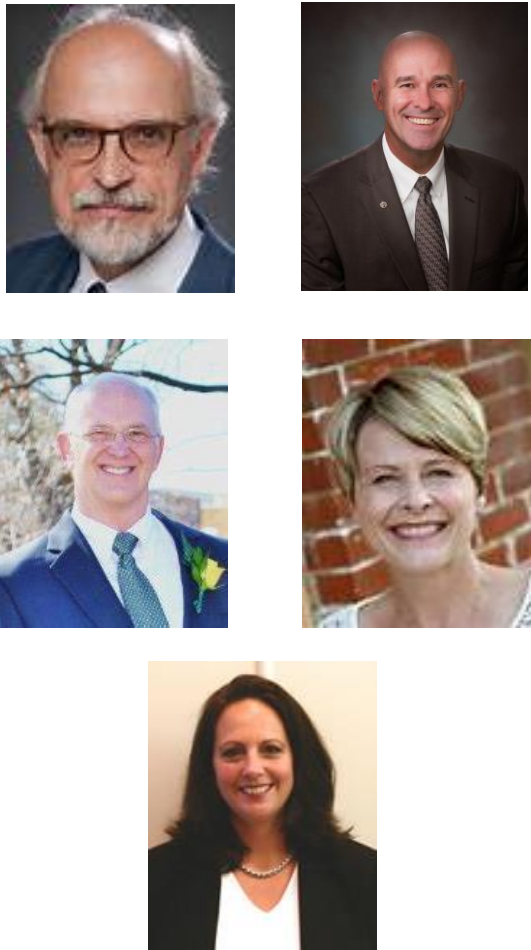
UNT Leadership



City & County Leadership



Educational Partners

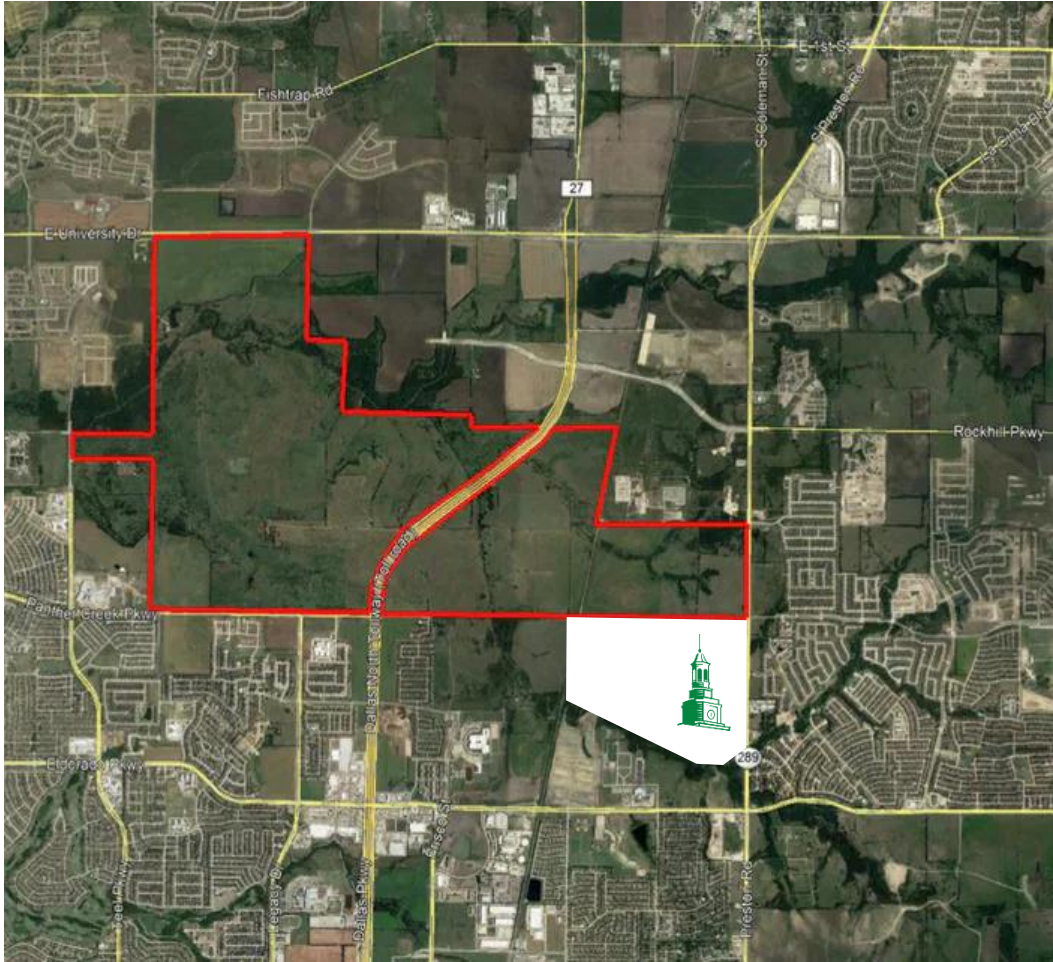


Master Planning Discussions

Committee Feedback

- Practical & Aspirational Needs
- Architectural Considerations
- Space & Use Considerations
- Aesthetic Considerations
- Infrastructure Considerations

Area Partner Discussions: Hunt and Karahan



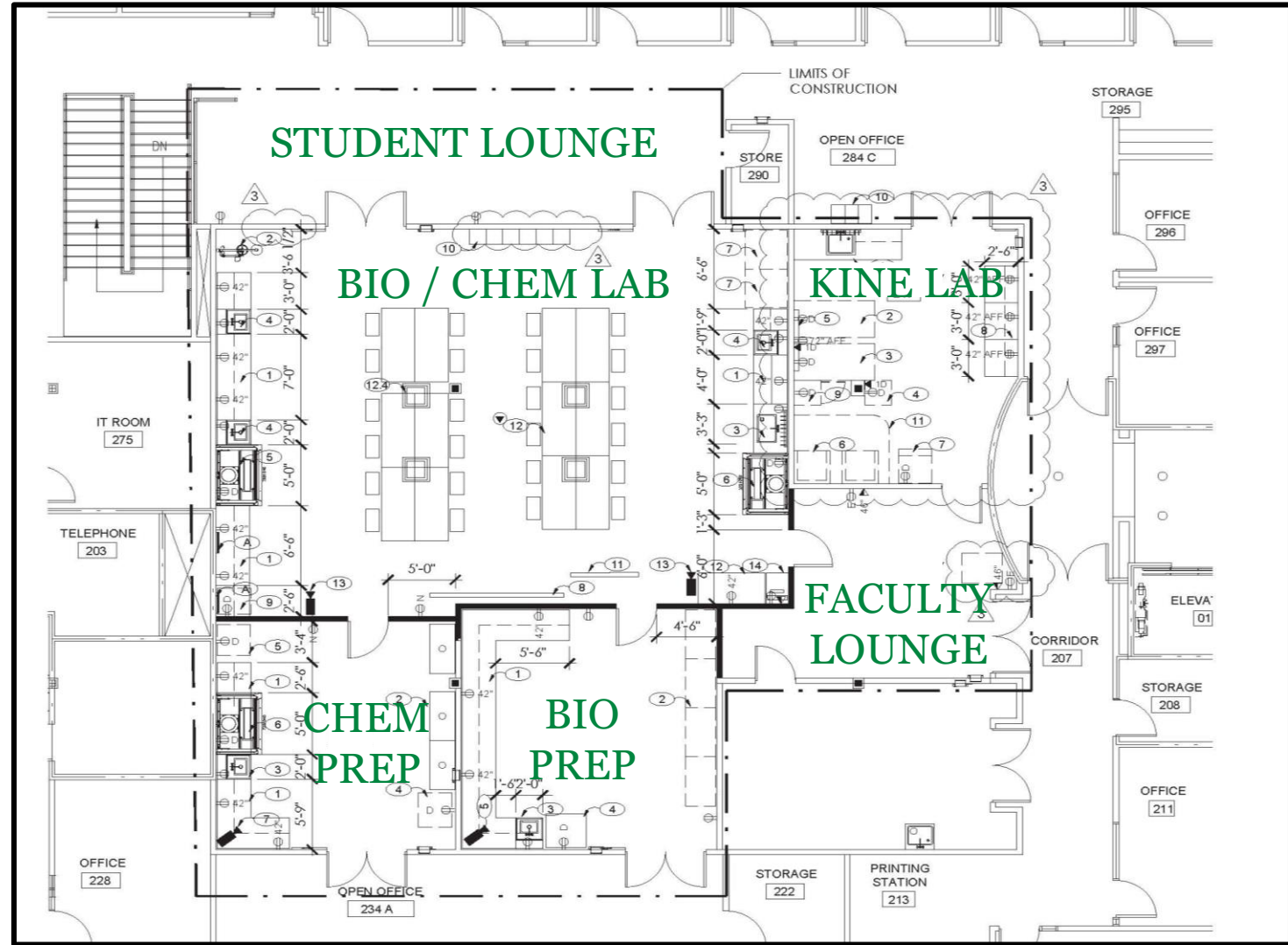
UNT Frisco: Inspire Park Transition Strategy

- Acquisition complete on October 1, 2018
- Provide smooth transition of services to existing tenants
- Launch entrepreneurship / start-up micro-classes
- Host venture capital conferences targeted for 2019
- Build out space for UNT classroom and collaboration use



UNT Frisco: Inspire Park Initial Lab Schematics

- Room 218 will be a biology / chemistry teaching lab
- Room 217 will be a kinesiology teaching lab
- Faculty lounge, student lounge and lab prep / support spaces included
- Clinical practice & outreach labs in design for audiology speech language pathology, and counseling



UNT Frisco: Enrollment and Program Trends

YoY Enrollment Trends



Students Only in
Collin County



Semester Credit Hours
from Collin County



Transfer Students
from Collin College

Program Trends



Full Degrees
Currently Available



Twelve Additional Full
Degrees Available
by Fall 2019

UNT Frisco: 2019 Initiatives

Transfer Degrees

Completion Degrees

Freshman Cohort Degree

\$250k

Transfer
Scholarships
Privately Funded



Employer
Showcase Pilot



Approve
Curriculum

New

Spring-centric
Enrollment

20

Area Employer
Showcases



Secure
Partners

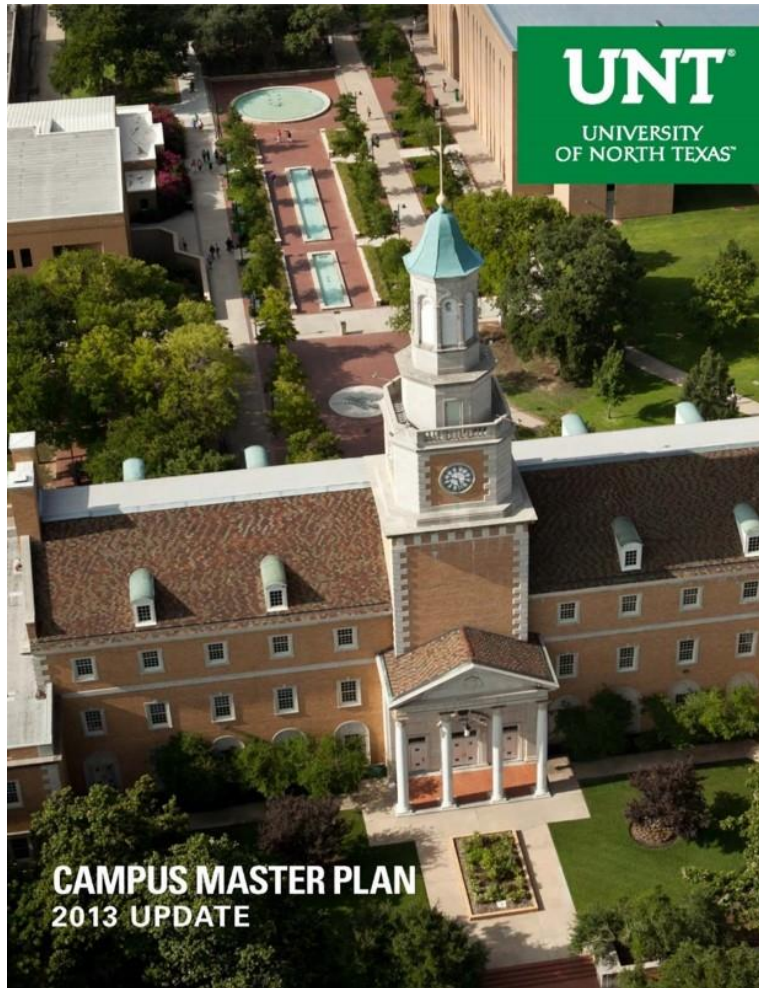


Campus Master Plan Update

**Presented by: Cassandra Nash, Interim Vice Chancellor
for Facilities Planning and Construction**

November 15, 2018

Update on Progress of Campus Master Plan



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



Master Plan 2013 Update Goals



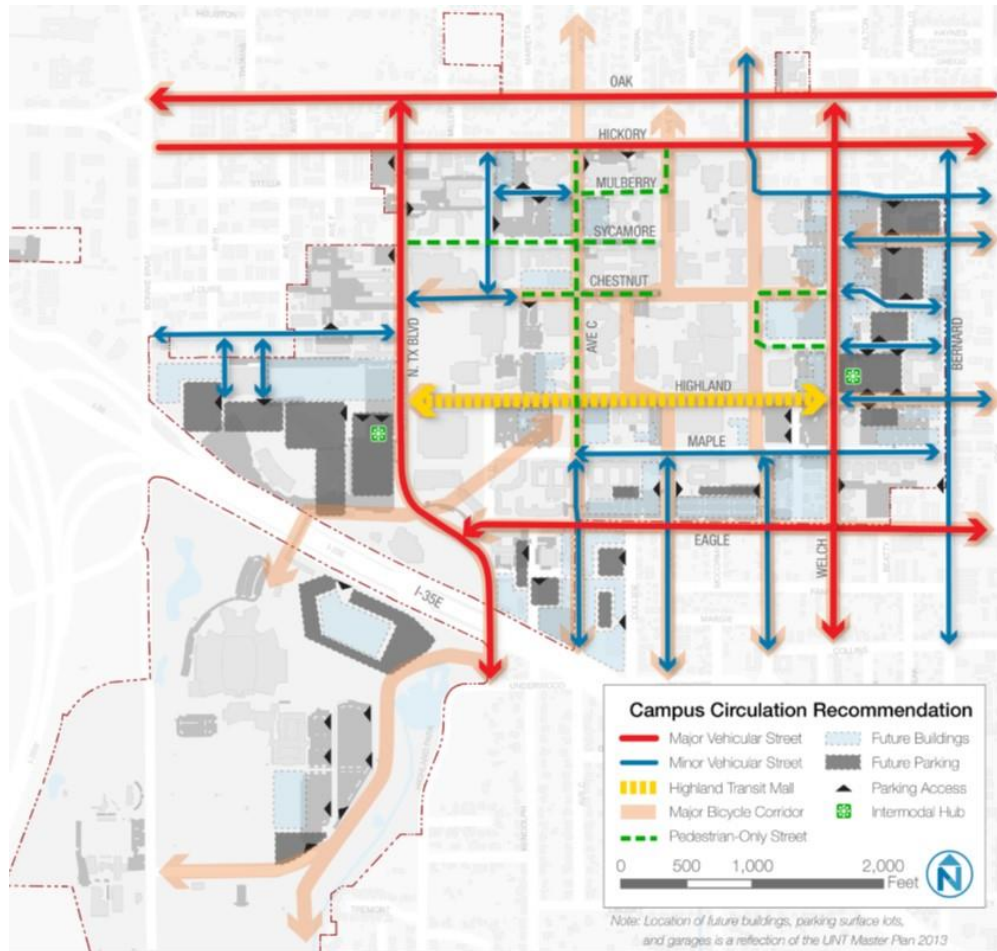
- Strategic Plan informs Master Plan
- Accommodate enrollment growth
 - Current space needs
 - Projected space needs
 - Housing, parking, recreation
- Enhance circulation and connectivity
 - Pedestrian, Bicycle
 - Transit
 - Vehicular
- Improve campus identity at gateways, edges
- Reinforce campus character,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

Acquisition Boundary



Continue to pursue purchases within acquisition boundary to support master plan implementation

Parking & Transportation Master Plan

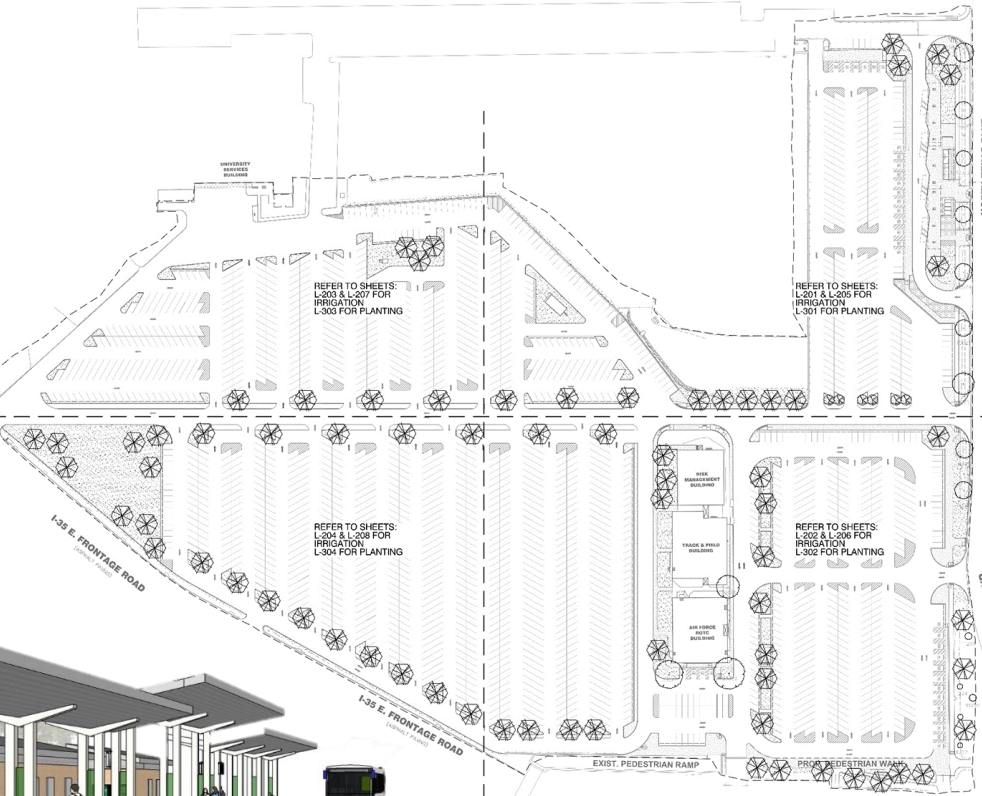


Detailed Transportation & Parking Master Plan element is completed providing recommendations and tools for improving all modes of campus access.

Implementation:

- Redesigned Transportation Services Website
- Campus-wide bike share program
- Car-sharing program
- Upgrades to technology and pre-payment systems
- Coordinating with City of Denton to address long term connections to campus

Fouts Field Demolition, Parking, and Transportation Hub Project



Project Budget:

\$14,000,000

Scheduled Completion:

Fall 2019

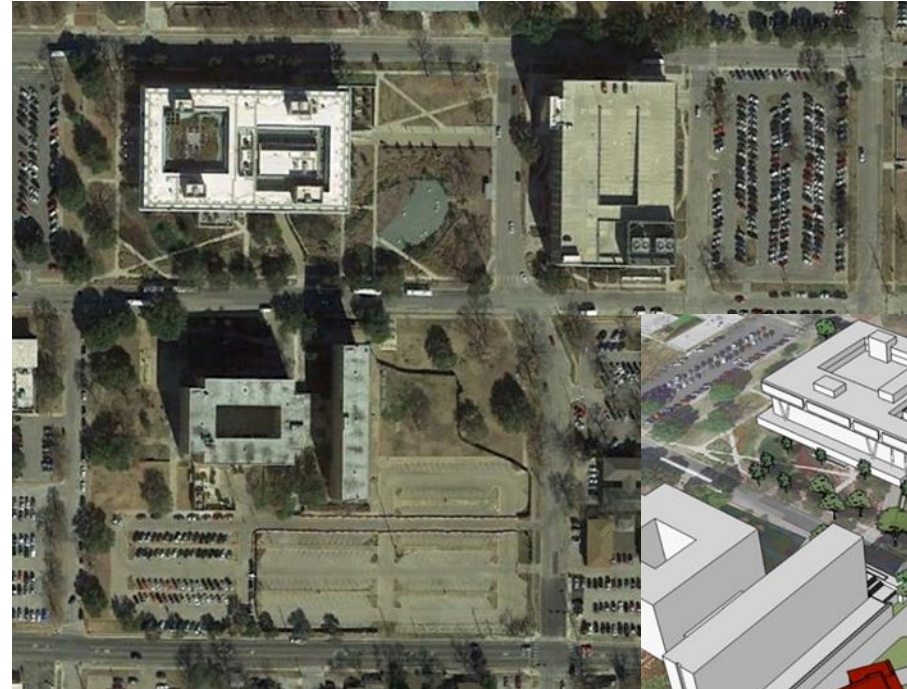
Description:

- Demolish remaining portions of the existing Fouts Field structure and field
- Construct approximately 1,100 additional parking spaces
- Bus transfer station that will provide:
 - Protection from the weather
 - Restrooms
 - Vending machines



Housing Master Plan

- Comprehensive master plan for student housing on the UNT campus
- Develop a strategic analysis to inform goals and objectives, including projected target for on-campus housing
- Develop a housing and utility infrastructure condition assessment
- Create a financial model to provide comprehensive detailed budget analysis of projected housing revenues, expenses, and capital costs



Joe Greene Hall and Tour Center

Project Budget:

\$58,900,000

Scheduled Completion:

Spring 2019

Description:

- 500 bed living-learning environment
- Create connectivity to campus
- Define southern edge of campus and Gateway at corner of Avenue A and Eagle
- Includes Tour Center
 - Consolidated services for prospective and new students
 - Housing and Dining Administrative Offices
 - Meeting spaces
 - Mock living unit



Joe Greene Hall



Tour Center

Dining Hall

Project Budget:

\$25,470,000

Scheduled Completion:

Spring 2020

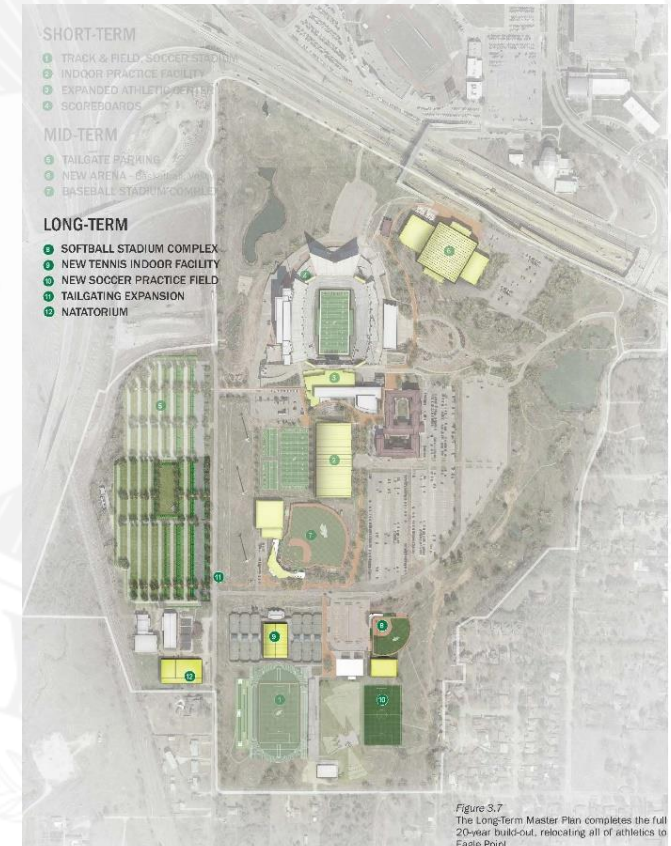
Description:

- Two-story, stand-alone facility
- Seating for 700
- Southeast Corner of Maple Street and Avenue A
- Includes a retail dining concept



Athletics Facilities Master Plan

- Develop a phased comprehensive master plan for athletic facilities



Indoor Practice Facility

Project Budget:

\$18,900,000

Scheduled Completion:

Summer 2019

Description:

- 94,000 SF Indoor Practice Facility
- Full length artificial turf football field
- 3-lane track surface and support spaces
- Filming/viewing platforms
- Entry lobby with an adjacent alumni/recruiting lounge



UNT College of Visual Arts and Design Facility

Project Budget:

\$70,000,000

Scheduled Completion:

Spring 2019

Description:

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



Continuing Campus Path Development

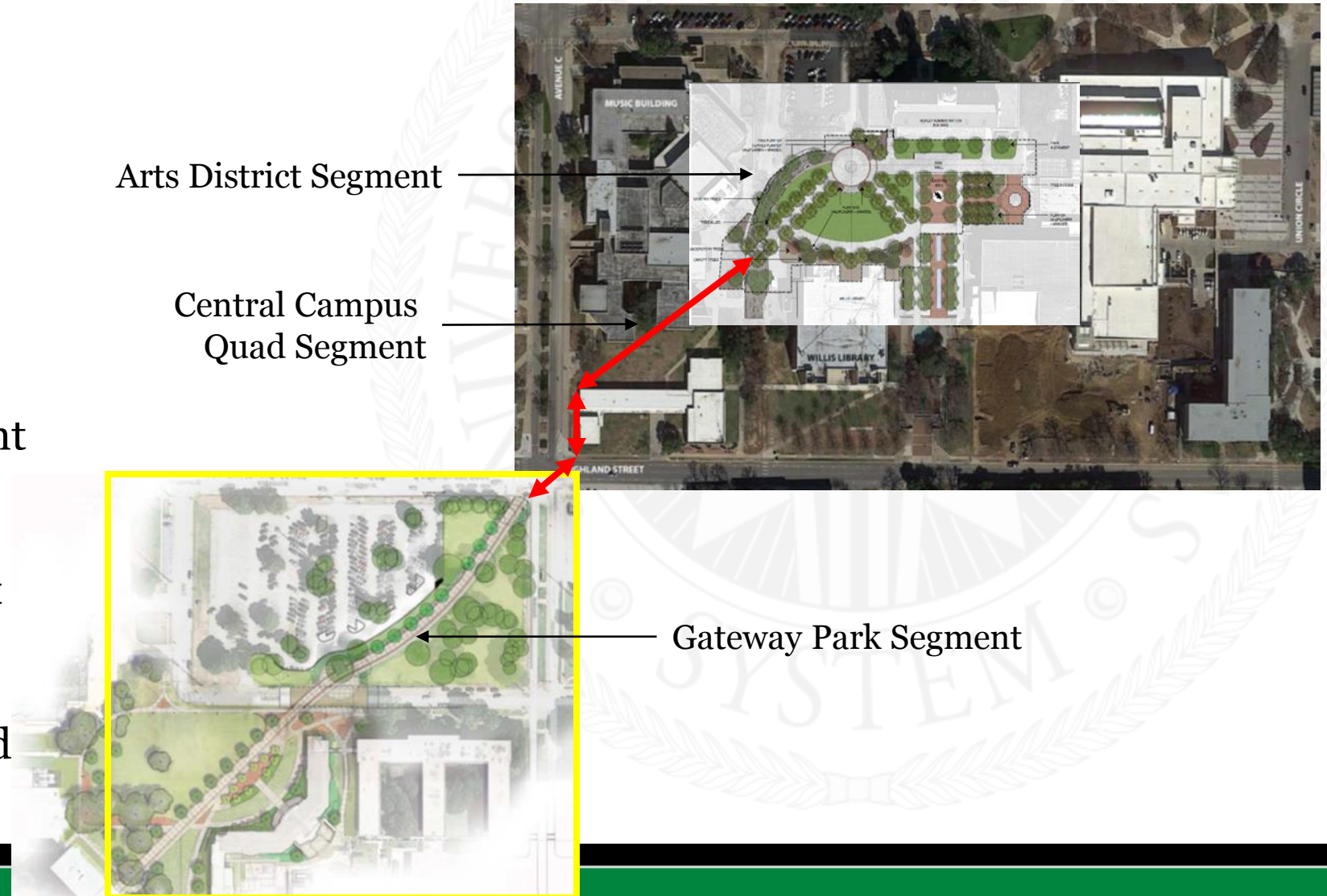
Goals of Central Path:

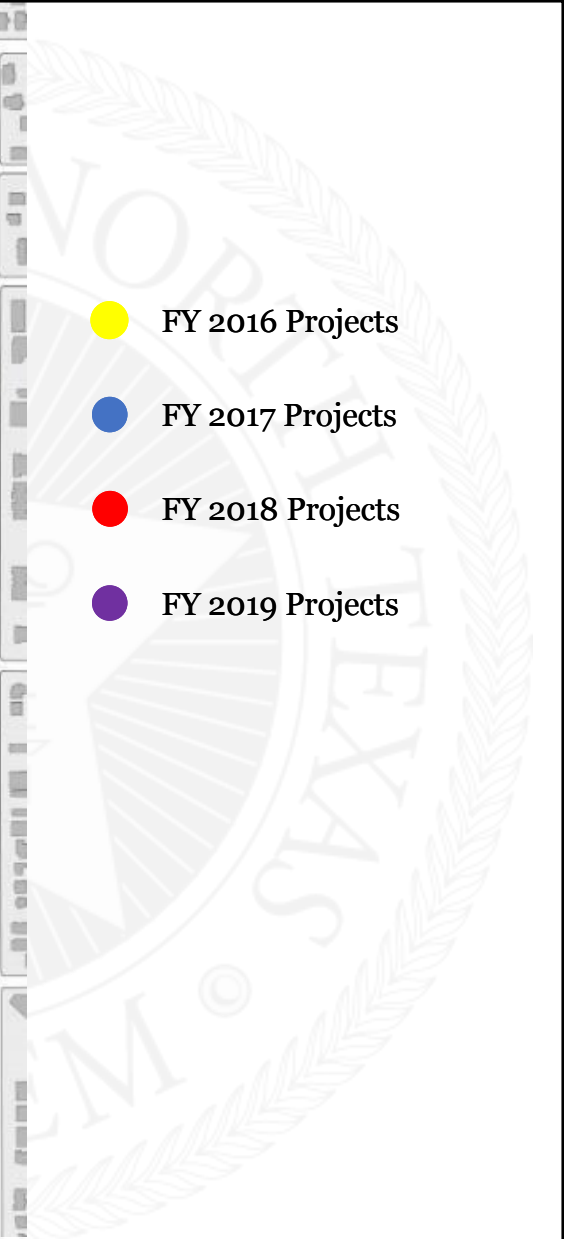
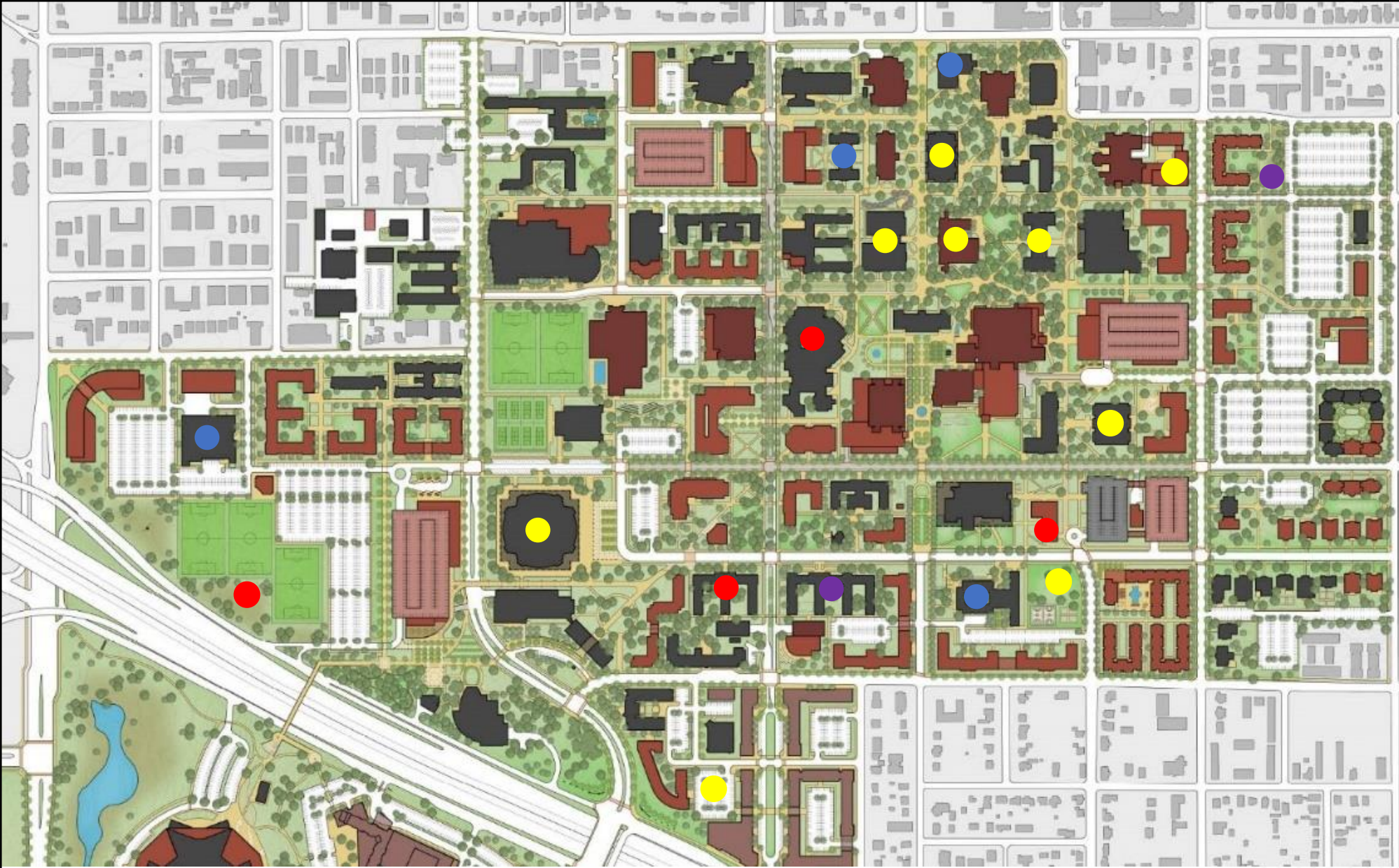
1. Define a path
2. Incremental integration of path into campus
3. Activate path and adjacent areas

Phase 1 – Gateway Park Segment
Complete

Phase 2 – Arts District Segment
Part of CVAD

Phase 3 – Central Campus Quad







Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: October 5, 2018

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

Background:

The University of North Texas (UNT) is requesting to add a Bachelor of Science (BS) degree program with a major in Data Science (DS), effective August 26, 2019. This degree program will be housed in the Department of Information Science within the College of Information.

The proposed new BSDS is designed to meet the rising workforce demand for professionals in the data management, big data, and data analytics fields. DS is an emerging interdisciplinary field that combines information science, computer science, statistics, and social humanities in dealing with issues pertaining to increasing reliance on data and digital information. North Texas is considered one of the fastest growing areas in the United States in terms of population and businesses.

The department currently has a Master's of Science and a PhD concentration in DS. Therefore, the undergraduate degree is a natural fit for the department. The graduate student base will benefit from the undergraduate program as there will be availability for teaching experience as teaching fellows.

There is an established need for this program. The Bureau of Labor Statistics (2016) projects that jobs for graduates in this area are among the top 10 fastest growing occupations. The Society for Information Management's annual IT Trends Study identified analytics/business intelligence/big data/data science as a skillset that is both one of the most difficult to find and most important to their organization. There is currently a great opportunity for UNT to fill this increase in demand.

The proposed BSDS will require 120 hours. Of the 120 hours, 39 hours are major-required hours including prerequisites, and 24 hours are prescribed electives.

Financial Analysis/History:

The costs and funding of the BSDS meet 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 department will use existing funds to pay the estimated \$35,000 for course development costs. No new funds are required.

Bob Brown

Digitally signed by Bob Brown
DN: cn=Bob Brown, o=Senior VP for Finance & Administration, ou=University of North Texas, email=Bob.Brown@unt.edu, c=US
Date: 2018.10.30 09:28:03 -0500

Institution Chief Financial Officer

Gary Rahlfs

Digitally signed by Gary Rahlfs
DN: cn=Gary Rahlfs, o=UNT System, ou=Vice Chancellor for Finance, email=gary.rahlfs@untsystem.edu, c=US
Date: 2018.10.30 20:46:58 -0500

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: 2018.10.31 15:46:48 -05'00'

Vice Chancellor/General Counsel

Schedule:

Fall 2019

Recommendation:

The president recommends that the Board of Regents approve adding the BS degree program with a major in DS to the UNT degree program inventory.

Recommended By:

Jennifer Cowley

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: 2018.10.30 10:32:08 -05'00'

President

Rosemary R.
Haggett, Ph.D. Digitally signed by Rosemary R. Haggett, Ph.D.
DN: cn=Rosemary R. Haggett, Ph.D., o=UNT
System, ou,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2018.10.30 14:14:58 -05'00'

Vice Chancellor

Lesla B. Roe Digitally signed by Lesla B. Roe
DN: cn=Lesla B. Roe, o=UNT System,
ou=Office of the Chancellor,
email=chancellor@untsystem.edu, c=US
Date: 2018.11.01 16:50:13 -05'00'

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 Data Science

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT desires to add a BS degree program with a major in Data Science (DS), and

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

Whereas costs and funding needed for the BS with a major in DS degree program 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

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

1. The addition of the UNT BS 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



**Texas Higher Education Coordinating Board
Texas Public General Academic and Health-Related Institutions**

**New Bachelor's and Master's Degree Program
Request Form**

Directions: Texas public universities and health-related institutions complete this form to add a new bachelor's or master's degree program, if the following criteria for approval are met, per [Texas Administrative Code \(TAC\), Title 19, Chapter 5, Subchapter C, Section 5.44 \(a\) \(3\)](#): (A) the proposed program has institutional and board of regents approval; (B) the institution certifies compliance with the [Standards for New Bachelor's and Master's Programs](#); (C) the institution certifies that adequate funds are available to cover the costs of the new program; (D) new costs to the program during the first five years of the program would not exceed \$2 million; (E) the proposed program is a non-engineering program; and (F) the proposed program would be offered by a public university or health-related institution.

If the proposed program does not meet the criteria listed above, the institution must submit a request using the [Full Request Form](#).

This form requires the signatures of: (1) the Chief Executive Officer, certifying adherence to the Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.44 (a) (3) criteria, adequacy of funding for the new program, the notification of other Texas public institutions of higher education, and adherence to [Texas Education Code \(TEC\) Sections 61.822 through 61.823](#); and (2) a member of the Board of Regents (or designee) certifying Board approval.

Contact: Division of Academic Quality and Workforce, 512-427-6200.

Administrative Information

1. Institution Name and Coordinating Board Accountability Group:

University of North Texas

2. Proposed Program:

Show how the proposed program would appear on the institution's Program Inventory (e.g., Bachelor of Business Administration with a major in accounting).

Bachelor of Science in Data Science

3. Proposed CIP Code:

List of CIP Codes may be accessed online at www.txhighereddata.org/Interactive/CIP/. Include justification if the proposed program name is not included in the Texas Classification of Instructional Programs.

52.1301

4. Semester Credit Hours Required:

Bachelor's degree programs should not exceed 120 semester credit hours (SCH). If the number of SCH exceeds 120 for a bachelor's degree program, the institution must submit documentation explaining the compelling academic reason). Master's degree programs do not have semester credit hour restrictions; however, 30 to 36 SCH is common.

120 SCH

5. Location and Delivery of the Proposed Program:

Provide the location of instruction and how the proposed program will be delivered to students (e.g., Instructed on the main campus in Lubbock, face-to-face).

Courses for this program will be offered online and face to face at the main campus.

6. Administrative Unit:

Identify where the proposed program would fit within the organizational structure of the institution (e.g., Department of Biology within the College of Natural Sciences).

College of Information > Department of Information

7. Proposed Implementation Date:

Provide the date that students would enter the proposed program (MM/DD/YYYY).

August 26, 2019

8. Institutional and Department Contacts:

Provide contact information for the person(s) responsible for addressing any questions related to the proposed program.

1. Name: Terri Day

Title: Vice Provost for Academic Affairs

E-mail: Terri.Day@unt.edu

Phone: 940.565.4392

2. Name:

Title:

E-mail:

Phone:

Signature Page

1. Chief Executive Officer Certification – The Chief Executive Officer shall sign the following statements:

I hereby certify that all of the following criteria have been met in accordance with the procedures outlined in Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.44 (a) (3):

- (A) The proposed program has institutional and governing board approval.
- (B) The institution certifies compliance with the *Standards for New Bachelor's and Master's Programs*.
- (C) The institution certifies that adequate funds are available to cover the costs of the new program.
- (D) New costs during the first five years of the program would not exceed \$2 million.
- (E) The proposed program is a non-engineering program.
- (F) The proposed program would be offered by a public university or health-related institution.

I certify that my institution has notified all public institutions within 50 miles of the teaching site of our intention to offer the proposed 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.

I certify that my institution will adhere to Texas Education Code (TEC), Sections 61.822 through 61.823, requiring my institution to accept and apply to the degree program Core Curriculum and Field of Study courses in transfer.

Chief Executive Officer

Date

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

On behalf of the Board of Regents, I hereby certify that the proposed program is appropriate for the mission of this institution, and the Board of Regents has approved the proposed program.

Date of Board of Regents approval: _____

Board of Regents (Designee)

Date

Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: October 5, 2018

Title: Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Latino Culture, Economy, and Policy

Background:

The University of North Texas (UNT) is requesting to add a Bachelor of Arts (BA) degree program with a major in Latino Culture, Economy, and Policy (LCEP), effective August 26, 2019. The proposed BA in LCEP will reside in the College of Liberal Arts and Social Sciences, Department of Political Science.

The rapidly growing Latino population is reshaping Texas and beyond, as well as transforming the landscape of higher education. The BA in LCEP will examine the politics, history, language, culture, literature, sociology, anthropology, economics, and creative accomplishments of Latinos in the United States. 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 the Texas Education Agency notes that Latinos are more than 50% of the students in Texas public schools, with growing numbers enrolling in colleges and universities across the state.

The LCEP program will prepare students to be more competitive in the increasingly challenging and diverse workforce environment. 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. Students who can show knowledge and understanding about the state's rapidly increasing Latino population will be at an advantage in the workplace.

The proposed BA in LCEP will require 120-hours. Of the 120 hours, 18 hours are major-required hours, and 12 hours are chosen from two substantive areas.

Financial Analysis/History:

The costs and funding needed for the BA in LCEP meet 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. No new funds are required.

Bob Brown
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Date: 2018.10.30 09:28:38 -0500

Institution Chief Financial Officer

Gary Rahlfs

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ou=Vice Chancellor for Finance,
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Date: 2018.10.30 20:47:59 -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 2019

Recommendation:

The president recommends that the Board of Regents approve adding the BA degree program with a major in LCEP to the UNT degree program inventory.

Recommended By:

Jennifer Cowley

Provost and VPAA

Neal
Smatresk

Digitally signed by Neal Smatresk
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of North Texas, ou=President,
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President

Rosemary R.
Haggett, Ph.D.

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Vice Chancellor

Lesla B. Roe

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ou=Office of the Chancellor,
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Date: 2018.11.01 16:51:17 -05'00'

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 Culture, Economy, and Policy

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, 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 a BA program in Latino Culture, Economy, and Policy (LCEP), 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 LCEP meet 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 BA degree program with a major in Latino Culture, Economy, and Policy.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



**Texas Higher Education Coordinating Board
Texas Public General Academic and Health-Related Institutions**

**New Bachelor's and Master's Degree Program
Request Form**

Directions: Texas public universities and health-related institutions complete this form to add a new bachelor's or master's degree program, if the following criteria for approval are met, per [Texas Administrative Code \(TAC\), Title 19, Chapter 5, Subchapter C, Section 5.44 \(a\) \(3\)](#): (A) the proposed program has institutional and board of regents approval; (B) the institution certifies compliance with the [Standards for New Bachelor's and Master's Programs](#); (C) the institution certifies that adequate funds are available to cover the costs of the new program; (D) new costs to the program during the first five years of the program would not exceed \$2 million; (E) the proposed program is a non-engineering program; and (F) the proposed program would be offered by a public university or health-related institution.

If the proposed program does not meet the criteria listed above, the institution must submit a request using the [Full Request Form](#).

This form requires the signatures of: (1) the Chief Executive Officer, certifying adherence to the Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.44 (a) (3) criteria, adequacy of funding for the new program, the notification of other Texas public institutions of higher education, and adherence to [Texas Education Code \(TEC\) Sections 61.822 through 61.823](#); and (2) a member of the Board of Regents (or designee) certifying Board approval.

Contact: Division of Academic Quality and Workforce, 512-427-6200.

Administrative Information

1. Institution Name and Coordinating Board Accountability Group:

University of North Texas

2. Proposed Program:

Show how the proposed program would appear on the institution's Program Inventory (e.g., Bachelor of Business Administration with a major in accounting).

Bachelor of Arts with a major in Latino Culture, Economy, and Policy

3. Proposed CIP Code:

List of CIP Codes may be accessed online at www.txhighereddata.org/Interactive/CIP/. Include justification if the proposed program name is not included in the Texas Classification of Instructional Programs.

45.0101

4. Semester Credit Hours Required:

Bachelor's degree programs should not exceed 120 semester credit hours (SCH). If the number of SCH exceeds 120 for a bachelor's degree program, the institution must submit documentation explaining the compelling academic reason). Master's degree programs do not have semester credit hour restrictions; however, 30 to 36 SCH is common.

120 SCH

5. Location and Delivery of the Proposed Program:

Provide the location of instruction and how the proposed program will be delivered to students (e.g., Instructed on the main campus in Lubbock, face-to-face).

Face-to-face to students on the main campus in Denton

6. Administrative Unit:

Identify where the proposed program would fit within the organizational structure of the institution (e.g., Department of Biology within the College of Natural Sciences).

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

7. Proposed Implementation Date:

Provide the date that students would enter the proposed program (MM/DD/YYYY).

August 26, 2019

8. Institutional and Department Contacts:

Provide contact information for the person(s) responsible for addressing any questions related to the proposed program.

1. Name: Terri Day

Title: Vice Provost for Academic Affairs

E-mail: Terri.Day@unt.edu

Phone: 940.565.4392

2. Name:

Title:

E-mail:

Phone:

Signature Page

1. Chief Executive Officer Certification – The Chief Executive Officer shall sign the following statements:

I hereby certify that all of the following criteria have been met in accordance with the procedures outlined in Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.44 (a) (3):

- (A) The proposed program has institutional and governing board approval.
- (B) The institution certifies compliance with the *Standards for New Bachelor's and Master's Programs*.
- (C) The institution certifies that adequate funds are available to cover the costs of the new program.
- (D) New costs during the first five years of the program would not exceed \$2 million.
- (E) The proposed program is a non-engineering program.
- (F) The proposed program would be offered by a public university or health-related institution.

I certify that my institution has notified all public institutions within 50 miles of the teaching site of our intention to offer the proposed 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.

I certify that my institution will adhere to Texas Education Code (TEC), Sections 61.822 through 61.823, requiring my institution to accept and apply to the degree program Core Curriculum and Field of Study courses in transfer.

Chief Executive Officer

Date

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

On behalf of the Board of Regents, I hereby certify that the proposed program is appropriate for the mission of this institution, and the Board of Regents has approved the proposed program.

Date of Board of Regents approval: _____

Board of Regents (Designee)

Date



Title: Approval of New UNT Undergraduate Differential Tuition Beginning Fall 2019

Background:

Differential tuition is an additional charge that relates tuition to the cost of instructional delivery based on the academic unit providing the course. This tuition model allows UNT to continue strategic growth, improve instructional quality, enhance the quality and efficient use of instructional facilities, and increase graduation rates while mitigating cost increases for programs that are not as expensive to deliver. Differential tuition will enable UNT to better align tuition with instructional costs. Texas Education Code 54.0513 states a “governing board may set a different tuition rate for each program and course level offered by each institution of higher education.”

These differential rates have been carefully considered in light of many factors to include student affordability, impact on retention, and peer price benchmarks. The cost to offer quality educational programs in the College of Science is greater primarily due to laboratory intensive teaching; the College of Visual Arts and Design is more resource intensive than other disciplines as student-to-faculty ratios are low and staff are needed for specialized facilities; and the Mayborn School of Journalism as well as the Department of Media Arts are becoming higher cost as digital media production increases requiring access to specialized staff and facilities.

These recommended differential tuition rates will remain in effect until other rates are brought before the Board as deemed necessary.

Financial Analysis/History:

The new recommended undergraduate differential tuition rates will be:

1. College of Visual Arts and Design
 - a. \$30.00 per SCH beginning in Fall 2019;
 - b. \$38.00 per SCH beginning in Fall 2020;
 - c. \$45.00 per SCH beginning Fall 2021.
2. College of Science
 - a. \$8.00 per SCH beginning in Fall 2019;
 - b. \$16.00 per SCH beginning in Fall 2020;
 - c. \$24.00 per SCH beginning Fall 2021.
3. Mayborn School of Journalism and the Department of Media Arts in the College of Liberal Arts & Sciences
 - a. \$15.00 per SCH beginning in Fall 2019;
 - b. \$30.00 per SCH for the beginning Fall 2020.

Total undergraduate tuition for the College of Visual Arts and Design will increase by 10.7% from \$280.11 to \$310.11 per semester credit hour for Texas resident students in the traditional tuition plan from Fall 2018 to Fall; undergraduate tuition for the College of Science will increase by 2.9% from \$280.11 to \$288.11 per semester credit hour for Texas resident students in the traditional tuition plan from Fall 2018 to Fall; and undergraduate tuition for the Mayborn School of Journalism and Department of Media Arts will increase by 5.4% from \$280.11 to

\$295.11 per semester credit hour for Texas resident students in the traditional tuition plan from Fall 2018 to Fall 2019.

Implementing differential tuition per above generates approximately \$2.0 million in FY20, \$3.9 million in FY21 and \$5.5 million in FY22. The revenue derived from differential tuition will enable us to enhance undergraduate teaching by hiring and retaining faculty, improve the quality of graduate assistantships, increasing need-based financial aid and scholarships for undergraduate students, and investing in targeted retention initiatives. At least fifteen percent of differential tuition revenue will be set aside for need-based financial aid.

Bob Brown Digitally signed by Bob Brown
DN: cn=Bob Brown, o=Senior VP for Finance & Administration, ou=University of North Texas, email=Bob.Brown@unt.edu, c=US
Date: 2018.10.30 09:29:34 -05'00'

Institution Chief Financial Officer

Gary Rahfs Digitally signed by Gary Rahfs
DN: cn=Gary Rahfs, o=UNT System, ou=Vice Chancellor for Finance, email=gary.rahfs@untsystem.edu, c=US
Date: 2018.10.30 20:50:28 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, ou=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2018.10.31 15:50:46 -05'00'

Vice Chancellor/General Counsel

Schedule:

If approved, the new differential tuition rates will be effective in the Fall 2019 semester.

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order.

Recommended By:

Jennifer Cowley

Provost and Vice President for Academic Affairs

Neal Smatresk Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University of North Texas, ou=President, email=neal.smatresk@unt.edu, c=US
Date: 2018.10.30 10:33:47 -05'00'

President

Lesa B. Roe Digitally signed by Lesa B. Roe
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Date: 2018.11.01 16:53:12 -05'00'

Chancellor



Board Order

Title: Approval of New UNT Undergraduate Differential Tuition Beginning Fall 2019

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, differential tuition allows UNT to continue strategic growth, improve instructional quality, enhance the quality and efficient use of instructional facilities, and increase graduation rates, and

Whereas, the College of Science, College of Visual Arts & Design, Mayborn School of Journalism, and Department of Media Arts have high instructional costs, and

Whereas, the additional funds are needed to enhance undergraduate teaching by hiring and retaining faculty, improving graduate assistantships, increasing financial aid and scholarships, and investing in targeted retention initiatives, and

Whereas, the university will collectively benefit from our ability to increase investment in Science, Visual Arts and Design, and Journalism/Media Arts.

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

1. Differential tuition for all undergraduate courses in the following colleges, school, and department equal to:
 - a. College of Visual Arts and Design:
 - \$30.00 per semester credit hour beginning in Fall 2019;
 - \$38.00 per semester credit hour beginning in Fall 2020;
 - \$45.00 per semester credit hour beginning Fall 2021.
 - b. College of Science:
 - \$8.00 per semester credit hour beginning in Fall 2019;
 - \$16.00 per semester credit hour beginning in Fall 2020;
 - \$24.00 per semester credit hour beginning Fall 2021.
 - c. Mayborn School of Journalism and the Department of Media Arts in the College of Liberal Arts & Sciences:
 - \$15.00 per semester credit hour beginning in Fall 2019;
 - \$30.00 per semester credit hour the beginning Fall 2020.

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 New UNT Graduate Differential Tuition Beginning Fall 2019

Background:

Differential tuition is an additional charge that relates the rate of tuition to the cost of instructional delivery based on the college providing the course. This tuition model allows UNT to continue strategic growth, improve instructional quality, enhance the quality and efficient use of instructional facilities, and increase graduation rates while mitigating tuition increases for programs that are not as expensive to deliver. Differential tuition will enable UNT to better align tuition with instructional costs. Texas Education Code 54.0513 states a “governing board may set a different tuition rate for each program and course level offered by each institution of higher education.”

Counseling program costs are significantly greater than other program instructional costs on average due primarily to smaller class sizes at the graduate level. The nature of Counseling courses are such that, in general, enrollment is about one-third smaller at the master’s level and two-thirds smaller at the doctoral level when compared with other programs in the College of Education. It is appropriate to extend differential tuition rates to the Counseling program in recognition of these additional costs inherent to the instructional paradigm.

The differential rates have been carefully considered in light of many factors to include student affordability, impact on retention, and peer price benchmarks. UNT obtained approval from the Board last year to implement differential tuition for the first time to begin Fall 2018. We do not believe there has been an adverse impact on enrollment in the colleges with a differential tuition rate. Graduate enrollment is up at the College of Business. The College of Engineering’s graduate enrollment is down, but the trajectory has slowed from last fall, and is likely more attributable to a continuation of the national trends for international students. The College of Music’s graduate enrollment is down slightly compared to last fall but is still more than Fall 2016.

These recommended graduate differential tuition rates will remain in effect until other rates are brought before the Board as deemed necessary.

Financial Analysis/History:

The new recommended graduate differential tuition rates for all Counseling Program courses (subject = COUN) in the College of Education’s Counseling and Higher Education Department will be:

1. \$25.00 per SCH beginning in Fall 2019;
2. \$30.00 per SCH beginning in Fall 2021 (a \$5.00 per SCH increase from Fall 2020).

Total graduate tuition for Counseling Program courses will increase by 8.3% from \$302.79 to \$327.79 per semester credit hour for Texas resident students from Fall 2018 to Fall 2019 and generate approximately \$128k assuming no other changes in graduate tuition. It would increase from \$302.79 to \$352.79 if the separately recommended graduate designated tuition increase is also approved at this same meeting. The additional \$5.00 per SCH increase in Fall 2021 will generate approximately \$26k more.

The revenue derived from differential tuition will enable UNT to enhance graduate teaching by hiring and retaining faculty, increasing financial aid and scholarships, and enhancing program marketing support. At least fifteen percent of differential tuition revenue will be set aside for need-based financial aid.

Bob Brown
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Institution Chief Financial Officer

Gary Rahlfs
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Date: 2018.10.30 20:51:43 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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Date: 2018.10.31 15:51:35 -05'00'

Vice Chancellor/General Counsel

Schedule:

If approved, the new differential tuition rates will be effective beginning in the Fall 2019 semester.

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order.

Recommended By:

Jennifer Cowley

Provost and Vice President for Academic Affairs

Neal Smatresk
Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University of North Texas, ou=President, email=neal.smatresk@unt.edu, c=US
Date: 2018.10.30 10:54:27 -05'00'

President

Lesla B. Roe
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Date: 2018.11.01 16:55:04 -05'00'

Chancellor



Board Order

Title: Approval of New UNT Graduate Differential Tuition Beginning Fall 2019

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, differential tuition allows UNT to continue strategic growth, improve instructional quality, enhance the quality and efficient use of instructional facilities, and increase graduation rates, and

Whereas, the College of Education's Counseling program has high instructional costs, and

Whereas, the additional funds are needed to enhance instruction by hiring and retaining faculty, increasing financial aid and scholarships, and enhancing program marketing support, and

Whereas, the university will collectively benefit from our ability to increase investment in graduate education in the College of Education.

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

1. Graduate differential tuition for all Counseling Program courses (subject = COUN) in the College of Education's Counseling and Higher Education Department equal to
 - a) \$25.00 per semester credit hour beginning in Fall 2019;
 - b) \$30.00 per semester credit hour beginning in Fall 2021 (a \$5.00 per SCH increase from Fall 2020).
-

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 Increase to Board Designated Tuition for Graduate Students
Beginning Fall 2019

Background:

Section 54.0513 of the Texas Education Code authorizes a governing board of an institution of higher education to charge "...any student an amount designated as tuition that the governing board considers necessary for the effective operation of the institution." Amounts collected under this section are institutional funds. Designated tuition is the primary unrestricted funding source by which UNT delivers academic programs and services to students. New designated tuition funds will allow UNT to continue strategic growth, improve instructional quality, maintain a safe infrastructure and enhance institutional support, adapt to changing student needs, and increase student retention and graduation rates.

Tuition for resident graduate students was last increased in Fall 2013. Graduate tuition remained flat for five years, and it still would remain lower than all other Tier 1 public research universities in the State of Texas in Fall 2019 with this increase. Using sciences as an example, UNT's graduate tuition for Texas residents would be about 2% less than Texas Tech, 5% less than University of Houston, 15% less than UT-Austin, 22% less than UT-Arlington, and 44% less than UT-Dallas.

As of Fall 2018, the resident graduate tuition rate is only about 8% greater than the resident undergraduate tuition rate. However, graduate instruction is more resource intensive than undergraduate instruction. For example, THECB's 2017 state-wide expenditure study shows that the cost of instruction per SCH for master's courses is more than 300% of lower-level undergraduate courses and nearly 200% more than upper-level undergraduate courses.

Financial Analysis/History:

The recommended increase to Board Designated Tuition for graduate students results in the following inclusive of Board Authorized Tuition, Board Designated Graduate Tuition and Statutory (or non-resident) Tuition:

1. A \$25.00 per SCH increase beginning in Fall 2019 results in an 8.3% increase from \$302.79 to \$327.79 for Texas resident students and a 3.5% increase from \$717.79 to \$742.79 for non-resident students ;
2. An additional \$25.00 per SCH beginning in Fall 2020 results in a 7.6% increase from \$327.79 to \$352.79 for Texas resident students and a 3.4% increase from \$742.79 to \$767.79 in Fall 2020 for non-resident students;

Increasing Board Designated Tuition for graduate students per above would generate approximately \$2.6 million in FY20 and \$5.2 million in FY21. At least fifteen percent of new revenue will be set aside for need-based financial aid. The incremental cost will also be covered for graduate students funded under the university's Tuition Benefit Program. The remainder

will be used to address pressing needs related to graduate instruction, as well as institutional support needs that have not kept pace with the growing student body.

Bob Brown
Institution Chief Financial Officer

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Gary Rahfs
Vice Chancellor for Finance

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Date: 2018.10.30 20:53:39 -05'00'

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Vice Chancellor/General Counsel

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Date: 2018.10.31 15:52:33 -05'00'

Schedule:

If approved, the new rates for Board Designated Tuition for Graduate Students will be effective beginning in the Fall 2019 semester.

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order.

Recommended By:

Jennifer Cowley
Provost and Vice President for Academic Affairs

Neal Smatresk
President

Digitally signed by Neal Smatresk
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Date: 2018.10.30 11:14:28 -05'00'

Lesla B. Roe
Chancellor

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Date: 2018.11.01 16:56:46 -05'00'



Board Order

Title: Approval of Increase to Board Designated Tuition for Graduate Students Beginning Fall 2019

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, additional designated tuition funds will allow UNT to continue strategic growth, improve instructional quality, maintain a safe infrastructure and enhance institutional support, adapt to changing student needs, and increase student retention and graduation rates, and

Whereas, Board Designated Tuition for graduate students has not increased since Fall 2013 while Board Designated Tuition for undergraduate students has increased by 23%, and

Whereas, the entire university will collectively benefit from our ability to increase investment in graduate student education.

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

1. A \$25.00 per semester credit hour increase to Board Designated Tuition for resident and non-resident graduate students (from \$177.79 to \$202.79) in Fall 2019.
 2. An additional \$25.00 per semester credit hour increase to Board Designated Tuition for resident and non-resident graduate students (from \$202.79 to \$227.79) in Fall 2020.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Board Briefing



Committee: Finance & Facilities

Date Filed: October 3, 2018

Title: Approval of Reduced Rate for Excessive Undergraduate Hours Beginning Fall 2019

Background:

The State does not provide formula funding for any hours an undergraduate student takes in excess of 30 hours beyond what is required for completion of a degree. Texas Education Code, Section 54.014, allows institutions to charge a higher rate of tuition, up to the rate charged for non-resident students, to resident and non-resident undergraduate students who have excessive hours and are paying in-state tuition rates.

In February 2007, the Board of Regents approved the assessment of additional tuition at a rate of \$125.00 per semester credit hour with an increase of \$30.00 per semester credit hour each subsequent fiscal year until the fee reached the non-resident tuition rate. Currently, the rate is \$455.00 per semester credit hour.

The UNT Tuition and Fee Review Committee recently analyzed the assessment of the additional tuition and determined the rate was discouraging students from continuing enrollment and pursuing graduation. An average of 250 students a year leave UNT when faced with paying the current excess hour rate for the first time. The University is recommending to decrease the rate to \$300.00 per semester credit hour beginning with the Fall 2019 semester, with no automatic increases.

Financial Analysis/History:

The excessive hours tuition rate will be decreased from \$455.00 per semester credit hour to \$300.00 per semester credit hour.

Bob Brown
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Institution Chief Financial Officer

Gary Rahlfs
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Date: 2018.10.30 21:01:34 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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Date: 2018.10.31 16:23:31 -05'00'

Vice Chancellor/General Counsel

Schedule:

To be effective beginning with the Fall 2019 semester.

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order.

Recommended By:

Bob Brown

Sr. VP for Finance & Administration

Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University
of North Texas, ou=President,
email=neal.smatresk@unt.edu, c=US
Date: 2018.10.30 11:15:04 -05'00'

Neal Smatresk

President

Digitally signed by Lesa B. Roe
DN: cn=Lesa B. Roe, o=UNT System,
ou=Office of the Chancellor,
email=chancellor@untsystem.edu, c=US
Date: 2018.11.01 16:58:31 -05'00'

Lesa B. Roe

Chancellor



Board Order

Title: Approval of Reduced Rate for Excessive Undergraduate Hours Beginning Fall 2019

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the University does not receive State funding for resident and non-resident undergraduate students paying in-state tuition rates who have excessive hours, and

Whereas, the excessive hours tuition rate was established as a cost incentive to encourage students to focus on timely graduation, and

Whereas, the rate should not discourage students from continuing enrollment and pursuing graduation,

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

1. A rate of \$300 per semester credit hour for excessive undergraduate hours beginning with the Fall 2019 semester.
-

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 New Save and Soar (Fixed Rate) Tuition Plan and Discontinuance of Eagle Express Tuition Plan

Background:

Section 54.017 of the Texas Education Code requires general academic teaching institutions to offer entering undergraduate students the opportunity to participate in a fixed tuition price plan. This new state law took effect on June 14, 2013 and applies to undergraduate students who enrolled at a general academic teaching institution for the first time on or after the Fall 2014 semester. In March 2014, the Board of Regents approved the establishment of the Eagle Express Tuition Plan.

Since Fall 2014, UNT has offered the Eagle Express Tuition Plan that allows incoming undergraduates to lock in Board Designated Tuition and total academic costs for 12 consecutive semesters. The plan included a financial incentive for participants that discounts tuition and fees up to \$3,000 in their final semester. The financial incentive totaled \$2,542,640 in Fiscal Year 2018.

The UNT Tuition and Fee Review Committee analyzed the Eagle Express Tuition Plan to evaluate outcomes and determine effectiveness. The committee surveyed current program participants and incoming students to obtain feedback on the program requirements and benefits. Based on that information and a financial analysis of the plan, the committee recommended establishing a new tuition plan that encouraged students to enroll in more semester credit hours and to take advantage of UNT classes offered during the Winter Session and Summer semester.

UNT recommends establishing the Save and Soar Tuition Plan to begin in Fall 2019. The plan is designed to encourage continuous enrollment and timely graduation.

Incoming undergraduate students enrolling at UNT for the first time will have the opportunity to participate in the plan and will lock in the Board Designated Tuition Rate for 12 consecutive semesters. The Board Designated Tuition Rate will be locked in at 2% more than the Traditional Tuition Plan at the beginning of their first semester. Students enrolled in courses subject to Differential Tuition will also have those rates locked in for 12 consecutive semesters at 2% more than the established rates for the applicable course in effect at the beginning of their first semester.

Save and Soar Tuition Plan participants will be eligible to receive a discount of \$100 per semester credit hour in Board Designated Tuition for enrollment in the Winter Session if they were enrolled for 15 or more semester credit hours the previous Fall semester. They will be eligible to receive a discount of \$100 per semester credit hour in Board Designated Tuition for enrollment in the Summer semester if they were enrolled for 15 or more semester credit hours in the previous Spring semester.

Additionally, participants who are first-time freshmen living in UNT Housing and enrolled in at least 15 semester credit hours during the previous Spring semester will receive a 40% discount in the housing rates during their first Summer semester.

Upon approval of the Save and Soar Tuition Plan, the Eagle Express Tuition Plan will be closed to new participants effective at the end of the 2018-2019 academic year. All current participants in

the Eagle Express Tuition Plan will continue to receive the benefits until they reach the end of their 12th consecutive semester, including the financial incentive in their final semester, if applicable.

Financial Analysis/History:

The recommended 2% increase in Board Designated Tuition for Save and Soar Tuition Plan participants in the Fall 2019 semester would result in an increase of \$4.60 per semester credit hour (SCH) from \$230.11 to \$234.71 per SCH. In addition, participants enrolled in courses subject to Differential Tuition would be assessed 2% more per SCH than the rate charged to students on the Traditional Tuition Plan.

College or Program	Semester	Traditional Tuition Plan	Save and Soar Tuition Plan
College of Business	Fall 2019	\$15.00 per hour	\$15.30 per hour
College of Engineering	Fall 2019	\$10.00 per hour	\$10.20 per hour
College of Music	Fall 2019	\$30.00 per hour	\$30.60 per hour
College of Music	Fall 2020	\$45.00 per hour	\$45.90 per hour
College of Visual Arts and Design	Fall 2019	\$30.00 per hour	\$30.60 per hour
College of Visual Arts and Design	Fall 2020	\$38.00 per hour	\$38.76 per hour
College of Visual Arts and Design	Fall 2021	\$45.00 per hour	\$45.90 per hour
College of Science	Fall 2019	\$8.00 per hour	\$8.16 per hour
College of Science	Fall 2020	\$16.00 per hour	\$16.32 per hour
College of Science	Fall 2021	\$24.00 per hour	\$24.48 per hour
Mayborn School of Journalism and the Department of Media Arts in the College of Liberal Arts & Sciences	Fall 2019	\$15.00 per hour	\$15.30 per hour
Mayborn School of Journalism and the Department of Media Arts in the College of Liberal Arts & Sciences	Fall 2020	\$30.00 per hour	\$30.60 per hour

The estimated financial impact of the discounts for Save and Soar Tuition Plan include the following based on a 40% participation rate among new undergraduate students:

Winter Session discount: \$138,000 annually
 Summer semester discount: \$2.3 million annually

Bob Brown
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 DN: cn=Bob Brown, o=Senior VP for Finance & Administration, ou=University of North Texas, email=Bob.Brown@unt.edu, c=US
 Date: 2018.10.30 14:59:04 -0500

Institution Chief Financial Officer

Gary Rahlfs Digitally signed by Gary Rahlfs
DN: cn=Gary Rahlfs, o=UNT System,
ou=Vice Chancellor for Finance,
email=gary.rahlfs@untsystem.edu, c=US
Date: 2018.10.30 21:02:52 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
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Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2018.11.01 12:41:30 -05'00'

Vice Chancellor/General Counsel

Schedule:

To be effective beginning with the Fall 2019 semester.

Recommendation:

It is recommended that the Board of Regents authorize and approve the following Board Order.

Recommended By:

Bob Brown

Sr. VP for Finance & Administration

**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: 2018.10.30 15:02:50 -05'00'

President

Lesa B. Roe Digitally signed by Lesa B. Roe
DN: cn=Lesa B. Roe, o=UNT System,
ou=Office of the Chancellor,
email=chancellor@untsystem.edu, c=US
Date: 2018.11.01 17:00:32 -05'00'

Chancellor



Board Order

Title: Approval of New Save and Soar (Fixed Rate) Tuition Plan and Discontinuance of Eagle Express Tuition Plan

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the University of North Texas' strategic plan sets a path for targeted growth and increased student success, and

Whereas, UNT wishes to encourage students to complete a timely graduation, and

Whereas, tuition revenues at UNT are used, in part, to help achieve these initiatives, and

Whereas, Section 54.017 of the Texas Education Code requires general academic teaching institutions to offer entering undergraduate students the opportunity to participate in a fixed tuition price plan,

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

1. Establishing the Save and Soar Tuition Plan effective with the Fall 2019 semester that allows new undergraduate students to lock in Board Designated Tuition and any applicable Differential Tuition for 12 consecutive semesters at a rate 2% higher than the current Traditional Tuition Plan and offer discounts to encourage continuous enrollment and timely graduation.
 2. Discontinuance of the Eagle Express Tuition Plan effective at the end of the 2018-2019 academic year.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Honoric Naming of Room 269 of the College of Visual Arts and Design Building as “The Ray and Georgia Gough Design Research Space”

Background:

Regents Rule 09.200, *Naming of Property, Programs and Academic Positions*, specifically 09.203 Item 1 *Honorific Namings*, addresses the need for the Board of Regents to approve honorific naming opportunities. This item represents an honorific naming under this Rule and is brought to the Board for review and approval.

Charles Ray Gough received both his bachelor’s degree (’40) and master’s degree (’41) in art from the University of North Texas. While a faculty member at UNT, he founded UNT’s Interior Design Program. Georgia L. “Billie” Gough received her Master of Fine Arts (’46) from UNT and became an internationally known craft artist. She returned to UNT in 1950 to help create the ceramics program. The couple received the Alumni Association’s Green Glory Award in 2004.

The Gough’s have been generous to the university over the years by serving on the college advisory board, donating art collections and rare books, making annual gifts and funding a lecture series in Ray’s name. In 2017, Billie created The Ray and Georgia Gough Research Fund in Interiors, Fibers, Ceramics, Jewelry, Metals and Related Disciplines. With potential matching funds from the Texas Research Incentive Program (TRIP), this gift could create an impact of \$250,000 for research enhancing activities. In addition to their generous cash gifts, the Goughs have named UNT as a beneficiary of a significant major irrevocable planned gift in accordance with university guidelines for such naming opportunities.

In recognition of the Goughs’ generosity through current giving and their generous irrevocable planned gift, it is recommend that Room 269 in the College of Visual Arts and Design Building be named “The Ray and Georgia Gough Design Research Space” in memory of Charles Ray Gough and in honor of his widow, Georgia L. “Billie” Gough.

Financial Analysis/History:

There is no financial implication in the naming of this space.

Bob Brown
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Date: 2018.10.30 09:32:03 -0500'

Institution Chief Financial Officer

Gary Rahlfs
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Date: 2018.10.30 21:03:20 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2018.11.01 12:42:24 -05'00'

Vice Chancellor/General Counsel

Schedule:

It is anticipated that the new construction will be complete early spring 2019. The naming will be revealed at the College of Visual Arts and Design Dedication in April 2019.

Recommendation:

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

Recommended By:

David Wolf
Vice President, University
Advancement

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: 2018.10.30 11:15:44 -05'00'

President

Lesa B. Roe Digitally signed by Lesa B. Roe
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ou=Office of the Chancellor,
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Date: 2018.11.01 17:01:51 -05'00'

Chancellor



Board Order

Title: Honoring Naming of Room 269 of the College of Visual Arts and Design Building as “The Ray and Georgia Gough Design Research Space”

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, Ray and Georgia Gough have exhibited extraordinary commitment, passion, support and generosity towards the arts at the University of North Texas;

Whereas, Regents Rule 09.200, *Naming of Property, Programs and Academic Positions*, specifically 09.203 Item 1 *Honoring Namings*, addresses the need for the Board of Regents to approve honoring naming opportunities;

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

1. The honoring naming of Room 269 of the College of Visual Arts and Design Building as The Ray and Georgia Gough Design Research Space.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Board Briefing



Committee: Finance & Facilities

Date Filed: October 2, 2018

Title: Naming of the Building Located at 6170 Research Road in Frisco, Texas, as "Inspire Park"

Background:

Regents Rule 09.200, Naming of Property, Programs and Academic Positions, requires approval of the Board of Regents for the naming of all buildings.

UNT recently acquired a 52,000 sq. ft. business incubator building located at 6170 Research Road in Frisco, Texas from the Frisco Economic Development Corporation. The new UNT Inspire Park will nurture Frisco's vibrant entrepreneur community, including attractive spaces leased to businesses. Inspire Park will also bring research and education from UNT to Frisco in the form of classrooms, laboratories and research partnerships.

UNT and UNT System leadership wish to name the building "Inspire Park" effective immediately.

Financial Analysis/History:

There is no financial implication in the naming of this building.

Bob Brown
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DN: cn=Bob Brown, o=Senior VP for Finance & Administration, ou=University of North Texas, email=Bob.Brown@unt.edu, c=US
Date: 2018.10.30 09:32:27 -05'00'

Institution Chief Financial Officer

Gary Rahlfs
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Date: 2018.10.30 21:04:17 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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Date: 2018.11.01 12:43:14 -05'00'

Vice Chancellor/General Counsel

Schedule:

Effective upon approve by the Board of Regents.

Recommendation:

UNT recommends that the Board approve the naming of this facility as “Inspire Park”.

Recommended By:

Neal J. Smatresk

President

Neal
Smatresk

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ou=President,
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President

Lesia B. Roe

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ou=Office of the Chancellor,
email=chancellor@untssystem.edu, c=US
Date: 2018.11.01 17:03:01 -05'00'

Chancellor



Board Order

Title: Naming of the Building Located at 6170 Research Road in Frisco, Texas, as “Inspire Park”

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, Regents Rule 09.200, Naming of Property, Programs and Academic Positions, requires approval of the Board of Regents for the naming of buildings, and

Whereas, this facility has not previously received Board of Regents approval for naming.

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

1. Naming of the building located at 6170 Research Road in Frisco, Texas, as “Inspire Park,” effective immediately.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Order 2018-79

Title: Approval of the Minutes of the August 8-9, 2018, Board Meeting and the October 9, 2018, 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 November 15-16, 2018, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the minutes of the August 8-9, 2018, Board Meeting and the October 9, 2018, 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 August 8-9, 2018, Board Meeting and the October 9, 2018, 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
August 9-10, 2018

Thursday, August 9, 2018

The University of North Texas System Board of Regents convened on Thursday, August 9, 2018, in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas with the following Regents in attendance: Brint Ryan, Mary Denny, Milton Lee, A.K. Mago, Carlos Munguia, Rusty Reid, Gwyn Shea, Glen Whitley, Laura Wright, and Amanda Pajares. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 8:31 a.m.

Chairman Ryan welcomed the new regents, Mary Denny, Carlos Munguia, and Amanda Pajares to the Board of Regents.

Chairman Ryan recognized Chancellor Roe who provided remarks on **progress since the last quarterly Board meeting**.

President Williams then gave a brief update on things happening at the UNT Health Science Center, including the **Provost Appointment, Entrepreneurism, and Colleges' Performance**.

President Neal Smatresk and President Bob Mong shared UNT and UNT Dallas campus updates, respectively. President Smatresk addressed **Students, Research, and Capital Projects**, and President Mong provided a **UNT Dallas Campus Update, College of Law Update**, and summarized **Significant Developments**.

For **Spotlight on Students**, Vice President for Student Affairs Thomas Moorman introduced six students, Chelsea Barron, Anika Galagoda, Russell Gordon, Chaitanya Joshi, Iqra Parupia, and Frank Ssentamu, representing each school at UNTHSC. The students told the Board about their involvement with community-based programs and how these experiences had contributed to their education. The students entertained questions from the Board of Regents.

Chairman Ryan recessed the Board at 9:41 a.m. for the meetings of the Strategic and Operational Excellence, Academic Affairs and Student Success, Audit, and Finance and Facilities Committees.

Following the Committee meetings, the Board reconvened at 4:17 p.m., and Chairman Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Education Code Sections 551.071, .074, and .089.

Chairman Ryan reconvened the Board into open session at 5:23 p.m. There were no action items to consider from Executive Session.

There being no further business, the Board meeting recessed at 5:24 p.m. on Thursday, August 9, 2018, to be reconvened at 9:00 am on Friday, August 10, 2018, in the same room.

Friday, August 10, 2018

The University of North Texas System Board of Regents convened on Friday, August 10, 2018, in Room 109-111 of the Medical Education and Training (MET) Building, University of North Texas Health Science Center, 1000 Montgomery St., Fort Worth, Texas, with the following Regents in attendance: Brint Ryan, Mary Denny, Milton Lee, A.K. Mago, Carlos Munguia, Gwyn Shea, Glen Whitley, Laura Wright, and Amanda Pajares. 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 9:03 a.m.

Chairman Ryan recessed the Board for the meetings of the Audit, Academic Affairs and Student Success, and Finance and Facilities Committees.

Following the Committee meetings, Chairman Ryan reconvened the full Board at 11:19 a.m.

The Board considered the following items on the Consent Agenda:

- | | |
|-----------------------|---|
| 2018-49 UNTS | Approval of the Minutes of the May 17-18, 2018 Board Meeting |
| 2018-50 UNTS | Approval of Intercomponent Transfers of State Appropriations |
| 2018-51 UNTS | Approval to Request to Exceed the Full-Time Equivalent Limitation for FY19 |
| 2018-52 UNTS | Resolution Declaring Intention to Reimburse Certain Expenditures with Proceeds from Debt |
| 2018-53 UNTS | Approval of Broker/Dealer List for FY19 |
| 2018-54 UNTS | Approval of Amended Regulation 08.2000, Investment of System Funds |
| 2018-55 UNT | Approval of Tenure for New UNT Faculty Appointees |
| 2018-56 UNT | Award of Honorary Degree |
| 2018-57 UNTHSC | Approval of UNTHSC Regents' Professor Recommendations |
| 2018-58 UNTHSC | Approval of Grant Agreement to Tarrant County |

2018-59 UNTHSC **Authorization to Execute an Agreement between UNTHSC and Tarrant County to Provide Physician Services for the Tuberculosis Elimination Program of the Tarrant County Public Health Department**

2018-60 UNTHSC **Authorization to Enter into Agreement with Tarrant County Public Health Office for Joint Providership of Continuing Medical Education**

Regent Glen Whitley recused himself from items, 2018-58, 2018-59, and 2018-60. Therefore, the consent agenda was considered in two motions. Pursuant to a motion by Regent Glen Whitley seconded by Regent Milton Lee, the Board approved action items 2018-49 through 2018-57 on the Consent Agenda. The motion was approved on an 8-0 vote. Pursuant to a motion by Regent A.K. Mago seconded by Regent Laura Wright, the Board approved action items 2018-58 through 2018-60 on the Consent Agenda, on a 7-0 vote with Regent Glen Whitley recused.

The Board then considered the following action items coming out of committees:

Audit Committee Items

2018-61 UNTS **Approval of FY19 UNT System Internal Audit Plan**

2018-62 UNTS **FY19 UNT System Compliance Risk Assessment and Work Plan**

Pursuant to a motion by Regent Glen Whitley seconded by Regent A.K. Mago the Board approved the above Audit Committee agenda item. The motion was approved on an 8-0 vote.

Academic Affairs and Student Success Committee Items

2018-63 UNT **Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Urban Policy and Planning**

2018-64 UNT **Approval to Add the UNT Master of Business Administration Degree Program with a Major in Business Analytics**

2018-65 UNT **Approval to Add the UNT Doctor of Philosophy Degree Program with a Major in Consumer Experience Management**

2018-66 UNTD **Approval of UNT Dallas Faculty Development Leave for 2018-19 Academic Year**

Pursuant to a motion by Regent Gwyn Shea seconded by Regent Glen Whitley, the Board approved the above Academic Affairs and Student Success Committee action items. The motion was approved on an 8-0 vote.

Finance and Facilities Committee Items

2018-67 UNTS	Approval of the FY19 UNT System Consolidated Budget
2018-68 UNTS	Approval of the UNTS FY19 Capital Improvement Plan and Amending the FY18 Capital Improvement Plan
2018-69 UNTS	Adoption of the 2018 Campus Master Plan for the University of North Texas Health Science Center
2018-70 UNTS	Amendment to Regents Rule 10.300, <i>Debt Management</i>
2018-71 UNTS	Twenty-Seventh Supplemental Resolution to the Master Resolution Authorizing the Issuance, Sale, and Delivery of Board of Regents of the University of North Texas System Revenue Financing System Bonds, in One or More Series; and Approving and Authorizing Instruments and Procedures Relating Thereto
2018-72 UNTS	Approval of Amendment to Regents Rule 04.1000, <i>Retirement and Deferred Compensation Plans</i>
2018-73 UNTS	Approval to Restructure and Renew UNT System's Existing Converged Computer Infrastructure
2018-74 UNT	Extension of Eagle Post Operating Agreement
2018-75 UNT	Honorific Naming of the Student Exhibition Gallery in the College of Visual Arts and Design (CVAD, Room C105) as "The Paul Voertman Gallery"
2018-76 UNTHSC	Delegation of Authority to the University of North Texas Health Science Center President for Approval of UNTHSC Intergovernmental Transfers (IGT) of Funds for FY 2019 in the Texas Healthcare Transformation and Quality Improvement Program (1115 Transformation Waiver)
2018-77 UNTD	Naming of the Old Dallas City Hall (106 S. Harwood Street) as the "UNT Dallas Law Center"

Pursuant to a motion by Regent Laura Wright seconded by Regent Milton Lee, the Board approved the above Finance and Facilities Committee action items. The motion was approved on an 8-0 vote.

The following Background Material was shared with the Board through its committees:

- Quarterly Operations Report
- Quarterly Academic Measures Report
- UNT System Consolidated Quarterly Compliance Report, March 2018 through May 2018

At 11:23 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 551.074.

Chairman Ryan reconvened the Board into open session at 1:26 p.m. There were no items to consider from Executive Session.

There being no further business, the Board meeting was adjourned at 1:27 p.m. on Friday, August 10, 2018.

Submitted By:

Approved By:

Rosemary R. Haggett

Rosemary R. Haggett, Board Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Date: Aug 20, 2018

Date: _____



MINUTES
SPECIAL CALLED BOARD OF REGENTS MEETING
October 9, 2018

The University of North Texas System Board of Regents convened on Tuesday, October 9, 2018, in Room 712 of the Lee F. Jackson Building, University of North Texas System, 1901 Main St., Dallas, Texas with the following Regents in attendance: Brint Ryan, Mary Denny, Milton Lee, A.K. Mago, Carlos Munguia, Rusty Reid, Gwyn Shea, and Laura Wright. 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 3:09 p.m.

Chairman Ryan recognized Dr. Angela Nievar and Ms. Emily Allen, Dr. Nievar's lawyer, who both addressed the Board on the consideration of the recommendation to terminate for adequate cause the tenured appointment of Dr. Nievar, Associate Professor, Department of Educational Psychology, College of Education, University of North Texas.

Chairman Ryan moved the Board into Executive Session at 3:21 p.m. to consider the above matter as noted on the Executive Session agenda in accordance with Texas Education Code Sections 551.071 and 551.074.

Chairman Ryan reconvened the Board into open session at 4:25 p.m. There was one action item to consider from Executive Session.

2018-78 UNT

Recommendation to Terminate Dr. Margaret Angela Nievar, Ph.D., Associate Professor, a Tenured Faculty Member in the College of Education, Educational Psychology Department, University of North Texas

Pursuant to a motion by Regent Mary Denny seconded by Regent Gwyn Shea, the Board approved the above action item. The motion was approved 8-0 on a roll call vote. Brint Ryan voted "yes", Mary Denny voted "yes", Milton Lee voted "yes", A.K. Mago voted "yes", Carlos Munguia voted "yes", Rusty Reid voted "yes", Gwyn Shea voted "yes", and Laura Wright voted "yes".

There being no further business, the Board meeting was adjourned at 4:27 p.m. on Tuesday, October 9, 2018.

Submitted By:

Approved By:

Rosemary R. Haggett

Rosemary R. Haggett, Board Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Date: Oct. 24, 2018

Date: _____



Title: Authorization to Permit Negotiation and Granting of Pedestrian Easement to the City of Dallas for the Runyon Creek Greenbelt Trail Project at UNT Dallas

Background:

The City of Dallas is anticipating beginning construction of a 1.22-mile extension of the Runyon Creek Greenbelt Trail in January 2019. Through a partnership with the City of Dallas, the Runyon Creek Greenbelt trail will be extended from the Singing Hills Park across Camp Wisdom Road, terminating just north of the DART rail line on the UNT Dallas campus. It will provide an amenity to both the campus and surrounding neighborhoods, further solidifying UNT Dallas’s goal to be rooted in the Dallas community and to help shape positive impacts for the community.

The City of Dallas will provide for the construction of the trail including an approximately 14 foot wide pedestrian sidewalk. The construction of the trail through the campus is contingent upon UNT System and the City of Dallas reaching an agreement for an easement on the University property.

Authorization to permit negotiation and granting of the necessary easement for pedestrian access for the trail on UNT Dallas Campus is recommended. A map of the site with the proposed trail location is attached.

Financial Analysis/History:

On March 26, 2018, Dallas Park and Recreation received notification from the Texas Parks and Wildlife Commission approving a matching \$1,000,000 grant towards the construction of the Runyon Creek Greenbelt Trail extension. The City of Dallas is providing \$900,000 and UNT Dallas has committed \$100,000 to match the grant funding.

Bob Mong
Digitally signed by Bob Mong
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ou=Office of the President,
email=bob.mong@untdallas.edu,
c=US
Date: 2018.10.30 10:31:18 -05'00'

Gary Rahlfs
Digitally signed by Gary Rahlfs
DN: cn=Gary Rahlfs, o=UNT System,
ou=Vice Chancellor for Finance,
email=gary.rahlfs@untsystem.edu, c=US
Date: 2018.10.30 21:05:20 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2018.11.01 12:44:41 -05'00'

Vice Chancellor/General Counsel

Schedule:

Construction of the trail is anticipated to begin in January 2019. Construction of the trail on the UNT Dallas campus cannot begin until the easement is granted.

Recommendation:

It is recommended that the Board of Regents approve the authorization to negotiate and execute all the necessary easement agreements and deeds to the City of Dallas for the construction of the Runyon Creek Greenbelt Trail on the UNT Dallas campus.

Recommended By:

James K. Davis

Associate Vice Chancellor for
Facilities Planning and Development

Bob Mong

Digitally signed by Bob Mong
DN: cn=Bob Mong, o=UNT Dallas,
ou=Office of the President,
email=bob.mong@untdallas.edu,
c=US
Date: 2018.10.30 10:32:52 -05'00'

President

**Cassandra
Nash**

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Nash
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m.edu, c=US
Date: 2018.10.31 10:43:45 -05'00'

Vice Chancellor

Lesla B. Roe

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ou=Office of the Chancellor,
email=chancellor@untssystem.edu, c=US
Date: 2018.11.01 17:04:13 -05'00'

Chancellor**Attachments Filed Electronically:**

- Runyon Creek Greenbelt Trail Exhibit



Board Order

Title: Authorization to Permit Negotiation and Granting of Pedestrian Easement to the City of Dallas for the Runyon Creek Greenbelt Trail Project at UNT Dallas

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the City of Dallas is planning an extension of the Runyon Creek Greenbelt Trail through the UNT Dallas Campus to connect to the DART Rail Line, and

Whereas, UNT Dallas has committed \$100,000 towards the construction of the trail through the UNT Dallas campus, and

Whereas, granting a pedestrian easement to the City of Dallas is necessary for the construction of the trail,

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

1. The Chancellor or her designee to take all action necessary to negotiate with and grant to the City of Dallas a pedestrian access easement for the Runyon Creek Greenbelt Trail as indicated in the attached plan.
 2. The easement shall be under such terms and conditions as may be determined and approved by the Chancellor and Vice Chancellor for Facilities Planning and Construction.
 3. The Chancellor or her designee to sign deeds and agreements related to the easement or provision of related facilities.
-

VOTE: _____ ayes _____ nays _____ abstentions

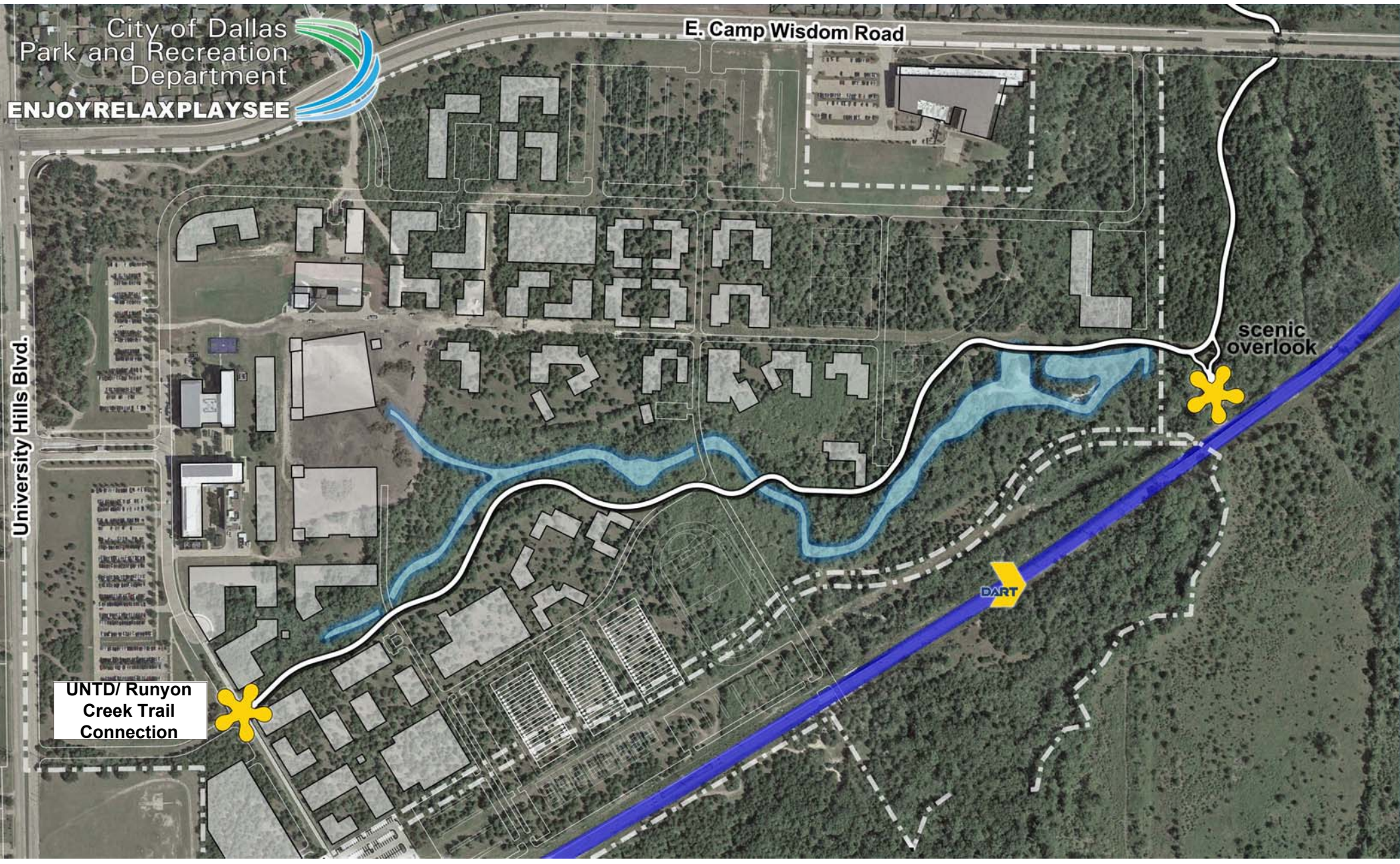
BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



University Hills Blvd.

E. Camp Wisdom Road

scenic overlook

UNTD/ Runyon
Creek Trail
Connection

DART



Title: Approval of Emeritus Recommendations

Background:

In accordance with UNT Policy 06.013, *Conferring Emeritus Status*,

The title “Emeritus” may be conferred by the Board of Regents to a faculty member or librarian at the time of retirement, upon the recommendation of the department/unit, and with administrative approval.

A university administrator, to be eligible for emeritus status, must hold a faculty or librarian appointment, have served in a position at the dean level or higher, and have a record of distinguished service. The emeritus title for an administrator will be commensurate with the position held at the time of retirement (e.g., dean emeritus, president emeritus, etc.). For faculty or librarians recruited directly to administrative positions, the ten year employment requirement is waived.

Emeritus status is recommended for the following individuals:

Alan Albarran, Professor, College of Liberal Arts and Social Sciences (CLASS)

Dr. Albarran served for 18 years as a UNT professor and as department chair of Radio, Television, and Film/Media Arts for 11 years. Dr. Albarran is an expert in media economics and has published definitive books and journal articles on this subject internationally. He has published several widely used textbooks on the management of electronic and digital media, and has taught as a guest lecturer at universities in Spain and Mexico. In 2011, Dr. Albarran was awarded the UNT International Education Award in partial recognition for his work as founder and director of the Center on Spanish Language Media. He also served as past president of the Broadcast Education Association.

Brian Bowman, Professor, College of Music

Dr. Bowman's performances have thrilled audiences for more than a quarter of a century. He joined the UNT College of Music in 1999, and his superb musicianship and dedication to fine brass playing have made him one of the foremost euphonium soloists in the world today. He was the first euphonium soloist to perform a recital in the Carnegie Recital Hall and was the first euphonium player to serve as president of the International Tuba and Euphonium Association. He also performed the first euphonium concert tour of Japan and was the first euphonium player to present a master class at the Paris Conservatory Superior of Music, France.

Nancy Boyd Lille, Professor, College of Business

Dr. Boyd Lille was a UNT faculty member in the Department of Management for 27 years. She published articles in such notable journals as the: *Academy of Management Review*, *Journal of*

Organizational Behavior, Journal of Management, Leadership Quarterly, Journal of Vocational Behavior, Entrepreneurship: Theory and Practice, and Journal of Social Psychology. In 2014, she received the CLEAR Outstanding Teacher and Course Award for her online MBA-level course, MGMT 5710. She also served as interim department chair, master's and doctoral program coordinator, faculty senate executive committee member, and faculty awards committee member.

Witold Brostow, Professor, College of Engineering

Dr. Brostow joined UNT in 1989 as a professor and was a founding member of the Department of Materials Science and Engineering. With over 300 published academic papers and 2 patents, he has one of the highest citation indexes in his department. He received over \$2 million in funding from several external sources, including: E.I. du Pont de Nemours, Dow Chemical Company, Ford Motor Company, RTI, Volvo, Gothenburg, NATO, the National Science Foundation, the Robert A. Welch Foundation, the State of Texas Advanced Technology Program, and the Naval Surface Warfare Center. Dr. Brostow is a corresponding member of the Union for Polymer Research in Berlin, fellow of the Royal Society of Chemistry in London, member of the European Academy of Sciences in Brussels, fellow of the International Union of Pure and Applied Chemistry, and member of the National Academy of Sciences in Mexico City. He holds honorary doctorates from 3 universities in Europe and is the president of the International Council on Materials Education.

Roy Busby, Professor, School of Journalism

Dr. Busby joined the UNT faculty in 1968. In his 50 years, he held several administrative positions including: vice president, director of information, and assistant to the president. He developed 10 undergraduate and graduate courses, and won approximately 30 teaching/ research honors, most recently the Honors College Medallion in 2009. He has been a speaker/ panelist at over 30 professional/academic events and has written more than 150 articles for professional and academic publications. Dr. Busby also consulted on projects for some 40 organizations. He served on or chaired nearly 100 committees during his UNT tenure.

James Conover, Professor, College of Business

Dr. Conover, joined the UNT Department of Finance, Insurance, Real Estate, and Law in 1989. Dr. Conover has a continuous record of distinguished service to the university community, recognized by service awards for serving on department, college, and university curriculum and governance committees. He has a distinguished record of research, authoring over 30 peer-reviewed articles in finance, as well as interdisciplinary research published in information systems and accounting journals. Dr. Conover has a distinguished record of service in teaching finance, chairing and serving as a member of finance doctoral dissertation committees, and teaching classes at the undergraduate- and graduate-levels.

Richard Davis, Professor, College of Visual Arts and Design (CVAD)

Professor Davis has taught sculpture on both the undergraduate- and graduate-levels at UNT for over 50 years. He has had over 75 solo exhibitions, group exhibitions, and commissions on the state and national levels in high profile alternative spaces, well respected galleries, museums, and colleges/universities. Included among these are: *Red Pony*, commissioned for the Icon Advisory Group, Greensboro, NC in 2013; *Players*, commissioned for World Global Financial, Fort Worth, TX in 2009; and *Clear Water Black Plume*, commissioned by Ulrich and Christine Iffland, Berleburg, Germany in 2007. Additionally, Professor Davis was selected as a UNT Institute for the Advancement of the Arts fellow in 2012.

Dr. Steven Forde, Professor, CLASS

Dr. Forde has evolved into one of the leading political theorists in America. He produced two books: the first examined the Greek political historian Thucydides and the second examined John Locke's understanding of science. Dr. Forde published a multitude of papers ranging from Thucydides on the causes of imperialism, Plato on the relation of the sexes, the early modern thinker Grotius' unique effort to ground international law on the newly emerging modern scientific view, and Benjamin Franklin's contribution on how to live as an American. He ended his UNT career with a 4-year tenure as co-editor of the American Political Science and View.

Dr. Carol Ann Frost, Professor, College of Business

Dr. Frost was the UNT Bernard Coda Professor of Accounting from 2007 until her retirement in 2017. She published widely in the leading refereed accounting journals including the: Journal of Accounting Research, Accounting Review, Journal of Accounting and Economics, and Contemporary Accounting Research. Dr. Frost co-authored two editions of a market-leading international accounting textbook and served as an associate editor on several leading accounting research journals, including Contemporary Accounting Research and Accounting Horizons. She served as the accounting doctoral coordinator and helped implement a more rigorous curriculum and stringent admission standards for accounting doctoral students. In addition, Dr. Frost taught many doctoral research seminars, and mentored many doctoral students through joint research and doctoral committee service.

George Getschow, Principal Lecturer, School of Journalism

Professor Getschow, a longtime reporter for the Wall Street Journal and other publications, joined UNT as a lecturer in 2003 and retired as a Principal Lecturer in 2017. Mr. Getschow co-founded the Mayborn Literary Nonfiction Conference in 2004, and with his vision, grew the conference from a regional affair to a well-known national event. Along with founding the conference, Mr. Getschow was instrumental in creating a number of outlets for student work including Mayborn magazine and Ten Spurs journal. Professor Getschow tirelessly forged relationships with journalists at a number of publications from the Denton Record-Chronicle to the Village Voice in New York. Professor Getschow's work in redesigning feature writing and other advanced writing classes introduced narrative nonfiction to the Mayborn curriculum and improved the education and job prospects for numerous students over the past 15 years.

Finley Graves, Provost and Vice President for Academic Affairs, College of Business

Dr. Graves served as provost and vice president for academic affairs from March 2015 through June 2017. Prior to that, he was dean of the UNT College of Business from 2008 - 2015. As an accounting professor, Dr. Graves published numerous articles and books in the areas of international accounting and accounting history. He was president of the: international section of the American Accounting Association, Federation of Schools of Accountancy, the Academy of Accounting Historians, and Southwestern Business Deans Association. Among his honors are Outstanding Teacher of the Year and Outstanding Researcher of the Year in the School of Accountancy at the University of Mississippi, the campus-wide Burlington Northern Foundation Faculty Achievement Award for Outstanding Teaching and Scholarship, also at the University of Mississippi; the 2006 student-elected Faculty of the Year Award in the UNT Department of Accounting; and the national 2009 Federation of Schools of Accountancy/Joseph A. Silviso Faculty Merit Award for Distinguished Contributions to Accounting Education.

Stanley Ingman, Professor, College of Health and Public Service

Dr. Ingman has been on the UNT faculty since 1990. During his tenure, he played a pivotal role in developing outreach and research centers surrounding aging populations. He was the director for the: Texas Institute for Research and Education on Aging, Center for Public Service, and Healthy Neighborhood Initiative. Over the span of his career, he has been recognized as a key contributor to the literature on sustainable senior living and has initiated some of the department's first international relationships focused on supportive and sustainable housing for seniors. With an emerging green movement in Mexico. Dr. Ingman fostered a relationship between UNT and SuBire (a K-12 business school focused upon sustainability) to create an education for sustainability program across such countries as, Mexico, Costa Rica, Uganda, and Nigeria. His international partnerships created a wealth of opportunities for UNT graduates and for doctoral research.

Arminta Jacobson, Professor, College of Education

Dr. Jacobson, served as a UNT faculty member from 1983-2018. She was recognized for her accomplishments as the Elaine Millikan Mathes Endowed Professor and received the UNT Foundation Community Engagement Award. She was a fellow of the National Council on Family Relations. She founded and directed the Center for Parent Education and the National/International Conference on Parent Education for over 20 years. Dr. Jacobson has received approximately \$5 million in research and grant funding, including federal grants, primarily in the support of parent education and early childhood school readiness. She has authored 29 articles, 7 book chapters, and presented extensively at national/international conferences.

Robert Jessup, Professor, CVAD

Dr. Jessup served on the CVAD faculty in the drawing and design program for 27 years. He was the chair of the Studio Art Department in his final year at UNT. Dr. Jessup has had a highly distinguished and illustrious career with over 170 solo and selected group exhibitions of his paintings in galleries as diverse as the: Ruth Seigel Gallery, Gimpel/Weitzenhoffer Gallery, Littlejohn/Sternau Gallery, Fay Gold Gallery, Besharat Gallery, McMurtrey Gallery, and Conduit Gallery. His paintings are part of many personal, public, private, and corporate art collections, including the: Metropolitan Museum of Art, Brooklyn Museum of Art, Blanton Museum of Art, Dallas Museum of Art, American General, Pacific Bell in San Francisco, Coca-Cola U.S.A., Inc., and Reich & Tang, Inc.

Joseph Kung, Professor, College of Science

Dr. Kung served on the UNT faculty for 40 years. During this time, he published 54 research articles, 8 expository and scholarly articles, and 1 book. He had numerous research grants, including National Science Foundation and National Security Agency grants. He was a sought after speaker, invited to the American Mathematics Social Summer Research conferences and international conferences in Korea, Lisbon, Italy, Spain, New Zealand, and Britain. He organized two international conferences on formal power series and algebraic combinatorics, and served as: managing editor for Advances in Applied Mathematics; editor for a Birkhauser book series called Contemporary Mathematicians; consulting editor for Electronic J. Combinatorics; and on the editorial boards of Algebra Universalis and Annals of Combinatorics. In addition, he completed editorial work for two reference encyclopedias: Physical Science and Technology, and Complexity and System Science.

Ben Levin, Professor, CLASS

Professor Levin is one of the most influential professors of documentary film in the United States. He served the Department of Radio, Television, and Film/Media Arts for 28 years. Professor Levin received his MFA from Temple University in 1972 where his film, *You See...I've Had a Life*, received the inaugural student academy award for documentary film. In 1989, Professor Levin was appointed to the National Film Preservation Board by the Librarian of Congress where he has helped curate 25 films every year for preservation in the National Archives of the Library of Congress. His ethnographic documentary films have been screened and exhibited internationally since 1972. Professor Levin co-founded and shaped the direction of UNT's MFA documentary production and studies into one of the premiere graduate film programs in the United States. Professor Levin is a past president of the University Film/Video Association.

Cynthia Mohr, Professor, CVAD

Professor Mohr was a faculty member in CVAD's Department of Design for 14 years. She provided critical leadership and focus for the Department of Design and the programs in interior design, fashion, and communication design. In addition, Professor Mohr is a recognized leader in the international community of interior design educators. She was president for the Interior Design Educator Council of North America and was a fellow to the organization. The International Interior Design Association honored Professor Mohr with the Leadership of Excellence Award. During her UNT tenure, she raised the profile and reputation of the design programs, and CVAD's Department of Design regionally, nationally, and internationally.

Marian O'Rourke-Kaplan, Professor, CVAD

Professor O'Rourke-Kaplan was a faculty member in CVAD's Department of Design for 25 years. She provided critical leadership and focus as program coordinator and graduate coordinator for the fashion design program, and guided the Department of Design as department chair from 1998 – 2002. Professor O'Rourke-Kaplan also served as associate dean for academic affairs from 2006 – 2011, overseeing the National Association of Schools of Art and Design accreditation application. In addition, Professor O'Rourke-Kaplan is a recognized leader in the international community of fashion design, working with the International Textile and Apparel Association and the Association of Sewing and Design Professionals. She presented her research at national/international conferences and exhibitions, including in China and Thailand. During her UNT tenure, she raised the profile and reputation of the design programs and the CVAD's Department of Design regionally, national, and internationally.

Daryl Ramsey, Professor, College of Music

Dr. Ramsey served as an instrumental music specialist in both the undergraduate and graduate programs during his 31 years with the College of Music. He published numerous articles and gave state, national, and international presentations during his tenure at UNT and served throughout the country as a band clinician and adjudicator. In 2000, Dr. Ramsey created the Start Up the Band program. This venture is a collaborative effort between the Denton Independent School District and the UNT Division of Music Education to provide band instruction for economically challenged fifth-grade students in the school district while providing practical teaching experience for the undergraduate music education majors in the College of Music. This project was influential in Dr. Ramsey's receipt of the Robert J. Rogers Service and Community Engagement Award in 2016. He also served as the chair of the college division of the Texas Music Educators Association and the national president of both the Sinfonia Foundation and Phi Mu Alpha Sinfonia fraternity.

Robert Renka, Professor, College of Engineering

Dr. Renka joined UNT's Department of Computer Science Engineering in 1984. He gained early recognition for his contributions to ACM transactions on mathematical software and was appointed algorithms editor for that journal and other ACM journals in 1988. In 1989, he became editor-in-chief of the Collected Algorithms of the ACM and held that position until 1994. In 1990, Dr. Renka became the first member of the department to receive funding from the National Science Foundation. He has also received research grants from the National Security Agency and from industry. He has been listed in many Who's Who editions, including Who's Who in the World. He received the 2017 Albert Nelson Marquis Lifetime Achievement Award for his professional accomplishments. Dr. Renka taught a wide variety of courses and created many new courses in scientific computing and computer graphics. He most recently served the department as undergraduate coordinator during which time he oversaw the successful ABET accreditation of UNT's computer engineering, computer science, and information technology undergraduate programs.

Linda Schamber, Associate Dean, College of Information

Dr. Schamber had a 25-year career at UNT, holding multiple leadership roles within the College of Information, including external affairs director, associate dean, and acting dean. She also served on the associate dean's council and as the interim chair for two of the departments within the college. During her tenure as acting dean, she facilitated the development of faculty and staff mentoring programs, growth initiatives for four academic programs, student recruitment campaigns and coordination, and records management policies and systems.

William Scharnberg, Professor, College of Music

Dr. Scharnberg has had a distinguished career as an educator, performer, and clinician. He was principal horn of the Dallas Opera Orchestra from 1989 - 2016 and is currently principal horn of the Wichita Falls Symphony. He continues to serve the International Horn Society as editor of The Horn Call, the industry trade journal for horn players and educators. His publications include many journal articles and four editions of eighteenth- and nineteenth-century works for horn.

James Scott, Dean, College of Music

Dr. Scott began his distinguished professional career while still a first- year student at Emory University, winning a position as flutist in the Atlanta Symphony, making him one of the youngest musicians in the history of the orchestra. He was a faculty member and head of the music program at Rutgers University and later served as associate dean for instruction and professor of flute at Indiana University. Dr. Scott began his tenure as dean of the UNT College of Music in 2001 and served with distinction until 2016. He continues to give master classes in the Czech Republic, Taiwan, China, Thailand, and S. Korea.

John Scott, Professor, College of Music

Dr. Scott has had a distinguished career as an educator, performer, and clinician. He began his tenure at UNT in 1981 and served as chair of the division of instrumental studies and associate dean of admissions. He was a member of the Richardson Symphony Orchestra for 24 years, and performed with such orchestras as the Dallas Symphony and the Fort Worth Symphony. He is an active recitalist and clinician throughout the United States, Europe, and Asia. He has served as music review editor and advertising manager for The Clarinet Journal.

Financial Analysis/History:

There are no financial implications.

Bob Brown
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DN: cn=Bob Brown, o=Senior VP for Finance & Administration, ou=University of North Texas, email=Bob.Brown@unt.edu, c=US
Date: 2018.10.30 09:27:06 -05'00'

Institution Chief Financial Officer

Gary Rahfs
Digitally signed by Gary Rahfs
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Date: 2018.10.30 20:45:32 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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Date: 2018.10.31 15:38:28 -05'00'

Vice Chancellor/General Counsel

Schedule:

Effective upon approval by the Board of Regents.

Recommendation:

The president recommends that the Board of Regents grant Emeritus status to these distinguished retired individuals.

Recommended By:

Jennifer Cowley

Provost and VPAA

Neal Smatresk
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President

Rosemary R. Haggett, Ph.D.
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Vice Chancellor

Lesa B. Roe
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DN: cn=Lesa B. Roe, o=UNT System, ou=Office of the Chancellor, email=chancellor@untsystem.edu, c=US
Date: 2018.11.01 16:46:25 -05'00'

Chancellor



Board Order

Title: Approval of Emeritus Recommendations

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Policy 06.013, *Conferring of Emeritus Status*, states that the title “Emeritus” may be conferred by the Board of Regents to a faculty member or librarian at the time of retirement, upon the recommendation of the department/unit, and with administrative approval, and

Whereas, a university administrator, to be eligible for emeritus status, must hold a faculty or librarian appointment, have served in a position at the dean level or higher, and have a record of distinguished service. The emeritus title for an administrator will be commensurate with the position held at the time of retirement (e.g., dean emeritus, president emeritus, etc.). For faculty or librarians recruited directly to administrative positions, the ten year employment requirement is waived, and

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

- Alan Albarran, Professor Emeritus
- Brian Bowman, Professor Emeritus
- Nancy Boyd Lille, Professor Emerita
- Witold Brostow, Professor Emeritus
- Roy Busby, Professor Emeritus
- James Conover, Professor Emeritus
- Richard Davis, Professor Emeritus
- Steven Forde, Professor Emeritus
- Carol Ann Frost, Professor Emerita
- George Getschow, Principal Lecturer Emeritus
- Finley Graves, Provost Emeritus
- Stanley Ingman, Professor Emeritus
- Arminta Jacobson, Professor Emerita
- Robert Jessup, Professor Emeritus
- Joseph Kung, Professor Emeritus
- Ben Levin, Professor Emeritus
- Cynthia Mohr, Professor Emerita
- Marian O'Rourke-Kaplan, Professor Emerita
- Daryl Ramsey, Professor Emeritus
- Robert Renka, Professor Emeritus
- Linda Schamber, Associate Dean Emerita
- William Scharnberg, Professor Emeritus

- James Scott, Dean Emeritus
 - John Scott, Professor Emeritus
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Approval of Tenure for New UNT Faculty Appointees

Background:

In accordance with UNT Policy 06.004, Faculty Reappointment, Tenure, and Promotion, I.B., Maximum Probationary Period:

“The maximum probationary period for a faculty member appointed as an assistant professor is the equivalent of six (6) years of full-time service. This period shall be specified for each individual at the time of his or her initial appointment, and 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 06.004, V.I., Review of Dossier by the Provost:

“The provost’s recommendation is sent to the president. The president’s recommendations regarding the candidates for tenure are then sent to the Board of Regents for final approval.”

Dr. Yun-Jo An joined the College of Information, Department of Learning Technologies, in September 2018 as an associate professor. Dr. An received a BA in Educational Technology (2000) from Ewha Womans University, an MS (2002) and a PhD (2006) in Instructional Systems Technology from Indiana University. She has served the University of West Georgia since 2011, achieving promotion to associate professor and tenure in 2013. From 2008-2011, Dr. An served as an assistant professor at Texas A&M University, Texarkana. In the past five years, Dr. An has written 7 articles in respected journals, and contributed 3 book chapters, all as first author. She has also made 18 presentations at national/international conferences. Dr. An’s experience includes a wide variety of teaching at all levels, as well as serving on committees and providing leadership at both university and professional association levels.

Dr. Ruth Chabay joined the College of Science, Department of Physics in September 2018 as a professor. Dr. Chabay received a BA in Chemistry (1970) from the University of Chicago, and an MS (1973) and PhD in Physical Chemistry (1975) from the University of Illinois. Since 2002, she has served North Carolina State University as a tenured professor of Physics, achieving Emerita status in 2010. Some of her most notable career experiences include being a staff fellow at the National Cancer Institute at the National Institute of Health (1977-1980), and serving as a distinguished professor in residence at High Point University (2017). Dr. Chabay has been recognized as a fellow of the American Physical Society, who cited her contributions to the development of computer-based learning and tutorial systems, visualizations, and curricula. She has received multiple teaching awards from both North Carolina State and Carnegie Mellon Universities, and is associated with over \$2.5 million in National Science Foundation grants.

Dr. Bob Heere joined the College of Business, Department of Management, in September 2018 as a professor. Dr. Heere received a bachelor’s degree in Public Administration (1996) from Propedeuse University of Leiden (Netherlands), and an MA in International Affairs (2001) and PhD in Sports Management (2005) from Florida State University. He has served the University of South Carolina since 2013 as an associate professor and PhD program director, achieving

tenure in 2016. From 2008-2013, Dr. Heere served as an assistant professor at the University of Texas, and from 2007-2008, he was a visiting assistant professor at Florida State University. He has published prolifically in highly rated journals, actively managed doctoral students, and is the editor of Sport and Entertainment Review, a major journal in the sports management field. Dr. Heere currently serves as the president of the North American Society of Sport Management. His background reflects considerable teaching experience at the undergraduate, masters, and doctoral levels.

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
Institution Chief Financial Officer

Digitally signed by Bob Brown
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Administration, ou=University of North Texas,
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Date: 2018.10.30 09:27:32 -05'00'

Gary Rahfs
Vice Chancellor for Finance

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ou=Vice Chancellor for Finance,
email=gary.rahfs@untsystem.edu, c=US
Date: 2018.10.30 20:46:14 -05'00'

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Vice Chancellor/General Counsel

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North Texas System, ou=Office of General
Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2018.10.31 15:39:22 -05'00'

Schedule:

Tenure will be effective upon Board of Regents approval or on the first day of employment if after the date of Board of Regents approval for the following individuals:

- Yun-Jo An
- Ruth Chabay
- Bob Heere

Recommendation:

The president recommends that the Board of Regents authorize and approve the award of tenure for Yun-Jo An, Ruth Chabay, and Bob Heere.

Recommended By:

Jennifer Cowley

Provost and VPAA

**Neal
Smatresk**

Digitally signed by Neal Smatresk
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o=University of North Texas,
ou=President,
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c=US
Date: 2018.10.30 10:30:04 -05'00'

President

**Rosemary R.
Haggett, Ph.D.**

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System, ou,
email=rosemary.haggett@untssystem.edu, c=US
Date: 2018.10.30 14:14:04 -05'00'

Vice Chancellor

Lesa B. Roe

Digitally signed by Lesa B. Roe
DN: cn=Lesa B. Roe, o=UNT System, ou=Office
of the Chancellor,
email=chancellor@untssystem.edu, c=US
Date: 2018.11.01 16:48:41 -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 November 15-16, 2018, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in accordance with UNT Policy 06.004, *Faculty Reappointment, Tenure, and Promotion*:

“The maximum probationary period is defined as the maximum amount of time a faculty member may be appointed in probationary ranks in the university,” and

Whereas, “this period shall be specified for each individual at the time of his or her initial appointment,” and

Whereas, “these provisions do not preclude a recommendation for the granting of tenure at any time prior to the expiration of the maximum probationary period,” and

Whereas, Yun-Jo An, Ruth Chabay, and Bob Heere were awarded tenure at their previous institution, and

Whereas, Yun-Jo An, Ruth Chabay, and Bob Heere 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 will be effective upon Board approval or on the first day of employment if after the date of Board approval for the following individuals: Yun-Jo An, Ruth Chabay, and Bob Heere.
-

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 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. Rafia S. Rasu received the Bachelor of Science in Pharmacy (BPharm) degree from the University of Dhaka, Bangladesh in 1997 followed by the Masters in Pharmacy (MPharm) degree in 1999 from the same institution. In 2001 she received the Masters of Business Administration (MBA) degree also from the University of Dhaka, Bangladesh. In 2005 Dr. Rasu received the Doctor of Philosophy (PhD) degree in Health Economics and Outcomes Research from the University of Texas Houston, School of Public Health.

Dr. Rasu began her academic career as an Assistant Professor at the University of Missouri-Kansas City (UMKC) School of Pharmacy in 2005 and in 2011 she was promoted to Associate Professor with tenure. While at UMKC, she had a joint appointment in the School of Nursing and the Bloch School of Management as an executive member of an Interdisciplinary PhD program. In 2014 she joined the University of Kansas (KU) as a tenured Associate Professor of Pharmacy Practice. While there she collaborated with the Kansas Department of Health and Environment and supervised outcomes research at the KU Medical Center. Dr. Rasu’s research has mostly focused on the following areas: pharmacoepidemiology, comparative effectiveness research, outcomes research, health analytics, and economic evaluation of health care interventions. To date, Dr. Rasu’s work has generated more than 40 peer reviewed scholarly publications. She has coauthored a book chapter on Economic Development and Population Health. Dr. Rasu has received extramural funding at the national and federal levels for her research on national level datasets, prescription trends, medication exposure, and mechanisms for improving care.

Dr. Rasu’s broad background in pharmacy, epidemiology, economics, finance, and health services research has allowed her to teach a variety of inter-professional graduate level courses. Her areas of teaching expertise are focused on pharmacoepidemiology, evidence based practice, risk adjustment, medication safety and effectiveness, health literacy, outcomes research, health services research, economic evaluation of health care interventions, and public health. In addition to didactic teaching, Dr. Rasu has supervised post-doctoral fellows, PhD students, and residents. Dr. Rasu joined the UNT System College of Pharmacy as Professor in the Department of Pharmacotherapy on September 1, 2018. She has a proven track record as an innovative educator and her extensive experience in health economics and outcomes research promises to bring this area of scholarship to a new level at 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
Institution Chief Financial Officer

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Science Center, ou=Office of Finance and
Operations,
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Date: 2018.10.30 08:14:01 -0500

Gary Rahlfs
Vice Chancellor for Finance

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ou=Vice Chancellor for Finance,
email=gary.rahlfs@untsystem.edu, c=US
Date: 2018.10.30 20:42:08 -0500

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Vice Chancellor/General Counsel

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Texas System, ou=Office of General Counsel,
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Date: 2018.10.31 15:37:08 -0500

Schedule:

Tenure will be effective immediately upon Board approval.

Recommendation:

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

Recommended By:

Charles Taylor
Provost

Michael R.
Williams
President

Digitally signed by Michael R.
Williams
DN: cn=Michael R. Williams,
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email=michael.williams@unthsc.edu,
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Date: 2018.10.29 19:42:17 -0500

Rosemary R.
Haggett, Ph.D.
Vice Chancellor

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Les B.
Roe
Chancellor

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Board Order

Title: Approval of Tenure for New Faculty Appointee

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, 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. Rafia S. Rasu is an outstanding educator and researcher, and

Whereas, Dr. Rasu meets the UNT System College of Pharmacy criteria for tenure and is endorsed by her Chair, Dean, Provost, and the President,

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

1. The conferring of tenure to Dr. Rafia S. Rasu effective immediately upon Board approval.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Board Briefing



Committee: Consent

Date Filed: October 18, 2018

Title: Authorization to Enter into Interlocal Agreement with Tarrant County for Disposition of Certain Decedents

Background:

UNT Health Science Center (UNTHSC) seeks to assist Tarrant County with the disposition of the remains of certain decedents. The terms of the proposed Interlocal Agreement (ILA) are attached hereto.

Financial Analysis/History:

The proposed ILA will generate approximately \$50,000.00 annually.

Gregory R.
Anderson

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Center, ou=Office of Finance and Operations,
email=gregory.anderson@unthsc.edu, c=US
Date: 2018.10.29 08:15:14 -05'00'

Institution Chief Financial Officer

Gary Rahfs

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ou=Vice Chancellor for Finance,
email=gary.rahfs@untsystem.edu, c=US
Date: 2018.10.30 20:43:40 -05'00'

Vice Chancellor for Finance

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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Date: 2018.10.31 15:35:45 -05'00'

Vice Chancellor/General Counsel

Schedule:

The term of the ILA is from date of last signature through August 31, 2019 and may be annually renewed upon mutual written agreement.

Recommendation:

It is recommended that the Board of Regents authorize and approve UNTHSC to enter into an ILA with Tarrant County for disposition of certain decedents.

Recommended By:

Charles Taylor

Provost

**Michael R.
Williams**

Digitally signed by Michael R. Williams
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ou=President,
email=michael.williams@unthsc.edu, c=US
Date: 2018.10.29 19:43:19 -0500

President

Lesa B. Roe

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ou=Office of the Chancellor,
email=chancellor@untsystem.edu, c=US
Date: 2018.11.01 16:28:06 -0500

Chancellor

Attachment Filed Electronically:

- **Interlocal Agreement between Tarrant County and University of North Texas Health Science Center for Disposition of Indigent and Unclaimed Minor Children or Adult Decedents**



Board Order

Title: Authorization to Enter into Interlocal Agreement with Tarrant County for Disposition of Certain Decedents

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Health Science Center (UNTHSC) seeks to assist Tarrant County with the disposition of the remains of certain decedents,

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

1. Authorization to enter into the Interlocal Agreement (ILA) with Tarrant County for the disposition of certain decedents.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

STATE OF TEXAS §
 §
COUNTY OF TARRANT §

INTERLOCAL AGREEMENT

Between

TARRANT COUNTY

And

UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER

For

DISPOSITION OF INDIGENT AND UNCLAIMED MINOR CHILDREN or ADULT
DECEDENTS

WHEREAS, the County of Tarrant, a governmental entity, hereinafter called "County" and located at, 100 E Weatherford St #404, Fort Worth, TX 76196 in Tarrant County, Texas, wishes to enter into an Interlocal Agreement (ILA) with The University of North Texas Health Science Center, hereinafter called "UNTHSC", a State agency located at 3500 Camp Bowie Blvd., Fort Worth, TX 76107 in Tarrant County, Texas for disposition of the body of a deceased pauper; and

WHEREAS, Section 694.002 of the Texas Health and Safety Code authorizes the County Commissioners Court to provide for the disposition of the body of a decedent pauper by either burial, donation to a medical facility, or cremation; and

WHEREAS, Section 791.011(C)(2) of the Texas Government Code permits agreements between local governments and state agencies to provide a governmental function or service that each party to the contract is authorized to perform individually.

NOW, THEREFORE, THIS ILA IS hereby made and entered into by and between UNTHSC and County upon and for the mutual consideration stated herein:

I.

Upon determination by Tarrant County, that the County is in possession of an adult dead body weighing 600 pounds or less, that is not claimed for burial or requires disposition at County expense, the County may provide the decedent to the UNTHSC for disposition as donation to a medical facility. The decision to provide the decedent to the UNTHSC shall come only after, and consistent with, consideration of those listed, if known, in Section 711.002 (a) of the Texas Health and Safety Code, and the religious affiliation of the deceased individual.

II.

The UNTHSC will accept the adult decedent provided by the County and process the decedent in compliance with applicable laws and established Texas State Anatomical Board policies and procedures for willed bodies, including disposition of any remains. All decedents, including, without limitation, decedents with infectious diseases, will be handled and boxed for cremation by

UNTHSC employees. County shall notify UNTHSC when any infectious disease cases are provided by County to UNTHSC.

III.

The Term of this ILA shall commence on _____ 1, 2018 through August 31, 2019. The manner and means for receipt and handling of the body of a deceased pauper by UNTHSC will be governed by terms and conditions separately described by a process mutually agreed upon by and between County and UNTHSC which may be modified from time to time as the parties collectively determine is consistent with the Texas Health and Safety Code, and to meet the purpose, intent and needs of the parties. Either party may terminate the ILA upon thirty (30) days advance written notice to the other party or upon mutual consent. This ILA may be annually renewed upon mutual written agreement.

IV.

County and UNTHSC agree and acknowledge that each entity is not an agent of the other entity and that each entity is responsible for its own acts, forbearance, negligence and deeds, and for those of its agents or employees in conjunction with this ILA, to the extent allowed by Texas law.

COUNTY OF TARRANT, TEXAS

THE UNIVERSITY OF NORTH TEXAS
HEALTH SCIENCE CENTER

BY: PRESIDING
OFFICRE

BY: Gregory Anderson
Executive Vice President
for Finance and Operations



Title: Delegation of Authority to Extend GME Formula Funding Agreement Between UNTHSC and the Tarrant County Hospital District

Background:

The Texas Legislature applies a per resident amount funding formula to provide funds to the state's medical schools as a part of the state's Graduate Medical Education (GME) Formula Funding program approved in each biennial state budget.

UNT Health Science Center (UNTHSC), as the academic affiliate for Tarrant County Hospital District (TCHD), receives GME Formula Funding from the State of Texas to help offset the costs related to teaching graduate medical students at TCHD. Residency positions affiliated with UNTHSC and an Accreditation Council for Graduate Medical Education (ACGME) accredited residency program are eligible for GME Formula Funding.

In order that TCHD and UNTHSC may accomplish their objectives in a larger measure, UNTHSC executed a contract in fiscal year 2018 to pass-through to TCHD Eighty Percent (80%) of the appropriated state GME Formula Funding per eligible medical resident. A total of \$815,360 in GME formula funding was paid to TCHD in fiscal year 2018. To continue this pass-through arrangement, it is necessary to extend the existing contract through March 1, 2020. This extension increases the total contract cost to approximately \$2,445,360.00 and therefore requires Board approval.

Financial Analysis/History:

The details and dollar amounts associated with the above transaction is dependent on the per resident rate established in the state's biennial state budget and the number of certified UNTHSC residents participating in the District's ACGME-accredited residency programs as of September 1st of the 2019 and 2020 fiscal year. The additional amount of state GME Formula Funding to pass-through to TCHD is approximately \$1,630,000.00, making the total contract cost of approximately \$2,445,360.

Gregory R. Anderson
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Date: 2018.10.29 08:15:39 -0500

Institution Chief Financial Officer

Gary Rahfs
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Date: 2018.10.30 20:44:35 -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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Date: 2018.10.31 15:36:31 -05'00'

Vice Chancellor/General Counsel

Schedule:

Extension of existing contract commencing August 9, 2018 through March 1, 2020.

Recommendation:

It is recommended that the Board of Regents approve the Delegation of Authority to extend the GME Formula Funding Agreement Between UNTHSC and the Tarrant County Hospital District.

Recommended By:

Michael Hicks

Executive Vice President

Michael R. Williams Digitally signed by Michael R.
Williams
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du, c=US
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President

Lesa B. Roe Digitally signed by Lesa B. Roe
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Chancellor



Board Order

Title: Delegation of Authority to Extend GME Formula Funding Agreement Between UNTHSC and the Tarrant County Hospital District

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on November 15-16, 2018, pursuant to a motion made by Regent and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Health Science Center receives GME Formula Funding from the State of Texas to help offset the costs related to teaching graduate medical students at the District and

Whereas, It is in the interest of both UNTHSC and the TCHD and for the benefit of the citizens of Tarrant County and the State of Texas that the District maintain graduate medical training programs accredited by ACGME.

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

1. The Chancellor or her designee to extend existing agreement with Tarrant County Hospital District to pass through to Tarrant County Hospital District state appropriated GME Formula Funding.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents