



University of North Texas System

Board of Regents

Schedule of Events for Board of Regents Meeting

February 23-24, 2017

The University of North Texas System Board of Regents will meet on February 23 from 9:00 am until approximately 6:30 pm and on February 24 from 9:00 am until approximately 11:45 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.

The meeting will take place at the UNT Dallas campus on February 23 and at the UNT System Building on February 24. Please reference the building and room location listed directly below each date on the agenda. Please contact the Office of the Board Secretary with any questions at 214.752.5545.

Thursday, February 23, 2017

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

9:00 am CONVENE FULL BOARD

CHANCELLOR'S REMARKS

- Hiring Freeze and State Budgets
- Law School Accreditation
- Construction and Real Estate Projects

HOST PRESIDENT'S REMARKS

- Update on Goals
- Recognition of Deans
- Enrollment
- Community Connectedness at UNTD Video

9:30 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Call to Order

- Approval of minutes of November 17-18, 2016 meeting
- Review of committee charter and annual schedule

Briefings:

Student Success: What Works

- Ray Keck, Texas A&M Commerce, President & CEO

UNT System Provosts: Academic Highlights

- Finley Graves, UNT, Provost
- Claire Peel, UNTHSC, Interim Provost
- Betty Stewart, UNT Dallas, Provost

BACKGROUND MATERIAL

- Quarterly Academic Measures Report
- UNT College of Arts and Sciences Split into Two Colleges

10:30 am STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE

Call to Order

- Approval of minutes of November 17, 2016 meeting
- Review of committee charter and annual schedule

Briefings:

UNT System Administration and Institutional Strategic Plans Review

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

IT Strategic Plans and Excellence Measures

- Rama Dhuwaraha, UNT System, Chief Information Officer

BACKGROUND MATERIAL

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

Adjourn Strategic & Operational Excellence Committee.

11:30 am FINANCE AND FACILITIES COMMITTEE

Call to Order

- Approval of minutes of November 17-18, 2016 meeting
- Review of committee charter and annual schedule

Briefings:

UNT Dallas Campus Master Plan Update

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

Vice Chancellor of Finance: Review of Briefings

- Status of Fy16 CAFR
- Controller & Budget Improvements
- Bond Sale and Debt Management
- IT Strategies & Progress

Quarterly Budget Report

- Jim Gross, UNT System, Budget Director

Recess Finance and Facilities Meeting for Lunch.

12:30 pm LUNCH WITH THE NEW DALLAS CITY MANAGER, T.C. BROADNAX

2:00 pm FINANCE AND FACILITIES COMMITTEE

Briefings:

Recent Bond Sale

- Luke Lybrand, UNT System, Treasury Manager
- James Verfurth, UNT, Student

Treasury and Debt Update

- James Mauldin, UNT System, Associate VC for Treasury

ITSS Key Software Applications

- Kem Marcum, UNT System, ERP Application Development Director

BACKGROUND MATERIAL

- Quarterly Operations Report

Recess Finance and Facilities Committee.

3:30 pm AUDIT COMMITTEE

Call to Order

- Approval of minutes of November 17-18, 2016 meeting
- Review of committee charter and annual schedule

Briefings:

Report of Audit Activities

- Tracy Grunig, UNT System, Chief Audit Executive

UNT System Enterprise Audit Report Inventory

- Tracy Grunig, UNT System, Chief Audit Executive

BACKGROUND MATERIAL

- UNT System Consolidated Quarterly Compliance Report, September 2016 through November 2016

Adjourn Audit Committee.

4:15 pm CONVENE FULL BOARD AND RECESS TO EXECUTIVE SESSION

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

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

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

- Consideration of individual personnel matters related to the appointment, employment, evaluation, reassignment, discipline and dismissal of System and Institution officers or employees
- Consideration of individual personnel matters related to the evaluation of and employment agreement with the UNT Dallas President, and possible action
- Consideration of individual personnel matters related to the employment agreement with the UNT Head Football Coach, and possible action
- Consideration of individual personnel matters related to the evaluation of and employment agreement with the UNT System Chief Audit Executive, and possible action

Government Code, Chapter 551, Section .073 - Negotiated Contracts for Prospective Gifts or Donations

- Discussion regarding proposed negotiated gifts with potential naming features at UNT, and possible action

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

- Consultation with counsel regarding confidential legal matters, including pending, threatened, and contemplated litigation or settlement offers
- Consultation with counsel regarding contemplated, ongoing and/or finalized investigations and any findings, conclusions or recommendations related to those investigations
- Consultation with counsel regarding audits and any findings, conclusions or recommendations related to those audits

- Consultation with counsel on the status of negotiations and/or compliance with contracts and agreements, including but not limited to research grants and contracts, including legal obligations and duties and any and all related facts
- Consultation with counsel regarding ethics, conflicts of interest, and contracting policies
- Consultation with counsel regarding accreditation matters related to the UNT Dallas College of Law
- Consultation with counsel regarding legal duties and responsibilities of members of the Board of Regents, and System and University officers and employees

6:30 pm CONVENE FULL BOARD AND RECESS

Friday, February 24, 2017

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

9:00 am CONVENE FULL BOARD

Recess for committee meetings.

9:05 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Action Item:

- 8. UNTHSC Approval of UNTHSC Request for New Master of Science Degree in Public Health Sciences

Adjourn Academic Affairs & Student Success Committee.

9:20 am FINANCE AND FACILITIES COMMITTEE

Action Items:

- 9. UNTS Authorization to Amend the UNTS FY17 Capital Improvement Plan to Add a New Eagle Point Lot and to Modify the Project Scope and Budget for the Track and Field Stadium at UNT
- 10. UNTS Procurement of External Services for Grants Systems Implementation
- 11. UNTHSC Approval of Affiliated Entity Agreement between the University of North Texas Health Science Center and UNTHSC Foundation
- 12. UNTHSC Approval of UNTHSC Professional Medical Malpractice Self-Insurance Plan Experience Dividend
- 13. UNTD UNT Dallas College of Law FY18 and FY19 Tuition Increase
- 14. UNTD UNT Dallas Residence Hall Fees

Adjourn Finance and Facilities Committee.

10:00 am CONVENE THE FULL BOARD

CONSENT AGENDA

- 1. UNTS Approval of the Minutes of the November 17-18, 2016 Board Meeting
- 2. UNT Approval of UNT Faculty Development Leaves for 2017-2018 Academic Year
- 3. UNT Approval of Tenure for New UNT Faculty Appointees
- 4. UNT Award of Honorary Degree
- 5. UNTHSC Approval of UNTHSC Emeritus Administrator Recommendation

- 6. UNTHSC Approval of Tenure for New UNTHSC Faculty Appointee
- 7. UNTD Approval of Tenure for New UNT Dallas Faculty Appointee

ACTION ITEMS:

- 8. UNTHSC Approval of UNTHSC Request for New Master of Science Degree in Public Health Sciences
- 9. UNTS Authorization to Amend the UNTS FY17 Capital Improvement Plan to Add a New Eagle Point Lot and to Modify the Project Scope and Budget for the Track and Field Stadium at UNT
- 10. UNTS Procurement of External Services for Grants Systems Implementation
- 11. UNTHSC Approval of Affiliated Entity Agreement between the University of North Texas Health Science Center and UNTHSC Foundation
- 12. UNTHSC Approval of UNTHSC Professional Medical Malpractice Self-Insurance Plan Experience Dividend
- 13. UNTD UNT Dallas College of Law FY18 and FY19 Tuition Increase
- 14. UNTD UNT Dallas Residence Hall Fees

10:30 am RECESS FOR EXECUTIVE SESSION (Room #711)

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

- Consultation with counsel regarding confidential legal matters, including pending, threatened, and contemplated litigation or settlement offers
- Consultation with counsel regarding contemplated, ongoing and/or finalized investigations and any findings, conclusions or recommendations related to those investigations
- Consultation with counsel regarding audits and any findings, conclusions or recommendations related to those audits
- Consultation with counsel on the status of negotiations and/or compliance with contracts and agreements, including but not limited to research grants and contracts, including legal obligations and duties and any and all related facts
- Consultation with counsel regarding ethics, conflicts of interest, and contracting policies
- Consultation with counsel regarding accreditation matters related to the UNT Dallas College of Law
- Consultation with counsel regarding legal duties and responsibilities of members of the Board of Regents, and System and University officers and employees

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 appointment and selection processes, duties and responsibilities, employment, and evaluation of System and Institution officers or employees

11:30 am Reconvene the Board in Open Session (Room #712) to consider action on Executive Session items, if any

11:45 am ADJOURNMENT



MINUTES

BOARD OF REGENTS MEETING Academic Affairs and Student Success Committee November 17-18, 2016

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

Thursday, November 17, 2016

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System convened on Thursday, November 17, 2016, in the University Union, Room 333, at the University of North Texas, 1155 Union Circle, Denton, Texas, with the following members in attendance: Regents Al Silva, Milton Lee, A.K. Mago, and Gwyn Shea.

There being a quorum present the meeting was called to order by Committee Chairman Silva, at 10:43 a.m. The minutes of the August 18-19, 2016 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 Milton Lee.

Chair Silva invited Dr. Tom McCoy, Vice President for Research and Economic Development to deliver the briefing, **UNT Annual Research Report**, which was followed by discussion by the Committee.

Chair Silva noted that the Committee had received background material, **Quarterly Academic Measures Report**.

There being no further business, the Committee meeting recessed at 11:23 a.m. until the following day.

Friday, November 18, 2016

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System reconvened on Friday, November 18, 2016, in the University Union, Room 333, at the University of North Texas, 1155 Union Circle, Denton, Texas with the following members in attendance: Regents Al Silva, Milton Lee, and A.K. Mago.

There being a quorum present the meeting was called to order by Committee Chair Silva at 9:08 a.m.

Dr. Finley Graves, UNT Provost, presented three new academic programs for approval.

7. UNT Approval of New UNT Bachelor of Arts Degree Program with a Major in Japanese

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

8. UNT Approval to Add the TWU and UNT Joint Master of Social Work Degree Program

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

9. UNT Approval to Add the UNT Master of Arts Degree Program with a Major in Women's and Gender Studies

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

There being no further business, the Committee meeting adjourned at 9:15 a.m.

Submitted By:

Rosemary R. Haggett

Rosemary R. Haggett
Board Secretary

Date: Dec 5, 2016

UNIVERSITY OF NORTH TEXAS SYSTEM BOARD OF REGENTS

ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE CHARTER

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

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

- Confirm that the System's strategic plan and institutional plans are built upon a comprehensive academic plan;
- Review institutional academic policies and propose new or revised policies, as appropriate, to the full Board;
- Review, on an annual basis, the admission standards for each institution and the language used in publicizing such standards;
- Review significant findings and recommendations received from the Southern Association of Colleges and Schools – Council on Colleges (SACS-COC) and specialized accrediting agencies, and ensure that any recommendations and requirements are addressed appropriately within designated timeframes;
- Represent students' interests in all policy decisions made by the Board;
- Review financial aid strategies to ensure alignment with enrollment strategies;
- Review System institutional data and peer institution data regarding comparative status, performance, quality, and value, and ensure that academic Key Performance Indicators are appropriately set and met;
- Pursue educational opportunities regarding key topics in higher education affecting UNTS institutions;
- Review faculty personnel policies, including criteria and standards for tenure and promotion to see that they are clearly articulated, accessible to faculty members, and applied systematically and equitably across the institutions;
- Approve faculty candidates for appointment with tenure, or awarding of tenure status to faculty on the tenure track;
- Review student support services and monitor student retention and persistence to graduation;
- Monitor research funding for consistency with the institutions' missions.

The Academic Affairs and Student Success Committee will also:

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

Adopted: 02.20.15

Effective: 02.20.15

Revised:

Board Item	Feb	March Retreat	May	Aug	Nov
Annual Items					
Committee Charter & Schedule	X				
Faculty on Leave without Pay					X
Faculty Emeritus Appointments	X				
Faculty on Modified Service				X	
Faculty Development Leave	X				
Tenure Appointments			X		
Program Assessment			X		
Regents Professorships				X	
Review of Admission Standards			X		
Review of Comparative Status, Performance, Quality & Value					X
Quarterly Items					
New Program Requests	X		X	X	X
Discussion of New Policies/Programs Affecting Student Success	X		X	X	X
Findings/Recommendations from Accrediting Agencies (as they arise)	X		X	X	X



Title: Approval of UNTHSC Request for New Master of Science Degree in Public Health Sciences

Background:

The School of Public Health (SPH) has a PhD degree in Public Health Sciences. However, the School lacks the necessary Master of Science (MS) degree program to prepare students for doctoral (PhD) study. Currently, the School offers only professional master's degree programs, i.e., the Master of Public Health (MPH) and the Master of Health Administration (MHA). These two degree programs are intended to be terminal degrees for public health practitioners. Moreover, they do not provide adequate preparation for research-oriented PhD programs. According to the Association of Schools & Programs of Public Health (ASPPH), the MPH degree "is not primarily geared toward teaching or research" (<http://www.aspph.org/study#degrees>). The ASPPH also notes that the "Master of Science (MS) and the Master of Health Sciences (MHS), are academic degrees oriented toward students wishing to seek a career in teaching or conducting research at a college or university or other settings." MS programs emphasize research methods. Thus, the School's current master's degree students who wish to pursue the PhD are in most cases not competitive applicants for doctoral study at UNTHSC or other universities.

The MS program will consist of 36 semester credit hours (SCH) to be completed in 24 months. In accordance with the Council on Education for Public Health accreditation criteria, the program will culminate in a discovery-based paper. Students who excel in the MS degree program will be recruited to continue their studies in the School's PhD program.

The School seeks to establish the following concentrations in the MS degree program:

- Biostatistics
- Epidemiology
- Health Behavior Research

Regardless of the concentration, students in the MS program will complete a common core curriculum in public health concepts, biostatistics, and epidemiology.

The SPH at the University of Texas offers MS degrees in Biostatistics and Epidemiology. No other Texas university offers the MS in Public Health Sciences, Biostatistics, or Epidemiology. All of the highly ranked schools of public health in the U.S. offer MS degrees. Student demand for these programs is expected to be strong. Courses will be offered by existing faculty in the SPH.

According to data from the U.S. Bureau of Labor Statistics, the median annual wage for biostatisticians was \$80,110 in May 2015, and their employment is projected to grow 34% from 2014 to 2024, much faster than the average for all occupations. The median annual wage for epidemiologists was \$69,450 in May 2015, and their employment is projected to grow 6% from

2014 to 2024, about as fast as the average for all occupations. Epidemiologists are likely to have good job prospects overall. The median annual wage for health behavior (survey) researchers was \$53,920 in May 2015, and their employment is projected to grow 12% from 2014 to 2024, faster than the average for all occupations.

Financial Analysis/History:

The addition of the MS degree program described in this proposal will not initially require any additional space, funding or equipment. The School is reducing the number of MPH degree concentrations being offered, therefore, faculty teaching resources will be shifted to the new MS program. Thus, there is no need to currently hire new faculty to support the new MS degree program. However, as demand for the new degree program increases in future years, the School will reassess the need for additional resources that may be needed to support the program.

Gregory R. Anderson

Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, o=UNT Health
Science Center, ou=Office of Finance,
email=gregory.anderson@unthsc.edu, c=US
Date: 2017.02.02 10:46:28 -06'00'

Institution Chief Financial Officer

Janet Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untssystem.edu, c=US
Date: 2017.02.08 12:41:17 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untssystem.edu, c=US
Date: 2017.02.08 17:52:49 -06'00'

Vice Chancellor/General Counsel

Schedule:

Upon approval by the Board of Regents and the Texas Higher Education Coordinating Board, enrollment of the initial class would be scheduled for Fall 2017.

Recommendation:

The President recommends that the Board of Regents approve the authorization of a new Master of Science degree program in Public Health Sciences.

Recommended By:

Claire Peel

Interim Provost

Dr. Michael
R. Williams

Digitally signed by Dr. Michael R. Williams
DN: cn=Dr. Michael R. Williams, o=UNT
Health Science Center, ou=President,
email=michael.williams@unthsc.edu,
c=US
Date: 2017.02.02 12:43:52 -06'00'

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North
Texas System, ou=Vice Chancellor for Academic
Affairs and Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2017.02.06 16:17:16 -06'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.02.13 11:16:29 -06'00'

Chancellor

Attachments Filed Electronically:

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



Board Order

Title: Approval of UNTHSC Request for New Master of Science Degree in Public Health Sciences

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the UNTHSC School of Public Health (SPH) has a doctoral (PhD) degree in Public Health Sciences but lacks the necessary Master of Science (MS) degree program to prepare students for PhD study, and

Whereas, the SPH current Master's degree students who which to pursue the PhD, in most cases, are not competitive applicants for doctoral study at UNTHSC or other universities, and

Whereas, the students who excel in the MS degree program will be recruited to continue their studies in the School's PhD program,

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

1. The proposed Master of Science degree in Public Health Sciences and authorizes the Interim Provost to provide the appropriate notification to the Texas Higher Education Coordinating Board for final approval.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

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

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

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

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

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

Administrative Information

1. **Institution:** University of North Texas Health Science Center
2. **Program Name:** Master of Science (M.S.) in Public Health Sciences
3. **Proposed CIP Code:**
4. **Number of Required Semester Credit Hours (SCHs)¹:** 36 SCH
5. **Administrative Unit:** School of Public Health
6. **Delivery Mode:** On-Site/In Classroom
7. **Implementation Date:** Fall Semester, 2017
8. **Contact Person:**
 - Name: Dennis L. Thombs, PhD, FAAHB
 - Title: Professor and Dean
 - E-mail: dennis.thombs@unthsc.edu
 - Phone: 817-735-5439

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

Signature Page

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

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

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

Chief Executive Officer

Date

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

Date of Board of Regents approval: _____

Board of Regents (or Designee)

Date

Background Report



Committee: Academic Affairs & Student Success

Date Filed: January 13, 2017

Title: UNT College of Arts and Sciences Split into Two Colleges

Background:

In fall 2017, UNT intends to split its College of Arts and Sciences into two separate colleges: the College of Science (COS) and the College of Liberal Arts and Social Sciences (CLASS).

COS will include Biological Sciences, Chemistry, Mathematics, and Physics, plus Teach North Texas, the BioDiscovery Research Institute, and the Advanced Environmental Science Institute. CLASS will include all other existing College of Arts and Sciences departments and programs.

There are two main reasons for the intended separation. First, the separation will create better aligned academic departments that share educational and research goals, giving departments the ability to advocate for resources and project a clearer identity to students. The split will allow the sciences to work towards more prominent programs and more defined research opportunities, while allowing CLASS to continue its commitment to providing students an academic foundation for work, life, and citizenship.

Lastly, the consolidation of science programs into a separate college will further UNT's mission to create an enriched and sustainable future for students. A sustainable future must include addressing the national need for the preparation and graduation of students in STEM fields.

For informatory purposes, the College of Arts and Sciences had a fall 2016 enrollment of 12,424 students and 3,868 of these students were Biological Sciences, Chemistry, Mathematics, or Physics majors. If the split had occurred in the fall 2016 semester, COS would have been the 5th largest college/school at UNT.

Financial Analysis/History:

This is a report item only.

Bob Brown

Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas, ou=VP for Finance and Administration, email=bbob.brown@unt.edu, c=US
Date: 2017.02.09 09:56:54 -0600

Institution Chief Financial Officer

Janet Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untssystem.edu, c=US
Date: 2017.02.08 12:44:54 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untssystem.edu, c=US
Date: 2017.02.09 08:58:11 -0600

Vice Chancellor/General Counsel

Schedule:

Complete by fall 2017.

No action required. Information only. Submitted by:

Neal Smatresk

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North
Texas System, ou=Vice Chancellor for Academic
Affairs and Student Success,
email=rosemary.haggett@untssystem.edu, c=US
Date: 2017.02.06 16:19:43 -06'00'

Vice Chancellor

Lee Jackson

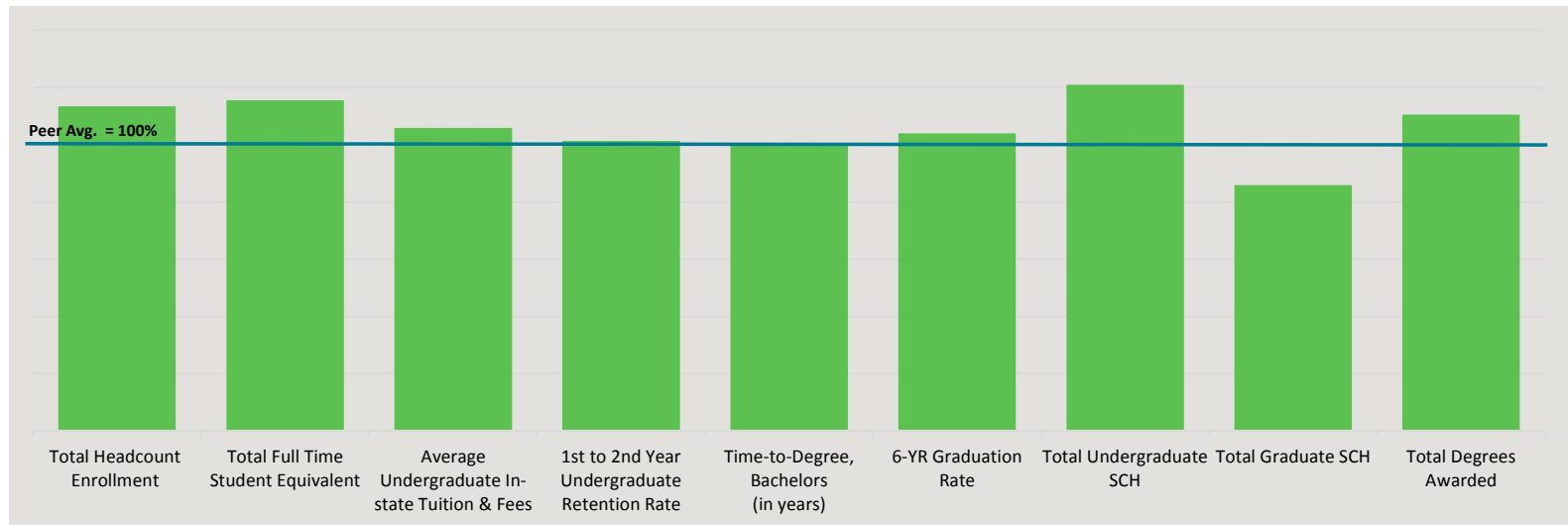
Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untssystem.edu,
c=US
Date: 2017.02.13 11:36:07 -06'00'

Chancellor

Student Access & Success Dashboard



	Total Headcount Enrollment	Total Full Time Student Equivalent	Average Undergraduate In-state Tuition & Fees	1st to 2nd Year Undergraduate Retention Rate	Time-to-Degree, Bachelors (in years)	6-YR Graduation Rate	Total Undergraduate SCH	Total Graduate SCH	Total Degrees Awarded
Current Year Data Available - % of Peer Avg.	113.2%	115.3%	105.6%	101.1%	99.7%	103.7%	120.6%	85.7%	110.3%
UNT % Change in 1 Year	↑ 2.8%	↑ 3.9%	↑ 6.8%	↑ 1.4%	↓ 1.9%	↑ 1.4%	↑ 3.8%	↑ 5.1%	↑ 0.7%
UNT % Change in 5 Years (or maximum # yrs available, if <5 yrs)	↑ 3.1%	↑ 7.4%	↑ 31.4%	↑ 0.5%	↓ 5.6%	↑ 6.2%	↑ 10.0%	↓ 8.5%	↑ 2.3%

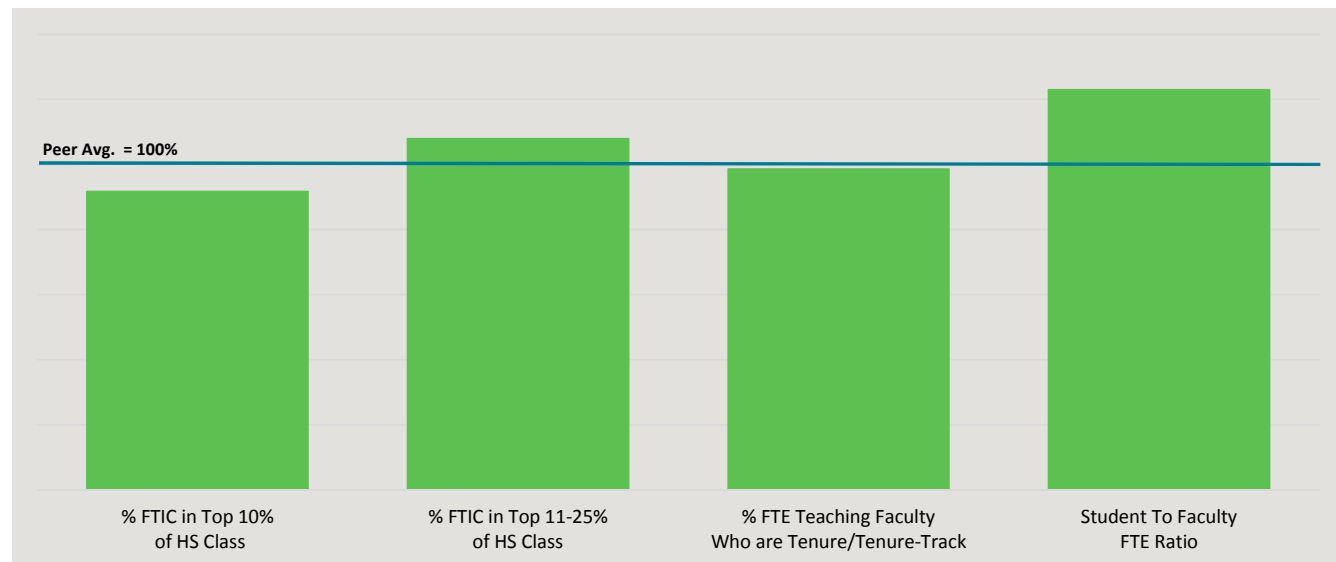


Data used is the most recent data available from the THECB Accountability Report as of October 21, 2016.

Academic Quality Dashboard



	% FTIC in Top 10% of HS Class	% FTIC in Top 11-25% of HS Class	% FTE Teaching Faculty Who are Tenure/Tenure-Track	Student To Faculty FTE Ratio
Current Year Data Available - % of Peer Avg.	91.7%	107.9%	98.6%	123.0%
UNT % Change in 1 Year	↑7.1%	↑0.6%	↓11.3%	↑20.8%
UNT % Change in 5 Years (or maximum # yrs available, if <5 yrs)	↑2.8%	↑1.2%	↓13.8%	↑26.1%

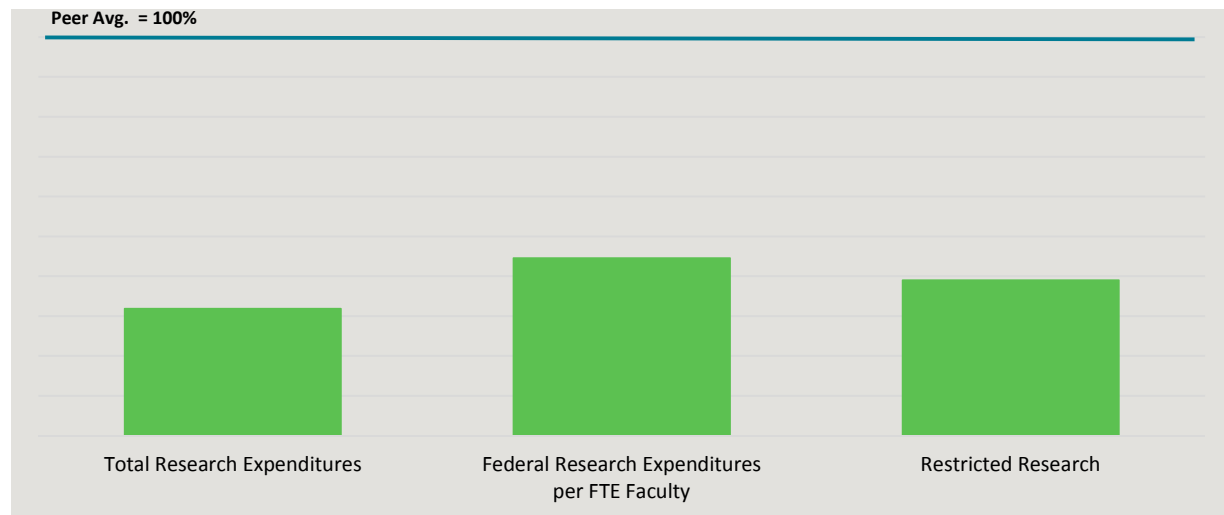


Data used is the most recent data available from the THECB Accountability Report as of October 21, 2016.

Research Dashboard



	Total Research Expenditures	Federal Research Expenditures per FTE Faculty	Restricted Research
Current Year Data Available - % of Peer Avg.	31.8%	44.5%	39.0%
UNT % Change in 1 Year	↓0.7%	↑1.2%	↓8.1%
UNT % Change in 5 Years (or maximum # yrs available, if <5 yrs)	↑18.1%	↑63.1%	↑21.1%

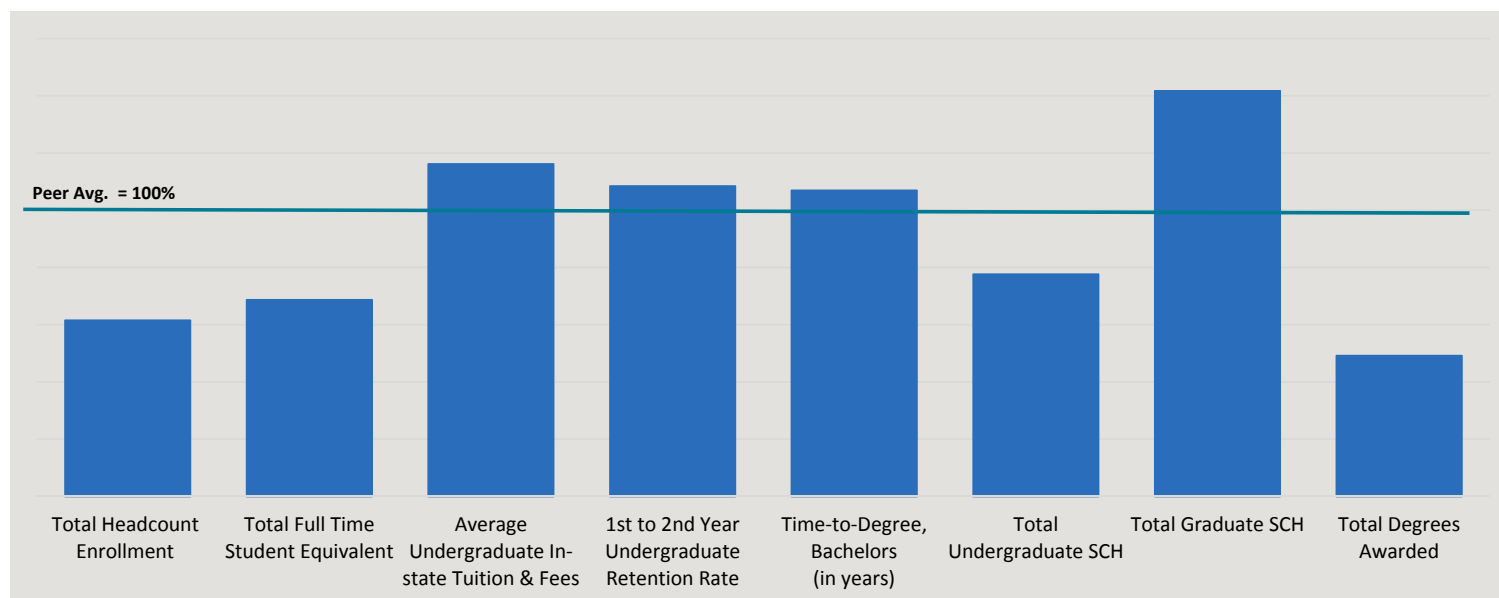


Data used is the most recent data available from the THECB Accountability Report as of October 21, 2016.

Student Access & Success Dashboard



	Total Headcount Enrollment	Total Full Time Student Equivalent	Average Undergraduate In-state Tuition & Fees	1st to 2nd Year Undergraduate Retention Rate	Time-to-Degree, Bachelors (in years)	Total Undergraduate SCH	Total Graduate SCH	Total Degrees Awarded
Current Year Data Available - % of Peer Avg.	61.5%	68.7%	116.2%	108.4%	106.9%	77.6%	141.7%	49.2%
UNTD % Change in 1 Year	↓3.4%	↑27.5%	↑2.7%	↑29.6%	0%	↑7.9%	↑209.4%	0%
UNTD % Change in 5 Years (or maximum # yrs available, if <5 yrs)	↑19.4%	↑74.7%	↑21.9%	↑20.1%	-	↑50.7%	↑261.9%	-

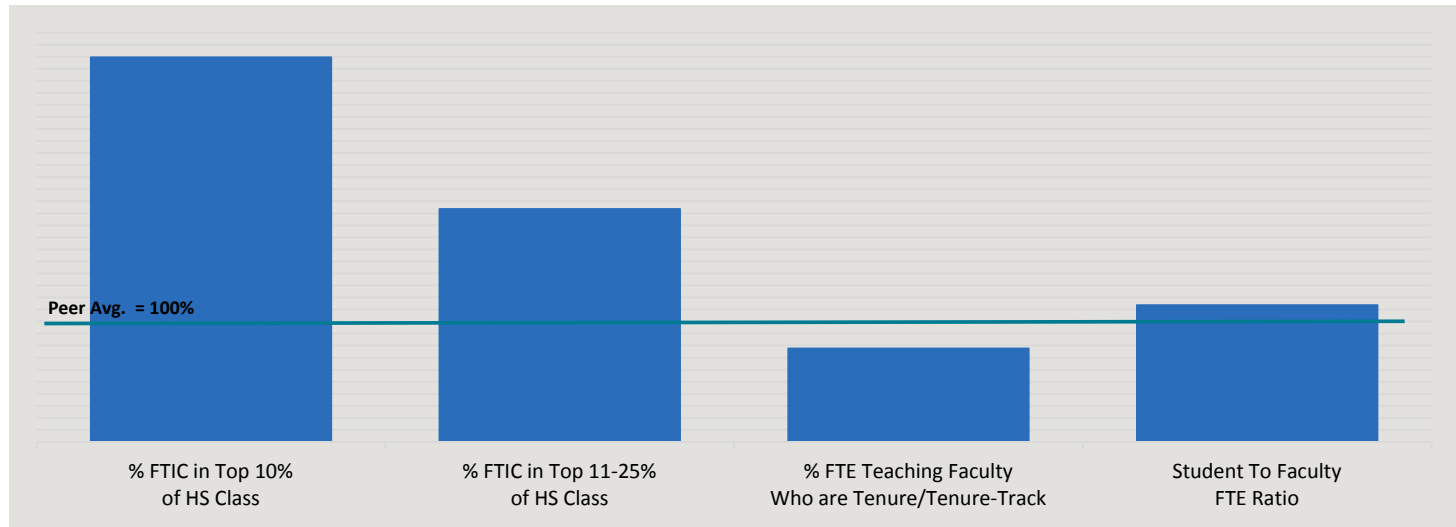


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Academic Quality Dashboard



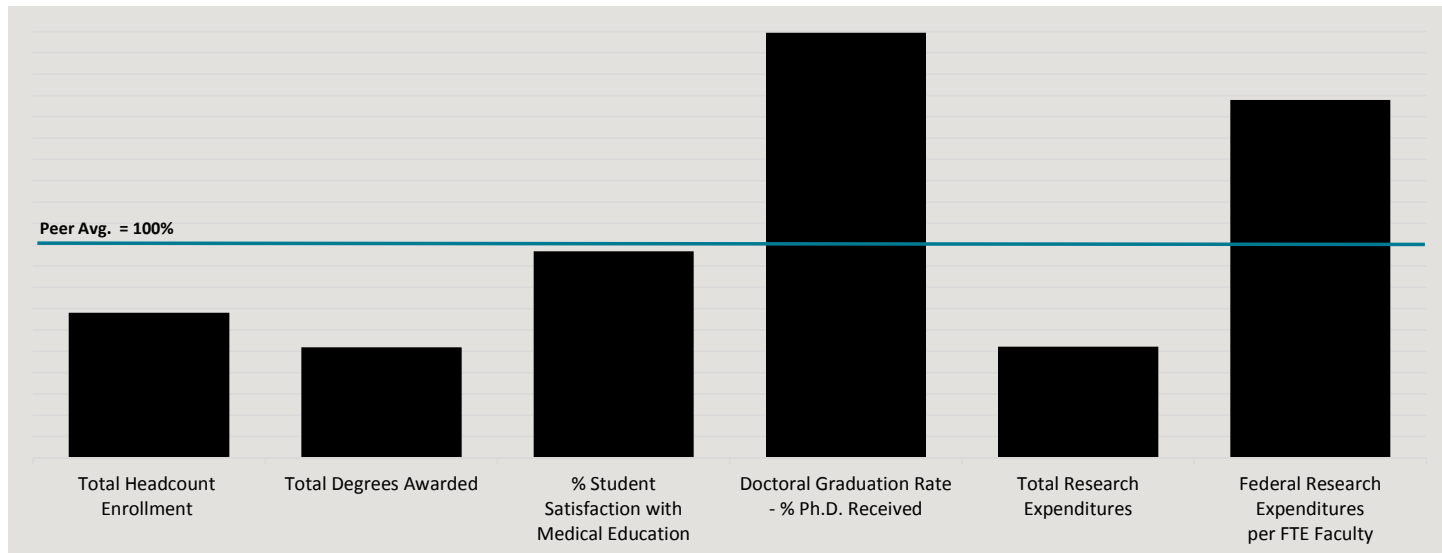
	% FTIC in Top 10% of HS Class	% FTIC in Top 11-25% of HS Class	% FTE Teaching Faculty Who are Tenure/Tenure-Track	Student To Faculty FTE Ratio
Current Year Data Available - % of Peer Avg.	319.5%	193.5%	77.7%	113.6%
UNTD % Change in 1 Year	↑71.7%	↓8.3%	↓19.8%	↑11.1%
UNTD % Change in 5 Years (or maximum # yrs available, if <5 yrs)	↓6.1%	↓7.6%	↓20.1%	↑33.3%



Data used is the most recent data available from the THECB Accountability Report as of October 21, 2016.

Student Access & Success and Research Dashboard

	Total Headcount Enrollment	Total Degrees Awarded	% Student Satisfaction with Medical Education	Doctoral Graduation Rate - % Ph.D. Received	Total Research Expenditures	Federal Research Expenditures per FTE Faculty
Current Year Data Available - % of Peer Avg.	68.2%	52.0%	97.0%	199.5%	52.2%	168.0%
UNTHSC % Change in 1 Year	↑ 6.1%	↓ 0.5%	↑ 6.2%	↑ 50.7%	↑ 0.1%	↓ 13.5%
UNTHSC % Change in 5 Years (or maximum # yrs available, if <5 yrs)	50.7%	↑ 70.0%	↑ 4.9%	↑ 18.1%	↓ 1.6%	↓ 42.9%



Data used is the most recent data available from the THECB Accountability Report as of October 21, 2016.



MINUTES

BOARD OF REGENTS Strategic and Operational Committee November 17, 2016

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

The Strategic and Operational Excellence Committee of the Board of Regents of the University of North Texas System convened on Thursday, November 17, 2016 in the University Union, Room 333, at the University of North Texas, 1155 Union Circle, Denton, Texas, with the following members in attendance: Regents Milton Lee, A.K. Mago, Gwyn Shea, and Al Silva.

There being a quorum present the meeting was called to order by Committee Chair, Regent Milton Lee at 9:37 a.m. The minutes of the August 18, 2016 Committee meeting were approved on a 4-0 vote following a motion by Regent Gwyn Shea and seconded by Regent A.K. Mago.

The Committee was updated on **UNT System Administration and Institutional Strategic Plan Review** by Chancellor Lee Jackson and the institutional presidents or their representative, UNT President Neal Smatresk, UNT Dallas President Bob Mong, and Ms. Jeanie Foster, Executive Director for Strategic Alignment, for the UNT Health Science Center.

There being no further business, the Committee meeting adjourned at 10:42 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: Dec 5, 2016

UNIVERSITY OF NORTH TEXAS SYSTEM BOARD OF REGENTS

STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE CHARTER

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

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

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

Adopted: 02.20.15

Effective: 02.20.15

Revised:

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

UNT System Strategic Planning Update





PLAN PRIORITIES: UNT System Administration Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS
LEARNING & DISCOVERY:	1. Ensure quality academic program offerings	% of Academic Programs with Endorsed Priorities and Goals	100% TARGET 100% BASELINE 0
		Total No. of Degrees Awarded	10,192 TARGET 10,192 BASELINE 9,243
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service	80% TARGET 80% BASELINE 72%
		% of Statewide Average Private Contributions Per FTSE	100% TARGET 100% BASELINE 32%
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	% of Students Who Would Recommend Their Program	100% TARGET 100% BASELINE 0
		% Graduates with Institutionally Approved High Impact Career Experience	100% TARGET 100% BASELINE 34%
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers	100% TARGET 100% BASELINE 0
		% of engaged employees	100% TARGET 100% BASELINE 86%

Employee Engagement Survey


On January 23, 2017, UNT System employees – as well as faculty and staff from UNTS universities – were provided with an employee engagement survey designed by Gallup

- Survey closed on February 13, 2017
- Preliminary data has been received from Gallup and communications teams are determining next steps for sorting/distribution
- System-wide announcement on February 23 to share how data will be distributed to supervisors

SURVEY RESPONSE RATES	
 UNT SYSTEM	86%
 UNT HEALTH SCIENCE CENTER	76%
 UNT DALLAS UNIVERSITY OF NORTH TEXAS AT DALLAS	60%
 UNT	49%

Preliminary UNTS Survey Data



 QUESTION	KNOW WHAT'S EXPECTED	MATERIALS & EQUIPMENT	OPPORTUNITY TO DO BEST	RECOGNITION	CARES ABOUT ME	DEVELOPMENT	OPINIONS COUNT	MISSION & PURPOSE	COMMITTED TO QUALITY	BEST FRIEND	PROGRESS	LEARN & GROW	NET PROMOTER SCORE
# OF RESPONSES	423	423	423	420	422	420	422	421	422	201	416	417	423
MEAN SCORE	4.21	3.91	3.85	3.5	4.23	3.75	3.66	3.91	3.96	3.11	3.67	3.92	6.87*
MEAN PERCENTILE RANK	28	36	32	38	49	35	37	34	34	15	30	36	n/a

*Net Promoter Score asked for ranking on a 0-10 scale vs. 1-5 for other questions. The listed score is not the Net Promoter Score, but the mean of responses.

UNT Dallas Strategic Plan

PLAN PRIORITIES: UNT Dallas Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS						
LEARNING & DISCOVERY:	1. Establish academic programs of excellence that address regional and student needs	No. of Programs of Excellence compared to national peers	<table border="1"> <tr><td>TARGET</td><td>5</td></tr> <tr><td>BASELINE</td><td>0</td></tr> </table>	TARGET	5	BASELINE	0		
		TARGET	5						
BASELINE	0								
Priority Programs Aligned to Workforce Needs	<table border="1"> <tr><td>TARGET</td><td>10</td></tr> <tr><td>2017</td><td>5</td></tr> <tr><td>BASELINE</td><td>3</td></tr> </table>	TARGET	10	2017	5	BASELINE	3		
TARGET	10								
2017	5								
BASELINE	3								
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase annual fundraising and enrollment to achieve sustainable size	Total Cash Received	<table border="1"> <tr><td>TARGET</td><td>\$5,000,000</td></tr> <tr><td>2017</td><td>\$662,600</td></tr> <tr><td>BASELINE</td><td>\$592,173</td></tr> </table>	TARGET	\$5,000,000	2017	\$662,600	BASELINE	\$592,173
		TARGET	\$5,000,000						
2017	\$662,600								
BASELINE	\$592,173								
% of Headcount Total Enrollment Goal	<table border="1"> <tr><td>TARGET</td><td>5,000</td></tr> <tr><td>2017</td><td>3,030</td></tr> <tr><td>2016</td><td>2,488</td></tr> <tr><td>BASELINE</td><td>2,575</td></tr> </table>	TARGET	5,000	2017	3,030	2016	2,488	BASELINE	2,575
TARGET	5,000								
2017	3,030								
2016	2,488								
BASELINE	2,575								
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase graduates with quality learning outcomes and career experiences	% of Graduates with University-sponsored high impact internships/career experiences	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>2016</td><td>29%</td></tr> <tr><td>BASELINE</td><td>35%</td></tr> </table>	TARGET	100%	2016	29%	BASELINE	35%
		TARGET	100%						
2016	29%								
BASELINE	35%								
% of Graduates with Outstanding Communications Skills	<table border="1"> <tr><td>TARGET</td><td>85%</td></tr> <tr><td>BASELINE</td><td>0</td></tr> </table>	TARGET	85%	BASELINE	0				
TARGET	85%								
BASELINE	0								
PEOPLE & TEAMWORK:	4. Build a strong culture of shared values	% of Students Who Would Recommend their program	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>BASELINE</td><td>0</td></tr> </table>	TARGET	100%	BASELINE	0		
		TARGET	100%						
BASELINE	0								
% of engaged employees	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>BASELINE</td><td>36%</td></tr> </table>	TARGET	100%	BASELINE	36%				
TARGET	100%								
BASELINE	36%								

Learning & Discovery

Establish academic programs of excellence that address regional and student needs

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

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

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

Increase annual fundraising and enrollment to achieve sustainable size

Measure: Total cash received (T: \$5M; R: FY17-\$662K)

- Pledges for FY 2017 to date = \$300K

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

- Data updated each fall semester – certified enrollment
- Fall 2016 headcount – 3,030
 - Up 21.8% year over year certified numbers
- Spring 2017 headcount – 2,983
 - Up 21% year over year as of 2/06/2017

Quality Experiences for Lifetime Success

Increase graduates with quality learning outcomes and career experiences

Measure: Percentage of graduates with University sponsored high impact internships/career experiences (T: 100%; R: FY16 – 29%)

- Currently includes graduates from:
 - School of Education
 - HSML
 - Master's in Counseling

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

- New speaking center on campus now open
 - Spring 2017 – presentations to be recorded for student ePortfolios

People & Teamwork

Build a strong culture of shared values

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

- Completed research with potential vendors – Net Promoter Software
- Next steps – complete the IT governance process, purchase, and implement

Measure: Percentage of engaged employees (T: 100%; R: FY16 – 36%)

- FY 16 – Workplace Dynamics
- FY 17 – Gallup
 - Distributed: Jan 23th
 - Closed: Feb 13th
 - Data to be analyzed/shared: Feb – March



UNT Strategic Goals

PLAN PRIORITIES: UNT Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS						
LEARNING & DISCOVERY:	1. Increase total research expenditures and elevate national prominence	Increase restricted research expenditures	<table border="1"> <tr> <td>TARGET</td> <td>\$31.5</td> </tr> <tr> <td>2016</td> <td>\$12.9</td> </tr> <tr> <td>BASELINE</td> <td>\$16.1</td> </tr> </table>	TARGET	\$31.5	2016	\$12.9	BASELINE	\$16.1
		TARGET	\$31.5						
2016	\$12.9								
BASELINE	\$16.1								
		Increase # of programs ranked nationally in the top 100	<table border="1"> <tr> <td>TARGET</td> <td>70</td> </tr> <tr> <td>BASELINE</td> <td>62</td> </tr> </table>	TARGET	70	BASELINE	62		
TARGET	70								
BASELINE	62								
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase revenues and values	Increase cash donations received	<table border="1"> <tr> <td>TARGET</td> <td>\$23.3</td> </tr> <tr> <td>2016</td> <td>\$16.7</td> </tr> <tr> <td>BASELINE</td> <td>\$13.2</td> </tr> </table>	TARGET	\$23.3	2016	\$16.7	BASELINE	\$13.2
		TARGET	\$23.3						
2016	\$16.7								
BASELINE	\$13.2								
		Increase # of graduate students	<table border="1"> <tr> <td>TARGET</td> <td>8,042</td> </tr> <tr> <td>2016</td> <td>6,782</td> </tr> <tr> <td>BASELINE</td> <td>6,672</td> </tr> </table>	TARGET	8,042	2016	6,782	BASELINE	6,672
TARGET	8,042								
2016	6,782								
BASELINE	6,672								
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Prepare all graduates to be competitive in the marketplace	Increase # of degrees awarded	<table border="1"> <tr> <td>TARGET</td> <td>9,051</td> </tr> <tr> <td>2016</td> <td>8,552</td> </tr> <tr> <td>BASELINE</td> <td>8,432</td> </tr> </table>	TARGET	9,051	2016	8,552	BASELINE	8,432
		TARGET	9,051						
2016	8,552								
BASELINE	8,432								
		Increase % of UG graduating students receiving significant career development through university programs	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>29.4%</td> </tr> </table>	TARGET	50%	BASELINE	29.4%		
TARGET	50%								
BASELINE	29.4%								
PEOPLE & TEAMWORK:	4. Create a data-driven culture that focuses on continuous improvement	Increase % of engaged employees	<table border="1"> <tr> <td>TARGET</td> <td>100%</td> </tr> <tr> <td>BASELINE</td> <td></td> </tr> </table>	TARGET	100%	BASELINE			
		TARGET	100%						
BASELINE									
		Increase % of faculty and staff who have participated in culture change training	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>20.3%</td> </tr> </table>	TARGET	50%	BASELINE	20.3%		
TARGET	50%								
BASELINE	20.3%								

Measure: Increase restricted research expenditures

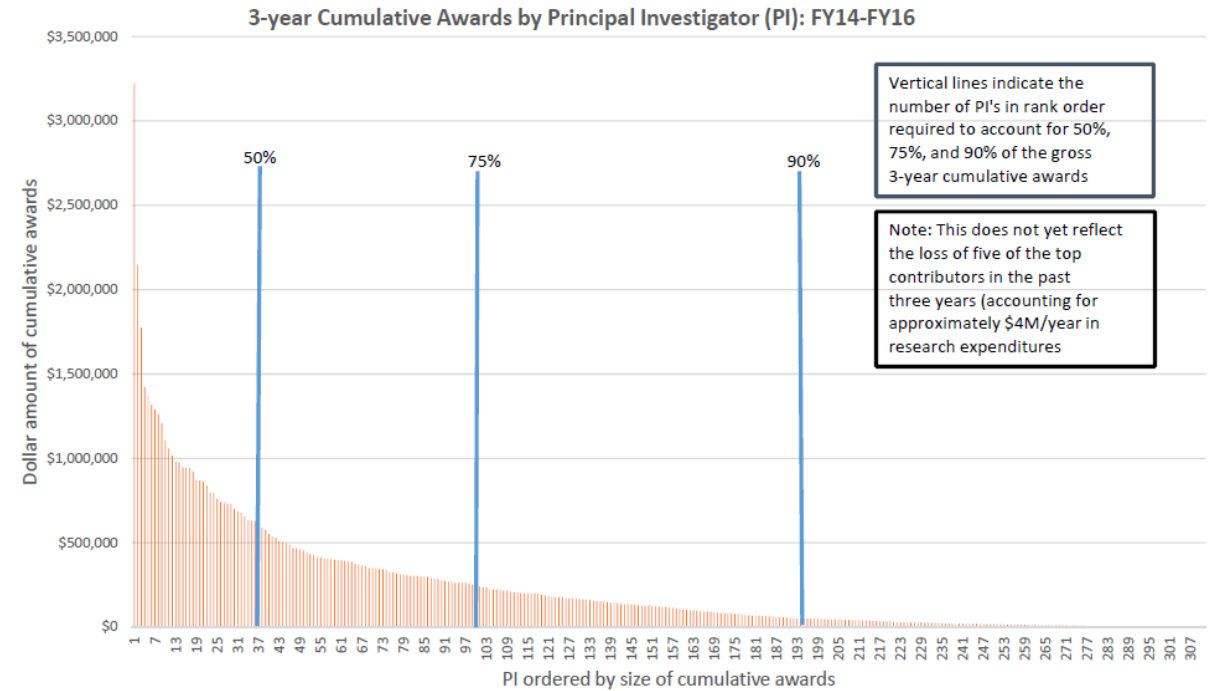
2016 Result: \$12.9M (Target \$31.5M)

Current performance:

- Decline in restricted research revenues of \$3.2M
- Loss of five faculty with \$4.2M in expenditures

Moving the needle forward: Enhance research infrastructure of people, space and shared Instrumentation

- Retain our successful faculty via increased retention efforts and commitments
- Hire new faculty who bring funding with them (impact hires)
- Submit and secure more multi-PI, inter and transdisciplinary awards
- Increase funding expectation for current and incoming faculty



Measure: Increase cash donations received



2016 result: \$16.7M (Target: \$23.3M)

Performance results:

- 2016 had an increase of \$3.2M in cash donations received
 - Additionally, donor commitments increased in 2016 by \$3.5M

Moving the needle forward: Continued focus on major gift fundraising

- Trending slightly above last year with no “big hits”
 - Currently at \$20.5M in commitments
 - Currently at \$12M in cash donations to date
 - New programs
 - Diamond Eagle Fundraising
 - Alumni Legacy Scholarship program
 - Working with colleges and athletics on initiatives

Measure: Increase number of degrees awarded



2016 result: 8,552 (Target: 9,051)

Performance results:

- 13.8% increase in College of Education degrees
 - 28% increase in Teacher Education and Administration masters (83 degrees awarded)
- 13.8% increase in College of Engineering
 - Largest increase in Mechanical and Energy Engineering (45.6% increase across all degree levels - 42 degrees awarded)
- 24% increase in bachelors level Journalism degrees (44 degrees awarded)

Moving the needle forward:

- Retention Initiative Examples:
 - Early start summer bridge for STEM majors
 - Pilot peer mentoring for entire residence hall of FTICs
 - Living Learning Communities

Measure: Increase % of UG graduating students receiving significant career development through university programs



2016 result: 29.4% (Target: 50%)

Performance results:

- Current measurement represents graduating students who have participated in an internship or practicum

Moving the needle forward:

- Worked with UNT System to develop common definition of high-impact practices (for future reporting)
 - Activities involve an external partnerships between students and community and include:
 - Internships, co-op, field experience, student teaching, or clinical practicum
 - Community-based Learning – Courses that include a community - based project (service learning)
 - Capstone Courses and Project – Culminating senior experience (senior project of thesis, comprehensive exam, portfolio) that has an external partnership
 - Global Learning/Study Abroad
 - Undergraduate Research – Work with a faculty member on a project
 - Student Campus Employment
 - E-Portfolios

UNTHSC Strategy Update

PLAN PRIORITIES: UNT Health Science Center Strategic Goals

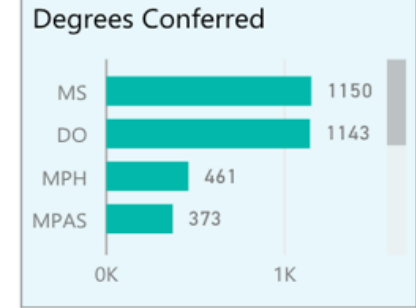
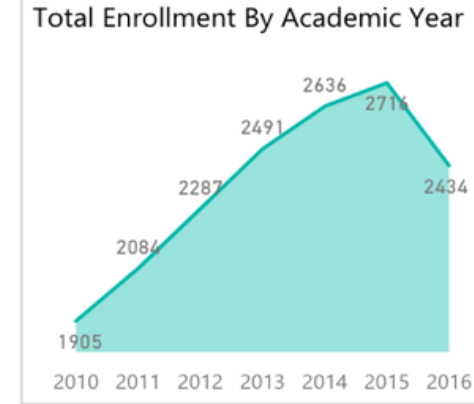
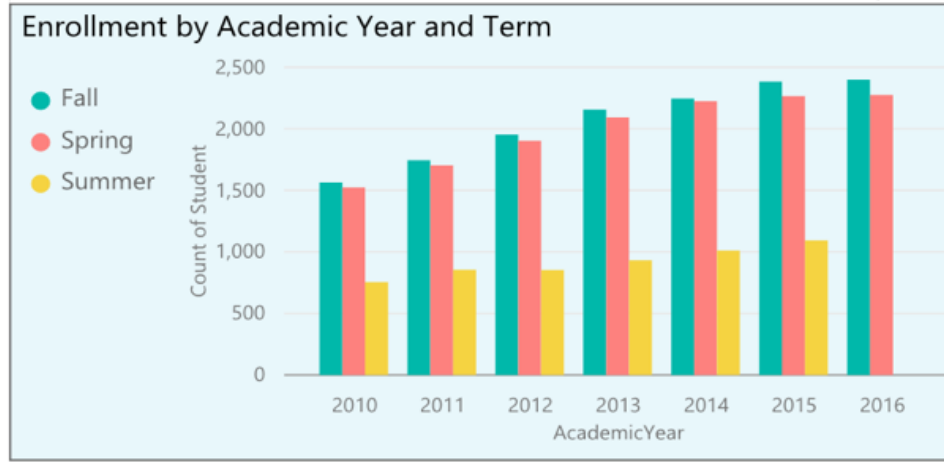
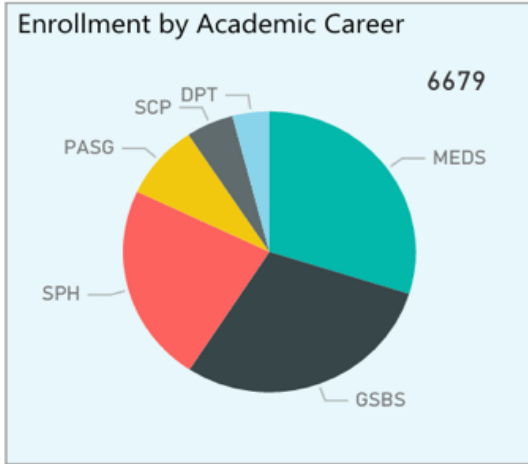
UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS
LEARNING & DISCOVERY:	1. Transform to a high performing center	% of schools and institutes meeting high performance criteria	<p>100%</p>
		Research award dollars increased	<p>\$55M</p>
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	Total donor funds received	<p>\$50M</p>
		# of total GME slots	<p>550</p>
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	% of programs with >90% satisfaction with quality of teaching	% of programs with >90% satisfaction with quality of teaching	<p>100%</p>
		% of programs with >90% satisfaction with quality of education	<p>100%</p>
PEOPLE & TEAMWORK:	4. Build culture based on values	Net Promoter score for all customers	<p>>90%</p>
		% of New Hires hired for Values and Competencies	<p>100%</p>

Select School

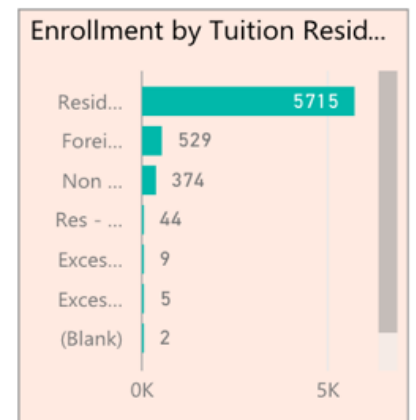
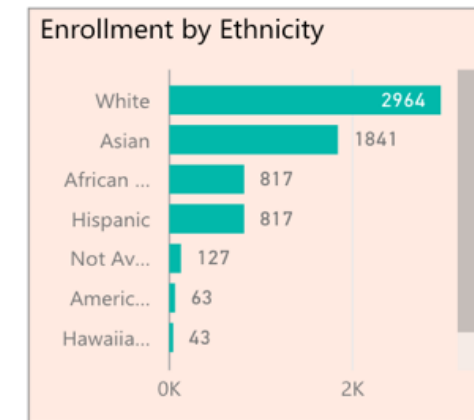
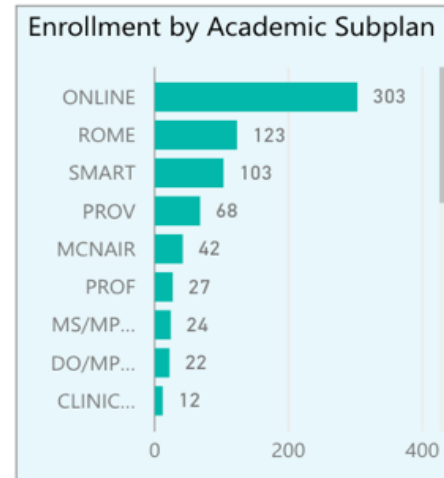
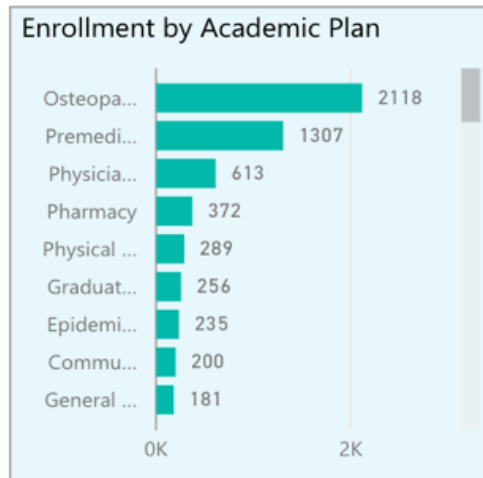
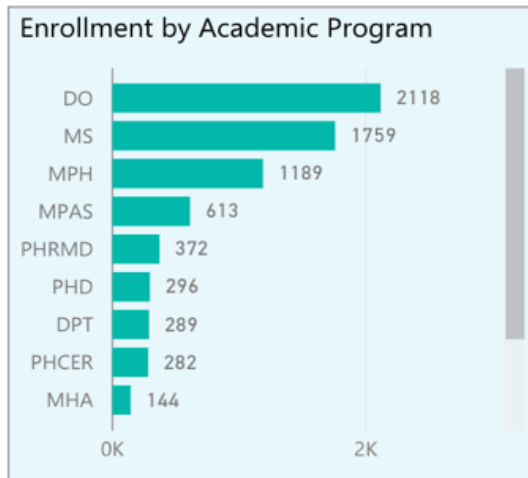
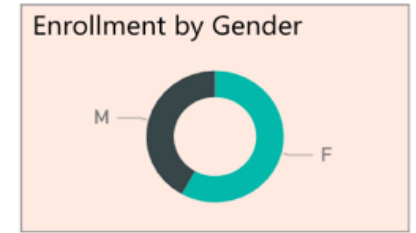
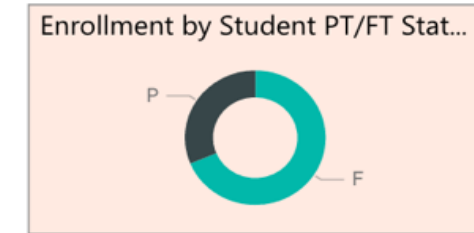
GSBS SCP SHP SPH TCOM

Select Academic Year

2010 2011 2012 2013 2014 2015 2016



Non-resident tuition waivers
449



IT Strategic Plans & Excellence Measures

IT as a Strategic Partner

- History and Accomplishments
- Major Accomplishments for FY2015-FY2016
- Current state
- ITSS Alignment with Campuses
- Capability Assessment and Gap Analysis
- IT Security Improvements
- ITSS Strategic Asset - Leaders

ITSS History and Past Accomplishments

- 2004 PeopleSoft implementation
- 2011 Legacy Application migrated from mainframe
- 2012 Established Shared Governance
- 2013 Establish Enterprise Frameworks for shared services; Service Management, Domain 10, Security
- 2014 PeopleSoft HR upgrade,
Strategic Alignment with System and Campuses

ITSS Current Major Accomplishments: 2015-16

Solved Problems

- **Converged Infrastructure (May 2015)**
- **PeopleSoft; Finance, HCM Upgrade, Redesigned Chart of Accounts, Installed Hyperion Budget Module (March 2016)**
- **IT Service Management Implementation (June 2016)**

Staffed for Future

- **Chief Technology Officer (November 2015)**
- **Business Relationship Managers (May 2015)**
- **Enterprise Architects (August 2016)**
- **Project Managers (November 2016)**

Culture of Service

- **Employee Engagement at 83% (April 2016)**
- **All ITSS Staff Trained (August 2016)**

Current State

- ITSS has 219 employees
- Annual budget of \$33.9 million
- Operates 80 services and enterprise applications
- **\$6.4 million** in cost avoidance, efficiencies and savings

IT functions performed at campus level include:

- *separate management of classroom learning management*
- *research and grant reporting*
- *desktop maintenance and support*
- *high performance computing*

ITSS Alignment with Campuses Priorities

Campus Priorities

- Improve Retention
- Improved Graduation Rates

- Increase Enrollment

- Build Research Capabilities

- Build Strong Employee Culture

ITSS Strategic Initiatives

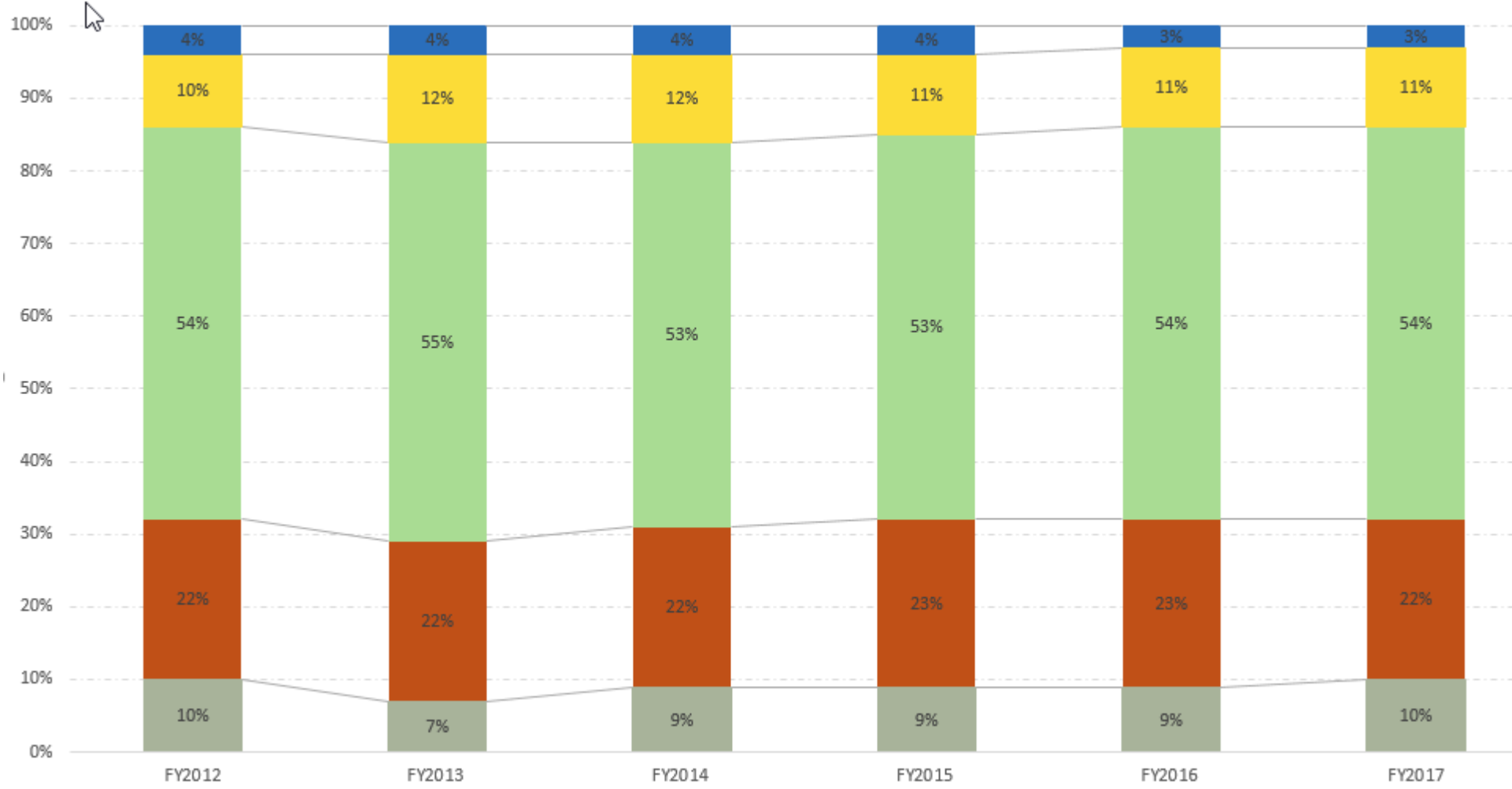
- Converged Infrastructure
- Virtual Apps and Desktops
- Cloud Technologies

- Customer Relationship Management
- Data Warehousing and Analytics
- Campus Solution Upgrade
- Information Security
- Mobile Technologies

- IT Service Management and Operations
- Process Improvement and Streamlining

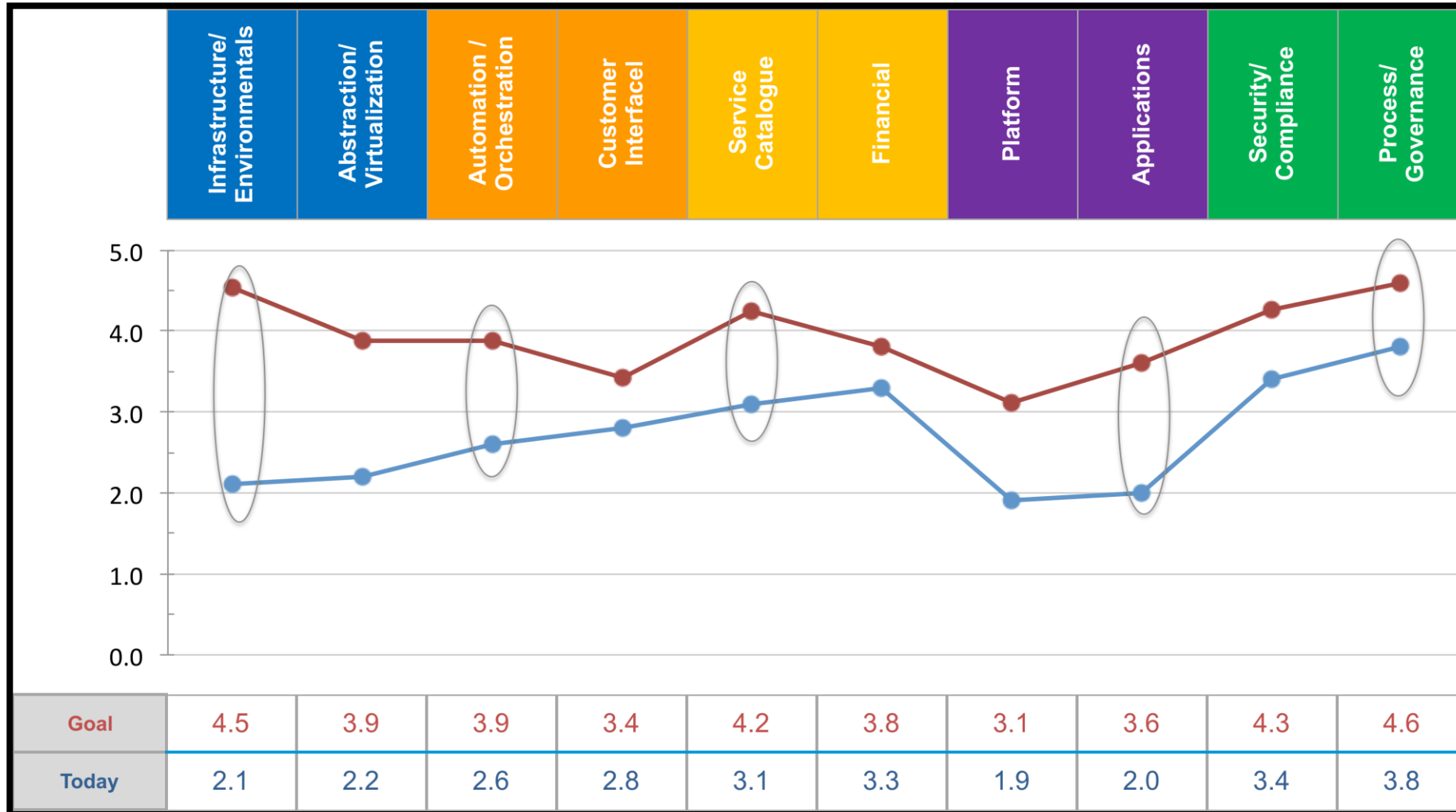
- Culture of Service
- Employee Engagement
- Leadership Development
- Gallop Survey

ITSS Funding by Allocation



Funding Components
UNT 70%
HSC 10%
Dallas 8%
System 1%
Telecom Revenue 11%

Capability Matrix & Gap Analysis performed in 2014



IT Security Improvements

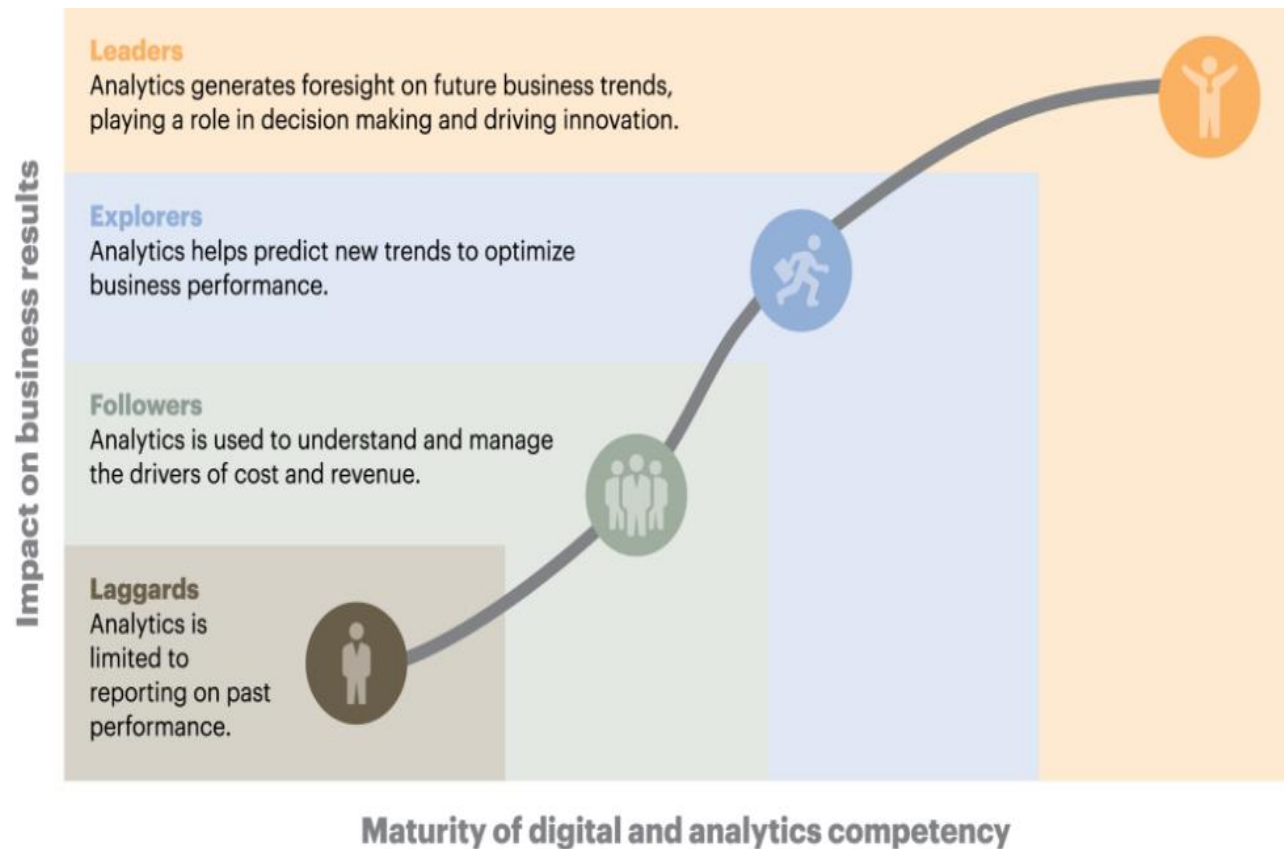
- Improvements made to the Security Program
 - Capabilities and gap assessment by third party
 - Infrastructure Improvements
 - Automated incident logging
 - Improved firewall capabilities
 - Improved intrusion detections
 - Segregation of duties

Attacks and Malware detected and prevented over the last 3 months:

- *10,227,137 network based attacks per day*
- *81,633 web based attacks per day*
- *1,443,274 email attacks per day*

IT as a Strategic Asset in the UNT System

Leaders anticipate huge business impacts from a wide range of technologies over the next 40 months, these are supported by the Educause findings.



Big Data/Data Warehousing

Cyber Security

Cloud

Mobile Technologies

Social Media

Sensors/Interest

Collaboration Technologies

Digital Currency

Artificial Intelligences

Source: A.T. Kearney 2015 LEAP (Leadership Excellence in Analytic Practices) talent study

ITSS as a Strategic Partner

Questions?

Rama Dhuwaraha

AVC and Chief Information Officer

University of North Texas System

rama.dhuwaraha@untsystem.edu

PLAN PRIORITIES: UNT System Administration Strategic Goals

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

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

UNT System Administration Strategic Plan At-a-Glance

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

PLAN PRIORITIES: UNT Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS						
LEARNING & DISCOVERY:	1. Increase total research expenditures and elevate national prominence	Increase restricted research expenditures	<table border="1"> <tr> <td>TARGET</td> <td>\$31.5</td> </tr> <tr> <td>2016</td> <td>\$12.9</td> </tr> <tr> <td>BASELINE</td> <td>\$16.1</td> </tr> </table>	TARGET	\$31.5	2016	\$12.9	BASELINE	\$16.1
		TARGET	\$31.5						
2016	\$12.9								
BASELINE	\$16.1								
		Increase # of programs ranked nationally in the top 100	<table border="1"> <tr> <td>TARGET</td> <td>70</td> </tr> <tr> <td>BASELINE</td> <td>62</td> </tr> </table>	TARGET	70	BASELINE	62		
TARGET	70								
BASELINE	62								
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase revenues and values	Increase cash donations received	<table border="1"> <tr> <td>TARGET</td> <td>\$23.3</td> </tr> <tr> <td>2016</td> <td>\$16.7</td> </tr> <tr> <td>BASELINE</td> <td>\$13.2</td> </tr> </table>	TARGET	\$23.3	2016	\$16.7	BASELINE	\$13.2
		TARGET	\$23.3						
2016	\$16.7								
BASELINE	\$13.2								
		Increase # of graduate students	<table border="1"> <tr> <td>TARGET</td> <td>8,042</td> </tr> <tr> <td>2016</td> <td>6,782</td> </tr> <tr> <td>BASELINE</td> <td>6,672</td> </tr> </table>	TARGET	8,042	2016	6,782	BASELINE	6,672
TARGET	8,042								
2016	6,782								
BASELINE	6,672								
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Prepare all graduates to be competitive in the marketplace	Increase # of degrees awarded	<table border="1"> <tr> <td>TARGET</td> <td>9,051</td> </tr> <tr> <td>2016</td> <td>8,552</td> </tr> <tr> <td>BASELINE</td> <td>8,432</td> </tr> </table>	TARGET	9,051	2016	8,552	BASELINE	8,432
		TARGET	9,051						
2016	8,552								
BASELINE	8,432								
		Increase % of UG graduating students receiving significant career development through university programs	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>29.4%</td> </tr> </table>	TARGET	50%	BASELINE	29.4%		
TARGET	50%								
BASELINE	29.4%								
PEOPLE & TEAMWORK:	4. Create a data-driven culture that focuses on continuous improvement	Increase % of engaged employees	<table border="1"> <tr> <td>TARGET</td> <td>100%</td> </tr> <tr> <td>BASELINE</td> <td></td> </tr> </table>	TARGET	100%	BASELINE			
		TARGET	100%						
BASELINE									
		Increase % of faculty and staff who have participated in culture change training	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>20.3%</td> </tr> </table>	TARGET	50%	BASELINE	20.3%		
TARGET	50%								
BASELINE	20.3%								

UNT - Institutional Strategic Plan At A Glance

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

PLAN PRIORITIES: UNT Health Science Center Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS
LEARNING & DISCOVERY:	1. Transform to a high performing center	% of schools and institutes meeting high performance criteria	<p>100%</p>
		Research award dollars increased	<p>\$55M</p>
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	Total donor funds received	<p>\$50M</p>
		# of total GME slots	<p>550</p>
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	% of programs with >90% satisfaction with quality of teaching	% of programs with >90% satisfaction with quality of teaching	<p>100%</p>
		% of programs with >90% satisfaction with quality of education	<p>100%</p>
PEOPLE & TEAMWORK:	4. Build culture based on values	Net Promoter score for all customers	<p>>90%</p>
		% of New Hires hired for Values and Competencies	<p>100%</p>

UNTHSC Strategic Plan At-a-Glance

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

PLAN PRIORITIES: UNT Dallas Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS						
LEARNING & DISCOVERY:	1. Establish academic programs of excellence that address regional and student needs	No. of Programs of Excellence compared to national peers	<table border="1"> <tr><td>TARGET</td><td>5</td></tr> <tr><td>BASELINE</td><td>0</td></tr> </table>	TARGET	5	BASELINE	0		
		TARGET	5						
BASELINE	0								
Priority Programs Aligned to Workforce Needs	<table border="1"> <tr><td>TARGET</td><td>10</td></tr> <tr><td>2017</td><td>5</td></tr> <tr><td>BASELINE</td><td>3</td></tr> </table>	TARGET	10	2017	5	BASELINE	3		
TARGET	10								
2017	5								
BASELINE	3								
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase annual fundraising and enrollment to achieve sustainable size	Total Cash Received	<table border="1"> <tr><td>TARGET</td><td>\$5,000,000</td></tr> <tr><td>2017</td><td>\$662,600</td></tr> <tr><td>BASELINE</td><td>\$592,173</td></tr> </table>	TARGET	\$5,000,000	2017	\$662,600	BASELINE	\$592,173
		TARGET	\$5,000,000						
2017	\$662,600								
BASELINE	\$592,173								
% of Headcount Total Enrollment Goal	<table border="1"> <tr><td>TARGET</td><td>5,000</td></tr> <tr><td>2017</td><td>3,030</td></tr> <tr><td>2016</td><td>2,488</td></tr> <tr><td>BASELINE</td><td>2,575</td></tr> </table>	TARGET	5,000	2017	3,030	2016	2,488	BASELINE	2,575
TARGET	5,000								
2017	3,030								
2016	2,488								
BASELINE	2,575								
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase graduates with quality learning outcomes and career experiences	% of Graduates with University-sponsored high impact internships/career experiences	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>2016</td><td>29%</td></tr> <tr><td>BASELINE</td><td>35%</td></tr> </table>	TARGET	100%	2016	29%	BASELINE	35%
		TARGET	100%						
2016	29%								
BASELINE	35%								
% of Graduates with Outstanding Communications Skills	<table border="1"> <tr><td>TARGET</td><td>85%</td></tr> <tr><td>BASELINE</td><td>0</td></tr> </table>	TARGET	85%	BASELINE	0				
TARGET	85%								
BASELINE	0								
PEOPLE & TEAMWORK:	4. Build a strong culture of shared values	% of Students Who Would Recommend their program	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>BASELINE</td><td>0</td></tr> </table>	TARGET	100%	BASELINE	0		
		TARGET	100%						
BASELINE	0								
% of engaged employees	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>BASELINE</td><td>36%</td></tr> </table>	TARGET	100%	BASELINE	36%				
TARGET	100%								
BASELINE	36%								

UNT Dallas Strategic Plan At-a-Glance

UNTS Theme	Key Objectives	Initiatives	Measures	Baseline	Targets				
					2016	2018	2021	2026	
					2 Year	5 Year	10 Year		
LEARNING & DISCOVERY: 1. Create and continuously improve vibrant and innovative academic communities	1. Align our work to our market's greatest needs (UNT Dallas) (08/31/21)	1.1 Reduce the gap between UNT Dallas program offerings and the market needs (Shumway) (08/31/21)	# of priority programs identified		5	6	10	-----	
	2. Identify priority programs that are relevant, distinctive, and differentiated, including one that will be the best in North Texas (UNT Dallas) (08/31/21)	2.1 Establish hallmark programs in each academic school (Shumway) (08/31/21)	# of hallmark programs identified		1	3	5	-----	
	3. Recruit and retain outstanding faculty (UNT Dallas) (08/31/21)	3.1 Align UNT Dallas mission/vision to recruit outstanding teacher-scholars in terms of teaching, teaching service, university service, service to profession, and research. (Muniz) (08/31/21) 3.2 Retain outstanding teacher-scholars to include teaching, teaching service, university service, service to profession, and research. (Muniz) (08/31/21) 3.3 Recruit outstanding master-teachers to include teaching, teaching service, university service, and service to profession. 3.4 Retain outstanding master-teachers to include teaching, teaching service, university service, and service to profession.	3.1 Align UNT Dallas mission/vision to recruit outstanding teacher-scholars in terms of teaching, teaching service, university service, service to profession, and research. (Muniz) (08/31/21)	% of faculty hires that qualify as outstanding teacher-scholars		0%	15%	20%	-----
			3.2 Retain outstanding teacher-scholars to include teaching, teaching service, university service, service to profession, and research. (Muniz) (08/31/21)	% of faculty identified as outstanding teacher-scholars		0%	10%	20%	-----
			3.3 Recruit outstanding master-teachers to include teaching, teaching service, university service, and service to profession.	% of faculty hires that qualify as outstanding master-teachers		0%	70%	80%	-----
			3.4 Retain outstanding master-teachers to include teaching, teaching service, university service, and service to profession.	% of faculty identified as outstanding master-teachers		0%	60%	80%	-----
	4. Benchmark with similar aspirational universities regionally, nationally, and best in class (UNT Dallas) (08/31/21)	4.1 Identify areas of excellence compared to regional peers (Shi) (08/31/21) 4.2 Identify areas of excellence compared to national peers (Shi) (08/31/21) 4.3 Identify areas of excellence compared to best in class peers (Shi) (08/31/21) 4.4 Identify areas of excellence compared to AACSCU peers (Shi) (08/31/21)	4.1 Identify areas of excellence compared to regional peers (Shi) (08/31/21)	# of regional peers		5	5	5	-----
			4.2 Identify areas of excellence compared to national peers (Shi) (08/31/21)	# of national peers		3	3	3	-----
			4.3 Identify areas of excellence compared to best in class peers (Shi) (08/31/21)	# of best in class peers		3	3	3	-----
			4.4 Identify areas of excellence compared to AACSCU peers (Shi) (08/31/21)	# of AACSCU peers		44	44	44	-----
SUSTAINABLE GROWTH, FINANCE & RESOURCES: 2. Achieve exceptional service and value for all customers including students	5. Use data strategically to guide better decision making (UNT Dallas) (08/31/21)	5.1 Commit to Proactive, Informed Data-Driven Decision-Making Via Data Improvement (Edelman) (08/31/21)	Retrievable and accurate data is housed in the data warehouse		-	75%	100%	-----	
		5.2 Improve the Availability and Visibility of Data Among Functional Units (Edelman) (08/31/21)	% of constituents have access to reliable data to make informed decisions		75%	90%	100%	-----	
		5.3 Implement New and Enhanced Visualization Tools and Techniques for Planning and Forecasting (Edelman) (08/31/21)	% completion of Data Warehouse to enhance planning and forecasting.		-	75%	100%	-----	
	6. Increase philanthropic support (UNT Dallas) (08/31/21)	6.1 Commit to ambitious fundraising goals (Williams) (08/31/21) 6.2 Develop goal and strategy for first capital campaign (Williams) (08/31/21) 6.3 Increase value of endowments (permanent and quasi) (Williams) (08/31/21)	6.1 Commit to ambitious fundraising goals (Williams) (08/31/21)	Total Cash Received 2016-2021		800,000	2,000,000	5,000,000	-----
			6.2 Develop goal and strategy for first capital campaign (Williams) (08/31/21)	Capital campaign plan completion		0%	40%	100%	-----
			6.3 Increase value of endowments (permanent and quasi) (Williams) (08/31/21)	New gift dollar additions to endowments and quasi-endowments		25,000	100,000	3,000,000	-----
			7.1 Grow student enrollment (Edelman) (08/31/21)	Increase student headcount	2,575	2,488	3,480	5,000	-----
	7. Increase enrollment, retention, and completion rates (UNT Dallas) (08/31/21)	7.2 Exceed FTIC state retention rate (Edelman) (08/31/21) 7.3 Improve 4-year graduation rate (Edelman) (08/31/21) 7.4 Improve 6-year graduation rate (Edelman) (08/31/21)	7.2 Exceed FTIC state retention rate (Edelman) (08/31/21)	% above state retention rate		-5.3%	3%	6.5%	-----
			7.3 Improve 4-year graduation rate (Edelman) (08/31/21)	Four year graduation rate		7.6%	15%	20%	-----
			7.4 Improve 6-year graduation rate (Edelman) (08/31/21)	Six-year graduation rate		NA	0%	-----	50%
	8. Improve student and administrative customer service	8.1 Create a customer-oriented culture (Robertson) (08/31/26)	8.1 Create a customer-oriented culture (Robertson) (08/31/26)	Net Promoter Score		0	-----	-----	25
			9.1 Remain among the most affordable 4-year university within the North Texas region (Fashina) (08/31/21)	Remain in the lowest quartile of cost of tuition and fees within the region		100%	100%	100%	-----
	10. Build active residential life and additional facilities to make UNTD more vibrant (UNT Dallas) (08/31/21)	10.1 Tie pending construction to increased academic and student activities along with implementation of 1st year experience programing (Chapple) (08/31/21)	10.1 Tie pending construction to increased academic and student activities along with implementation of 1st year experience programing (Chapple) (08/31/21)	# of programs developed		0	2	6	-----
11.1 Build the number of private-public partnerships (Lumzy) (08/31/21)			# of partnerships		1	7	20	-----	
12. Improvement management of fiscal resources (UNT Dallas) (08/31/21)	12.1 Improve financial net position through growth in reserves. (Fashina) (08/31/21)	12.1 Improve financial net position through growth in reserves. (Fashina) (08/31/21)	# of weeks of operating funds in reserve		9	-----	12	-----	
QUALITY EXPERIENCES FOR LIFETIME SUCCESS: 3. Provide quality experiences for lifetime success for all students	13. Active Learning: every student graduates with one of more of these experiential credentials: a paid internship; a demanding research effort; a scholarly work-related project; extensive service learning participation (UNT Dallas) (08/31/21)	13.1 Demonstrated Competencies: All graduates demonstrate outstanding oral and written communication skills (Balas) (08/31/21)	Score of 90% for the "Communication" rubric		0	40%	85%	-----	
		13.2 Demonstrated Competencies: All graduates demonstrate strong critical thinking and analytical abilities (Balas) (08/31/21)	Score of 85% for the "Initiative/Problem Solving" rubric		0	40%	78%	-----	
		13.3 Demonstrated Competencies: All graduates demonstrate ethical decision making (Balas) (08/31/21)	Score of 90% for the "Leadership and Ethics" rubric		0	50%	80%	-----	
		13.4 Demonstrated Competencies: All graduates demonstrate ability to work well with others (Balas) (08/31/21)	Score of 95% for the "Teamwork" rubric		0	50%	90%	-----	
		13.5 Pathway to Social and Economic Mobility: Become a national leader in producing graduates who make better than expected earning after graduation (Edelman) (08/31/25)	% of Alumni that will earn more than the prevailing entry wages after one year		0%	0%	0%	75%	-----
		13.6 Enhance and expand Experiential Learning Experiences (Lacy) (08/31/21)	% of Graduates with Univers. Sponsored high impact internship/career experiences	34%	29%	-----	100%	-----	
		13.7 Be known for conducting service learning projects in the community (Lacy) (08/31/21)	% of participating community partners that report levels of satisfaction		10%	40%	70%	-----	
	14. Develop expertise serving under-resourced college students (UNT Dallas) (08/31/21)	14.1 Benchmark with Best-In-Class Institutions that have expertise in serving under-resourced college students (Chapple) (08/31/21) 14.2 Expand Mentorship Programs (Chapple) (08/31/21) 14.3 Obtain Title III Grants for developing universities (Williams) (08/31/21)	14.1 Benchmark with Best-In-Class Institutions that have expertise in serving under-resourced college students (Chapple) (08/31/21)	# of Best-In-Class Institutions		5	5	5	-----
14.2 Expand Mentorship Programs (Chapple) (08/31/21)			# of mentorship programs		0	2	3	-----	
14.3 Obtain Title III Grants for developing universities (Williams) (08/31/21)			# of grants obtained		0	1	4	-----	
PEOPLE & TEAMWORK: 4. Develop the fullest potential of every team member	15. Build a strong culture based on our shared values (UNT Dallas) (08/31/21)	15.1 Practice inter-professional cooperation and respect (Finney) (08/31/21)	% of engaged employees		36%	-----	-----	-----	
		15.2 G.R.E.A.T Communications - Genuine Relevant Effective and Timely Communication (Jolly) (08/31/21)	% of primary audiences who articulate the university's institutional mission		10%	40%	80%	-----	
		15.3 Establish traditions (Chapple) (08/31/21)	# of traditions		2	4	6	-----	



MINUTES

BOARD OF REGENTS Finance and Facilities Committee November 17-18, 2016

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

Thursday, November 17, 2016

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Thursday, November 17, 2016 in the University Union, Room 333, at the University of North Texas, 1155 Union Circle, Denton, Texas, with the following members in attendance: Regents Don Potts, Rusty Reid, Glen Whitley, and Laura Wright.

There being a quorum present the meeting was called to order by Committee Chairman Reid at 1:02 p.m. The minutes of the August 18-19, 2016 Finance and Facilities Committee meeting were approved on a 4-0 vote following a motion by Regent Don Potts seconded by Regent Laura Wright.

Chair Reid invited James Maguire, Vice Chancellor for Facilities Planning and Construction, to provide a **Campus Master Plan Update** for UNT.

The **Annual Investment Report** was presented by Mike Mlinac, President and CEO, and Alfred Lockwood, Director of Investment Administration, for the UNT Foundation, and Doug White, Vice President of Institutional Advancement, UNT Health Science Center and James Meintjes and Kyle Hitchcock, J.P. Morgan, for the UNT Health Science Center Foundation.

Marc Monyek, Senior Manager with Ernst & Young, presented the **University of North Texas System Treasury and Investments Assessment**. UNT System Vice Chancellor for Finance Janet Waldron provided additional comments.

The Committee was reminded by Chair Reid that there was now a calendar of quarterly briefing topics on Risk Management and that this quarter's briefing was **Risk Management: Crime Statistics and Safety Strategies**. Ed Reynolds, Chief of Police and Maureen McGuinness, Dean of Students, presented for UNT. UNT Dallas' information was provided by President Bob Mong, Chief Cliff Jaynes, and Associate Vice President for Student Success Jamaica Chapple. The presenters for the UNT Health Science Center were

Trisha Van Duser, Executive Director, Student Services and Matt Moncus, Director, HSC Safety Office.

There being no further business, the Committee meeting recessed at 3:02 pm until the following day.

Friday, November 18, 2016

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Thursday, November 17, 2016 in the University Union, Room 333, at the University of North Texas, 1155 Union Circle, Denton, Texas, with the following members in attendance: Regents Don Potts, Rusty Reid, Glen Whitley, and Laura Wright.

There being a quorum present the meeting was called to order by Committee Chair Reid at 9:15 a.m.

Chair Reid noted that the Committee had eight action items to consider. Vice Chancellor Janet Waldron presented the first action item.

10. UNTS Approval to Request to Exceed the Full-Time Equivalent Limitation for Fiscal year 2017

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

James Mauldin, Associate Vice Chancellor for Treasury, gave a brief presentation, **Nov 2016 BOR Interim Financing**, that set the stage for the next three action items related to debt financing, then presented the following action item.

11. UNTS Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B; Authorizing the Issuance of Tax-Exempt and Taxable Commercial Paper Notes; and Approving and Authorizing Instruments and Procedures Relating Thereto

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

James Mauldin presented the next action item.

12. UNTS Twenty-Fifth 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 Glen Whitley and seconded by Regent Don Potts, the Committee approved the above item on a 4-0 vote.

James Mauldin also presented the next action item.

13. UNTS Amendment to Regents Rule 10.300, Debt Management

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

The next action item related to the amendment of a UNT System regulation and was also presented by James Mauldin.

14. UNTS Approval of Amended UNT System Regulation 08.2000, Investment of System Funds

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

The next action item was presented by Vice Chancellor Janet Waldron.

15. UNTS Approval to Extend Agreement for Firm to Perform the FY 2017-2018 UNT System External Audits

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

Vice Chancellor James Maguire presented the next action item for the Committee's consideration.

16. UNTS Acquisition of Real Property Located at 1125 North Texas Boulevard, Denton, Texas

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

The final action item came from UNT Health Science Center and was presented by Interim Chief Financial Officer Greg Anderson

**17. UNTHSC Approval of UNTHSC Professional Medical
Malpractice Self-Insurance Premium Rates**

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

There being no further business, the Committee meeting adjourned at 9:53 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett, Board Secretary
Board of Regents

Date: Dec 5, 2016

**BOARD OF REGENTS
UNIVERSITY OF NORTH TEXAS SYSTEM
FINANCE AND FACILITIES COMMITTEE CHARTER**

The Finance and Facilities Committee oversees the fiscal stability and long term economic health of the University of North Texas System. The committee monitors the System and component institutions' financial operations, debt level, and investment performance; requires the maintenance of accurate and complete financial records; and maintains open lines of communication with the Board of Regents about the System and component institutions' financial condition. The Finance and Facilities Committee shall also have responsibility to review all capital project schedules and construction contracts, evaluate land and property purchase opportunities, recommend to the Board any required actions concerning the naming of buildings, facilities, real property, streets and programs as required by the Regents Rules, and review contracts and purchases of goods and services as required by the Regents Rules.

Specifically, the Finance and Facilities Committee shall review and recommend to the Board:

- The consolidated annual operating budget;
- Financial components of the capital budget;
- Changes to tuition and those fees and charges requiring Board approval;
- Contracts and purchases of goods and services as required by the Regents Rules;
- The issuance of debt;
- Changes to the consolidated annual budget as required by the Regents Rules;
- Investment regulations and policies, including investment goals, model asset allocations, distribution policies and performance benchmarks;
- Capital project plans and schedules;
- Capital project design and construction contracts as required by Regents Rules;
- The naming of buildings, facilities , real property, streets and programs as required by the Regents Rules;
- Administration of System real property, including both surface and mineral interests
- Campus Master Plans;
- The Finance and Facilities Committee charter

The Finance and Facilities Committee also provides governance oversight to:

- Budget to actual status;
- Long-range financial planning strategies;
- Total indebtedness of the System and component institutions;
- The investment portfolio, including performance of investments compared to relevant benchmarks or indices and investment costs; and
- The financial relationship between the System and component institutions' and their respective affiliates, including affiliated foundations, clinical operations, and external entities

The Finance and Facilities Committee may also review:

- Selected financial metrics that measure the System and component institutions' fiscal condition
- Capital financing and debt-management reports
- The report on central reserves
- Asset management reports
- Other external and internal reporting requirements
- Other financial reports as requested by the committee

Adopted: 02.20.15

Effective: 02.20.15

Revised: 05.22.15

	Board Item	Feb	May	Aug	Nov
<u>Annual Items</u>					
	Committee Charter & Schedule	X			
	Tuition (College of Law)	X			
	Benchmark Options for Investment Portfolios	X			
	Consolidated Annual Financial Report	X			
	Consolidated Budget RR 10.204			X	
	Annual Investment Report				X
	Self-Insurance Fund Report - UNTHSC			X	
	Cost per Degree Factors				X
	Cost Trends in Major NACUBO Categories				X
	Annual Capital Improvement Plan			X	
	IT Security Data, Strategies, Auditing	X			
	Emergency Preparedness & Business Continuity		X		
	Review of Risk Management & Insurance Strategies			X	
	Crime Statistics & Safety Strategies				X
<u>Quarterly Items</u>					
	Budget to Actual	X	X	X	X
	Remediation Activities Update	X	X	X	X
	Campus Master Plan Update	X	X		X

UNT Dallas Campus Master Plan Update

UNT System Board of Regents

Presented by:

Bob Mong, President, UNT Dallas

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

February 23-24, 2017



Update on Progress of Campus Master Plan

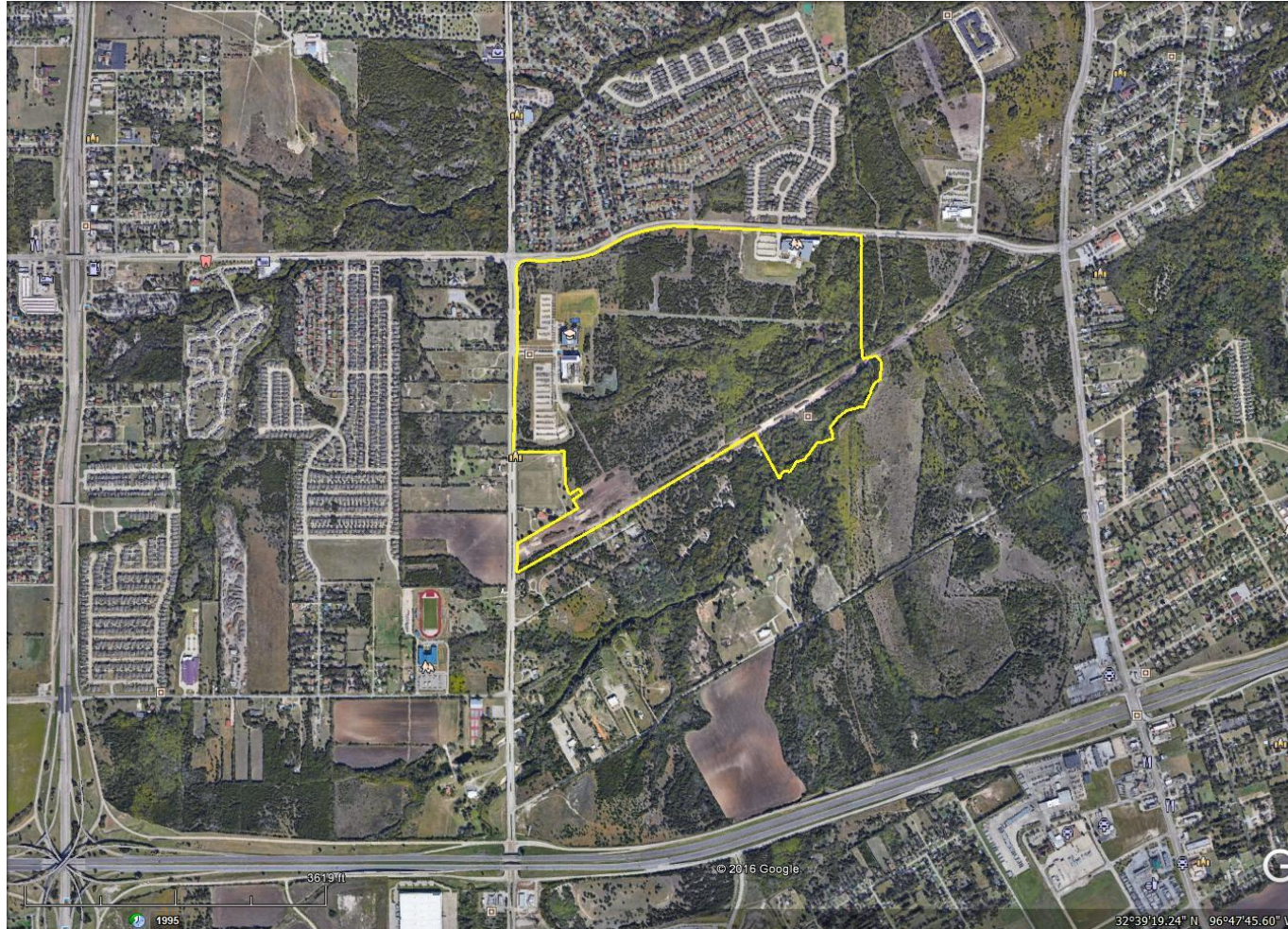
THE UNIVERSITY OF NORTH TEXAS

DALLAS CAMPUS MASTER PLAN - 2005

Approved by the UNT System Board of Regents on August 19, 2005

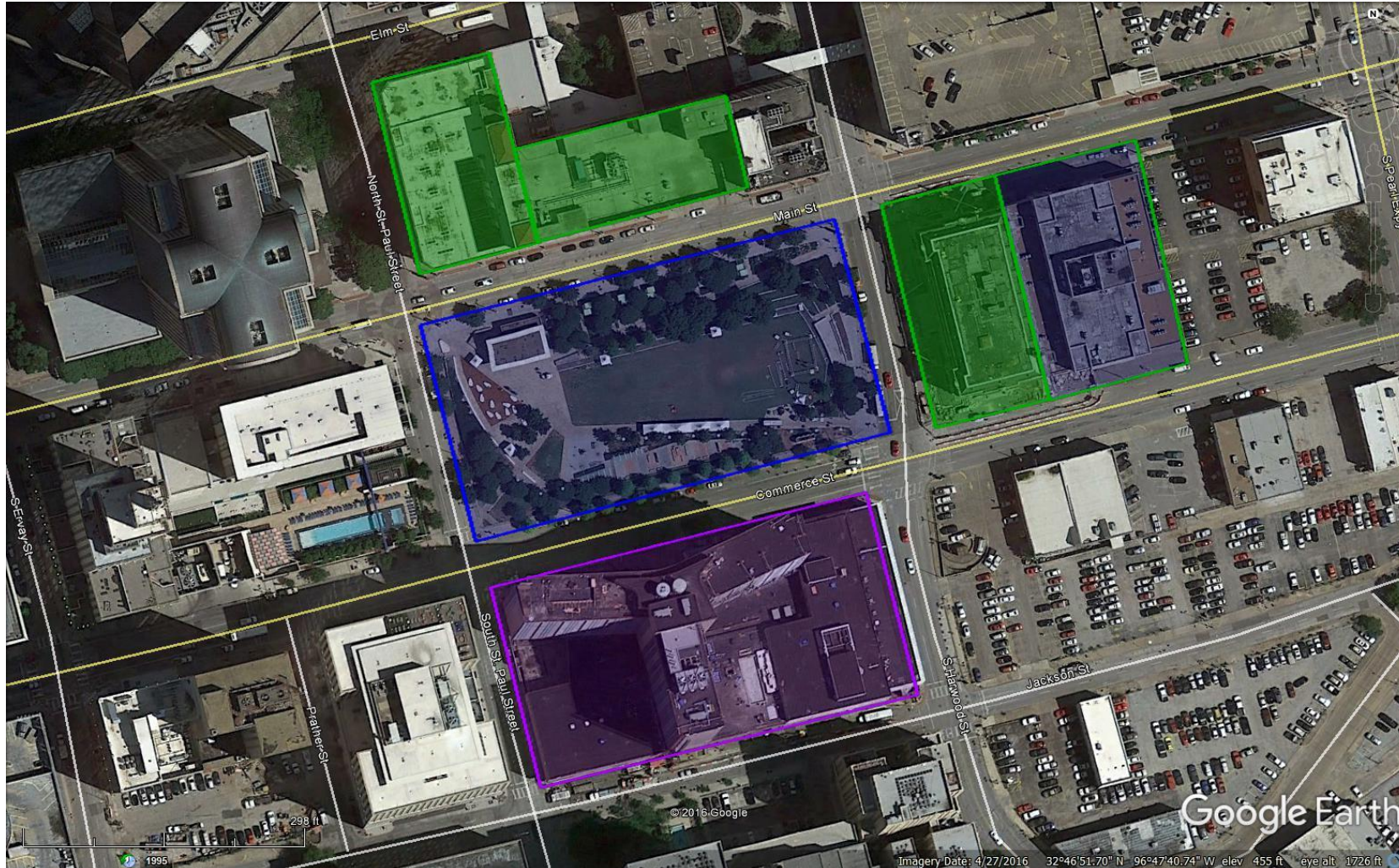
S A S A K I

UNT Dallas Context



- 245 acres at Camp Wisdom and University Hills Boulevard
- Only regionally accredited, public university in the City of Dallas
- Fall 2016 enrollment over 3,000
- 22 undergraduate programs
- 8 graduate programs
- 5 Academic schools

Downtown Dallas



- UNT Property**
 - 1901 Main (UNTS)
 - 1900 Elm (Apartments)
 - 106 S Harwood (COL)
- Dallas Property/UNT Option**
 - 2014 Main (Annex)
- Dallas Property**
 - Main Street Gardens
- Private**
 - 1914 Commerce (Statler)
 - 1954 Commerce (Library)

Campus Master Plan



Supports Strategic VISION

Mission

Empower. Transform. Strengthen.

UNT Dallas empowers student, transforms lives, strengthens communities

VISION

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



Campus Master Plan



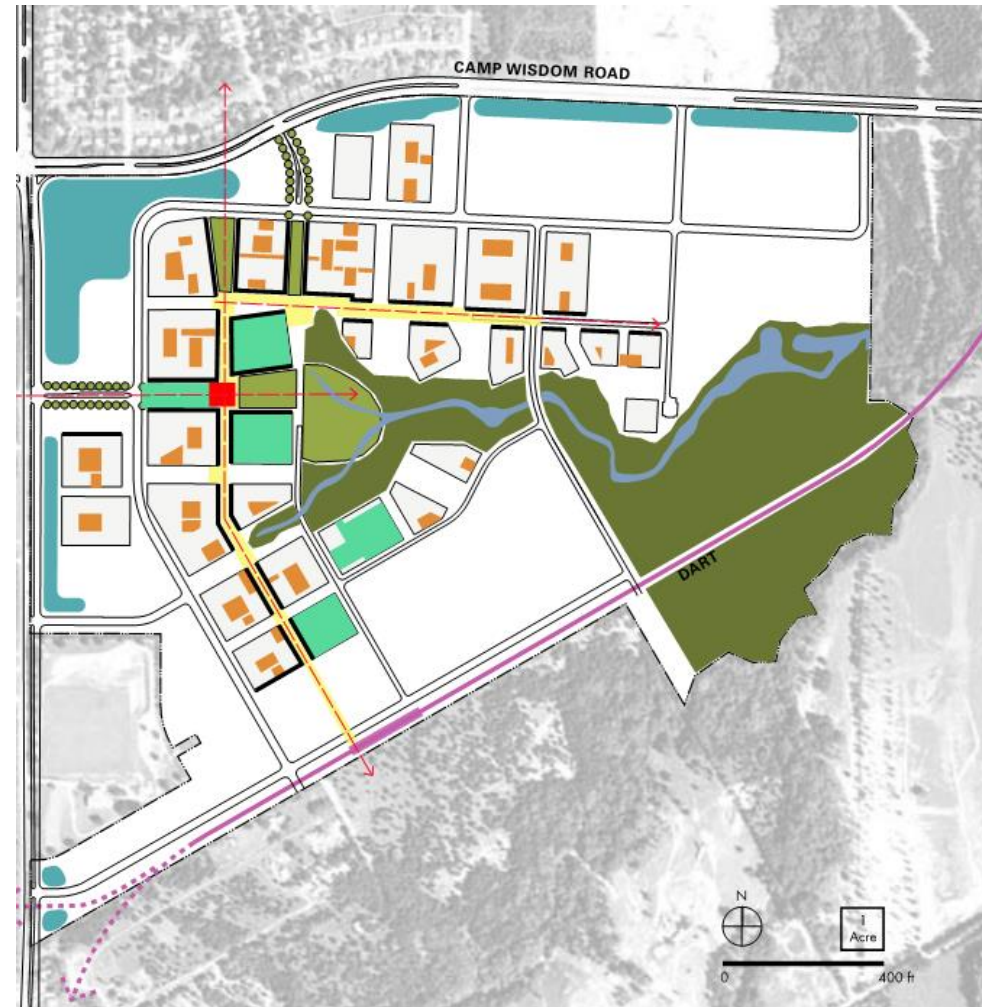
- Compelling Vision for the Campus environment
- Providing Facilities and Amenities that Support Campus Life
- Pedestrian Experience – Squares and Promenade
- Providing a Center for the Community
- Plan provides for 1,600 beds on-campus housing when the headcounts reach 16,000 students



2005 Master Plan

1. Library
2. Student Center
3. Visitors Center
4. Housing
5. North-South Promenade
6. Campus Square

University Promenade



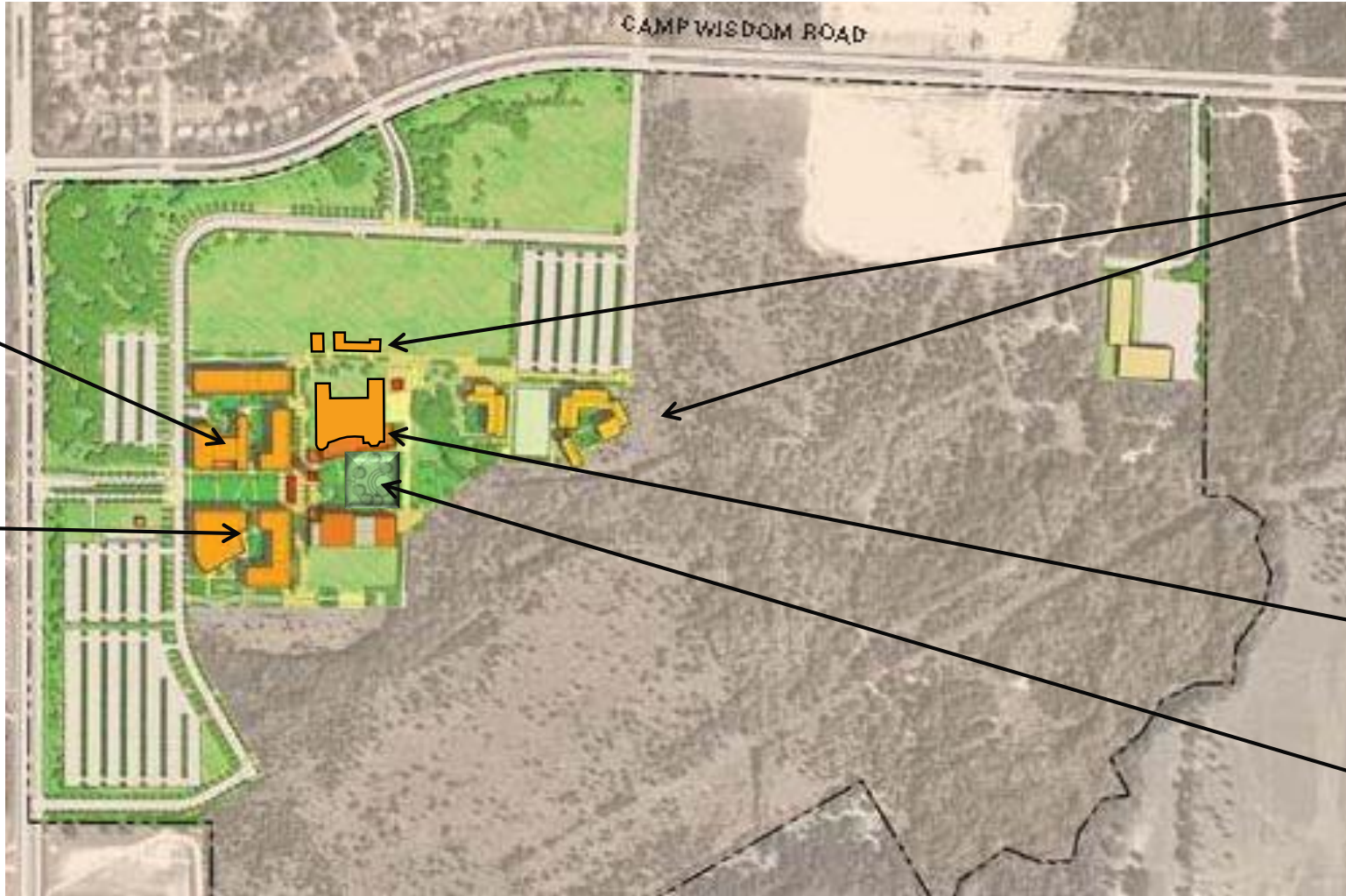
University Promenade



Current Development



2005 Master Plan Phase 1



Building 1

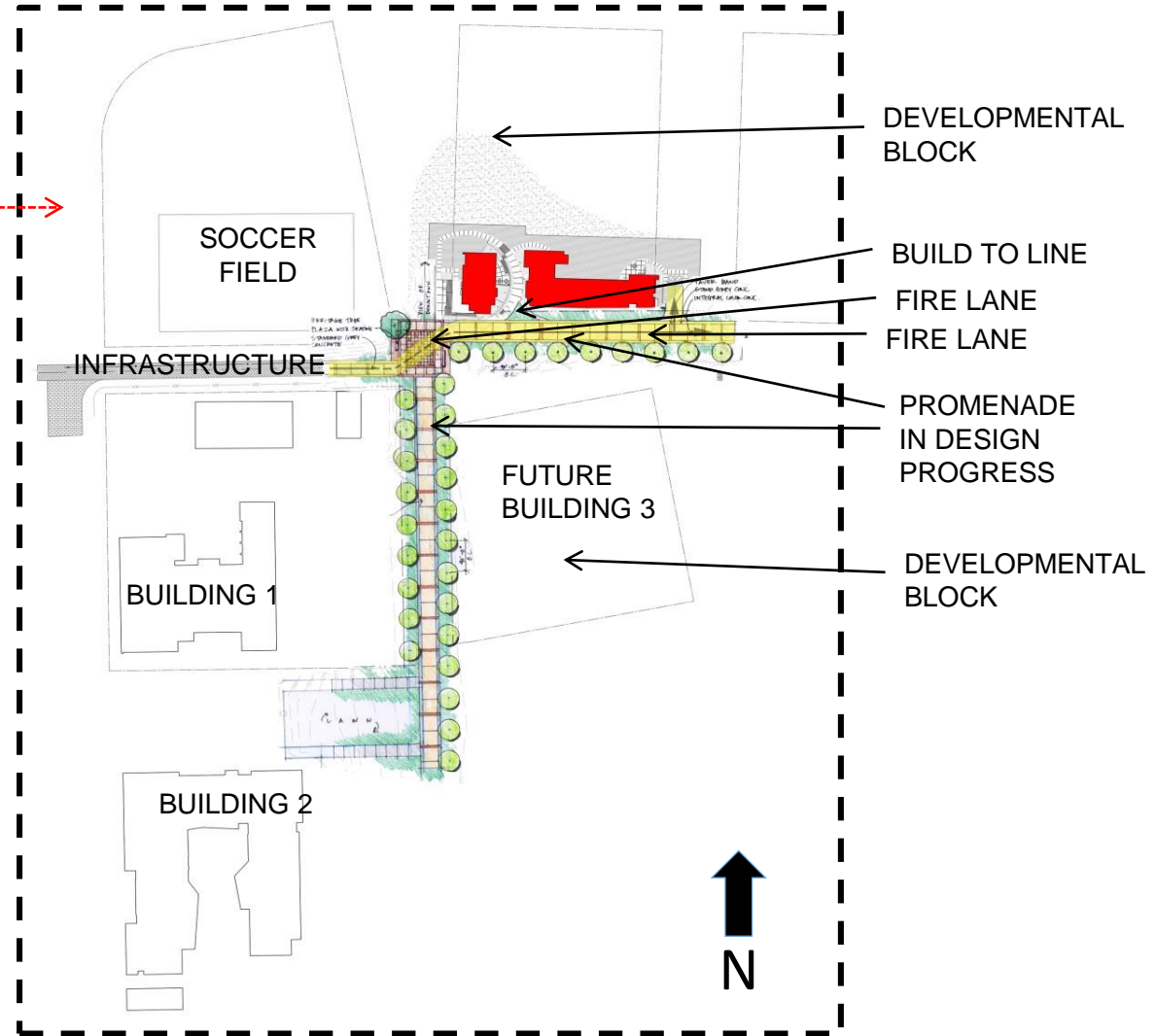
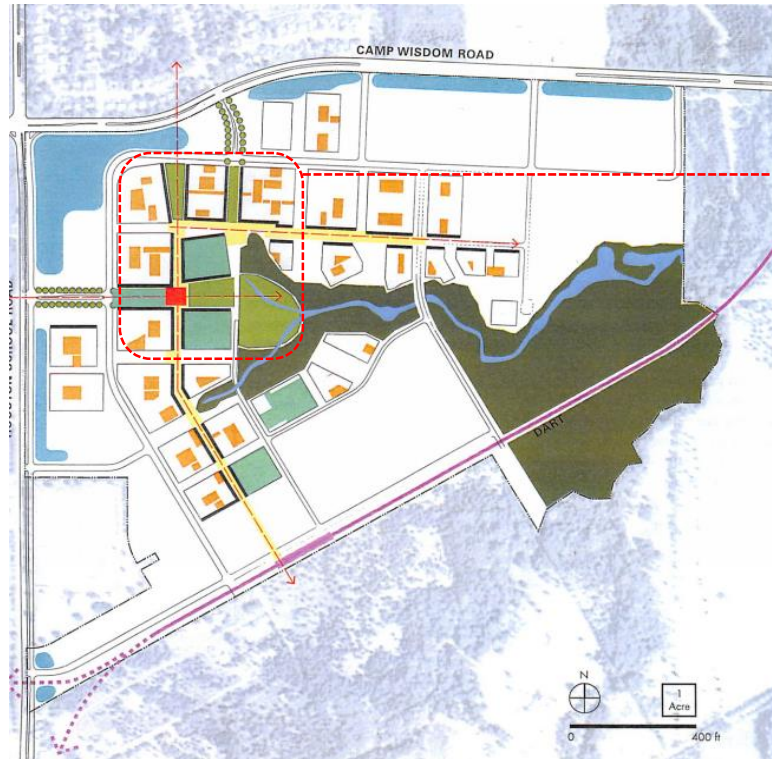
Founders Hall

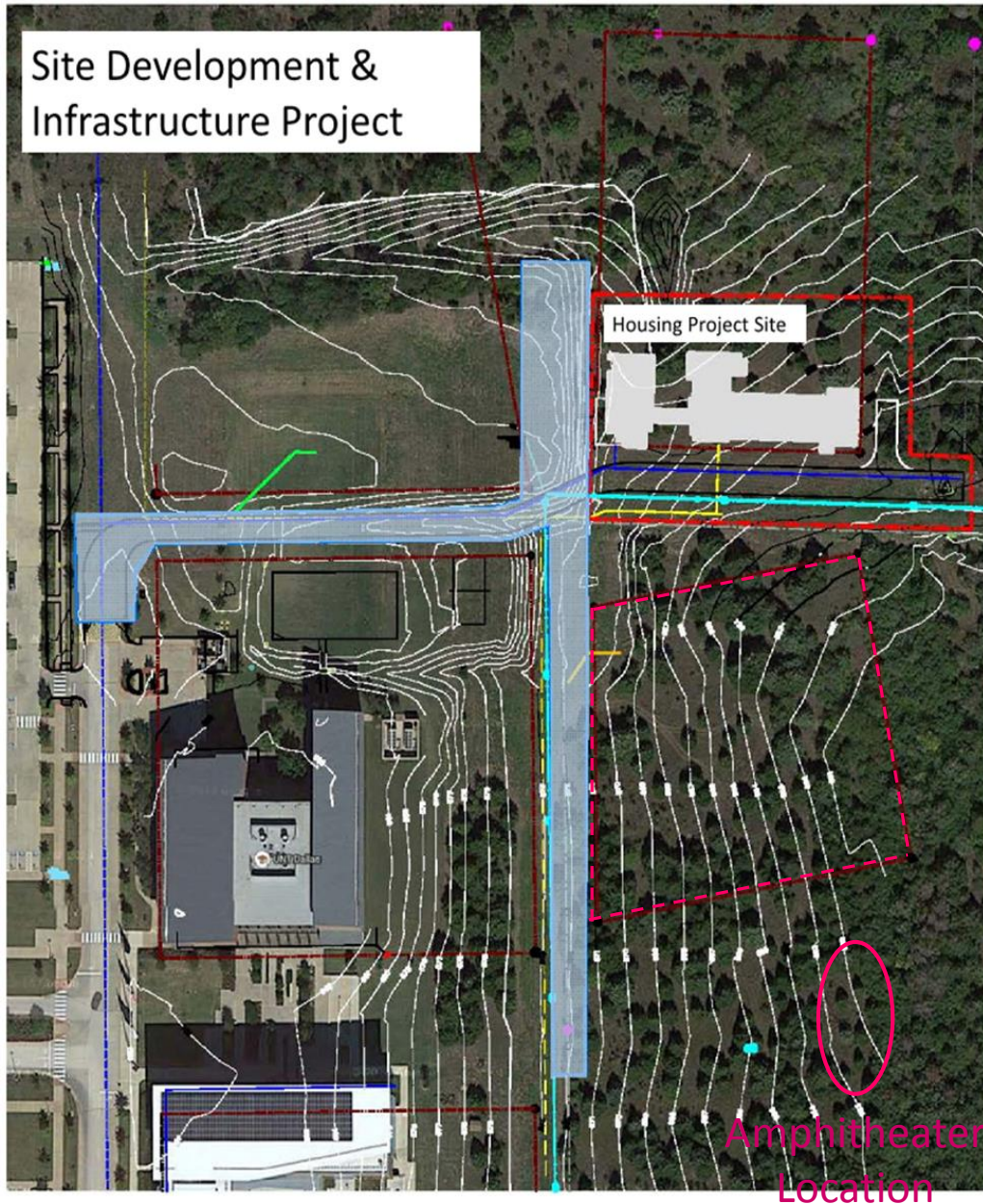
Planned Locations for Housing

Planned Location for Building 3

Amphitheater Location

Residence Hall Site Plan





Residence Hall



Student Learning and Success Center

- Approx. 129,300 GSF
- Project Budget: \$63,000,000
 - \$63,000,000 Tuition Revenue Bonds
- Program Space:
 - Library/Learning Commons
 - Student Services including:
 - admissions
 - financial aid
 - student advising
 - tutoring
 - aptitude testing
 - student employment
 - student life
 - counseling
 - enrollment management
 - Fitness Facility
 - Flexible large gathering space



Building
Site





Capital Project Planning

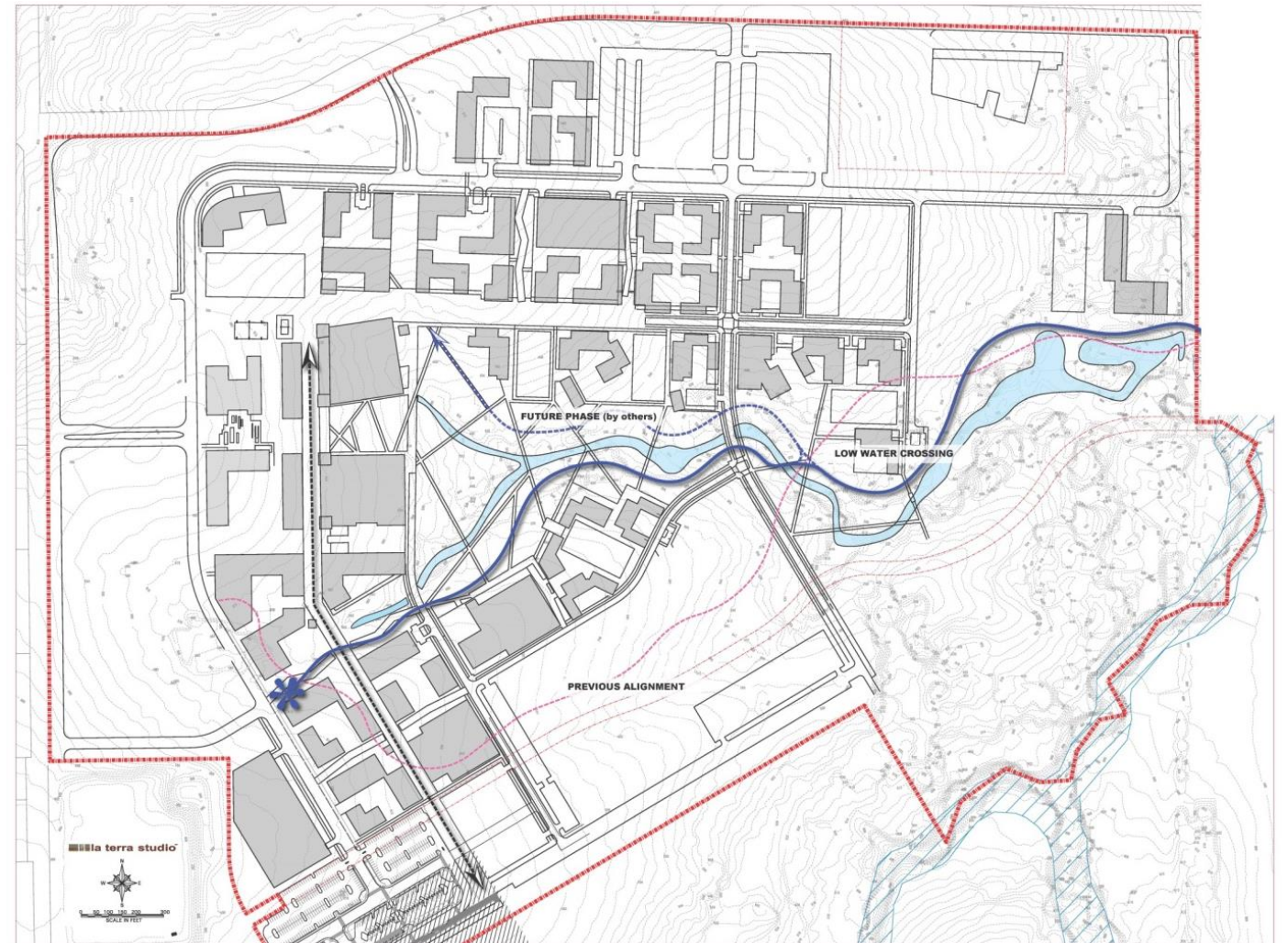
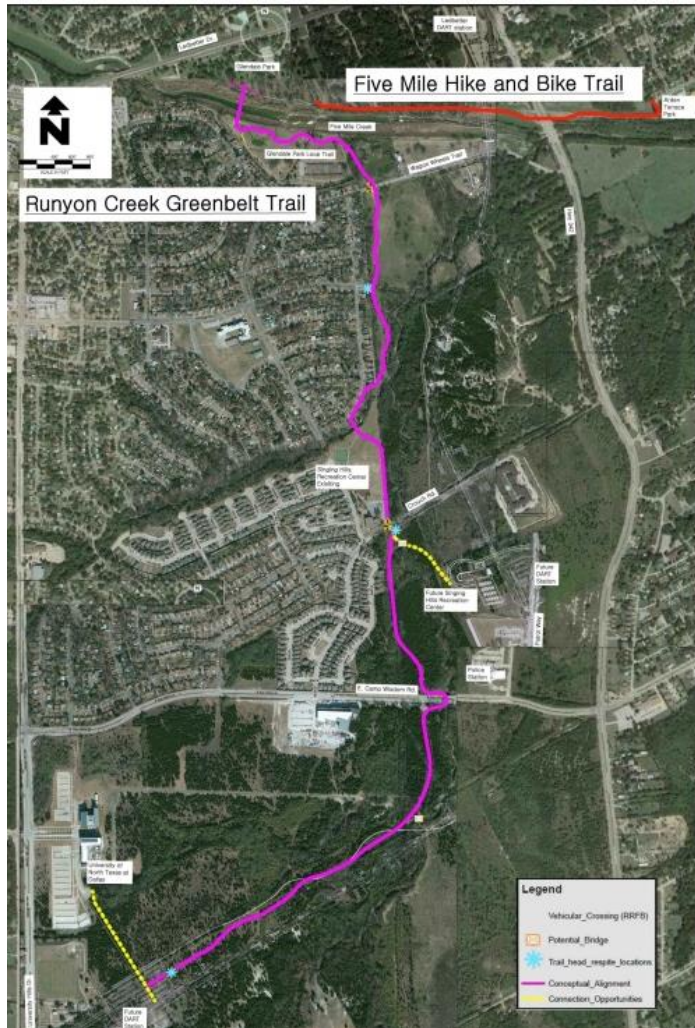
1. STEM Building
2. Business Technology Building
3. Field House
4. Second Residence Hall
5. Expanded Parking



DART at UNT Dallas



Runyon Creek Trail





Financial Operation Updates

Status of FY16 Consolidated Annual Report & Audits

- Filed with the State of Texas, November 2016
- Comptroller's Office review completed
- Under routine audit by State Auditor
- External Audit work tracking accelerated schedule
- 163 of 178 (92%) consolidated Prepared by Client requests completed
- Expected completion of audited CAFR by end of March
- Planned presentations to Board in April (Audit) and May(CAFR)

Increased Efficiency & Savings

- Developing culture of continuous improvement in saving time and money through improved processes in Finance and IT
- Implementation of 9.2 upgrade, Hyperion and other software leading to greater efficiency in operating and reporting
- Increased operational efficiency puts UNT System four months ahead of last year's pace in auditing CAFR

Controller Operations Updates

- Improved efficiency/savings with ADP:
 - Outsourced federal payroll tax filings
 - Tax compliance
 - W-2 preparation
- 9.2 conversion and new chart of accounts is enabling identification of system wide reconciliation issues
 - Business Process Improvement teams are being established to correct root causes of issues
- FY16 component unit AFRs used centralized reporting system that leveraged the Chart of Accounts for consistency in reporting

Budget Office Updates

- Refinements to Budget Definitions for continued reporting consistency
- Collaboration with campus budget offices on centralized budget closing rules
- Focus shifting from 9.2 conversion to improved financial reporting, data modeling and user training
- NACUBO category alignment conducted by Budget Offices and Accounting across all components and includes training

Business Process Improvement (BPI) Updates



- BPI, Payroll Office and campuses achieved a 55% reduction in the number of payroll cycles each month resulting in \$10,000 savings per pay cycle
- BPI initiated four overpayment projects and reduced the number of overpayments in CY16 34% from CY15
- UNT System utilization of Historically Underutilized Vendors (HUB) increased 30% in FY2016
- The UNT System HUB Program established 12 sponsorships under the State of Texas HUB Mentor Protégé Program during FY 2016

- Successfully issued approximately \$360 million in taxable and tax-exempt bonds, locking in favorable rates for new projects and refunding existing debt
- Closed on recently authorized Extendible Commercial Paper (ECP) program, furthering goal of more effective interim financing for capital projects
 - Since 2015 we have locked in financing of 6-six refundings (5-five closed) for a total of \$19.3 million of NPV savings and \$28 million of Gross Savings.
 - Including the Series 2018 Forward Refunding, the True Interest Cost will be reduced from 3.93% for \$368.5 million to 3.34% for \$718.4 million in debt by 3/15/18.

Top-level IT Issues

- Institution-wide IT Strategy
 - Briefing this morning
- IT Operational Review
 - Briefing in this committee
- IT Security Issues
 - Reviewed here in Executive Session
- IT Investments for Quality and Security
 - Discussed in May and August, Budget



University of North Texas System Quarterly Budget Report



Summary of First Quarter Results

All three institutions either met or exceeded the target head count and SCH enrollments for Fall 2016 used in Net Tuition and Fee revenue budget estimates –

- Q1 end of year forecasts show flat or slightly below original budget for Net Tuition and Fee Revenues
- Spring 2017 data supports expected Q2 end of year forecasts for Net Tuition and Fee Revenues should level off to estimated levels
- All components are tracking at or above their “Estimated Impact on Fund Balances” with the exception of UNT which is currently forecasting a lower than expected increase to fund balances

Quarterly Budget Estimates are still a work in progress – As we continue to fine tune and improve business processes, and build reliable trend data in our new system, they will be a more valuable strategic tool.

Summary of First Quarter Results

- **System-wide Revenues are reported at 8.3% below the budgeted estimate for the first quarter – largely due to:**
 - Spring Tuition and Fee revenues for some components budgeted in different quarter than billed/accrued
 - Grants and Contracts revenue budget (UNTHSC) overstated due to the newly created partnership with Acclaim (expenditure budgets also reflect reductions)
- **System-wide Expenditures are reported at 6.1% below the budgeted estimate for the first quarter – a net result of:**
 - Salaries and Payroll Related Costs savings across all components
 - Q1 expenditures came in above budgeted estimates in Repairs and Maintenance, and Professional Fees and Services due to front loaded maintenance, service, and lease agreements

What's New in the Quarterly Report

As always, each component's individual Budget to Actual report is provided in the Quarterly Operations Report, and we've added a requested feature to the FY17 Q1 Report. Your feedback is always welcomed and appreciated.

Prior Year EOY Actuals with variance calculation as compared to current quarter year-end forecast

FY17 - Revenues, Expenses, and Transfers - Current Funds by Quarter
Fiscal Year to Date Total Budget and Year-End Forecast



	Q1 FYTD Estimate	Q1 FYTD Actual	Variance	Variance % (Q1 Est to Q1 Actual)	Ref. No.	FY17 Budget	Year-End Forecast	Variance % (FY17 Fcst to FY17 Bud)	FY16 EOY Actuals	Variance % (FY16 Actuals to FY17 Fcst)
REVENUES										
Net Tuition and Fees	\$ -	\$ 50	\$ 50			\$ -	\$ -	0.0%	\$ -	0.0%
Sales of Goods and Services	474,876	503,452	28,576	6.0%		1,899,505	1,899,505	0.0%	2,025,768	-6.2%
Grants and Contracts	-	-	-			-	-	0.0%	-	0.0%
State Appropriations	5,545,303	7,127,570	1,582,267	28.5%	1	8,150,650	8,150,650	0.0%	8,644,696	-5.7%
Capital Appropriations - HEF	-	-	-			-	-	0.0%	-	0.0%
Net Professional Fees	-	-	-			-	-	0.0%	-	0.0%
Gift Income	-	-	-			-	-	0.0%	-	0.0%
Investment Income	41,497	62,248	20,751	50.0%	2	165,989	165,989	0.0%	105,994	56.6%
Other Revenue	-	33,687	33,687	100.0%		-	94,324	0.0%	191,394	-50.7%
Total Revenues	\$ 6,061,676	\$ 7,727,007	\$ 1,665,331	21.6%		\$ 10,216,144	\$ 10,310,468	0.9%	\$ 10,967,851	-6.0%
EXPENSES										
Salaries - Faculty	\$ -	\$ -	\$ -			\$ -	\$ -	0.0%	\$ -	0.0%
Salaries - Staff	10,121,916	9,460,237	661,679	6.5%		40,487,665	38,334,753	5.3%	36,297,047	-5.3%
Wages and Other Compensation	130,152	552,404	(422,252)	-324.4%	3	520,607	1,980,416	-280.4%	1,746,749	-11.8%
Benefits and Other Payroll-Related Costs	2,565,842	2,437,250	128,592	5.0%		10,263,368	9,592,443	6.5%	10,092,561	5.2%
Subtotal - Personnel Costs	\$ 12,817,910	\$ 12,449,891	\$ 368,020	2.9%		\$ 51,271,640	\$ 49,907,613	2.7%	\$ 48,136,357	-3.5%

System Budget and Planning

- Developing and implementing new data models and business intelligence objects to provide end-user deliverables:
 - User-friendly “core” and standard (e.g. Budget Summary) reports
 - Drill through Validation of Summary Reports
 - Ad hoc reporting capabilities
 - Hands on training (“Teach them to fish”)
 - Scheduling and Bursting of Reports
 - Exception based reporting to capture data issues
- Collaborating with UNT’s DAIR and coordinating reporting needs with all components to ensure individual needs are met
- Data models will translate to the Insights project

Although institutions do have unique business needs and perspectives, the deliverables created will be an asset to all as they give clear visibility to the ERP system. These deliverables provide a universal foundation that is understood and accepted by all.

University of North Texas System Series 2017A&B Refunding and Improvement Bonds

Transaction Overview

J.P.Morgan



	Series 2017A	Series 2017B
Par Amount	\$196.165MM	\$164.305MM
Premium	\$32.356MM	
Tax Status	Tax-Exempt	Taxable
New Money	\$163.285MM	\$100.847MM
Refunding	\$64.133MM	\$62.538MM
Credit Rating (M/F)	Aa2/AA – Stable Outlook	

Use of Proceeds:

- i. Finance infrastructure improvements
- ii. Refund a portion the Series 2009A Bonds
- iii. Refund a portion of the Board's commercial paper

Pre-Pricing Date: January 4, 2017

Pricing Date: January 5, 2017

Closing Date: January 31, 2017

Pricing Schedule

Jan. 4 Pre-Pricing Conference Calls

- Gather price viewpoints from the syndicate

Jan. 5 Pricing Day

- Adjustments to pre-pricing made with any overnight updates
- Initial orders*
- Review orders and adjust pricing where needed
- Receive orders on adjusted pricing
- Bid escrow securities for Refunding Bonds
- Set coupons on Taxable bonds

*Initial orders were 7x over-subscribed. Municipal bond supply totaled \$2.8Bn while demand held to 2016 average of \$8.4Bn

Negative net supply in municipal bond markets created **more demand** which **drove spreads lower** and provided **more flexibility in pricing.**

Pricing & Refunding Results

The System reduced borrowing costs and realized overall net PV savings of 6.15%:

Tax-Exempt Series 2017A

- All in TIC - 3.13%
- WAM – 10.12Yrs
- Net PV Savings - \$4.6MM or 7.8% of Refunded Bonds

Taxable Series 2017B

- All in TIC - 3.49%
- WAM – 9.52Yrs
- Net PV Savings - \$2.5MM or 4.5% of Refunded Bonds

Refinancing results in Net PV savings of **\$7,114,623** and reduces average annual debt service by **\$437,000**.

\$264.1MM used for 7 capital projects:

UNT – College of Visual Arts and Design Facilities (TRB)

UNT Dallas – Student Learning and Success Center (TRB)

UNT Health Science Center

- Interdisciplinary Research and Education Building (TRB)
- Student Services Building
- Property Acquisitions

System Administration – Renovations to Municipal Building for College of Law (TRB)

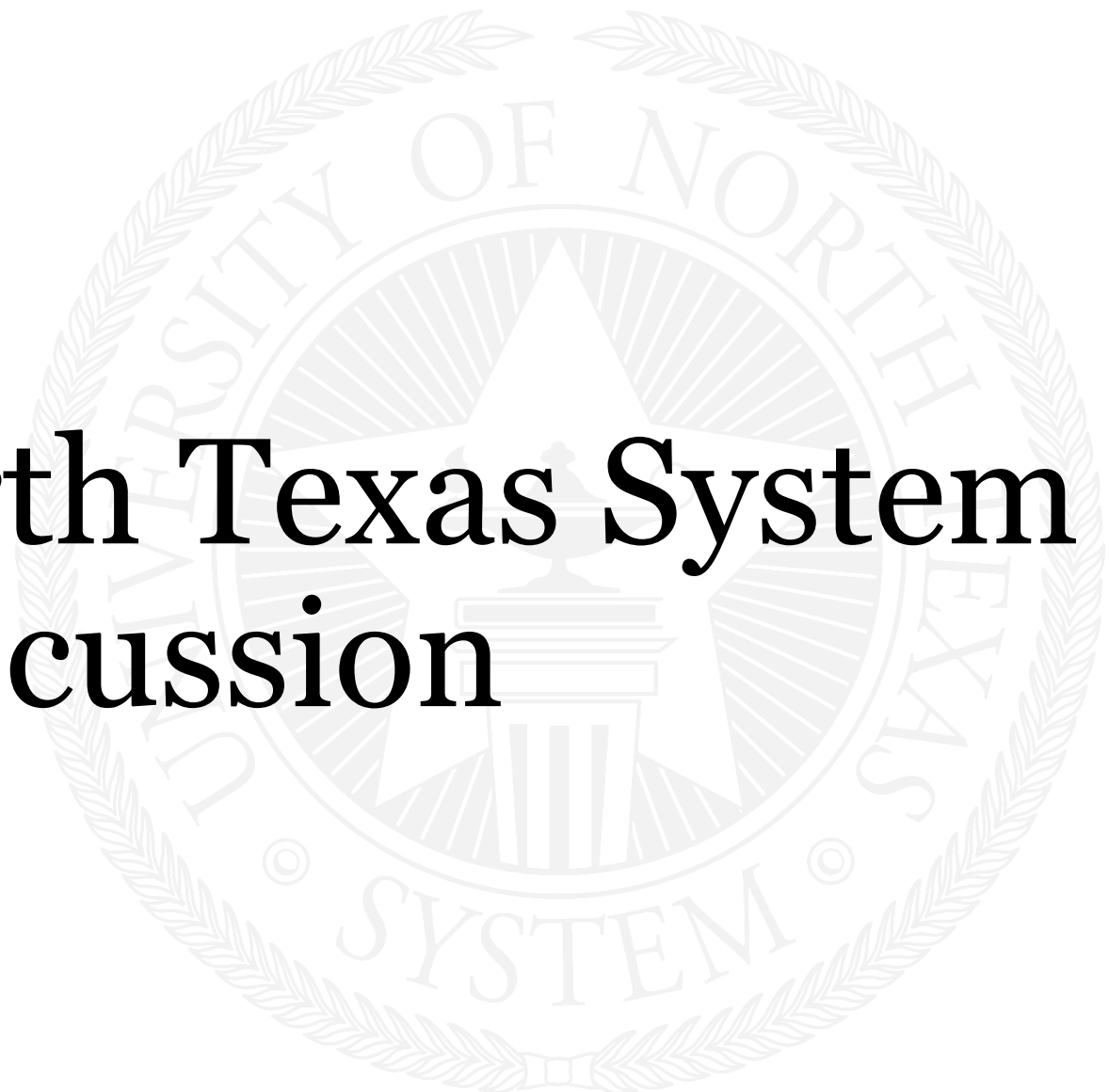
Applications of finance were observed in steps of the bond issuance procedure:

- Municipal Bond Market Trends and Investor Sentiment
- Role of the Syndicate and Supporting Parties
- Importance of Attention to Detail and Experience
- The “Giveback”

Exposure to the municipal financing process has provided **exceptional perspectives** on debt capital markets and the skills needed to effectively compete in the industry.



University of North Texas System Debt Discussion



All Debt Issued at System Level

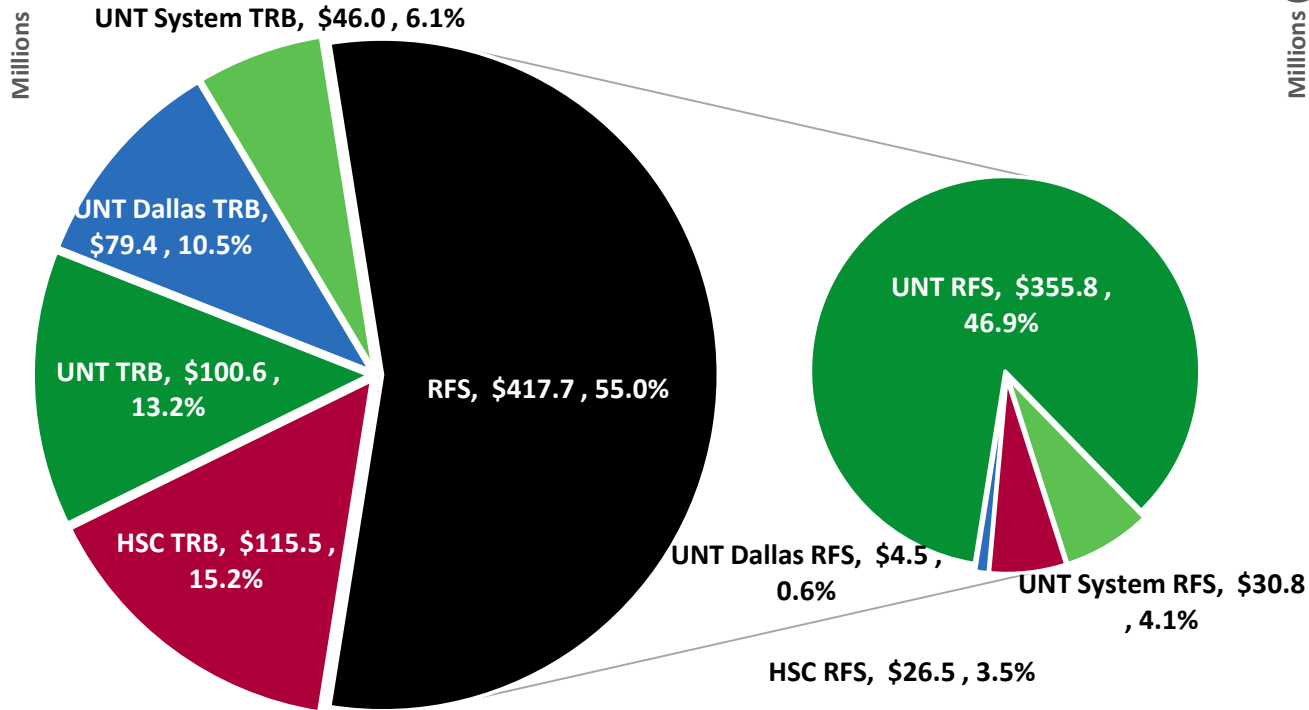
The University of North Texas System issues debt obligations under the Revenue Financing System

- System has \$759.1MM of outstanding bonds
 - \$341.1MM are for Tuition Revenue Bond projects
- Total Commercial Paper capacity of \$150MM composed of \$75MM (Self-liquidity) and \$75MM (Extendible Commercial Paper)
- Self-liquidity CP balance of \$8.7MM at rate of 0.72%
- Extendible CP balance of \$5.2MM at rate of 0.77%

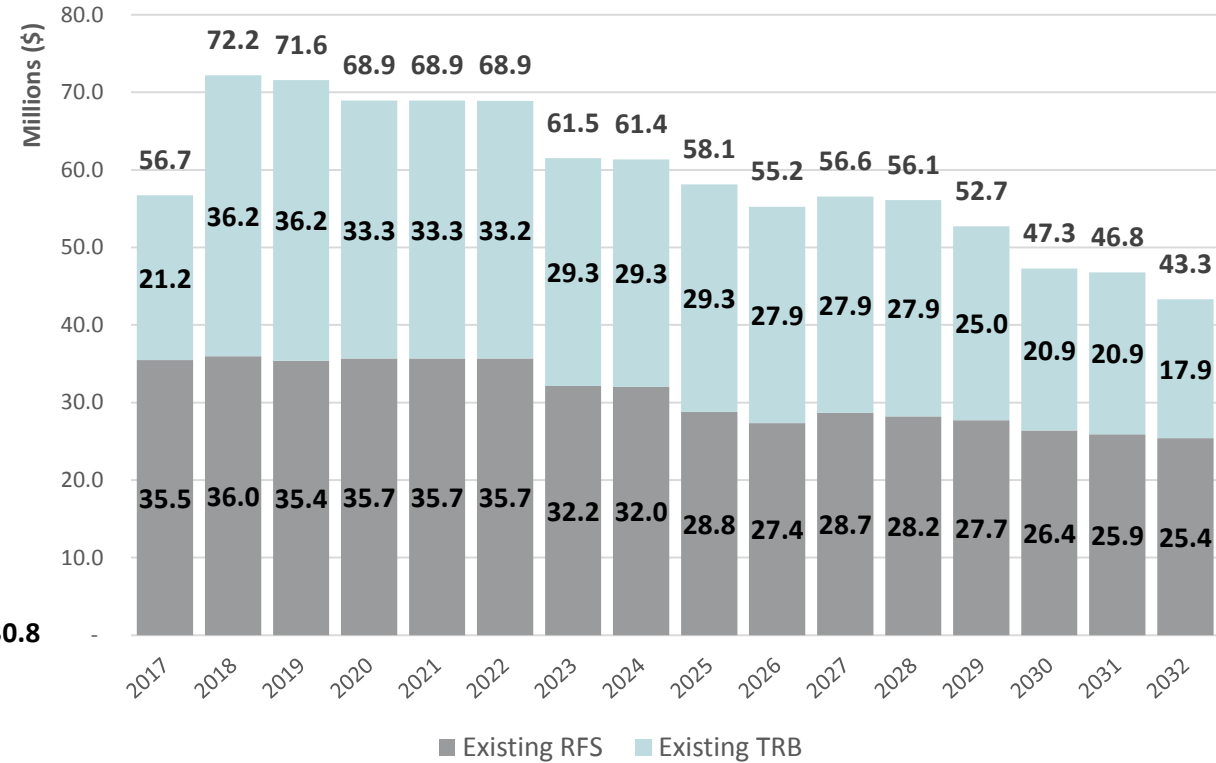
Revenue Financing System debt is secured by Pledged Revenues of the Consolidated System and both bonds and commercial paper are parity obligations

Majority of Debt Profile is RFS

UNTS System - Feb. 2, 2017 Bond Balances



UNTS 15Yrs of Debt Service (RFS vs TRB)



Sizeable but Manageable Debt Plans



Current free cash flow covers projected maximum annual debt service “MADS”

- \$150MM of commercial paper capacity provides interim financing needs for current CIP
- Estimated **\$250MM** of new bonds issued over the next five years based on current Capital Improvement Plan “CIP” including requested amendment

UNTS - 5 Year Debt Balance Forecast (RFS Only)

Debt Types	FY16	FY17	FY18	FY19	FY20	FY21
Existing Bonds	\$ 407,235,000	\$ 307,425,000	\$ 289,035,000	\$ 270,615,000	\$ 253,930,000	\$ 236,690,000
CP	14,918,237	29,856,863	72,982,778	61,945,187	57,177,608	13,958,274
FY17 Bonds	-	92,252,362	91,567,811	90,880,000	87,540,000	84,065,000
FY18 Bonds	-	-	36,178,800	34,667,052	33,155,304	31,643,556
FY19 Bonds	-	-	-	69,636,000	66,718,680	63,801,360
FY20 Bonds	-	-	-	-	102,216,000	97,692,360
FY21 Bonds	-	-	-	-	-	42,336,000
Total Debt	\$ 422,153,237	\$ 429,534,225	\$ 489,764,389	\$ 527,743,239	\$ 600,737,592	\$ 570,186,550
YOY % Change		1.75%	14.02%	7.75%	13.83%	-5.09%

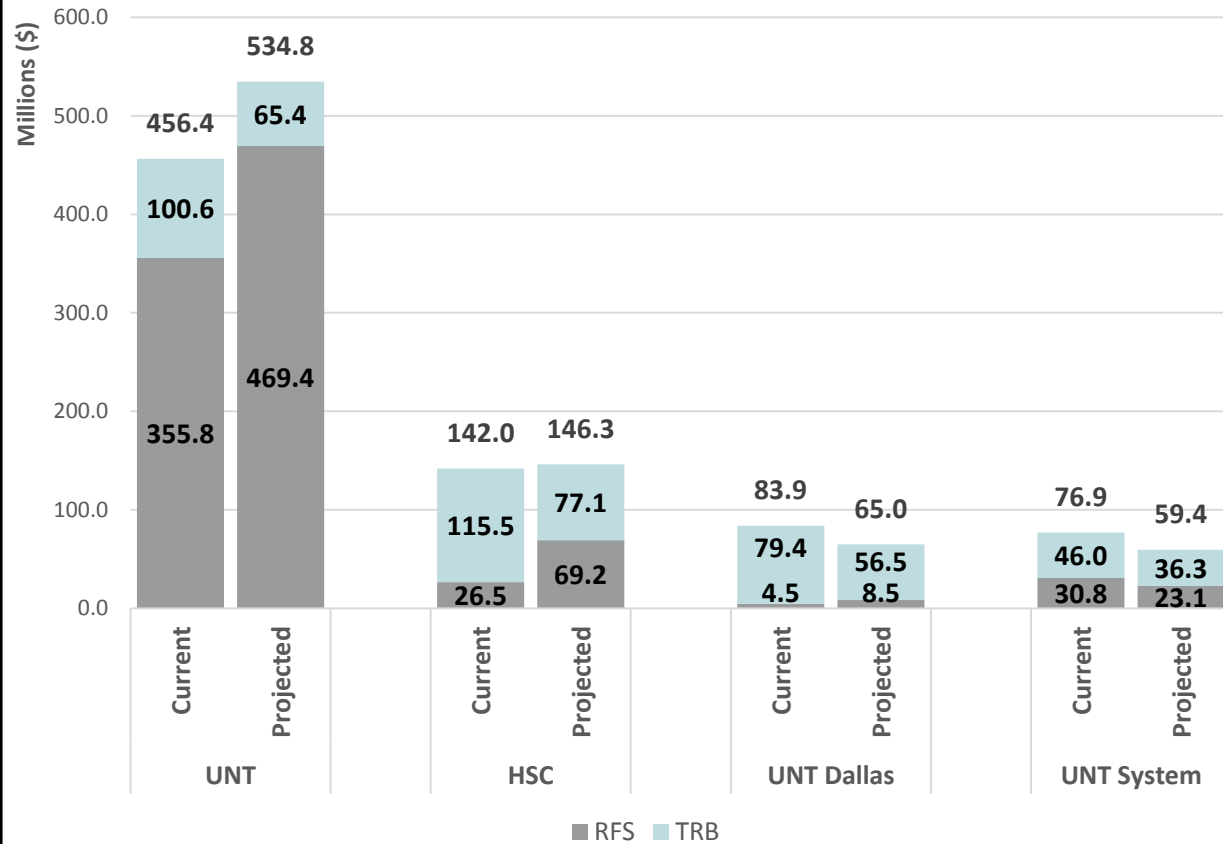
UNTS - 5 Year Debt Balance Forecast (Total Debt)

Debt Types	FY16	FY17	FY18	FY19	FY20	FY21
Existing Bonds	\$ 515,305,000	\$ 369,170,000	\$ 339,770,000	\$ 309,930,000	\$ 286,705,000	\$ 262,665,000
CP	20,150,000	29,856,863	72,982,778	61,945,187	57,177,608	13,958,274
FY17 Bonds	-	356,780,000	344,115,000	331,065,000	312,555,000	293,415,000
FY18 Bonds	-	-	36,178,800	34,667,052	33,155,304	31,643,556
FY19 Bonds	-	-	-	69,636,000	66,718,680	63,801,360
FY20 Bonds	-	-	-	-	102,216,000	97,692,360
FY21 Bonds	-	-	-	-	-	42,336,000
Total Debt	\$ 535,455,000	\$ 755,806,863	\$ 793,046,578	\$ 807,243,239	\$ 858,527,592	\$ 805,511,550
YOY % Change		41.15%	4.93%	1.79%	6.35%	-6.18%

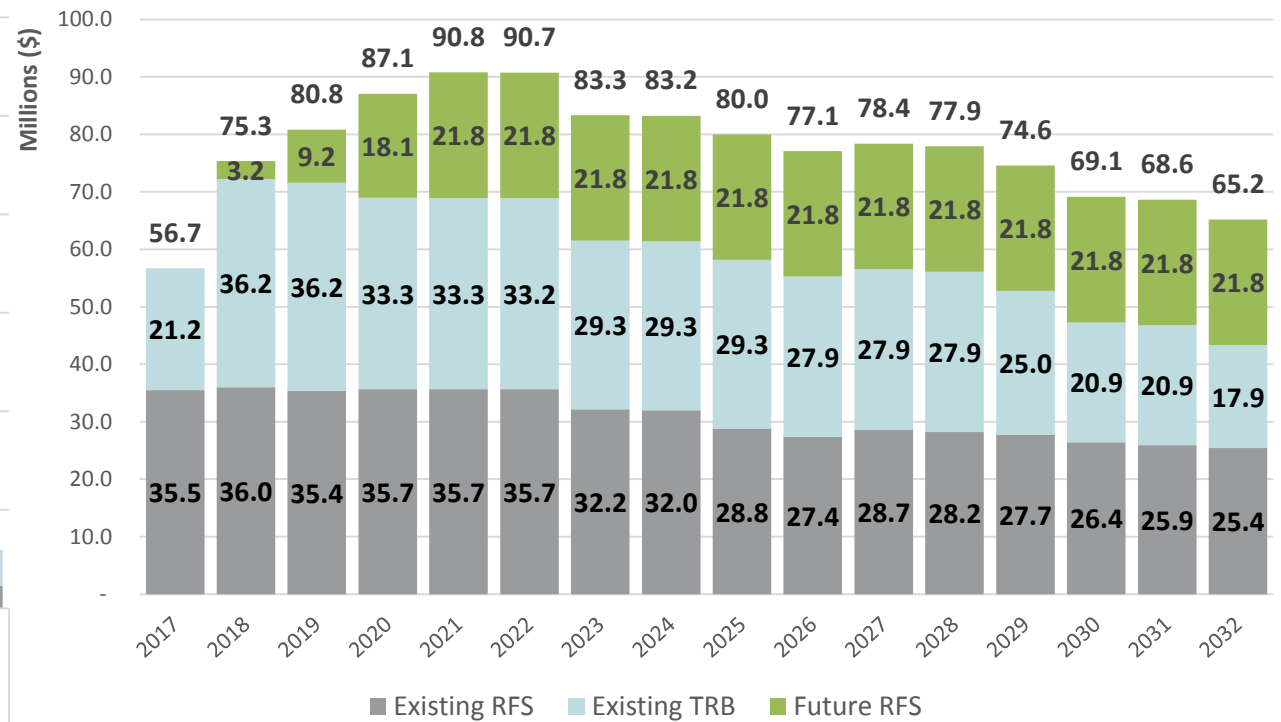
- Existing bonds drop significantly from 16 to 17 due to refunding
- Projections include current request for CIP amendments

Where We're Headed

Current vs. Aug. 31, 2021 Projected Debt Balances



UNTS 15Yrs of Debt Service (RFS vs TRB)
5Yr Forecast of New Issuances



System's Credit Quality Viewed as Stable



Strengths

- Regional demographics are healthy supporting positive trends in student enrollment and demand
- Improving financial position and operating margins
- Strong financial support from the state of Texas for operations and capital expenditures

What could improve UNTS' Creditworthiness

- Large increases in financial reserves
- Multi-year improvements in operating margins and enhanced cash flow
- Significant expansion of research activity with revenue diversification and expansion of national reputation

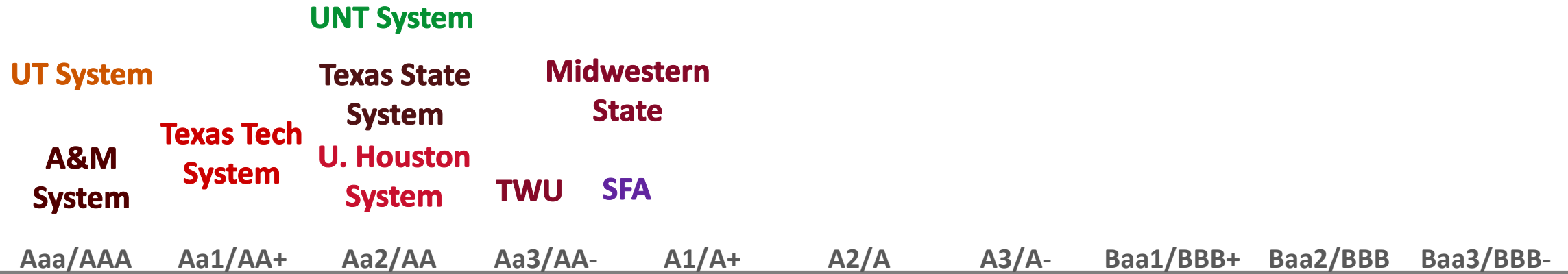
Weaknesses

- Increasing debt burden and less cash and investments than peer institutions
- Less gift income than peer institutions
- Large net pension liability – reported \$118MM 8/31/2016

What could diminish UNTS' Creditworthiness

- Substantial decreases in state support
- Material increases in leverage beyond current plans
- Trend of weaker financial performance
- Material reductions in cash and investments available for operations and debt service

UNTS in Good Company



OU

- The average cost of a one rating category differential, in the Municipal Market, was 15 basis points over the past five years
- For the 2017A&B Bonds, a 15 basis point increase would have increased debt service an estimated \$5.4 million or an average of \$400,000 in the next ten years
- Historically, credit rating upgrades are difficult to achieve and typically follow a multi-year trend of improved metrics

Conclusions

- UNT System will be updating Debt Policy and procedure documents considering the differing needs of each campus
- Strive to structure future financings to maintain creditworthiness while providing flexibility for strategic investments
- Long term vision in managing debt portfolio in order to reduce borrowing costs and in turn support operating and budgetary flexibility

February 2017 Board Meeting ITSS Key Software Applications Finance & Facilities Committee

IT Application Portfolio

- What does the IT Application Portfolio look like?
- What is covered in our current PeopleSoft Environment?
- What is not in our current PeopleSoft Environment?
- What major changes have been made to the Portfolio?
- Questions

ITSS Application Overview

Finance

Core Finance

- General Ledger
- Accounts Payable
- Purchasing
- eProcurement
- Asset Mgt
- Commitment Control
- Expenses

ABA Budget Requests

- Hyperion Planning
- Concur

eSupplier

Grants

- Grants
- Project Costing
- Contracts
- Billing
- Receivables

Effort Reporting

- Cayuse
- Ideate

- Cash Mgt
- Contract Mgt
- eSettlements
- Strategic Sourcing

Student

Campus Solutions

- Student Records
- Admissions
- Academic Advising
- Student Finance
- Financial Aid
- Campus Community

Clinical Rotation Coordinating Board Rptng
Online Admissions Apps
External Admission Apps
Early Alert Retention
Meningitis Notify
Student Financial Obligations

- Admissions Lab
- Blackboard Learn
- Canvas
- CoursEval
- ePortfolio
- Faculty Profile
- GradesFirst Advising
- HigherOne
- Nelnet
- New Innovations
- Respondus
- RightNow
- RoboReg
- Ruffalo Noel Levitz
- SPOT course evaluation
- Sunapsis
- TerraDotta
- TK20
- Turnitin
- uAchieve Suite
- Visual schedules
- Wimba

HR

Core HR

- Employee Self Service
- Manager Self Service
- Benefits
- Compensation
- Workforce Admin

ePerformance

- Learning Mgt
- Talent Acquisition

PeopleAdmin

Payroll

- Payroll
- Time & Labor
- Commitment Accounting

eLeave
ePAR
Web Clock
Employee Onboarding

CRM

SalesForce

- Sales Cloud
- Marketing Cloud
- Service Cloud
- TargetX
- QAS Address Clensing
- Social Studio

Administrative

- AdAstra
- Blackbaud Raisers Edge
- Clockwork
- Dining Services
- Facilities
- FMLA Source
- HSC Health Clinics
- ID Cards
- Libraries
- Parking & Garage Ops
- Qualtrix
- Radiant Virtual Asset Tracking
- Rec Center
- RMS Housing
- Space Mgt & Planning
- Tango – ACA
- Telecom
- The Work Number

ACES Security

Legend

PeopleSoft

Purchased Software

PS Not Owned

Custom PS Bolt-on

PS Owned Not Implemented

Custom Software

Reporting, Analytics & Document Mgt

Blackboard Analytics

Cognos / Data Warehouse

Image Now

Online Access

Portal

PeopleSoft Modules Owned but Not Implemented

- Enterprise Learning Management
 - Facilitates the planning, scheduling, delivering, tracking and managing of learning activities. Integrated with PeopleSoft HCM to leverage the learning aspect of job and person profiles.
- eSupplier
 - Enterprise application that provides supplier (vendor) self-service through a internet-based portal. Gives suppliers access to pertinent information (such as invoice status).
- Talent Acquisition Management
 - Enables workforce acquisition. Create and manage job openings; manage job postings; enter and manage applicant information; screen, route and interview applicants; manage offers and prepare applicants for hire.

PeopleSoft Modules Not owned

- Cash Management
 - Solution for cash management to optimize enterprise-wide liquidity and cash control, provides for real-time visibility into cash position, bank reconciliations.
- eSettlements
 - Electronic invoice presentation and payment solution, provides matching, online approval, dispute resolution and email notification.
- Supplier Contract Management
 - Supplier contract management, provides for lifecycle management – authoring, collaboration, negotiation, execution, status tracking and compliance.
- Strategic Sourcing
 - Product/service sourcing through online collaboration, provides for collaborative negotiation, bid analysis and award.

Major Applications Purchased Since 2012

Non PeopleSoft

- Hyperion Planning
 - Budget planning system, integrated with PeopleSoft
- Salesforce & TargetX
 - Customer Relationship Management system, used to target prospective students

PeopleSoft

- ePerformance
 - Online personnel performance reviews, integrated with PeopleSoft HCM to leverage job and person profiles
- Enterprise Learning Management

PeopleSoft Modules Implemented Since 2012

- ePerformance
 - Currently in pilot with ITSS
- Expenses
 - Currently in pilot with BSS
- Billing and Receivables (for Grants)
 - Full implementation pending approval
- Academic Advising (for degree audit)

PeopleSoft Future Updates

- Oracle/PeopleSoft releases minor software updates about every quarter
- These contain fixes, regulatory updates and can also contain new functionality
- We intend to stay current as follows:
 - Campus Solutions – 3-4 updates per year, driven by financial aid regulation changes
 - HCM – 2-3 updates per year
 - Finance – 2-3 updates per year
- Any security updates would be applied ASAP

Questions?

Kem Marcum

ERP Application Development Director

IT Shared Services

Kem.Marcum@untsystem.edu



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

Background:

As enrollment at UNT continues to grow and as the campus master plan is implemented with the addition of new construction projects, parking availability on campus is decreasing. Current construction projects including the new College of Visual Arts and Design, the new Residence Hall, site development at Fraternity Row, and the Central Path at Clark Park will develop sites that are currently utilized as surface parking lots. As a result, approximately 763 spaces have been permanently removed from service in the last year. To mitigate the loss of parking, a new surface parking lot of approximately 550 spaces will be constructed on Eagle Point, west of existing Parking Lot 80. A total project budget of \$2,200,000 has been developed and will be funded with Auxiliary Reserves with interim financing through Commercial Paper.

In addition, the following amendment to modify the previously approved Track and Field Stadium is being requested:

- Project 16-2.82. Increase the project scope and budget for Track and Field Stadium by \$6.3 million for a project total of \$11.9 million. The scope of the project has been modified to delete the expanded recreational fields and to include a soccer field and a facility to include office and support spaces for both track and field and soccer.

On August 19, 2016 the Board of Regents approved the UNTS FY17 Capital Improvement Plan which identified capital projects for the UNT System. The requested action is to amend the UNTS FY17 Capital Improvement Plan to include the new Eagle Point Parking Lot (Project 17-01-0012) and to increase the project budget for the Track and Field Stadium (Project 16-2.82).

Financial Analysis/History:

Funds for the Eagle Point Parking Lot and the Track and Field Stadium have been allocated by the institution and confirmed by signature on the amended plan document by the respective President and CFO. The funding plan has been reviewed by the Vice Chancellor for Finance.

Bob Brown
Institution Chief Financial Officer

Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas, ou=VP for Finance and Administration, email=bbob.brown@unt.edu, c=US
Date: 2017.02.02 15:17:45 -06'00'

Janet Waldron
Vice Chancellor for Finance

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2017.02.08 12:42:17 -06'00'

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untssystem.edu, c=US
Date: 2017.02.08 17:53:32 -06'00'

Vice Chancellor/General Counsel

Schedule:

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

Recommendation:

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

Recommended By:

James K. Davis

Associate Vice Chancellor for
Facilities Planning & Development

**Neal
Smatresk**
Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University
of North Texas, ou=President,
email=neal.smatresk@unt.edu, c=US
Date: 2017.02.08 12:09:27 -06'00'

President

James M. Maguire
Digitally signed by James M. Maguire
DN: cn=James M. Maguire, o=Office of Facilities
Planning and Construction, ou=UNT System,
email=james.maguire@untssystem.edu, c=US
Date: 2017.02.06 16:14:56 -06'00'

Vice Chancellor

**Lee
Jackson**
Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untssystem.edu,
c=US
Date: 2017.02.13 11:18:13 -06'00'

Chancellor

Attachments Filed Electronically:

- UNTS FY 2017 Capital Improvement Plan Amendment
- UNT Parking Summary Table



Board Order

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

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the Board of Regents has previously approved the Campus Master Plans for UNT, UNTHSC, and UNTD, and

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

Whereas, project scope and budget have been developed for a 550 space parking lot at Eagle Point (Project 17-01-0012), and

Whereas, funds for expenditure in FY17 for design and construction have been identified for a the new Eagle Point Parking Lot (Project 17-01-0012),

Whereas, the UNTS FY 2017 Capital Improvement Plan has been updated to reflect adjusted project scopes and budgets below:

- Project 16-2.82. Increase the project budget for Track and Field Stadium by \$6.3 million for a project total of \$11.9 million,

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

1. Amend the previously approved UNT Capital Improvement Plan to add the new Eagle Point Parking Lot (Project 17-01-0012).
 2. Amend the previously approved UNT Capital Improvement Plan to increase the project budget for Track and Field (Project 16-2.82).
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

FY2017 Capital Improvement Plan
UNIVERSITY of NORTH TEXAS SYSTEM

FY2017 SUMMARY (in \$Million)

NEW PROJECTS FOR FY2017

Proj. No.	Project	Funding Source	Prior Yrs Expensed	2017	2018	2019	2020	2021+	Total Project	
University of North Texas										
17-01-0001	Terrill Hall MEP Renovation	HEAF		0.55	5.25				5.80	
17-01-0002	Coliseum MEP Renovation	RFS		0.90	9.00				9.90	
17-01-0003	Kerr Hall Air Handler Replacement (Phase 1 & 2)	AUX		1.50	2.50				4.00	
17-01-0004	USB MEP Renovation	HEAF		0.30	3.00				3.30	
17-01-0005	Discovery Park Bio-Medical Engineering Addition	RFS		2.00	15.40				17.40	
17-01-0006	Sage Hall Academic Success Center Phase II	HEAF Reserve		0.17	1.28				1.45	
17-01-0007	Life Science Building 4th Floor Laboratories Renovation	RFS		0.60	5.70				6.30	
17-01-0008	Coliseum Roof Replacement	Local/Cash		4.31					4.31	
17-01-0009	Off-Site Campus #2	Local/Cash		0.10	1.40				1.50	
17-01-0010	New Classroom Building	RFS		2.20	22.90				25.10	
17-01-0011	Hickory Hall Renovation	RFS		0.80		8.00			8.80	
17-01-0012	Eagle Point Parking Lot #84	CP		2.20					2.20	
University of North Texas Total				-	15.63	66.43	8.00	-	-	90.06
University of North Texas Dallas										
University of North Texas Dallas Total				-	-	-	-	-	-	-
University of North Texas Health Science Center										
17-03-0001	East Parking Garage Renovation	RFS		0.40	5.60				6.00	
17-03-0002	Seminary Medical Clinic	RFS		1.00	4.20				5.20	
University of North Texas Health Science Center Total				-	1.40	9.80	-	-	-	11.20
University of North Texas System										
University of North Texas System Total				-	-	-	-	-	-	-
Capital Improvement Plan Total				-	17.03	76.23	8.00	-	-	101.26

Summary by Funding Source

	Funding Source	Prior Yrs Expensed	2017	2018	2019	2020	2021+	Total
	HEAF	-	0.85	8.25	-	-	-	9.10
	HEAF Reserve	-	0.17	1.28	-	-	-	1.45
	Tuition Revenue Bonds	-	-	-	-	-	-	-
	Commercial Paper	-	2.20	-	-	-	-	2.20
	Private Placement	-	-	-	-	-	-	-
	Revenue Bonds	-	-	-	-	-	-	-
	Revenue Financing System Bonds	-	7.90	62.80	8.00	-	-	78.70
	Auxiliary Reserves	-	1.50	2.50	-	-	-	4.00
	Grants	-	-	-	-	-	-	-
	Student Fees	-	-	-	-	-	-	-
	Housing Revenue	-	-	-	-	-	-	-
	Gift/Donations	-	-	-	-	-	-	-
	Annual Budget, Operating and Capital	-	4.41	1.40	-	-	-	5.81
Total		-	17.03	76.23	8.00	-	-	101.26

FY2017 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs	2017	2018	2019	2020	2021+	Total Project
			Expensed						
Previously Approved Projects:									
1.06	Student Residence Hall	PP	-						
		RB	36.36	0.74					37.10
1.17	University Union Renovation	AUX	5.10						
		CP	-						
		PP	-						
		SF	8.00						
		Local/Cash	2.60						
		RB	100.89	11.81					128.40
1.17a	Scoular/ Stovall Relocations	HEAF	1.00						
		CP	7.68	(7.68)					
		RB	7.16	0.54					8.70
2.14	SRB Renovation	HEAF	4.19						
		RFS	1.36	14.88					20.43
2.20	Matthews Hall MEP	HEAF	0.24	3.96					4.20
2.21	Wooten Hall MEP (Amended)	HEAF	0.43	4.72					5.15
2.33	Willis Library MEP	HEAF	0.05	3.80	5.10				8.95
2.34	Hickory Hall MEP	HEAF	0.24	2.76					3.00
5.01	Central Path Extension at Clark Park	HEAF Reserve	0.10	1.40					1.50
16-1.20	College of Visual Arts and Design	TRB	0.39	26.61	38.00	5.00			70.00
16-1.84	New Residence Hall								
16-1.84a	New Residence Hall - Phase 1	RFS		17.04	28.68	3.58			
16-1.84b	New Residence Hall - Phase 2	RFS		2.34	11.86	26.15	3.35		93.00
16-2.25	General Academic Building MEP	HEAF		0.50					
		RFS		7.00					7.50
16-2.50	Life Science Lab Exhaust Upgrade	HEAF	-	3.20					3.20
16-2.55	Discovery Park MEP Upgrade	RFS		0.60	10.00				10.60
16-2.62a	Maple Common Area Renovation	AUX			0.15	1.50			1.65
16-2.63	Kerr Hall Kitchen and Dining Renovation	AUX	0.06	8.18					8.24
16-2.65	Sycamore 2nd Floor Renovation	HEAF	0.04	3.26					3.30
16-2.66	Coliseum Concourse Renovation	RFS		5.50	2.50				8.00
16-2.67	1500 I-35 Building (Amended)	RFS	0.11	10.39	2.00				12.50
16-2.77	Wooten Hall Code Upgrade (Amended)	HEAF		2.53					2.53
16-2.78	Child Development Lab Renovation	HEAF	0.11	1.89					2.00
16-2.79	McConnell Hall MEP	AUX	0.29	1.71					2.00
16-2.80	Fouts Field Demolition	Local/Cash		0.05					
		AUX			4.95				5.00
16-2.81	Fraternity Row Site Development	RFS	0.04	2.20					2.24
16-2.82	Track and Field Stadium and Sports Fields (Amended)	RFS		4.00	5.90				
		GIFT				2.00			11.90
16-2.83	Bruce Hall Renovation	AUX	0.61	1.09					1.70
16-2.85	Sage Hall Academic Success Center	HEAF Reserve	-	1.85					1.85
Previously Approved Projects Total			177.05	136.87	109.14	38.23	3.35	-	464.64
New Projects for Approval:									
17-01-0001	Terrill Hall MEP Renovation	HEAF		0.55	5.25				5.80
17-01-0002	Coliseum MEP Renovation	RFS		0.90	9.00				9.90
17-01-0003	Kerr Hall Air Handler Replacement (Phase 1 & 2)	AUX		1.50	2.50				4.00
17-01-0004	USB MEP Renovation	HEAF		0.30	3.00				3.30
17-01-0005	Discovery Park Bio-Medical Engineering Addition	RFS		2.00	15.40				17.40
17-01-0006	Sage Hall Academic Success Center Phase II	HEAF Reserve		0.17	1.28				1.45
17-01-0007	Life Science Building 4th Floor Laboratories Renovation	RFS		0.60	5.70				6.30
17-01-0008	Coliseum Roof Replacement	Local/Cash		4.31					4.31
17-01-0009	Off-Site Campus #2	Local/Cash		0.10	1.40				1.50

FY2017 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs Expensed	FY2017 (in \$Million)					Total Project
				2017	2018	2019	2020	2021+	
17-01-0010	New Classroom Building	RFS		2.20	22.90				25.10
17-01-0011	Hickory Hall Renovation	RFS		0.80		8.00			8.80
17-01-0012	Eagle Point Parking Lot #84	CP		2.20					2.20
New Project for Approval Total			-	15.63	66.43	8.00	-	-	90.06
Planned Projects with Identified Funding Sources:									
01-0012	Administration Building Renovation	HEAF					0.80	7.20	8.00
01-0013	Curry Hall MEP	HEAF			0.50	5.00			5.50
01-0014	Underground Utility Repairs	HEAF			0.28	2.60			2.88
01-0015	PAC Foundation Repairs	HEAF			0.20	1.85			2.05
01-0016	Physical Education Building (PEB) MEP	HEAF			0.50	7.00			7.50
01-0017	Language Building MEP	HEAF				0.30	4.00	-	4.30
01-0018	Clark Hall lobby renovation	AUX					0.15	2.10	2.25
01-0019	Demo and Build New Business Svs Whse	AUX						1.25	1.25
01-0020	SRB MEP Renovation	HEAF				1.30			1.30
01-0021	RTEP MEP Renovation	HEAF			0.50	5.00			5.50
01-0022	Driveway Upgrades (Discovery Park and Campus)	HEAF				1.20	-	-	1.20
01-0023	Sage Hall Academic Success Center - Phase 3	HEAF			0.26	1.87			2.13
01-0024	Sage Hall Academic Success Center - Phase 4	HEAF				0.24	1.76		2.00
01-0025	Administration Building Chestnut St Drop-off	HEAF			0.40	1.50			1.90
01-0026	Administration Building Elevator Addition	HEAF			-	-		10.00	10.00
01-0027	Chilton Classroom & Restrooms	HEAF			0.40	1.50			1.90
01-0028	Chilton Studio	HEAF			2.50				2.50
01-0029	Chestnut Hall Renovation	HEAF			0.20	1.60			1.80
01-0030	Discovery Park Greenhouse Addition	RFS			-	3.00			3.00
01-0032	ESSC Envelope Upgrade	HEAF			7.80				7.80
01-0033	GAB Interior Renovation	HEAF			0.25	2.25			2.50
01-0034	Langage Bldg ADA/TAS upgrades & Interior Renovat	HEAF			-	1.50			1.50
01-0035	New Science & Tech Research Building	TRB			11.76	50.00	36.24		98.00
01-0036	Union Circle Drive Re-surface	AUX			2.00				2.00
01-0037	USB Renovation	HEAF			0.25	2.50			2.75
01-0038	Welch St Complex #2 Demolition	HEAF				1.50			1.50
Planned Projects with Identified Funding Sources Total			-	-	27.80	91.71	42.95	20.55	183.01
Planned Land Acquisitions									
3.01	Land Acquisitions per Master Plan	HEAF		1.50	1.50	1.50	1.50	1.50	7.50
Planned Land Acquisition Total			-	1.50	1.50	1.50	1.50	1.50	7.50
Capital Improvement Plan Total			177.05	154.00	204.87	139.44	47.80	22.05	745.21

Planned Project without Identified Funding Sources

New Construction:

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

Renovation:

FY2017 (in \$Million)

University of North Texas

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

	Funding Source	Prior Yrs Expensed	2017	2018	2019	2020	2021+	Total
HEAF	HEAF	6.30	28.97	28.89	40.21	8.06	18.70	131.13
HEAF Reserve	HEAF Reserve	0.10	3.42	1.28	-	-	-	4.80
Tuition Revenue Bonds	TRB	0.39	26.61	49.76	55.00	36.24	-	168.00
Commercial Paper	CP	7.68	(5.48)	-	-	-	-	2.20
Private Placement	PP	-	-	-	-	-	-	-
Revenue Bonds	RB	144.41	13.09	-	-	-	-	157.50
Revenue Financing System Bonds	RFS	1.51	70.45	113.94	40.73	3.35	-	229.98
Auxiliary Reserves	AUX	6.06	12.48	9.60	1.50	0.15	3.35	33.14
Grants	GRNT	-	-	-	-	-	-	-
Student Fees	SF	8.00	-	-	-	-	-	8.00
Housing Revenue	HR	-	-	-	-	-	-	-
Gift/Donations	GIFT	-	-	-	2.00	-	-	2.00
Annual Budget, Operating and Capital	Local/Cash	2.60	4.46	1.40	-	-	-	8.46
Total		177.05	154.00	204.87	139.44	47.80	22.05	745.21

Approved

President

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 Eagle Point Parking Lot #84
 Capital Improvement Project No. 17-01-0012



PROJECT DESCRIPTION

This project will construct a new parking lot at Eagle Point to the south of Victory Hall and adjacent to the existing parking lot #80 in close proximity to Apogee Stadium. The proposed lot design will include new lighting, a small restroom facility and other amenities to support game day and large event activities. The project will increase parking capacity by approximately 550 spaces.

PROJECT INFORMATION

JUSTIFICATION: As enrollment at UNT continues to grow and as the campus master plan is implemented with the addition of new construction projects, parking availability on campus is decreasing. Current construction projects including the new College of Visual Arts and Design, the new Residence Hall, site development at Fraternity Row, and the Central Path at Clark Park will develop sites that are currently utilized as surface parking lots. As a result, approximately 763 spaces have been permanently removed from service in the last year. The new parking lot will help mitigate the loss of these spaces and serve as parking for events at Apogee Stadium.

LOCATION ON CAMPUS: Eagle Point
SIZE (ASF/GSF): GSF: N/A ASF: N/A
CIP PROJECT TYPE (NEW CONST. OR RENO.): New Construction
HISTORICALLY SIGNIFICANT? (Y or N): N
CONSISTENT WITH MASTER PLAN (Y or N): N

PROJECT BUDGET

Design Fees	\$ 92,500
Construction Costs	\$ 1,345,000
Other Costs (Commissioning, Inspection, etc.)	\$ -
Furniture, Fixtures, and Equipment	\$ -
Contingency and Fees	\$ 762,500
Total Projects	\$ 2,200,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abbrv.	Funding Source	Prior Yrs Costs	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021+	Source Total
Local/Cash	Auxiliary Reserves	\$ -	\$ 2.20	\$ -	\$ -	\$ -	\$ -	\$ 2.20
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ 2.20	\$ -	\$ -	\$ -	\$ -	\$ 2.20

UNIVERSITY of NORTH TEXAS SYSTEM

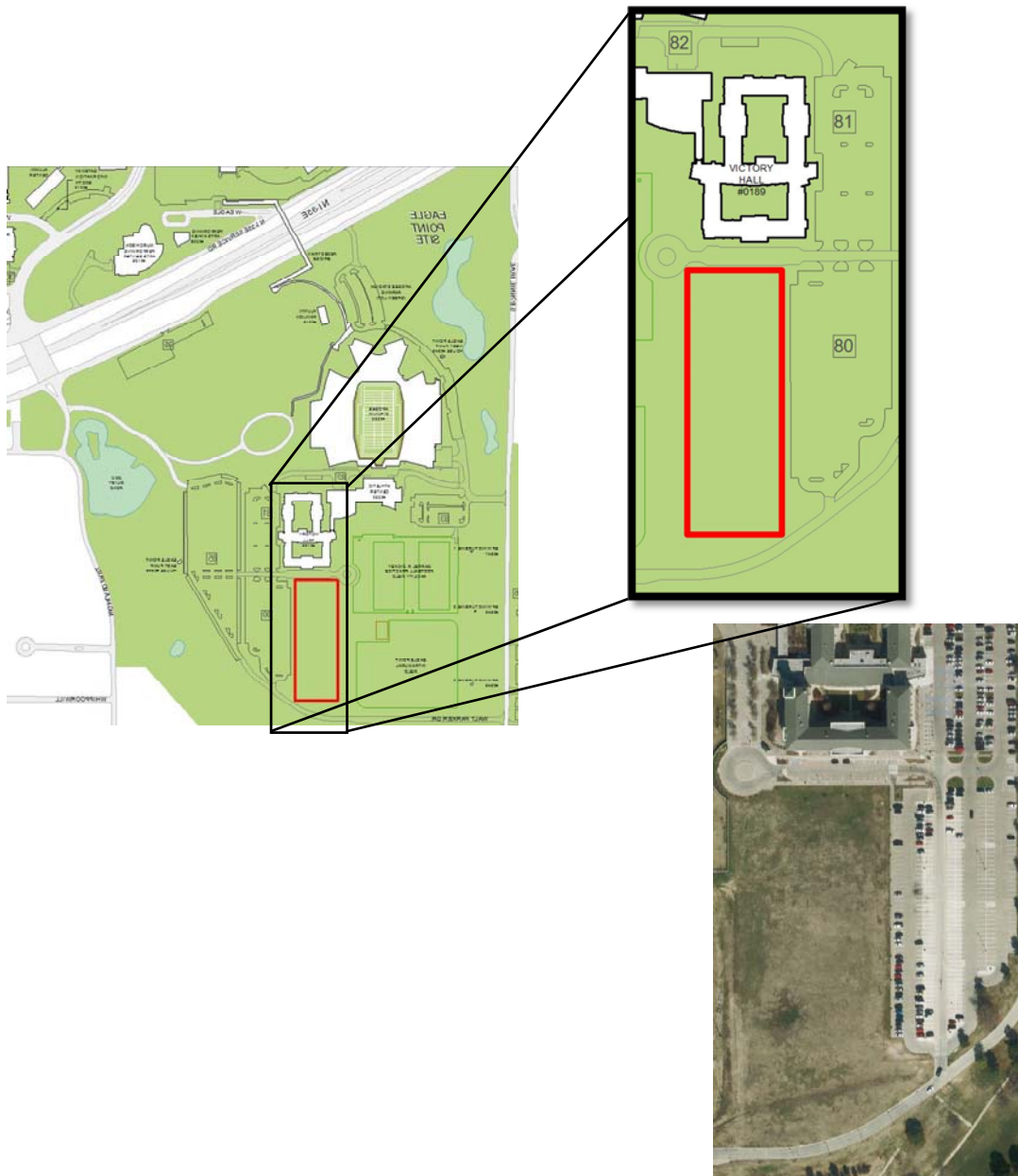
UNIVERSITY OF NORTH TEXAS
Eagle Point Parking Lot #84
Capital Improvement Project No. 17-01-0012



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	None
PROGRAMMING/PLANNING:	April – May 2017
DESIGN:	May – July 2017
CONSTRUCTION:	August – December 2017
SUBSTANTIAL COMPLETION:	December 2017

LOCATION MAP



UNT Parking Summary Table

	Number of Parking Space (as of January 2017)	
	Temporarily Lost	Permanently Lost
College of Visual Arts and Design	323	144
New Residence Hall	232	222
Site Development at Fraternity Row	445	311
Central Path at Clark Park	86	86
Total Number of Parking Spaces	1086	763

**Title:** Procurement of External Services for Grants Systems Implementation**Background:**

UNT and UNTHSC are seeking to engage the services of Huron Consulting for the implementation of additional modules of the PeopleSoft Grants Suite and related functionality. This implementation will support UNT and UNTHSC's strategic vision for growth in research, provide additional reporting and management tools, enhance compliance with federal and sponsor requirements, implement best business practices and reduce financial risk.

The Huron engagement will cover the following key objectives:

- Automate consistent billing and invoicing processes
- Streamline cash management by applying payments received based on invoices generated and recorded in the system
- Facilitate aging and collection processes by gaining the ability to actively manage accounts receivable balances
- Implement delivered PeopleSoft Grants cost-sharing functionality
- Provide enhanced reporting to Principal Investigators and Department Administrators

Huron Consulting has a strong grants management practice with extensive research administration business process experience. Their services were previously engaged as part of an initial Phase I assessment to establish an accurate scope of work to successfully implement the PeopleSoft grants modules. This engagement, Phase II, is an amendment to the original contract which was bid out under the UT Supply Chain Alliance contract of which UNT System is an authorized participant.

Financial Analysis/History:

The cost of the Phase II engagement is \$1,800,000. The expense will be incurred by UNT and UNTHSC as follow:

UNT, central funds:	\$900,000
UNT, Research & Innovation:	\$250,000
UNTHSC, central funds:	\$650,000

UNT Chief Financial Officer

UNTHSC Chief Financial Officer

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule:

Implementation to begin immediately upon approval with estimated completion by May, 2018.

Recommendation:

The Presidents of UNT and UNTHSC recommend that the Board of Regents approve engagement with Huron Consulting as outlined above.

Recommended By:

Thomas McCoy, Ph.D.
UNT Vice President for Research and
Innovation

Anuja Ghorpade, Ph.D.
UNTHSC Interim Vice President for
Research

UNT President

UNTHSC President

Chancellor

Attachments Filed Electronically:

- UNT and UNTHSC Phase 2 Statement of Work



Board Order

Title: Procurement of External Services for Grants Systems Implementation

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT and UNTHSC are seeking to engage the services of Huron Consulting for the implementation of additional modules of the PeopleSoft Grants Suite and related functionality, and

Whereas, this implementation will support UNT and UNTHSC's strategic vision for growth in research, provide additional reporting and management tools, enhance compliance with federal and sponsor requirements, implement best business practices and reduce financial risk,

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

1. Delegation of authority to the Chancellor to execute an agreement with Huron Consulting Services for Grants Systems Implementation for UNT and UNTHSC.
-

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 Affiliated Entity Agreement between the University of North Texas Health Science Center and UNTHSC Foundation

Background:

In accordance with Chapter 2255 of the Texas Government Code, and in compliance with UNT Regents Rule 09.502, and in compliance with Health Science Center Policy No. 9.100, *Affiliated Entities*:

The UNTHSC Foundation, a not-for-profit corporation organized and incorporated in 1978 and merged into the current Foundation in 2014, is a supporting organization for the University of North Texas Health Science Center that provides and promotes voluntary support from alumni, parents, friends, corporations, foundations, and others for the benefit of the University of North Texas Health Science Center.

The agreement between UNTHSC and the UNTHSC Foundation currently in effect was approved by the Board of Regents in 1993 and entered into by the parties in 1994. At this time, UNTHSC is requesting approval to terminate the previous agreement between the parties and to enter into a new and updated agreement that will benefit both parties in furthering cooperation, aligning of missions, and understanding of responsibilities each has to the other.

Regents Rule 09.502 requires that an agreement must be entered into between an institution of the System and an affiliated entity as a condition for the use of the institution's name and other resources of the institution. The new agreement outlines in detail each parties' responsibilities (separately and jointly), as well as the allocation of Health Science Center resources necessary to support the work of the Foundation. The agreement also outlines processes to ensure appropriate stewardship of donors, efficient transfer of funds between the parties, rights to audit, and actions to be taken in the unlikely event of future dissolution of the Foundation.

Financial Analysis/History:

Assets under management as of December 31, 2016, \$41,179,908.

**Gregory R.
Anderson**

Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, ou=UNT Health
Science Center, ou=Office of Finance,
email=gregory.anderson@unthsc.edu, c=US
Date: 2017.02.02 10:47:02 -06'00'

Institution Chief Financial Officer

**Janet
Waldron**

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2017.02.08 12:43:09 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untssystem.edu, c=US
Date: 2017.02.08 18:04:55 -06'00'
Vice Chancellor/General Counsel

Schedule:

Effective immediately upon approval by the Board of Regents.

Recommendation:

The President recommends approval of the Affiliated Entity Agreement between the University of North Texas Health Science Center and the UNTHSC Foundation. The President further recommends that the Board authorize the President of the University of North Texas Health Science Center and the Chancellor of the University of North Texas System to terminate the previous agreement between the parties and to execute the approved agreement.

Recommended By:

Gregory R. Anderson
Institution Chief Financial Officer

Dr. Michael R. Williams Digitally signed by Dr. Michael R. Williams
DN: cn=Dr. Michael R. Williams, o=UNT
Health Science Center, ou=President,
email=michael.williams@unthsc.edu, c=US
Date: 2017.02.02 12:46:06 -06'00'

President

Lee Jackson Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untssystem.edu,
c=US
Date: 2017.02.13 11:26:59 -06'00'

Chancellor

Attachments Filed Electronically:

- Affiliated Entity Agreement Between The University of North Texas Health Science Center at Fort Worth and UNTHSC Foundation
- UNTHSC Policy 9.100 Affiliated Entities



Board Order

Title: Approval of Affiliated Entity Agreement between the University of North Texas Health Science Center and UNTHSC Foundation

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, The UNTHSC Foundation, a not-for-profit corporation organized and incorporated in 1978 and merged into the current Foundation in 2014, is a supporting organization for the University of North Texas Health Science Center that provides and promotes voluntary support from alumni, parents, friends, corporations, foundations, and others for the benefit of the University of North Texas Health Science Center, and

Whereas, the Foundation and University of North Texas Health Science Center desire to further their cooperation, better align the common elements of their respective missions, and set forth their understandings concerning various aspects of their relationship, and

Whereas, an Affiliated Entity Agreement between the University of North Texas Health Science Center and UNTHSC Foundation will outline specific areas of cooperation and reinforce their importance in order to build a high-performing philanthropy program,

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

1. Approval of the Affiliated Entity Agreement between the University of North Texas Health Science Center and UNTHSC Foundation as set forth in the attached document.
2. Delegation of authority to the UNTHSC President and the UNT System Chancellor to terminate the agreement currently in effect between the University of North Texas Health Science Center and UNTHSC Foundation and to execute the newly approved agreement.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**AFFILIATED ENTITY AGREEMENT
BETWEEN
THE UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER AT FORT
WORTH
AND
UNTHSC FOUNDATION**

This Affiliated Entity Agreement (“Agreement”) is made and entered into by the University of North Texas Health Science Center at Fort Worth (“Health Science Center”) and by the UNTHSC Foundation (“Foundation”), effective as of the date of last signature below. This agreement replaces and supersedes all previous agreements between the parties including but not limited to the agreement entered into between the Health Science Center and the University of North Texas Health Science Center at Fort Worth/Texas College of Osteopathic Medicine Foundation, Inc. on September 12, 1994 (the Foundation is the successor in interest to the University of North Texas Health Science Center at Fort Worth/Texas College of Osteopathic Medicine Foundation, Inc.).

The Health Science Center is an agency of the State of Texas, organized and existing under Chapter 105 of the Texas Education Code, as an institution of higher education located in Fort Worth, Texas. The governing body of the Health Science Center is the Board of Regents of the University of North Texas System (“Board of Regents”).

The Foundation’s predecessor organization was organized and incorporated in 1978 and was merged into the current Foundation in 2014 as a not-for-profit corporation under the laws of the State of Texas as a supporting organization for the Health Science Center to provide and promote voluntary private support from alumni, parents, friends, corporations, foundations, and others for the benefit of the Health Science Center. The governing body of the Foundation is the Board of Directors (“Board of Directors”).

RECITALS

WHEREAS, during the term of this Agreement the parties desire to further their cooperation, better align the common elements of their respective missions, and set forth their understandings concerning various aspects of their relationship;

WHEREAS, the Health Science Center and the Foundation share common interests and goals that are in furtherance of the tax-exempt purposes and status of each entity; and

WHEREAS, the Foundation exists solely for the support of the Health Science Center and is a necessary and beneficial component of the Health Science Center’s overall program for university advancement and for the development and management of private sources of funding to support the mission and priorities of the Health Science Center.

NOW THEREFORE, in consideration of the Recitals set forth above and the Articles below, the parties mutually agree as follows:

ARTICLE 1.0 PURPOSE OF THE AGREEMENT

- 1.1 The parties are entering into this Agreement to: (a) define the relationship between them pursuant to Chapter 2255 of the Texas Government Code; (b) comply with University of North Texas System Regents Rule (“Regents Rule”) 09.502; and (c) comply with Health Science Center Policy No. 9.001, *Affiliated Entities*. In this Agreement, the parties specifically set forth and establish the services and benefits to be provided by each party to the other.
- 1.2 During the term of this Agreement the parties agree to further their cooperation and align the common elements of their respective missions. This Agreement sets forth the mutual understandings concerning various aspects of the parties’ relationship in order to assist, protect, and promote their common goals and interests, eliminate unnecessary duplication, plan for joint initiatives, better coordinate respective activities, and provide for the orderly allocation and recordation of resources. In all instances, the Foundation will act in a manner that is supportive of the Health Science Center’s mission, and its own tax exempt purposes.

ARTICLE 2.0 RELATIONSHIP OF THE PARTIES

- 2.1 **Independent parties.** The parties acknowledge that at all times during the term of this Agreement, the parties shall operate as and shall be considered independent legal entities and neither party shall be considered to have assumed the other party’s liabilities.
- 2.2 **Governance of the Health Science Center.** The Health Science Center agrees that it shall provide for its own governance, conduct its operations, and maintain its records of account in a manner that:
 - (a) is consistent with all applicable laws, regulations, Regents Rules, Health Science Center policies, and this Agreement; and
 - (b) ensures that any gift that is received by the Health Science Center from the Foundation is used for the purposes intended and shall be accounted for in a manner that is accurate, complete, and timely.
- 2.3 **Governance of the Foundation.** The Foundation agrees that it shall provide for its own governance, conduct its operations, and maintain its records of account in a manner that:

- (a) is consistent with all applicable laws, regulations, Foundation policies, this Agreement, Regents Rules and Health Science Center policies relevant to this agreement (currently in effect or as may be adopted in the future), including but not limited to Health Science Center Policy No. 9.100, *Affiliated Entities* (Health Science Center Policy No. 9.100, *Affiliated Entities*, is attached hereto as Attachment A);
- (b) furthers the mission of the Health Science Center;
- (c) fosters public confidence in the Foundation and the Health Science Center; and
- (d) ensures that any funds received by the Foundation for support of or distribution to the Health Science Center shall be accounted for on the books of the Foundation in a manner that is accurate, complete and timely.

2.4 **Restrictions on Board Service.** An employee of the Health Science Center may not serve on the Foundation's Board of Directors except as expressly provided in this Agreement and as approved by the Health Science Center's President in writing.

ARTICLE 3.0 TERM AND TERMINATION

- 3.1 This Agreement shall remain in full force and effect for a period of (3) three years from the effective date. Thereafter this Agreement shall renew automatically for successive one (1) year periods without any further action by either party, unless a party gives written notice of its intent not to agree to such a renewal at least thirty (30) days before the expiration of the then current term or renewal term.
- 3.2 Either party may terminate this Agreement with or without cause by giving sixty (60) days written notice of termination to the other party.
- 3.3 Termination of this Agreement may occur immediately upon the occurrence of any one or more of the following events and with written notice of termination from the terminating party being given to the non-terminating party:
 - (a) a material breach of a term or condition of this Agreement that is not cured within thirty days of receipt of written notice of same, if the non-breaching party so elects;
 - (b) a party becomes insolvent or subject to a petition in bankruptcy or is placed under the control of a receiver, liquidator or committee of creditors;
 - (c) at the expiration of the term or a renewal term after receipt of a notice of intent to non-renew, as described in Section 3.1; or
 - (d) the failure of the Foundation to maintain its tax exempt status under Section 501(c)3 of the Internal Revenue Code, or its failure to be in good standing as a non-profit corporation pursuant to the laws of Texas.

- 3.4 Upon termination, the parties shall reasonably attempt to negotiate whether dissolution of the Foundation is appropriate and how endowed funds and assets collected by the Foundation for the benefit of the Health Science Center shall be held and managed thereafter.

ARTICLE 4.0
RESPONSIBILITIES OF THE PARTIES

- 4.1 **Health Science Center Responsibilities.** In order to advance the mission and work of the Health Science Center and Foundation, and to further the purposes of this Agreement, the Health Science Center hereby agrees to:

- (a) timely consider requests from the Foundation for resource allocations pursuant to Article 5.0;
- (b) keep the Foundation informed of new initiatives and programs or activities that may involve the participation or interests of alumni, friends and donors of the Health Science Center;
- (c) maintain its records of account and other financial records in a manner that is fully consistent with Generally Accepted Accounting Principles (“GAAP”) and Government Accounting Standards Board (“GASB”) and such other standards or principles as may, from time to time, be imposed by the State of Texas on the Health Science Center;
- (d) provide the Foundation with such records and reports as may reasonably be requested by the Foundation to prepare and file its tax returns or prepare its annual financial reports;
- (e) provide donors or potential donors with access to Health Science Center programs, activities, and facilities and to advocate in the furtherance of Foundation initiatives and solicitations;
- (f) include the Foundation as an active participant in strategic planning for the Health Science Center; and
- (g) have the Health Science Center’s President serve as an ex-officio, non-voting member of the Foundation’s Board of Directors.

- 4.2 **Foundation Responsibilities.** In order to advance the mission and work of the Foundation and Health Science Center, and to further the purposes of this Agreement, the Foundation hereby agrees to:

- (a) manage, distribute, and steward private resources to support the mission and various priorities of the Health Science Center;
- (b) ensure that all gifts accepted by the Foundation are entered into the Health Science Center's data system in the format required by the Health Science Center;
- (c) comply with all Regents Rules and Health Science Center policies relevant to this agreement (currently in effect or as may be adopted in the future), including but not limited to Health Science Center policy No. 9.100, *Affiliated Entities* (attached hereto as Attachment A);
- (d) comply with terms and conditions related to gift funds given in support of the TCU-UNTHSC medical school as set forth in any agreement between the Health Science Center and Texas Christian University in effect as of the effective date of this Agreement or that may be entered into in the future;
- (e) maintain its records of account and other financial records in a manner that is fully consistent with GAAP and such other standards or principles as may, from time to time, be imposed by the State of Texas or by the Health Science Center and, to have an annual external audit of its financial condition conducted by an independent certified public accounting firm, ensuring that such audit complies with GAAP and GASB reporting requirements;
- (f) provide the Health Science Center with a copy of the annual external audit report and financial statement within 90 days of the end of the Foundation's fiscal year, as well as copies of and access to underlying management books and records, balance sheets, income statements and records related to a change of financial position upon request;
- (g) provide Health Science Center management with notice, and copies, of all: (1) management letters from external independent auditors; and (2) other letters, notices, or advisements (whether written or oral) regarding the financial operations of the Foundation;
- (h) provide the Health Science Center with such other records, reports and financial information as may be requested, and in the format requested, in order to allow the Health Science Center to prepare and file its tax returns, prepare annual financial reports, prepare for and participate in the annual UNT System audit, and make reports to the Board of Regents or to a state or federal agency;
- (i) provide signed disclosure statements, no later than January 31st of each year from all outside financial advisors and service providers consistent with the Texas State Auditor's Office Uniform Disclosure Form;
- (j) provide an accounting of expenses incurred on behalf of UNTHSC in a format specified by the Health Science Center's Chief Financial Officer on a quarterly basis or as otherwise directed by the Chief Financial Officer;

- (k) establish, maintain, and make distributions from endowment accounts consistent with donor intent;
- (l) receive, hold, manage, invest, and disperse contributions of cash, securities, patents, copyrights, and other forms of property, including vesting gifts and deferred gifts that are contributed in the form of planned and deferred-gift instruments;
- (m) acknowledge and issue receipts for all gifts on behalf of the Foundation and provide appropriate recognition and stewardship of such gifts;
- (n) maintain copies of plans, budgets, and records related to the performance of obligations required hereunder and make such documents available to the Health Science Center upon request, including allowing reasonable access to personnel, data, and records to internal audit staff and external auditors (records shall be retained for the period required for corresponding documents under the Health Science Center's record retention policy or longer, if requested in writing by the Health Science Center's Chief Financial Officer);
- (o) respond to Health Science Center requests for specific information about the Foundation's assets, policies, investments, contracts, and other relationships;
- (p) prepare an annual report that summarizes how the programming of the Foundation in the previous year advanced the vision, values, and goals of the Health Science Center and the mission and strategic plan of the Foundation and distribute such report to the Foundation's primary internal and external constituency groups;
- (q) adopt, adhere to and periodically assess policies related to conflict of interest, code of conduct and ethics, gift management and acceptance, protection of donor confidentiality and rights, asset allocation, investment and disbursement of assets (all policies shall be consistent with applicable state and federal law);
- (r) provide the Health Science Center with copies of Foundation policies upon request and a copy of investment policies annually by January 31st of each year;
- (s) provide the Health Science Center with copies of the minutes to Foundation Board Meetings, upon request;
- (t) maintain such insurance as is required by the Health Science Center's Chief Financial Officer;
- (u) submit any proposed payments (other than reimbursement of expenses) made by the Foundation to a Health Science Center employee to the Health Science Center's President for approval in writing prior to being made;

(v) ensure that in the event the Foundation receives or has access to confidential records related to the Health Science Center or its students, that such information shall be confidentially maintained and only used in accordance with state and federal laws; and

(w) hold harmless the Health Science Center from legal and financial liability related to claims arising out of the negligence or willful malfeasance of the Foundation or its officers, agents or employees.

4.3 **Joint Responsibility.** In order to advance the mission and work of the Health Science Center and Foundation, and to further the purposes of this Agreement, the Health Science Center and Foundation hereby agree to:

(a) assist and promote the mission, goals, and strategies of the other party through consultation, cooperation, and joint engagement on projects of mutual interest. To ensure effective achievement of the terms of this Agreement, the Health Science Center and Foundation officers and board representatives shall hold periodic meetings to foster and maintain productive relationships and ensure open and continuing communications and alignment of priorities; and

(b) be mindful of and make good faith efforts to avoid real or apparent conflicts of interest in conducting its affairs as described hereunder.

ARTICLE 5.0 RESOURCE ALLOCATIONS

In consideration for Foundation services as set forth herein, including but not limited to endowment fund management and donor stewardship, the Health Science Center shall provide the following resource allocations to the Foundation in an amount determined in the sole discretion of the Health Science Center to be reasonable and legally permissible:

5.1 **Health Science Center Allocation to Support Positions for the Foundation.** The Health Science Center shall assign all or portions of the time and effort of certain employees to support positions for the Foundation, including but not limited to the Foundation Executive Director, when the roles and responsibilities for such support positions are consistent with the common missions, goals, and priorities of both the Foundation and the Health Science Center and are of mutual benefit to both parties. Health Science Center employees assigned to support positions for the Foundation shall provide such services within the scope of their employment with the Health Science Center and shall not be considered employees of the Foundation. In the event of a conflict of interest between the interests of the Health Science Center and the Foundation, a Health Science Center employee's fiduciary duty to the Health Science Center shall take precedence, but the Health Science Center employee shall inform the Foundation of the conflict within a reasonable time after it becomes known. The Health Science Center

shall retain ultimate authority over all employment decisions related to, and evaluation of, such Health Science Center employees and all decisions and evaluation shall be made in accordance with State law and Health Science Center policy, after consideration of input from the Foundation.

- 5.2 **Health Science Center Support for Foundation.** The Health Science Center will make available to the Foundation office facilities, information technology resources, and other support services necessary for the Foundation to fulfill its responsibilities.

ARTICLE 6.0 GIFT GIVING: FUNDRAISING AND DONOR STEWARDSHIP

- 6.1 **Stewardship of Donated Funds.** Consistent with its own policies, operating procedures, and controlling law, the Foundation will steward funds in a manner that creates and promotes public confidence and private support for the Health Science Center.
- 6.2 **Use of Donated Funds.** Recognizing that the purpose of the Foundation is to promote and support the Health Science Center, the parties agree that the sole purpose of and sole authorized use for any funds held or administered by the Foundation shall be to benefit the Health Science Center.
- 6.3 **Gift Agreement Forms.** The Foundation and Health Science Center shall mutually develop standard forms of agreements by which donors may make gifts to the Foundation for the benefit of the Health Science Center, or shall otherwise agree to the form of agreements used in fundraising. Neither party has the authority to make a contractual commitment or obligation on behalf of the other party or to incur liability for the other party. Documentation for any gift that imposes conditions or obligations on the Health Science Center must be approved by the Health Science Center before being accepted by the Foundation. The Health Science Center retains the discretion to decline any gift.
- 6.4 **Mutual Cooperation; Donor Profiles.** The Foundation and the Health Science Center shall cooperate in all fundraising initiatives. Fundraising shall be consistent with the mission and priorities of the Health Science Center. The Health Science Center shall supply the Foundation with the names and addresses of actual and potential donors and past and present students, to the extent permitted by the Family Educational Rights and Privacy Act (FERPA) and the Texas Public Information Act. Unless approved by the donor, the Foundation shall not make any donor profile public except as required by law.

ARTICLE 7.0 TRANSFER OF FUNDS

- 7.1 **Distribution of Funds.** When distributing gift funds to the Health Science Center, the Foundation will disclose any terms, conditions, or limitations imposed by the donor or other legal restriction on the gift. If the Health Science Center accepts the gift funds, the Health Science Center will comply with such restrictions and shall, upon request, provide appropriate documentation of compliance.

- 7.2 **Transfer of Funds.** The Foundation will receive private gifts for the benefit of the Health Science Center. The Foundation will transfer funds to the designated entity within the Health Science Center or as required by the Health Science Center in compliance with applicable laws, relevant regents rules and Health Science Center policies, gift agreements and other agreements entered into by the Health Science Center (this shall include laws, regents rules, policies and agreements currently in effect or as may be adopted in the future).
- 7.3 **State or Federal Funds and Health Science Center Assets.** The Foundation may not accept a gift of state or federal funds from the Health Science Center. Further the Foundation may not transfer Health Science Center assets from the Health Science Center into a Foundation account or deposit funds due and owing to the Health Science Center into a Foundation account unless specifically provided for under a written agreement with the Health Science Center and not in conflict with state or federal law.
- 7.4 **Disbursements on Behalf of the Health Science Center.** The Foundation may disburse its funds for the purpose of paying obligations incurred by or on behalf of the Health Science Center provided that such disbursements are: (a) reasonable business expenses that support the mission of the Health Science Center; (b) consistent with donor intent; and (c) do not conflict with law.

ARTICLE 8.0
USE OF HEALTH SCIENCE CENTER
TRADEMARKS, INDICIA, AND OTHER INTELLECTUAL PROPERTY

- 8.1 Consistent with its mission to help advance the mission and goals of the Health Science Center, the Foundation is granted use of the name University of North Texas Health Science Center; however use of UNT Health Science Center trademarks, indicia, and other intellectual property by the Foundation to advance the Health Science Center shall only be permitted with the consent of the Health Science Center. Notwithstanding the foregoing, the Foundation shall not have the authority to make commitments or to incur debt in the name of the Health Science Center.
- 8.2 The President of the Health Science Center shall have the right to revoke permission to use the name of the Health Science Center or use of the Health Science Center's trademarks, indicia, and other intellectual property as granted under this Article 8.0 or as otherwise granted to the Foundation. In the event of such revocation, the Foundation agrees that it shall immediately cease use of such name, trademarks, indicia and other intellectual property.

ARTICLE 9.0
RESERVATION OF RIGHTS

- 9.1 The Foundation has the right to make reasonable assessments of fees for business operations to donors and/or the Health Science Center, subject to the Health Science Center's prior approval. Such assessments shall be in accordance with Foundation

policies and shall be fully disclosed to the Health Science Center at least annually and when a material change has been imposed.

- 9.2 The Health Science Center has the right to audit the Foundation upon request, using internal audit staff or an external auditor.

**ARTICLE 10.0
DISTRIBUTION OF ASSETS UPON DISSOLUTION**

- 10.1 Consistent with provisions appearing in the Foundation's bylaws and its articles of incorporation, should the Foundation cease to exist or cease to be an Internal Revenue Code 501(c)(3) organization, the Foundation will transfer its assets and property to the Health Science Center or to a reincorporated successor foundation, in accordance with the law and donor intent.

**ARTICLE 11.0
MISCELLANEOUS PROVISIONS**

- 11.1 This Agreement is solely entered into by and between the parties and cannot be assigned to another party without prior written approval from the non-assigning party.
- 11.2 This Agreement shall be enforced in accordance with the laws of the State of Texas. Venue for any dispute arising hereunder shall be in Tarrant County, Texas.
- 11.3 This Agreement is subject to and shall be constructed in accordance with the laws of the State of Texas and in accordance with Attorney General Opinion MW-373 or applicable subsequent opinions. The invalidity or illegality of any provision in this Agreement shall not affect other terms or conditions of the Agreement.
- 11.4 Chapter 2260 of the Texas Government Code establishes a dispute resolution process for contracts involving goods, services and certain types of projects. If Chapter 2260 applies to this Agreement, the parties must use the statutory dispute resolution process to attempt to resolve disputes arising under this Agreement.
- 11.5 This Agreement contains the entire agreement of the parties and no change or modification of this Agreement is binding unless in writing and signed by the parties.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed by their duly authorized officers to be effective as of the last date set forth below.

UNIVERSITY OF NORTH TEXAS
HEALTH SCIENCE CENTER

UNTHSC FOUNDATION

By: _____
Lee Jackson, Chancellor

Date: _____

By: _____
Michele Reynolds, Chairman

Date: _____

By: _____
Michael R. Williams, President

Date: _____

Policies of the University of North Texas Health Science Center	Chapter 9
9.100 Affiliated Entities	Institutional Advancement

Policy Statement.

This policy sets forth the rules governing the relationship between a private donor or an organization designed to further the mission and goals of the University of North Texas Health Science Center (UNTHSC) and UNTHSC and its employees, as required by Regents Rule 09.500 and section 2255.001 of the Texas Government Code. This policy establishes the framework within which UNTHSC will work with affiliated organizations.

Application of Policy.

This policy applies to all affiliated entities of the University of North Texas Health Science Center.

Definitions.

1. **Affiliated Entity** – “Affiliated Entity” means an organization that is legally distinct from the university but is designed to further the mission and goals of UNTHSC. Typically, an affiliated entity is a not-for-profit organization, exempt from federal income tax, with Internal Revenue Code section 501(c)(3) status. However, these organizations may exist in a variety of legal structures in support of UNTHSC. To use “University of North Texas Health Science Center” in its name, an organization must be an affiliated entity.

Procedures and Responsibilities.

1. Each affiliated entity is required to have a fully executed affiliation agreement between the affiliated entity and UNTHSC. The affiliation agreement must, at a minimum, include the following provisions:
 - a. Define mission and role of the affiliated entity;
 - b. Outline the responsibilities of the affiliated entity and UNTHSC, including support and staff services and compensation for services related thereto that is to be provided to the affiliated entity by UNTHSC;
 - c. The affiliated entity agrees that it shall comply with the rules of the UNT System Board of Regents and policies of UNTHSC that relate to affiliated entities and development or shall inform the President if unable to do so;
 - d. Ensure that all gifts accepted by the affiliated entity are entered into UNTHSC’s centralized data system, thereby accurately reflecting a donor’s history and relationship with the affiliated entity and UNTHSC;
 - e. Ensure that should the affiliated entity cease to exist or cease to be an Internal Revenue Code §501(c)(3) organization, the affiliated entity will transfer its assets and property to UNTHSC or to a reincorporated successor §501(c)(3) entity;

- f. Specify administration and investment of funds received by the affiliated entity for the benefit of UNTHSC;
 - g. Acknowledgement that the affiliated entity is legally independent from UNTHSC, and neither party assumes the other's liabilities;
 - h. The affiliated entity may not share employees with UNTHSC or use property of UNTHSC except as specified in the affiliation agreement;
 - i. An employee of UNTHSC may not receive any monetary enrichment, including but not limited to salary or benefits, from the affiliated entity unless expressly provided for in the affiliation agreement, approved by the UNTHSC President in writing, or approved in accordance with UNTHSC's Outside Employment policy;
 - j. An employee of UNTHSC may not serve on the board or other governing body of the affiliated entity unless expressly provided for in the affiliation agreement and approved by the UNTHSC President in writing;
 - k. Specify that in the event an affiliated entity may have access to certain confidential student or other university records, such information will be confidentially maintained and utilized only in accordance with state and federal laws;
 - l. A right to audit provision;
 - m. A hold harmless provision to protect UNTHSC from potential legal and financial liability and from claims arising out of the negligence or willful malfeasance of the affiliated entity and its officers, agents, or employees; and
 - n. A description of the levels and categories of liability insurance required to be carried by the affiliated entity.
2. An affiliated entity must have the written permission of the UNTHSC President to use the name, logos, trademarks, seals, service marks, or other identifying marks of UNTHSC. Upon notification from the President or his/her designee that this permission is revoked, the affiliated entity will cease use of the name, logos, trademarks, seals, service marks, or other identifying marks of the university.
 3. An affiliated entity must accurately represent its relationship with the university in all public communications and shall not hold itself out to be acting as UNTHSC.
 4. The affiliation agreement between UNTHSC and the affiliated entity must be reviewed and approved by the Office of General Counsel. Any amendment to the affiliation agreement or any separate agreement between UNTHSC and the affiliated entity must also be reviewed and approved by the UNT System Office of General Counsel before

execution. No provision of the affiliation agreement may conflict with any statute or UNTHSC or UNT System policy or rule, and any provision found to be in conflict shall be null and void.

5. All affiliated entities shall be approved by the UNTHSC President or designee.
6. All affiliated entities must comply with applicable provisions set forth in this policy, the rules of the UNT System Board of Regents, and state and federal law. A finding of non-compliance may result in loss of status as an affiliated entity. The UNTHSC Vice President for Finance and Chief Financial Officer or his/her designee will be responsible for working with the affiliated entity to complete the steps to end the affiliation status. A non-affiliated entity is not permitted to use the University of North Texas Health Science Center in the name of its organization.
7. All affiliated entities must submit the following information to the UNTHSC President or his/her designee:
 - a. The articles of incorporation and bylaws of the affiliated entity at the time the original affiliation agreement is established and whenever there are changes to either document;
 - b. A list of the officers and board members of the affiliated entity at the time the original affiliation agreement is established and whenever there is a change to the membership; and
 - c. The minutes to the affiliated entity's Board meetings, as requested.
8. All affiliated entities must submit the following information to the UNTHSC Vice President for Finance and Chief Financial Officer or his/her designee:
 - a. Audited financial reports, including but not limited to balance sheets, income statements, and statements of change of financial position, within 120 days of the end of the affiliated entity's fiscal year;
 - b. A copy of the Internal Revenue Services Form 990, within 30 days after its filing;
 - c. A copy of investment policies annually by January 31st;
 - d. Signed disclosure statements, no later than January 31st of each year, from all outside financial advisors and service providers consistent with the Texas State Auditor's Office Uniform Disclosure Form;
 - e. Other financial information, including but not limited to itemization of assets and asset distribution as requested;

- f. Gift information for each donor as specified by the UNTHSC Vice President for Finance and Chief Financial Officer or his/her designee. Gift information will be submitted on a quarterly basis or as otherwise directed by the UNTHSC Vice President for Finance and Chief Financial Officer or his/her designee; and
- g. An accounting of expenses incurred by the affiliated entity on behalf of UNTHSC in a format specified by the UNTHSC Vice President for Finance and Chief Financial Officer or his/her designee. These expenses will be submitted on a quarterly basis or as otherwise directed by the UNTHSC Vice President for Finance and Chief Financial Officer or his/her designee.

The UNTHSC Vice President for Finance and Chief Financial Officer or his/her designee will maintain a complete set of the submitted documents for reporting purposes and shall disseminate audited financial reports and other financial information to the UNT System Vice Chancellor for Finance for request.

- 9. Costs associated with financial audits and other reporting requirements are the sole responsibility of the affiliated entity unless otherwise agreed to by the UNTHSC Vice President for Finance and Chief Financial Officer or his/her designee.
- 10. The financial structure of the affiliated entity should be supported by written financial procedures that provide detailed descriptions of how financial transactions are to be processed to ensure compliance with the entity's financial policy. Financial procedures provide information on what is required to process various types of financial transactions successfully within the financial structure and system of the specific affiliated entity.
- 11. Every affiliated entity that raises and expends financial resources should have written financial policies readily available. These policies are statements of the entity's requirements in the management of cashing, investing, fund raising, budgeting, expending and reporting financial results and must comply with generally accepted business practices.

References and Cross-references.

Texas Government Code Section 2255.001
Regents Rule 09.500

Forms and Tools.

Approved: February 1, 2013

Effective: February 1, 2013



Title: Approval of UNTHSC Professional Medical Malpractice Self-Insurance Plan Experience Dividend

Background:

UNTHSC established a Plan for Professional Medical Malpractice Self-Insurance ("Plan") in 2002 which provides occurrence-based coverage for the UNT Health physicians' clinical practice. Each year the Board sets self-insurance premiums after considering the actuary's evaluation of the Plan. An actuarial report is prepared a minimum of one time each year.

Since 2002, the Plan has never paid out an experience dividend. With approximately half of the medical providers moving to Acclaim last August, the Plan potential liabilities have decreased significantly and with the move to Acclaim, approximately \$2.4 million has been paid out in lump sum benefits to former employees. The Plan has an adequate reserve and capital base exists to absorb the expected experience in the FY17 Plan year.

The Plan's reserve fund appears adequate to cover all anticipated costs at the point in time the actuarial study was completed. The Plan has benefitted from Texas tort reform and laws that limit liability of state entities and employees, and there is no indication of immediate change to this legislation. The diversified investment of reserve funds was initiated in FY 13 and offers the opportunity to offset the expenses of the Self-Insurance Plan.

Financial Analysis/History:

The Plan should be financially solvent with a market value of the Plan at November 30, 2016 of \$15,147,743.

Gregory R. Anderson

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Institution Chief Financial Officer

Janet Waldron

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Date: 2017.02.08 12:44:02 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Date: 2017.02.09 08:46:26 -06'00'

Vice Chancellor/General Counsel

Schedule:

A one-time dividend payout in Fiscal Year 2017.

Recommendation:

The President recommends that the Board of Regents approve the experience dividend for the UNTHSC Plan for Professional Medical Malpractice Self-Insurance in the amount not to exceed \$2.4 million for Fiscal Year 2017.

Recommended By:

Gregory R. Anderson
Institution Chief Financial Officer

Dr. Michael
R. Williams

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President

Lee
Jackson

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Chancellor



Board Order

Title: Approval of UNTHSC Professional Medical Malpractice Self-Insurance Plan Experience Dividend

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the Board of Regents approved the establishment of the UNTHSC Plan for Professional Medical Malpractice Self-Insurance ("Plan") in 2002, and

Whereas, based on the October annual report of the actuary (Fred White), UNTHSC believes the reserve balance in the Plan is sufficient to cover current liabilities and projected contingencies at an acceptable confidence level, and

Whereas, the President recommends that the Plan distribution be paid to UNTHSC, as an experience dividend not to exceed \$2.4 million.

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

1. An experience dividend not to exceed \$2.4 million to be paid to UNTHSC in Fiscal Year 2017.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: UNT Dallas College of Law FY18 and FY19 Tuition Increase

Background:

UNT Dallas College of Law inaugural class enrolled in August of 2014. As of Fall 2016, certified enrollment for the UNT Dallas College of Law totaled 388 students. Approximately 400 students are expected to be enrolled by the end of 2017–2018 academic year, when the law school will achieve full enrollment capacity with three full-time classes and four part-time classes. Thereafter, for 2018–2019 academic year and subsequently, enrollment at the College of Law is projected to remain between at approximately 400 – 240 full-time and 160 part-time. Depending on market demand, total enrollment could vary slightly.

UNT Dallas College of Law’s core educational goal of delivering a legal education is second to none in developing practice-related competencies. Maintaining affordable tuition is consistent with this educational goal and critical to the mission.

The total tuition for resident students for 2016-2017 academic year is \$15,133. In light of its mission, and to ensure the quality education of its students, UNT Dallas College of Law requests that tuition for resident full-time students be increased to \$15,723 for 2017-2018 academic year or \$7,862 per semester (an increase of 3.9%). This increase will only apply to incoming students as current students’ tuition rate are frozen for the entirety of their degree (as long as they maintain satisfactory progress towards their degree). Resident part-time students will pay the tuition at the same rate, reduced on a pro rata basis contingent on the amount of enrolled semester credit hours. Current non-resident tuition of \$27,263 is recommended to be set at \$28,305 also an increase of 3.9%. In addition, and planning ahead, UNT Dallas College of Law also requests that tuition for resident full-time students be increased by an additional 3.9% to \$16,336 for 2018-2019 academic year or \$8,168 per semester, and for non-resident students to \$29,388.

Unlike many other law schools, UNT Dallas College of Law does not discount tuition. The goal of this transparent tuition model is to keep tuition costs as low as possible. This practice also allows students to determine their costs before applying, but presents a challenge when comparing the true cost of tuition and fees at other law schools. Nevertheless, a tuition comparison chart is presented on the following page to show this increase in tuition remains substantially lower than tuition charged by other Texas law schools. The breakdown of proposed UNT Dallas College of Law tuition charges is as follows:

**2017-2018
Full Time 30 SCH/Yr. Course load**

	Statutory Tuition	Board Designated Tuition	Graduate Differential Tuition	Total Tuition	Est. Total Fees	Total Tuition & Fees
Resident	\$2,400	\$6,123	\$7,200	\$15,723	\$636	\$16,359
Non-Resident	\$13,740	\$7,365	\$7,200	\$28,305	\$636	\$28,941

2018-2019
Full Time 30 SCH/Yr. Course load

	Statutory Tuition	Board Designated Tuition	Graduate Differential Tuition	Total Tuition	Est. Total Fees	Total Tuition & Fees
Resident	\$2,400	\$6,736	\$7,200	\$16,336	\$636	\$16,972
Non-Resident	\$13,740	\$8,448	\$7,200	\$29,388	\$636	\$30,024

Texas Law School Tuition and Fees Comparison*

	Institution	Location	Texas Resident 2016-2017	Non-Resident 2016-2017
Public	TSU	Houston	\$20,245.50	\$27,235.50
	Texas Tech	Lubbock	\$23,668	\$35,008
	U. Houston	Houston	\$30,401	\$45,219
	Texas A&M	Fort Worth	\$28,000	\$33,668
	UT Austin	Austin	\$33,995	\$50,480
	Public Average			\$27,181
Private	Baylor U	Waco	\$57,752	N/A
	SMU	Dallas	\$51,096	N/A
	South Texas	Houston	\$30,600	N/A
	St. Mary's U.	San Antonio	\$34,640	N/A
	Private Average			\$42,641

**Tuition and Fees data retrieved from each institution's website (as of 1/5/17), except for Texas Tech where information was provided by the Associate Dean for Finance and Administration due to dated information on website. Amounts are based on 1st year credit hour requirements which range between 30 to 31 credit hours, except Baylor which is on the quarter system and requires 41 credit hours in the first year curriculum. All amounts are gross not net of discounting.*

Financial Analysis/History:

Many law schools in Texas and across the nation engage in a practice known as "tuition discounting," wherein scholarships are awarded to reduce the stated tuition price. Thus, the "net tuition" that students pay is often significantly discounted from the stated tuition posted by the law school. In some cases law schools utilize tuition revenue from lower credentialed students to create the tuition discounts for higher credentialed students. However, the transparent no discount tuition model embraced by UNT Dallas College of Law strategically maintains low tuition, produces modest operating revenue, and ensures access to historically disadvantaged students.

The proposed tuition is projected to generate net tuition and fees of \$4.4 m for 2017-2018 academic year (an increase of 2%). This projection includes tuition and fees from the first year class (4L) and second year class (3L) and third year class (2L) with frozen tuition of \$14,040 and \$14,565 and \$15,133 respectively. UNT Dallas College of Law is also expected to receive \$5.8m in State General Revenue. For 2018-2019 academic, the proposed tuition is projected to generate net tuition and fees of \$4.3m (a decrease of 2% from 2017-2018 academic year, due to reduced

entering class enrollment). UNT Dallas College of Law is also expected to receive \$5.7m in State General Revenue for 2018-2019 academic year.

Projected operating expenses for 2017-2018 academic year is \$10.4 m, and for 2018-2019 academic year is \$10.7m. Any variation in student enrollment could have a positive or negative effect on projected tuition revenue.

The proposed tuition increases in the coming two years are necessary to ensure the continued growth and sustainability of UNT Dallas College of Law, as well as to enhance its success with respect to accreditation from the American Bar Association. At both the Accreditation Committee meeting in June of 2015, and the subsequent Council meeting in October of 2015, the ABA Section on Legal Education and Admissions has shown great interest in the law school's long-term financial viability. The ABA has made it clear that it is not interested in accrediting law schools that will not be financially sustainable into the future.

Following its first full year of operations with students in 2014-2015 academic, the College of Law was able to determine ongoing operating expenses. The College of Law's requested increases in revenue over the next two years will allow for investment and growth in significant and needed areas. For example, the projected budget for 2017-2018 academic year includes funding for three new full-time tenured or tenure-track professors, new initiatives, and programming. In addition, new administrative and staff personnel being considered by the College of Law are in the areas of Academic Success, experiential learning, career counseling, event planning, and additional administrative support. After a two-and-a-half years of operations with students, these are the areas the College of Law has determined need additional investment to ensure compliance with the American Bar Association standards, thereby enhancing the College of Law application for provisional, and subsequently full, ABA approval. In 2018-2019 academic year, the College of Law enrollment will finally arrive at a base set point as it will contain three full-time classes and four part-time classes. Because the College of Law has increased staffing to meet each year's enrollment growth, the projected budget for 2018-2019 academic year will include minimal increase in personnel or programming expenses.

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Institution Chief Financial Officer

Janet
Waldron

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ou=Vice Chancellor for Finance,
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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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

Schedule:

The proposed tuition increase for 2017-2018 academic year (FY 2018) is effective for the Fall 2017 entering first-year class, and the proposed tuition increase for 2018-2019 academic year (FY 2019) is effective for the Fall 2018 entering first-year class.

Recommendation:

It is recommended that the Board of Regents authorize and approve FY 2018 UNT Dallas College of Law Tuition for incoming students for the 2017-2018 academic year - \$15,723 resident tuition and \$28,305 non-resident tuition, and further approve FY 2018 UNT Dallas College of Law Tuition for incoming students for the 2018-2019 academic year - \$16,336 resident tuition and \$29,388 non-resident tuition.

Recommended By:

Dan Edelman

Executive Vice President
for Administration and CFO

Bob Mong

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email=bob.mong@untdallas.edu,
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President

Lee Jackson

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Chancellor



Board Order

Title: UNT Dallas College of Law FY18 and FY19 Tuition Increase

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Dallas College of Law is in preparation to enroll its fourth entering class, and enrollment will finally reach anticipated capacity with three full-time classes and four part-time class, Board Designated Tuition and Graduate Differential Tuition must be established in order for students to matriculate in the Fall of 2018 and Fall 2019, and

Whereas, for FY 2018, the proposed UNT Dallas College of Law tuition would generate \$4.4m net tuition, and

Whereas, for FY 2019, the proposed UNT Dallas College of Law tuition would generate \$4.3m net tuition, and

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

1. FY 2018 UNT Dallas College of Law Tuition for incoming students for the 2017-2018 academic year - \$15,723 resident tuition and \$28,305 non-resident tuition.
 2. FY 2019 UNT Dallas College of Law Tuition for incoming students for the 2017-2018 academic year - \$16,336 resident tuition and \$29,388 non-resident tuition.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: UNT Dallas Residence Hall Fees

Background:

The UNT System Board of Regents approved the budget and construction of UNT Dallas's residence hall in February 2015 and room and board rates in August 2016. The residence hall is scheduled to be completed in late summer of 2017 for occupancy in the fall of 2017.

UNT Dallas established a residence hall operational planning committee during the spring semester of 2016. After the board approved room and board rates, the committee continued to deliberate on related fees for the operation of the residence hall. The committee considered the most cost effective way to manage the residence hall with the primary goal of proving best value for students living on campus at the most affordable rates.

UNT Dallas seeks board authority to assess fees at the prevailing market rate for damages, repairs and replacements of items and property of the Residence Hall. UNT Dallas also requests to establish a non-refundable application fee and housing deposit (to be credited towards housing bill), cable/internet, improper room change/checkout and programming fee. A full schedule of these fees is included in the Financial Analysis section and Board Order.

Financial Analysis/History:

No residence halls are open at UNT Dallas. Therefore, it is necessary to establish and publish fees before the residence hall is completed and available for students. One of the strategic objectives of UNT Dallas is to provide quality education through a living and learning experience at an affordable rate. The requested fees brought forward to the board were carefully considered within the context of this strategic objective. These fees will be directly used to cover the cost of additional services provided to students living in the residence hall. Brief description and schedule is provided below

Programming fee will be used directly towards the provision of academic, cultural, educational, social, and recreational programs and events for residents. The residence hall director in conjunction with resident assistants will manage this fee and organize different activities.

Improper room change/checkout fee will only be assessed if residents fail to follow checkout or room change procedures.

Other charges. Furthermore, the authority to assess fees at the prevailing market rates for damages, repairs and key or lock replacements ensures that fees are assessed at cost of replacement and/or repairs required.

Complete schedule of fees are:

Fee Name

Application Fee	\$100 (non-refundable/not credited to housing bill)
Housing Deposit	\$300 (non-refundable/credited to housing bill)
Cable/Internet Fee	At market rate (currently \$450/year)
Improper room change/check out	\$75 per occurrence
Programming Fee	\$100/year

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Institution Chief Financial Officer

Janet Waldron
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email=janet.waldron@untsystem.edu, c=US
Date: 2017.02.10 10:27:47 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

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

Schedule:

Schedule of fees is provided in the Financial Analysis section.

Recommendation:

It is recommended that the Board of Regents approve the establishment of residence hall fees.

Recommended By:

Dan Edelman

Executive Vice President
for Administration and CFO

Bob Mong
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President

Lee Jackson
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Date: 2017.02.13 11:35:01 -06'00'

Chancellor



Board Order

Title: UNT Dallas Residence Hall Fees

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Dallas Residence Hall budget and construction have been approved and

Whereas, construction is scheduled to be completed in mid-summer of 2017 and

Whereas, UNT Dallas Residence Hall is scheduled to be opened to students in fall 2017 and

Whereas, UNT Dallas Residence Hall Room and Board Rates have been established

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

Fee Name

Application Fee	\$100 (non-refundable/not credited to housing bill)
Housing Deposit	\$300 (non-refundable/credited to housing bill)
Cable/Internet Fee	At market rate (currently \$450/year)
Improper room change/check out	\$75 per occurrence
Programming Fee	\$100/year
Other fees	Market rates for damages, repairs and replacement of items and property of the Residence Hall as necessary to cover the costs and administrative overhead.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



MINUTES

BOARD OF REGENTS Audit Committee November 17, 2016

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

The Audit Committee of the Board of Regents of the University of North Texas System convened on Thursday, November 17, 2016 in the University Union, Room 333, at the University of North Texas, 1155 Union Circle, Denton, Texas, with the following members in attendance: Regents Don Potts, Rusty Reid, Glen Whitley, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman Glen Whitley at 11:24 a.m. The minutes of the August 18-19, 2016 Audit Committee meeting were approved on a 4-0 vote following a motion by Regent Potts and seconded by Regent Reid.

Chief Audit Executive, Tracy Grunig, delivered two briefings to the Committee: **Report of Audit Activities**, and **UNT Enterprise Audit Report Inventory**.

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

- **UNT System Consolidated Annual Compliance Report September 2015 through August 2016**

There being no further business, the Committee meeting adjourned at 11:45 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: Dec 5, 2016

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BOARD OF REGENTS AUDIT COMMITTEE CHARTER

Purpose and Authority

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

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

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

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

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

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

Membership and Meetings

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

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

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

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

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

consultation with the Chancellor and the Chief Internal Auditor.

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

Independence

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

Accounting / Financial Information Review Duties

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

External Auditor Review Duties

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

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

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

Internal Audit Duties

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

Ethical Compliance, Legal Compliance, and Risk Management Duties

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

Reporting and Duties

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

Other Responsibilities and Duties

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

Audit Committee Chair

Chief Internal Auditor

Date:

Adopted:

Effective:

Revised:

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

Quarterly Report of Audit Activities

Activities reflected within are as of December 31, 2016

Summary Statement

The information below is presented in more detail on the following slides:

- Highlights of Internal Audit Activity-2nd Quarter 2017
- Audit and Management Advisory Services Reports Issued Matrix
- Fiscal Year 2017 Annual Audit Plan Progress
- Fiscal Year 2017 Allocation of Audit Hours per UNTS Component Institution
- Performance Metrics-Customer Service Survey Results
- Summary of Follow-up Activity
- Detail for Follow-up Activity

In response to the Board of Regents and Senior Leadership, Internal Audit is strengthening financial processes to meet challenges and be a trusted and valuable business partner.

Internal Audit is making adjustments to enable the success of strategic plans across components.

- **Productivity**

- Identifying opportunities to educate and train auditees and surrounding faculty/staff during the course of every audit
- Focused on operational process and procedure
- Issuing management letters to identify best practice
- Working to drill down to root cause to determine best course of remediation

- **Process Improvement**

- Huron Consulting Engagement-PeopleSoft 9.2
- UNT Student Conduct Committee
- DFW TeamMate User Group
- Meet & Greet UNT College IT Personnel & UNT College of Music Dean

- **Quality Assurance**

- Operational Auditing-Influencing Positive Change (IIA)
- Supervisory Building Blocks (UNTS Human Resources)
- Quality Assurance Review Update - select team members and solidify timing of review
- Challenging ourselves to write briefer, succinct audit reports

Audit and Management Advisory Services Reports Issued Matrix



Audit Name	Component Institution				Risk Rating	Audit Score	Identified Risk
	UNTS	UNT	UNTHSC	UNTD			
Family Medicine Residency Program			X				Compliance
Investments	X	X	X	X			Compliance; Reputational; Financial; Operational
College of Visual Arts and Design Transitional Audit		X					Compliance; Operational
IT Change Management	X		X				Compliance; Financial; Operational
UNT Endowments -outsourced		X					Compliance; Reputational; Financial; Operational
(11) Investigations (*5 formal reports, 6 case reports)							
*Equity and Diversity Grant Application		X					Personnel Issues
*Student Affairs Testing Center Cash Loss		X					Cash Loss
*Facilities Time & Comp Time		X					Management Oversight
*Biology Agreement		X					Personnel Issues
*IT Student Time		X					Personnel Issues

Fiscal Year 2017 Annual Audit Plan Progress



Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
			UNTS	UNT	UNTHSC	UNTD	
Chancellor's/President's Expenditure Reviews	Issued	November 2016	X	X	X	X	Compliance; Reputational; Financial; Operational
Investments	Issued	February 2017	X	X	X	X	Compliance; Reputational; Financial; Operational
Student-Managed Investment Fund (SMIF)	Not Started			X			Compliance; Reputational; Financial; Operational
Joint Admissions Medical Program (JAMP)	Issued	November 2016		X			Compliance; Reputational; Financial; Operational; Regulatory
THECB Plaza Medical Center Family Medicine Residency Program (FMRP)	Issued	February 2017			X		Compliance; Reputational; Financial; Operational; Regulatory
Cancer Prevention and Research Institute of Texas (CPRIT) (outsourced)	Not Started			X	X		Compliance; Reputational; Financial; Operational; Regulatory
Senate Bill 20 Conflict of Interest (SB 20)	Not Started		X				Contract Compliance; Reputational; Financial; Operational; Regulatory
Senate Bill 20 Mandated Internal Audit Assessment	Not Started		X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
Enrollment Audit	Not Started			X	X	X	Student Safety; Financial; Operational
Payroll	Not Started		X				Financial; Operational
Financial Review of UNTHSC Reserves	In-Process (Outsourced)				X		Financial; Operational; Reputational
Revenue Cycle – Billing Process (Clinical Practice)	Cancelled				X		Financial; Operational; Reputational
Minor Capital Projects	Not Started		X	X	X	X	Financial; Operational; Contract Compliance; Economical and Efficient Use of Resources
Vulnerability Scanning & Penetration Testing Review	In-Process (Outsourced)		X				Information Technology Security; IT System Network Authorization and Access; Operational; Compliance with Policies; Reputational
Health Care Data Security	Not Started				X		Information Technology Security; Safeguarding of Assets; Operational; Compliance with Policies; Reputational
Virtual Server Environments	In-Process (Outsourced)		X				Information Technology Security; Safeguarding of Assets; Operational; Compliance with Policies; Reputational

Fiscal Year 2017 Annual Audit Plan Progress



Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
			UNTS	UNT	UNTHSC	UNTD	
Resource Protection Program Review	Not Started			X	X	X	Reputational; Asset Misappropriation; Physical Safety
Inventory Control Review	Not Started			X	X	X	Reputational; Asset Misappropriation; Compliance with Policies; Financial; Economical and Efficient Use of Resources
Registrar's Office – Business Process	Not Started					X	Operational; Reputational; Compliance with Policies
Training on Business Processes, Policies and Procedures	Ongoing		X	X	X	X	Compliance with Policies; Operational; Financial; Information Technology
Continuous Auditing	Ongoing		X	X	X	X	Financial; Operational;
NCAA Compliance	Not Started			X			Regulatory; Reputational; Compliance with Policies; Operational
Residence Hall- Student Safety Practices	In-Process			X			Student Safety; Operational; Compliance with Policies; Reputational
Student Awareness and Training-Lab Safety	In-Process			X	X	X	Student Safety; Operational; Compliance with Policies; Reputational
UNALLOCATED HOURS	Ongoing		X				Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
UNALLOCATED HOURS	Ongoing			X			Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
UNALLOCATED HOURS	Ongoing				X		Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
UNALLOCATED HOURS	Ongoing					X	Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
COMPLIANCE	Ongoing		X	X	X	X	Due Diligence

Fiscal Year 2017 Allocation of Audit Hours per UNTS Component Institution



	UNTS	UNT	UNTHSC	UNTD	Total
Allocated Audit Hours	2,475	2,793	3,191	2,041	10,500
Unallocated Audit Hours	1,225	3,650	3,650	2,475	11,000
Total Audit Hours Available	3,700	6,443	6,841	4,516	21,500
Unallocated Audit Hours	1,225	3,650	3,650	2,475	11,000
Audit Projects Completed:					
College of Visual Arts and Design Transitional Audit		350			
Management Administrative Review				200	
	<u>0</u>	<u>350</u>	<u>0</u>	<u>200</u>	<u>550</u>
Audit Projects In Process:					
International Student Sponsorships Review		250			
Financial Review of Graduate School of Biomedical Sciences			400		
Financial Review of Texas College of Osteopathic Medicine			450		
Retirement Contributions Audit	500				
	<u>500</u>	<u>250</u>	<u>850</u>	<u>0</u>	<u>1,600</u>
Audit Projects Identified:					
Accounts Payable	400				
Student Payroll Audit		400			
College of Music Transitional Audit		300			
College of Information Dean's Follow-Up Audit		200			
College of Pharmacy Financial Review			450		
Financial Review of School of Health Professions			400		
Office of Finance Transitional Audit			450		
Office of Provost Transitional Audit			450		
	<u>400</u>	<u>900</u>	<u>1,750</u>	<u>0</u>	<u>3,050</u>
Management Advisory Services:					
Information Technology	10	152	13		
Investigations		37	5		
Behavioral Analysis PhD Program		100			
	<u>10</u>	<u>289</u>	<u>18</u>	<u>0</u>	<u>317</u>
Remaining Unallocated Audit Hours Balance	315	1,861	1,032	2,275	5,483

Performance Metrics-Customer Service Survey Results

Response Rate



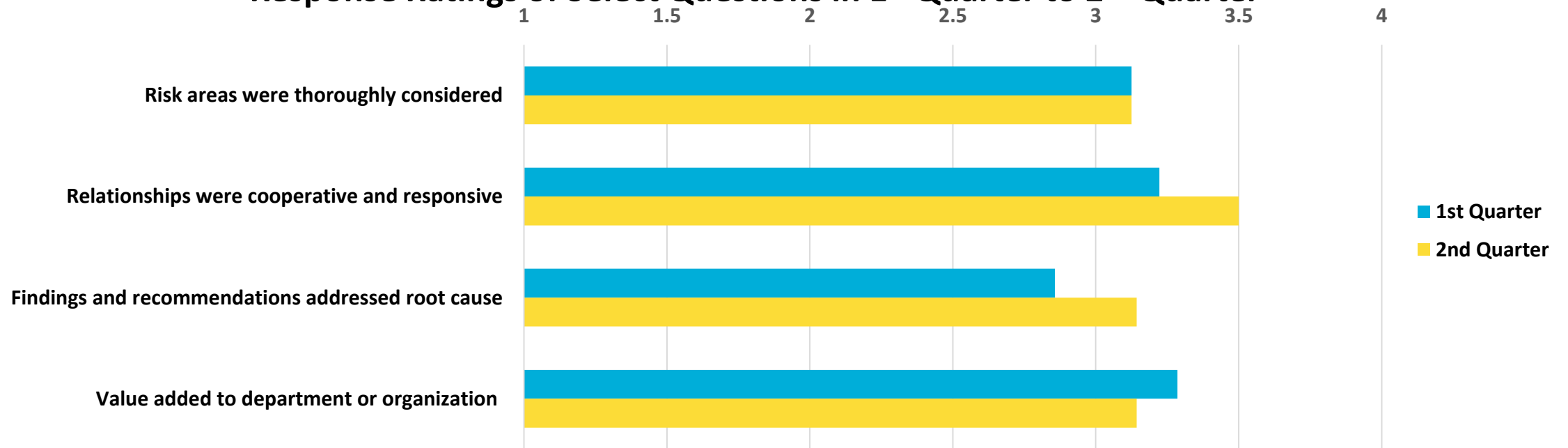
1st Quarter:
5 Audits Issued



2nd Quarter:
7 Audits Issued



Response Ratings of Select Questions in 1st Quarter to 2nd Quarter



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	17	13	(2)	28	22	6*
UNT	39	13	(17)	35	35	0
UNTHSC	18	5	(6)	17	17	0
UNTD	33	0	(25)	8	7	1
Total	107	31	(50)	88	81	7

*2 recommendations from Advancement Office Follow-Up Review, 09-011, will be complete contingent on Board of Regent approval.

Questions?

UNT System Administration-Detail for Follow-up Activity



Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Finance</p> <p>Risk Level: Low</p> <p>Report Name: Advancement Office Follow-Up Review</p> <p>Report Number: 09-011</p> <p>Component Institution: UNT System</p> <p>Department: UNTHSC Advancement Office</p> <p>Brief Description of Audit: Internal Audit performed a follow-up review of the actions taken to implement recommendations made in Audit Report 07-012, Advancement Office Review.</p>	<p>The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.</p> <p>3a. Review and update the agreement between the Center and the Foundation including a “right to audit clause.” Refer to Legal Counsel and the AGB-CASE model agreement for guidance.</p> <p>3b. Distribute or make available the reaffirmed agreement to stakeholders including Center administrators, Advancement Office employees, and the Foundation Board of Directors.</p>	<p>Management agrees. In process. The Vice President for Development will raise this topic at the April 2009 Foundation Board meeting and complete by the June meeting. The updated agreement will be distributed upon approval of appropriate Center and Foundation administrators.</p> <p>Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement</p> <p>Expected Implementation Date: November 30, 2012 Revised Implementation Date: December 31, 2016</p> <p>Party Responsible for Implementation: Doug White, Vice President of Institutional Advancement</p> <p>Expected Implementation Date: November 30, 2012 Revised Implementation Date: December 31, 2016</p>	<p>50 months past due</p> <p>Complete contingent on Board of Regents approval.</p>

UNT System Administration-Detail for Follow-up Activity



Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: High</p> <p>Report Name: FY 2015 Investment Compliance Audit</p> <p>Report Number: 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC</p> <p>Component Institution: UNT System, UNT, UNT Dallas, UNTHSC</p> <p>Department: Treasury</p> <p>Brief Description of Audit: This audit is required by the Public Funds Investment Act (PFIA) Texas Government Code, Section 2256.005 and UNT System Regulation 08.2000, Investment of System Funds. The objectives of this audit were to provide assurance that controls surrounding the investing activities are effective; as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and PFIA including State Auditor’s Office (SAO) Article III, Rider 5 reporting requirements.</p>	<p>The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.</p> <p>Recommendations for Associate Vice Chancellor for Treasury:</p> <p>1a. Management to work with Office of General Counsel and Human Resources to establish a mechanism, which includes a conflict of interest disclosure form, through which investment officers self-report annually any real or perceived conflicts of interest.</p>	<p>Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Expected Implementation Date: August 31, 2016</p> <p>Revised Implementation Date: June 1, 2017</p>	<p>5 months past due</p>

UNT System Administration-Detail for Follow-up Activity



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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: FY 2015 Investment Compliance Audit</p> <p>Report Number: 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC</p> <p>Component Institution: UNT System, UNT, UNT Dallas, UNTHSC</p> <p>Department: Treasury</p> <p>Brief Description of Audit: This audit is required by the Public Funds Investment Act (PFIA) Texas Government Code, Section 2256.005 and UNT System Regulation 08.2000, Investment of System Funds. The objectives of this audit were to provide assurance that controls surrounding the investing activities are effective; as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and PFIA including State Auditor’s Office (SAO) Article III, Rider 5 reporting requirements.</p>	<p>The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.</p> <p>Recommendations for Associate Vice Chancellor for Treasury:</p> <p>1b. Implement a required annual conflict of interest training program to provide investment officers a clear understanding of their roles and responsibilities related to conflict of interest and steps they would need to take in the event of a concern.</p>	<p>Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Expected Implementation Date: August 31, 2016 Revised Implementation Date: June 1, 2017</p>	<p>5 months past due</p>

UNT System Administration-Detail for Follow-up Activity



Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: High</p> <p>Report Name: FY 2015 Investment Compliance Audit</p> <p>Report Number: 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC</p> <p>Component Institution: UNT System, UNT, UNT Dallas, UNTHSC</p> <p>Department: Treasury</p> <p>Brief Description of Audit: This audit is required by the Public Funds Investment Act (PFIA) Texas Government Code, Section 2256.005 and UNT System Regulation 08.2000, Investment of System Funds. The objectives of this audit were to provide assurance that controls surrounding the investing activities are effective; as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and PFIA including State Auditor’s Office (SAO) Article III, Rider 5 reporting requirements.</p>	<p>The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.</p> <p>Recommendations for Associate Vice Chancellor for Treasury:</p> <p>1c. For staff positions which do not require an annual conflict of interest disclosure form to be completed, consider requiring periodic acknowledgement of the institution’s ethics policy from staff, which has conflict of interest embedded within the policy.</p>	<p>Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Expected Implementation Date: August 31, 2016 Revised Implementation Date: March 31, 2017</p>	<p>5 months past due</p>

UNT System Administration-Detail for Follow-up Activity



Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Low</p> <p>Report Name: FY 2015 Investment Compliance Audit</p> <p>Report Number: 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC</p> <p>Component Institution: UNT System, UNT, UNT Dallas, UNTHSC</p> <p>Department: Treasury</p> <p>Brief Description of Audit: This audit is required by the Public Funds Investment Act (PFIA) Texas Government Code, Section 2256.005 and UNT System Regulation 08.2000, Investment of System Funds. The objectives of this audit were to provide assurance that controls surrounding the investing activities are effective; as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and PFIA including State Auditor’s Office (SAO) Article III, Rider 5 reporting requirements.</p>	<p>There was no indication that Board of Regents reviewed and adopted a list of financial institutions for fiscal year 2015.</p> <p>Recommendations for Associate Vice Chancellor for Treasury:</p> <p>10a. Establish procedures to ensure compliance with System Regulation 08.2000, Section 2005, paragraph 10 or review the System Regulation to see if requirement is applicable as is and make changes as necessary.</p>	<p>Management will review the regulation to determine appropriateness of the wording as this is not a requirement in the Public Funds Investment Act. Based upon the findings, either the regulation will be revised or procedures will be modified to ensure compliance.</p> <p>Party responsible for implementation: James Mauldin, Associate Vice Chancellor for Treasury</p> <p>Expected Implementation Date: November 30, 2016 Revised Implementation Date: February 28, 2017</p>	<p>3 months past due</p>

UNT Dallas-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: Academic and Students</p> <p>Risk Level: Moderate</p> <p>Report Name: UNT Dallas Student Fees</p> <p>Report Number: 16-024</p> <p>Component Institution: UNT Dallas</p> <p>Department: Student Financial Services</p> <p>Brief Description of Audit: Internal Audit completed a review of UNT Dallas Student Fees. This audit was performed at the request of UNT Dallas Management. Management has been proactive in addressing issues identified throughout this audit.</p>	<p>UNT Dallas: Incidental Fee Account Balances - During our review of six incidental fee accounts for UNT Dallas and UNT Dallas College of Law for FY 2014, FY 2015 and FY 2016, we noted incidental fee account balances were not rolled forward at the end of each fiscal year. Furthermore, testing identified 1 out of 6 incidental fee accounts had a large unexpended balance for FY 2015.</p> <p>Recommendation for the Assistant Vice President of Budgeting and Planning:</p> <p>16b. Establish an annual requirement for accountholders to provide a formal justifications or action plans for accumulated unexpended balances over an established threshold.</p>	<p>With these recommendations, the Budget Office will have a chance to edit budget closing rules and determine which budget balances roll forward into next fiscal year and which fund balances will close at the end of the fiscal year. A proposed list of incidental and student services fees accounts to roll forward will be communicated and approved by Chief Financial Officer and the Executive Vice President for Finance and Administration.</p> <p>Also, for any incidental fee budget roll forward balance that exceeds 25% of original budget, a formal justification will be required from the account manager. This justification shall include the reason for the unexpended balance and plans for the unexpended balance. Additionally, if the incidental fee account is projected to roll forward a deficit balance, regardless of dollar amount, the account manager shall submit a formal justification that includes the reason and plan for deficit coverage. All formal justifications shall be submitted to the Assistance Vice President for Budget and Planning by no later than February 1st each fiscal year and must contain the signature of the respective Vice President.</p> <p>Party Responsible for Implementation: April Barnes, Assistant Vice President of Budgeting and Planning</p> <p>Expected Implementation Date: July 31, 2016 Revised Implementation Date: March 1, 2017</p>	<p>7 months past due</p>

UNTS Enterprise Audit Report Inventory

Summary of UNTS Enterprise Audit Inventory



	Fiscal Year 2017				Fiscal Year 2016				Fiscal Year 2015				"Prior Years" or "Fiscal Year 2015 and Prior"				
	# of Audits	Recommendations			# of Audits	Recommendations			# of Audits	Recommendations			# of Audits	Recommendations			
		Total	Open	Closed		Total	Open	Closed		Total	Open	Closed		Total	Open	Closed	
UNTS	3	16	13	3	5	31	13	18	2	2	0	2	0	2	2*	0	
UNT	4	15	13	2	9	63	22	41	6	12	0	12	0	0	0	0	
UNTHSC	3	8	5	3	4	47	12	35	4	5	0	5	1*	0	0	0	
UNTD	1	2	0	2	2	41	8	33	2	2	0	2	0	0	0	0	
Total Internal Audit Activity	11	41	31	10	20	182	55	127	14	21	0	21	1	2	2	0	
Conducted by UNTS Component Institutions	0	0	0	0	1	1	0	1	2	3	0	3	0	0	0	0	
State Auditor's Office	0	0	0	0	4	9	0	9	3	5	0	5	0	0	0	0	
Other External Agencies	7	245	205	40	15	48	4	44	20	72	1	71	0	0	0	0	
Totals	18	286	236	50	40	240	59	181	39	101	1	100	1	2	2	0	

*From FY 2009; Complete contingent on Board of Regents approval.

Questions?

UNTS Enterprise Audit Report Inventory

The repository represents the detailed audit activity supporting the “UNTS Enterprise Audit Report Inventory” presentation listed on the Schedule of Events for the Board of Regents Meeting February 23, 2017.

The repository includes audit activity from UNT System Internal Audit, Texas State Auditor’s Office and other external agencies from Fiscal Year 2013 through the current timeframe.

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2009	Finance	Advancement Office Follow-Up Review	UNT System	The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.	Low	Review and update the agreement between the Center and the Foundation including a "right to audit clause." Refer to Legal Counsel and the AGB-CASE model agreement for guidance.	Management agrees. In process. The Vice President for Development will raise this topic at the April 2009 Foundation Board meeting and complete by the June meeting. The updated agreement will be distributed upon approval of appropriate Center and Foundation Administrators.	Doug White, VP of Institutional Advancement	Original Date 11/30/2012 Revised Date 12/31/16	Open
Internal	UNT System Internal Audit	Fiscal Year 2009	Finance	Advancement Office Follow-Up Review	UNT System	The written agreement between the Center and the UNTHSC Foundation has not been revised or reaffirmed since September 1994.	Low	Distribute or make available the reaffirmed agreement to stakeholders including Center administrators, Advancement Office employees, and the Foundation Board of Directors.	Management agrees. In process. The Vice President for Development will raise this topic at the April 2009 Foundation Board meeting and complete by the June meeting. The updated agreement will be distributed upon approval of appropriate Center and Foundation Administrators.	Doug White, VP of Institutional Advancement	Original Date 11/30/2012 Revised Date 12/31/16	Open
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) HSC) Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc....), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected. Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system(and overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p>Recommendations/Activities to Consider for Observations 1 through 4: The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Establish a tracking and reporting system (e.g. spreadsheet) to document approved/rejected changes, communicate the status of requests (e.g. in-process, in testing, approved, completed). Make certain that approved changes are implemented as planned (or document explanations where changes deviate from original plan). 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, CIO, and stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) HSC Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc....), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected. Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system(and overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p>Recommendations/Activities to Consider for Observations 1 through 4: The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Establish formal, standardized, Change Management procedures to administer all change requests for those applications/services that are both high risk and institutional in scope/impact (e.g. maintenance and patches, changes to hardware, networks, applications, procedures, processes, system and service parameters, and the underlying platforms) 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, CIO, and stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA
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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) HSC Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc....), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected. Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system(overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p>Recommendations/Activities to Consider for Observations 1 through 4: The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Where support responsibilities are shared with other organizations(e.g. ITSS, vendors, other departments), document the roles and responsibilities for each and capture how all stakeholders and support teams are kept update 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) HSC Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc....), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected. Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system(overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p>Recommendations/Activities to Consider for Observations 1 through 4: The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Include a method to periodically review, update (including appropriate version control), and disseminate Change Management practices (e.g.at least annually). 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) HSC Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc....), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected.</p> <p>Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system(and overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p>Recommendations/Activities to Consider for Observations 1 through 4: The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Ensure the user community agrees with the Risk and Scope assigned to each application/service. 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) HSC Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc....), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected.</p> <p>Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system(and overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p>Recommendations/Activities to Consider for Observations 1 through 4: The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Assess all requests for those applications/services that are both high risk and institutional in scope/impact, in a structured way to determine the impact on the operational system, overall infrastructure, and functionality. Ensure that changes are categorized, prioritized and authorized and supporting evidentiary documentation is archived 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA

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External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc....), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected. Change Management procedures do not include the following:</p> <ul style="list-style-type: none"> -Standardized procedures to handle requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms -Structured way to determine the impact on the operational system(and overall infrastructure) and its functionality for each request for change -Process to ensure changes are categorized, prioritized, assigned, and authorized -Process for pre-implementation and post-implementation testing protocols/requirements -Process for defining, raising, testing, documenting, assessing and authorizing emergency changes (outside of the 'normal' change process) -Tracking and reporting systems to document and communicate rejected changes, communicate the status of approved and in-process changes, and completion of 	High	<p>Recommendations/Activities to Consider for Observations 1 through 4: The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Define and document approval procedures, as well as those individuals that are authorized to act as approvers for each system. 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA
External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	<p>During the Fall 2011 term, the University of North Texas (University) used full-time budgets to determine COA for all students receiving financial assistance who applied for Title IV assistance prior to the Fall 2011 census date, regardless of each student's actual or anticipated enrollment. In addition, for 1 (2 percent) of 60 students tested, the University incorrectly over awarded the student \$8,776 in Direct Loans associated with award P268K122293 as part of the student's Spring 2012 assistance.</p>	NA	<p>The University should:</p> <p>Develop a process to determine each student's COA and financial need based on the student's expected or actual enrollment.</p>	<p>Management has developed a process to determine each student's COA and financial need based on the student's expected enrollment.</p>	Zelma DeLeon and Lacey Thompson	1/1/2012	Closed
External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	<p>During the Fall 2011 term, the University of North Texas (University) used full-time budgets to determine COA for all students receiving financial assistance who applied for Title IV assistance prior to the Fall 2011 census date, regardless of each student's actual or anticipated enrollment. In addition, for 1 (2 percent) of 60 students tested, the University incorrectly over awarded the student \$8,776 in Direct Loans associated with award P268K122293 as part of the student's Spring 2012 assistance.</p>	NA	<p>The University should:</p> <p>Make adjustments to assistance when students attend only one semester to help ensure that it does not award assistance to students who are not eligible to receive that assistance.</p>	<p>Management has addressed the over award with the employee responsible for making the error for the student in question. The over award is being corrected.</p>	Zelma DeLeon and Lacey Thompson	12/1/2012	Closed

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External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	One (1 percent) of 70 direct cost transactions tested at the University of North Texas (University) was unallowable. For 1 (1 percent) of 70 direct cost transactions tested, the University incorrectly calculated the amount of the federal expenditure.	NA	The University should establish and implement procedures to ensure that it does not charge unallowable or incorrect costs to federal awards.	The UNT Business Service Center (BSC) agrees. The BSC has corrected the travel reimbursement and the payroll underpayment. The BSC has established business practices to address the recommendation, which include: Management Response and Corrective Action Plan: - Provided additional training to Travel staff regarding unallowable expenses on federal funds. - Will participate in ongoing collaboration with the UNT Office of Research Services to enhance the audit process of travel expenditures to avoid unallowable charges to federal funds. - ERP (PeopleSoft) system now calculates partial months using an annualized hourly rate of pay (2,080 hours). The manual calculation is no longer necessary.	Susan Sims and Connie Ross	2/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	The University of North Texas (University) did not ensure that vendors associated with 4 (40 percent) of 10 procurements tested that exceeded \$25,000 were not suspended or debarred.	NA	The University should document its vendor suspension and debarment verifications for all procurements of at least \$25,000.	The UNT System Business Service Center (BSC) agrees. The BSC has established business practices to address the recommendation, which include: Management Response and Corrective Action Plan: - Added a clause/condition to the UNT System Purchase Order Terms and Conditions on 10/26/12. - Provided additional training to Purchasing staff on EPLS Search and documentation requirements on 1/16/13. - Created a procedure to ensure all procurements of at least \$25,000 are documented appropriately and are audited by management daily on 1/22/13.	Carolyn Cross	2/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2013	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster of Federal Programs for the Fiscal Year Ended August 31, 2012	UNT	The University of North Texas (University) did not send the required notification of Recovery Act information at the time of disbursement of funds to its one Recovery Act sub recipient.	NA	The University should establish and implement procedures to help ensure that it makes required notifications when it disburses Recovery Act funds to sub recipients.	The UNT Office of Research Services agrees. The sub recipient vendor record in PeopleSoft has been enhanced so that check stubs of future payments, if any, will include the following: Management Response and Corrective Action Plan: - Federal award number. - CFDA number. - Amount of ARRA recovery funds.	Britt Khovjak	2/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2013	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2012	UNT	NA	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2013	Finance	Statewide Single Audit Report for the Year Ended August 31, 2012	UNT	On its SEFA, the University of North Texas (UNT): - Incorrectly reported expenditures for four CFDA's in the Student Financial Assistance Cluster of federal programs using award year instead of fiscal year. As a result, UNT (1) incorrectly included \$6,257,520 and (2) incorrectly excluded \$278,738 in expenditures on its SEFA. UNT also incorrectly included \$6,255,520 of those expenditures in the notes to its SEFA and understated federal revenue by \$276,738 in the notes to its SEFA. - Could not provide adequate support for excluding \$361,374 in expenditures from its SEFA. UNT asserted that it excluded those expenditures because it had a vendor relationship with other state entities; however, UNT could not provide support for that assertion.	NA	UNT should: -Strengthen its review process to help ensure that it prepares its SEFA correctly and that the SEFA it submits to the Comptroller's Office is complete and accurate.	We concur with the auditor's findings and recommendations. Financial aid reporting procedures will be modified to ensure compliance with GASB 33 and the State Comptroller's reporting requirements for SEFA. Pass-thru confirmation processes will be modified to ensure the collection and retention of documentary evidence supporting our reporting assertions	Associate Vice President for Finance and Controller	8/31/2013	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Auditor's Office	Fiscal Year 2013	Finance	Statewide Single Audit Report for the Year Ended August 31, 2012	UNT	On its SEFA, the University of North Texas (UNT): - Incorrectly reported expenditures for four CFDA's in the Student Financial Assistance Cluster of federal programs using award year instead of fiscal year. As a result, UNT (1) incorrectly included \$6,257,520 and (2) incorrectly excluded \$278,738 in expenditures on its SEFA. UNT also incorrectly included \$6,255,520 of those expenditures in the notes to its SEFA and understated federal revenue by \$276,738 in the notes to its SEFA. - Could not provide adequate support for excluding \$361,374 in expenditures from its SEFA. UNT asserted that it excluded those expenditures because it had a vendor relationship with other state entities; however, UNT could not provide support for that assertion.	NA	UNT should: -Confirm all pass-through and vendor relationships with other state entities and maintain documentation of those pass-through and vendor relationships.	We concur with the auditor's findings and recommendations. Financial aid reporting procedures will be modified to ensure compliance with GASB 33 and the State Comptroller's reporting requirements for SEFA. Pass-thru confirmation processes will be modified to ensure the collection and retention of documentary evidence supporting our reporting assertions	Associate Vice President for Finance and Controller	8/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Salary Adjustments Review	UNT	Equity Adjustments - Documentation did not consistently, sufficiently, and clearly demonstrate how the equity adjustments were determined.	High	Maintain documentation that demonstrates the process was followed and validates how the determination was made for the compensation decision/salary adjustment.	Human Resources has developed a written standard operating procedure on this process and provided that to Internal Audit. Additionally, Human Resources now creates a written report for each equity adjustment request that outlines the data reviewed, the findings and the recommendation. This is in addition to the information Human Resources has always provided on the Equity Adjustment Request Form. The recommendation to add the term equity adjustment to the Salary Administration Procedures, Policy 1.6.2 will be moved forward by Human Resources to administration.	Marci Bailey, Human Resources Director, Denton Campus	3/19/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Salary Adjustments Review	UNT	Equity Adjustments - Documentation did not consistently, sufficiently, and clearly demonstrate how the equity adjustments were determined.	High	Document internal procedures for reviewing equity adjustments.	Human Resources has developed a written standard operating procedure on this process and provided that to Internal Audit. Additionally, Human Resources now creates a written report for each equity adjustment request that outlines the data reviewed, the findings and the recommendation. This is in addition to the information Human Resources has always provided on the Equity Adjustment Request Form. The recommendation to add the term equity adjustment to the Salary Administration Procedures, Policy 1.6.2 will be moved forward by Human Resources to administration.	Marci Bailey, Human Resources Director, Denton Campus	3/19/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Salary Adjustments Review	UNT	Equity Adjustments - Documentation did not consistently, sufficiently, and clearly demonstrate how the equity adjustments were determined.	High	Include the definition of equity adjustment in administrative procedures for policy 1.6.2	Human Resources has developed a written standard operating procedure on this process and provided that to Internal Audit. Additionally, Human Resources now creates a written report for each equity adjustment request that outlines the data reviewed, the findings and the recommendation. This is in addition to the information Human Resources has always provided on the Equity Adjustment Request Form. The recommendation to add the term equity adjustment to the Salary Administration Procedures, Policy 1.6.2 will be moved forward by Human Resources to administration.	Marci Bailey, Human Resources Director, Denton Campus	1/1/2013	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Salary Adjustments Review	UNT	Position Reclasses – The Annual Position Classification Review Recommendation report did not consistently and clearly document the analysis related to how all of the position reclasses were determined.	Moderate	Maintain documentation that demonstrates the process was followed and validates how the determination was made for the compensation decision/salary adjustment.	Human Resources has discussed with Internal Audit the expectations of what they consider appropriate documentation and asked for suggestions or a recommended model and is awaiting that feedback. During the next reclassification review process, Human Resources will tweak documentation procedures to incorporate recommendations from this audit. Human Resources will ensure that any position that needs addressed after the formal 'call' for requests, has a completed position information questionnaire. The 28 data entry errors have been corrected in EIS.	Marci Bailey, Human Resources Director, Denton Campus	3/19/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Stadium Construction Review	UNT System	No Detail Review Of Invoice Support Documentation – UNT System Facilities performs only a high-level review of the monthly invoice (progress billing) including supporting documentation received from the primary contractor.	Moderate	Conduct periodic, sample based reviews of invoice support documentation to ensure the accuracy of the detail information and calculations pertaining to the category totals including labor charges.	UNT System Facilities will revise and implement payment application review procedures. For large projects, UNT System Facilities may utilize an independent Construction Auditing firm to review the multiple payment applications. For smaller projects, Departmental resources may be utilized. A project size threshold to determine large and small projects will be established in the procedures.	Don Lynch, Director of System Facilities Administration	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Stadium Construction Review	UNT System	No Detail Review Of Invoice Support Documentation – UNT System Facilities performs only a high-level review of the monthly invoice (progress billing) including supporting documentation received from the primary contractor.	Moderate	Ensure primary contractors provide adequate labor expense support documentation for future construction projects.	UNT System Facilities will revise and implement payment application review procedures. For large projects, UNT System Facilities may utilize an independent Construction Auditing firm to review the multiple payment applications. For smaller projects, Departmental resources may be utilized. A project size threshold to determine large and small projects will be established in the procedures.	Don Lynch, Director of System Facilities Administration	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Stadium Construction Review	UNT System	No Detail Review Of Invoice Support Documentation – UNT System Facilities performs only a high-level review of the monthly invoice (progress billing) including supporting documentation received from the primary contractor.	Moderate	Consider utilizing the services of a third party company that specializes in reviewing contractor construction documentation.	UNT System Facilities will revise and implement payment application review procedures. For large projects, UNT System Facilities may utilize an independent Construction Auditing firm to review the multiple payment applications. For smaller projects, Departmental resources may be utilized. A project size threshold to determine large and small projects will be established in the procedures.	Don Lynch, Director of System Facilities Administration	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Stadium Construction Review	UNT System	Incorrect Retainage Amount – The primary contractor did not apply the retainage percentage to contractor fees as required by the contract terms	Moderate	Review Application and Certificate for Payment forms and supporting documentation to verify that dollar amounts, including retainage, are accurate and in compliance with contract terms.	UNT System Facilities agrees with the report finding. UNT System Facilities will revise and implement payment application review procedures. For large projects, UNT System Facilities may utilize an independent Construction Auditing firm to review the multiple payment applications. For smaller projects, Departmental resources may be utilized. A project size threshold to determine large and small projects will be established in the procedures.	Don Lynch, Director of System Facilities Administration	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Annual Investments/Commercial Paper	UNT System	Non-Compliance with Yield Percentages of Investment Policy	Moderate	Reviewing the Investment yields and re-balancing the investments to comply with UNT System Investment Policy 04.100, Objective 6; and	Investment yields have been and continue to be at historically low levels. We do not anticipate that this condition will persist in the long term. However, please note that UNT System policy 8.20, which was adopted in August 2012, supersedes 10.007 for UNTD, 4.100 for UNT System and successfully resolves the finding noted above. As such, at this point, we feel that no further management action is required.	Allen Clemson, Vice Chancellor for Administration and Chief of Staff	8/1/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Annual Investments/Commercial Paper	UNT System	Non-Compliance with Yield Percentages of Investment Policy	Moderate	Reviewing the investment yields and re-balancing the investments to comply with UNT Dallas Investment Policy 10.007, Objective 6.	Investment yields have been and continue to be at historically low levels. We do not anticipate that this condition will persist in the long term. However, please note that UNT System policy 8.20, which was adopted in August 2012, supersedes 10.007 for UNTD, 4.100 for UNT System and successfully resolves the finding noted above. As such, at this point, we feel that no further management action is required.	Carlos Hernandez, Vice President for Finance and Administration/CFO – UNT Dallas	8/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 17 cardholders reviewed, 15 (88%) were not in full compliance with purchasing card policies.	High	Require all personnel in the GSBS be retrained on purchasing card policies and procedures.	Management agrees. The Dean's office will ensure that all Purchasing Card holders in GSBS complete a refresher training course of the Purchasing Card requirements.	Aleta Wheeler, Senior Executive Assistant	11/30/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 17 cardholders reviewed, 15 (88%) were not in full compliance with purchasing card policies.	High	Follow procurement card program policies and procedures.	GSBS Dean's office does not authorize P-Cards and authorization and training is handled by BSC. Based on our correspondence with BSC, we were told that training and refresher training are required and offered by the BSC. It should be noted that beginning in 2009, refresher training was required every other year. However, with the creation of the BSC and subsequent move, that has not been tracked. The BSC goal is to start with 2013 and have every participant take refresher training annually.	Aleta Wheeler, Senior Executive Assistant	11/30/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	ProjID charges for equipment usage by the Department of Molecular Biology & Immunology had inconsistent rates, duplicate charges and lacked documentation.	Moderate	Work with the Office of Grant and Contract Management, and Office of Financial Planning and Budget to establish a service center	Management agrees. The Acting Chair will work with the Lab Director and Office of Grant and Contract Management, and Office of Financial Planning and Budget to establish a service center.	Johnny He, Acting Chair	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 102 travel vouchers reviewed, 53 were not in full compliance with travel policy.	Moderate	Request reimbursement of overpayments from traveler unless you determine it is not cost effective to do so.	Management Agrees. Management requested reimbursement of overpayments from traveler on October 5, 2012.	Thomas Yorio, Provost and Executive Vice President For Academic Affairs	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 102 travel vouchers reviewed, 53 were not in full compliance with travel policy.	Moderate	Establish a travel monitoring process to ensure that travel is properly approved, and that vouchers are submitted with supporting documentation.	Management Agrees. All administrative staff that prepare travel documents should complete a refresher course (from the BSC) within the next 6 months. Additionally, each department chair should discuss travel policies and procedures with their faculty	Anuja Ghorpade, Chair; Steve Mifflin, Chair; Art Eisenberg, Chair; Meharvan Singh, Chair; Johnny He, Chair; and Jamboor Vishwanatha, Dean.	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Of the 102 travel vouchers reviewed, 53 were not in full compliance with travel policy.	Moderate	Provide training to faculty and staff on travel policies.	Management Agrees. All administrative staff that prepare travel documents should complete a refresher course (from the BSC) within the next 6 months. Additionally, each department chair should discuss travel policies and procedures with their faculty	Anuja Ghorpade, Chair; Steve Mifflin, Chair; Art Eisenberg, Chair; Meharvan Singh, Chair; Johnny He, Chair; and Jamboor Vishwanatha, Dean.	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Personal reimbursements to deptID holders did not have supervisor approval.	Low	Establish a process to ensure that personal reimbursements to the deptID/projID holders are properly approved.	Management Agrees. Each Chair and Dean's Office will work with their administrative staff to ensure that step by step procedures are followed.	Anuja Ghorpade, Chair; Steve Mifflin, Chair; Art Eisenberg, Chair; Meharvan Singh, Chair; Johnny He, Chair; and Jamboor Vishwanatha, Dean.	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Cash handling is not properly segregated or safeguarded in the Department of Forensic & Investigative Genetics, and cash receipts are not all deposited within one day as required by policy.	Low	Develop and implement cash handling procedures that ensure cash is protected and deposited in a timely manner.	Management agrees. The Chair will work with staff to develop and implement cash handling procedures that ensure cash is protected and deposited in a timely manner.	Art Eisenberg, Chair	10/1/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Three projIDs were overspent and deficits were not cleared within the 90 day close out period.	Low	Require all PIs to submit a default deptID (i.e. the PIs F&A deptID) at the time a projID is established that will be used if the grant is overspent.	Management agrees. OGCM is working with management to implement a process which utilizes the applicable F&A recovery deptID as the default funding source for all projID's.	LeAnn Forsberg, Executive Director, Office of Grant and Contract Management	12/21/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	UNTHSC travel policy regarding partial day meal rates is unclear.	Low	Develop in coordination with the Office of Financial Planning and Budget a clear partial day meal policy for UNTHSC.	Management Agrees. The Business Service Center will submit recommendations to the BSC Operations Committee for standardizing travel policy and procedure across the UNT System. The issue identified above will be addressed.	Susan Sims, BSC Director of Payments	1/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Cost Transfer Process Review	UNTHSC	Cost Transfers – Of the 28 transfers reviewed, 12 transfers had no explanation for why the correction was made over 90 days after the original charges.	Low	Develop a cost transfer form that collects all required information including reason for transfers occurring 90 days after the original charge.	Office of Grant and Contract Management (OGCM) agrees with the suggestion to develop a cost transfer form. However, we have reviewed federal regulations which state, "cost transfers should be accomplished within.... 90 days from discovery of the error." Our current policy statement of 90 days from transaction date is not in line with federal regulations and will be updated to reflect the language of the federal compliance documents. The cost transfer form will be in line with our modified policy and current federal regulations.	LeAnn Forsberg, Executive Director of the Office of Grant And Contract Management and Mazen Barakat, Manager, Grant and Contract Accounting	5/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Cost Transfer Process Review	UNTHSC	Cost Transfers – Of the 28 transfers reviewed, 12 transfers had no explanation for why the correction was made over 90 days after the original charges.	Low	Require all principal investigators to complete the cost transfer form prior to making the transfer.	We have developed a cost transfer form and will post on the OGCM website for use by faculty and staff.	LeAnn Forsberg, Executive Director of the Office of Grant And Contract Management and Mazen Barakat, Manager, Grant and Contract Accounting	5/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	NCAA APR Reporting Review	UNT	Based on the review, Internal Audit found the methods used by the Athletics Compliance Office and the NCAA Certifying Official in the Registrar's Office to be effective.	NA	None	None	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Compliance Program Review	UNTHSC	Audit work completed by the former Director for Research Compliance was not available.	Moderate	Retain research compliance documentation in accordance with the UNTHSC Records Retention Schedule. Documentation should include, but not limited to: documentation of work performed, findings noted, and solutions implemented.	Management agrees. The Office for Research Compliance will maintain complete	Brian Gladue, Ph.D., Executive Director for Research Compliance	1/25/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Compliance Program Review	UNTHSC	The Institutional Compliance Office is not made aware of all compliance issues in research.	Moderate	Modify the reporting structure in the Office of Research to ensure that all compliance issues are reported to the Institutional Compliance Office.	Management agrees. Dr. Brian Gladue has joined the UNTHSC Compliance Council to ensure that research compliance matters and updates are communicated regularly to William LeMaistre and other members of the university compliance team.	Brian Gladue, Ph.D., Executive Director for Research Compliance	1/25/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Academic Programs Review	UNT	Based on results of the procedures performed, all new degree programs established during fiscal year 2011 and 2012 appeared to be in compliance with THECB requirements and University policy.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses Review	UNTHSC	Only one individual is managing cash payments to individuals participating in training exercises for TCOM students.	Moderate	Develop and implement procedures that ensure cash handling is properly segregated.	Management agrees. TCOM will add a second individual to the distribution process separating the responsibilities of verification of eligibility from distribution	D. Thomas Dayberry, Associate Dean for Academic Affairs	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses Review	UNTHSC	Of 12 personal reimbursements to the Dean, 11 were not in full compliance with purchasing policy related to documentation requirements.	Moderate	Ensure personal reimbursements for meals include a list of attendees by name and designation as well as the business purpose.	Management agrees. TCOM will assure full compliance with policy.	Don Peska, Dean of TCOM	10/1/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses Review	UNTHSC	Of 31 travel vouchers for the Dean, 23 did not have prior approval of travel or support for mileage reimbursements.	Low	Submit Requests for Approval of Travel prior to travel as required by policy.	Management agrees. TCOM will assure full compliance with policy.	Don Peska, Dean of TCOM	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses Review	UNTHSC	Of 31 travel vouchers for the Dean, 23 did not have prior approval of travel or support for mileage reimbursements.	Low	Submit mileage documentation with travel vouchers as required by policy.	Management agrees. TCOM will assure full compliance with policy.	Don Peska, Dean of TCOM	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Intra-System/Interagency Review	UNT	Documentation related to the Intra System Agreements between UNT and UNT Dallas does not meet best practice standards:	Moderate	Document amendments to Agreements with signature authorizations; and	Document all FY agreements before the beginning of the fiscal year. Agreements will include signature authorization.	Jean Bush, Senior Associate Vice President for Finance UNT Carlos Hernandez, CFO and Vice President for Finance and Administration UNT Dallas	8/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Intra-System/Interagency Review	UNT	Documentation related to the Intra System Agreements between UNT and UNT Dallas does not meet best practice standards:	Moderate	Discuss and document future Agreements before the beginning of the fiscal year.	Document all FY agreements before the beginning of the fiscal year. Agreements will include signature authorization.	Jean Bush, Senior Associate Vice President for Finance UNT Carlos Hernandez, CFO and Vice President for Finance and Administration UNT Dallas	8/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Mean Green Club Review	UNT	Non-Compliance with UNT Policy 7.2 – The procedure for accepting and processing Mean Green Club donations is not in compliance with UNT policy 7.2, Fundraising and Private Support.	Moderate	Coordinate with the Office of Development to be in compliance with UNT policy 7.2, Fundraising and Private Support.	Four years ago the Athletic Department met with Advancement to develop a system to handle Mean Green Club (MGC) Donations. The crux of the problem is two-fold. First most MGC members send in their ticket renewals and MGC renewals in the same envelope utilizing the same credit card or check. The current process was agreed upon to alleviate ticket orders from being sent to the foundation where there was no method of processing. Secondly, a large majority of our MGC members renew in August. With the need to immediately process MGC credit so that parking passes and tickets can be distributed, we cannot afford the lag time of those orders first going to advancement. This process was streamlined almost four years ago with the agreement of both parties. My remedy would be to modify the policy and I would agree with that recommendation. Management will meet with University Advancement to create a policy revision to be submitted for adoption.	Dan Johnston, Athletic Advancement, Director of Advancement, Mike Ashbaugh, Senior Associate Athletics Director for Business Operations, and Troy Taylor, Assistant Athletic Director Business Operations.	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Mean Green Club Review	UNT	Inappropriately Retaining Credit Card Information – The Mean Green Club is inappropriately retaining credit card information.	Moderate	Dispose of credit card information in a secure manner when there is no longer an immediate need for the information.	As discussed with the Audit staff, all but the last four digits of the credit card number submitted on Mean Green Club renewal forms will be redacted so as to protect the information. Currently stored data will be corrected beginning immediately.	Troy Taylor, Assistant Athletic Director, Business Operations and Jessica Hulsebosch, Mean Green Club Director.	7/30/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Endowment Review	UNT	Non-Compliance with Memorandum of Understanding (MOU) Requirements of The Lupe Murchison Foundation Scholarship Endowment – A report, containing academic year ending information about the fund, was not prepared and distributed to the Donor.	Low	Develop a process to ensure annual reports are prepared and distributed to the donor. In addition, monitor the process for effectiveness to ensure compliance with MOU requirements.	The Division of Advancement will generate endowment reports for all organizations in their annual reporting process.	Rachel Kimball, Assistant Director of Donor Relations under the management of Kim Wendt, Senior Director of Annual Giving and Donor Relations	3/15/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Endowment Review	UNT	Non-Compliance with Memorandum of Understanding (MOU) Requirements of The J.C. Penney Lectureship in Merchandising Endowment – Faculty development expenditures for FY 2011 exceeded the MOU provision that up to fifty percent (50%) of the annual distribution may be used to support faculty development.	Low	Develop a process to ensure Faculty development expenditures do not exceed fifty percent (50%) of the annual distribution. In addition, monitor the process for effectiveness to ensure compliance with MOU requirements.	CMHT has opened a new disbursement deptID 77851 so it will be easier to monitor spending. The percent of expense for faculty development is documented on a spreadsheet and maintained for this deptID.	Judith Forney, Ph.D., Dean of CMHT	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Work-Study Student Mentorship Contract	UNT Dallas	Three student workers were paid under the Work-Study Student Mentorship Program without meeting the eligibility requirements. Specifically, two students did not meet the enrollment requirement and one student did not meet the financial need requirement.	Moderate	Discuss with the Office of Research Services how to proceed with the sponsor regarding the funds already disbursed to ineligible students.	PI will discuss with the Office of Research Services how to proceed with the sponsor regarding funds disbursed to ineligible students follow sponsor's instructions.	Gloria B. Bahamon, Assistant Provost for College Readiness	2/28/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Work-Study Student Mentorship Contract	UNT Dallas	Three student workers were paid under the Work-Study Student Mentorship Program without meeting the eligibility requirements. Specifically, two students did not meet the enrollment requirement and one student did not meet the financial need requirement.	Moderate	Develop a consistent process for verifying student eligibility each semester.	Although there is a process in place to determine eligibility before mentors are hired, there is a need to improve the process and modify guidelines. Eligibility will be verified in EIS every semester after the 12th day of class (census day). Mentors will be required to inform the PI of changes in their academic status that may affect their eligibility to continue in the program. They will be required to report the change as soon as it occurs. Mentors will sign an acknowledgment to document that they received the guidelines and agree to follow those guidelines. The financial aid office will continue to determine financial need. The financial aid administrator verifying eligibility will take screen shots of the students need to document their financial aid eligibility.	Gloria B. Bahamon, Assistant Provost for College Readiness	2/28/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Animal Care Review	UNT	Animal care and use training is not sufficiently documented or monitored.	Moderate	Develop a System for monitoring and documenting the type of animal care and use training personnel have received.	ORED and the IACUC Chair will implement requirements for completion of online training for all personnel involved in an animal care and use protocol before the protocol can be approved by the IACUC. This training will be offered through the Collaborative Institutional Training Initiative (CITI) program administered by the University of Miami School of Medicine. Completion of both a CITI basic IACUC course and a species-specific course (as available) will be required.	Dr. Kenneth Sewell, Associate Vice President for Research	By the end of the fall 2012 semester	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Animal Care Review	UNT	The key pad entry code to the Science Research Building's Animal Care Facility is not changed periodically, or when personnel change.	Moderate	Develop a process and procedure for changing the entry codes into the Animal Care Facility of the Science Research Building.	The Office of Research & Economic Development will work with the Facility Manager for UNT's primary animal facility in the Science Research Building to implement a procedure under which the security code for the facility will be changed at least every three months.	Dr. Kenneth Sewell, Associate Vice President for Research	By the end of the fall 2012 semester	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Incorrectly Reporting Employment Waivers – Student Accounting and University Cashiering Services is incorrectly reporting the number of Employment Waivers awarded.	Moderate	Modify the process for Employment Waivers to ensure waivers are properly coded.	Management has modified the business process to ensure Employment Waivers are properly classified and accurately reported in IFRS reporting.	Kayle Godinez, Sr. Director Student Accounting and University Cashiering Services	12/1/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Incorrectly Reporting Employment Waivers – Student Accounting and University Cashiering Services is incorrectly reporting the number of Employment Waivers awarded.	Moderate	Modify the process for IFRS reporting to ensure Employment Waivers are reported in the correct category, either TEC 54.211 or TEC 54.212.	Management has modified the business process to ensure Employment Waivers are properly classified and accurately reported in IFRS reporting.	Kayle Godinez, Sr. Director Student Accounting and University Cashiering Services	12/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Insufficient Review and Approval – There is not sufficient, independent review and approval of Employment Waivers prior to processing.	Moderate	SAUCS, the Graduate School, and the Provost’s Office should coordinate to identify a process for independent review/approval of Employment Waivers; and	Change wording of the Section 2.2.10 of the UNT Policy Manual to reflect the Employment Waiver must be signed by dean of the graduate school or “her or his designee.”	Mark Wardell, Dean, The Toulouse Graduate School	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Insufficient Review and Approval – There is not sufficient, independent review and approval of Employment Waivers prior to processing.	Moderate	The designated independent reviewer/approver should ensure that Employment Waivers are awarded in accordance with eligibility requirements.	Change Employment Waiver form to include three questions to help programs determine eligibility. Change Employment Waiver form to include graduate dean’s signature.	Mark Wardell, Dean, The Toulouse Graduate School	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Insufficient Review and Approval – There is not sufficient, independent review and approval of Employment Waivers prior to processing.	Moderate	Either comply with UNT Policy 2.2.10 by requiring approval by the dean of the graduate school or revise the policy to reflect the actual process for awarding Employment Waivers.	Change processing procedure to require graduate dean’s signature prior to final approval by Student Accounting	Mark Wardell, Dean, The Toulouse Graduate School	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	There is no process in place to reasonably assure that individuals in positions that require enrollment are actually enrolled.	Low	The UNT Career Center, Provost's Office, and UNT Human Resources should coordinate to establish a process to reasonably assure that students in positions that require enrollment are actually enrolled.	Both the Career Center and Provost’s Office will perform audits of student employment records in conjunction with the supplemental pay period following the first student payroll in the fall and spring semesters (specifically October 15 and March 1) to insure that those receiving paychecks are enrolled students. b. Work with EIS Team to develop an automated report that cross-checks when a student withdraws from UNT or drops all their classes with the student payroll records. Also, the ePAR system will check student status of an employee when hired into student job codes. If the person is not a student, the department is provided a warning. These two items should help prevent this in the future	Shaun Stoehr, Student Employment Coordinator Melinda Lilly, Assistant Director for Academic Resources	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	Internal Audit identified five UNT policies related to student employment that require enrollment; however, not all policies contain the same enrollment requirements.	Low	The UNT Career Center, Provost's Office, and UNT Human Resources should evaluate and modify UNT policies related to student employment so enrollment requirements are as consistent as possible.	Write a new overarching policy for student employment positions, as well as, develop operational procedures for the various job codes connected to the new overarching policy.	Yolanda Niemann, Senior Vice Provost Dan Naegeli, Executive Director, Career & Leadership Development Valerie (Robertson) Hodges, Assistant Director, Finance & Administration Marci Bailey, Director, UNT Human Resources	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	Internal Audit identified five UNT policies related to student employment that require enrollment; however, not all policies contain the same enrollment requirements.	Low	The UNT Career Center, Provost's Office, and UNT Human Resources should develop supplemental procedures to assist University departments in determining the correct job code.	Write a new overarching policy for student employment positions, as well as, develop operational procedures for the various job codes connected to the new overarching policy.	Yolanda Niemann, Senior Vice Provost Dan Naegeli, Executive Director, Career & Leadership Development Valerie (Robertson) Hodges, Assistant Director, Finance & Administration Marci Bailey, Director, UNT Human Resources	9/1/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	The Controller's Office does not notify an employee's supervisor and Vice President of indebtedness to the University as required by UNT Policy 2.2.26, Employee Indebtedness Owed to the University. Additionally, Student Accounting and Cashiering Services (SACS) is not sending a report detailing employee indebtedness to the Controller's Office, as required by UNT Policy 2.2.26.	Low	The Controller's Office should continue their process of evaluating and revising UNT Policy 2.2.26 to ensure compliance with UNT Policy 18.1.9 FERPA.	Suggested Management Action 4: We believe that the current policy as submitted complies with FERPA requirements. Once adopted, we will review the policy periodically (not less than every 5 years) for amendment as needed.	Carlos Hernandez, Ed D, CPA, Associate VP for Finance and Controller	11/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	The Controller's Office does not notify an employee's supervisor and Vice President of indebtedness to the University as required by UNT Policy 2.2.26, Employee Indebtedness Owed to the University. Additionally, Student Accounting and Cashiering Services (SACS) is not sending a report detailing employee indebtedness to the Controller's Office, as required by UNT Policy 2.2.26.	Low	SACS should produce an employee debt report that identifies all employees that owe money to the university. Subsequently, the Controller's Office should notify employees' supervisors and Vice Presidents of indebtedness to the University as required by policy.	A process has been adopted that allows identification of "career" employees with a past-due balance in student accounting records. It is important to note that student accounting records do not represent a complete record of all possible indebtedness (i.e. does not include parking fines). We will continue to collaborate with University departments as appropriate to facilitate collection of past due balances from employees and students alike.	Terri Miller, Assistant Director of SACS	6/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Noncompliance With Texas Education Code 54.5031 – UNT Dallas Administrators failed to establish a Student Service Fee Advisory Committee (SSFAC) as required by Texas Education Code 54.5031. Having no policy to govern and procedures to guide management of student service fees contributed to the noncompliance.	Moderate	Because the committee is now established, UNT Dallas administrators should develop a process to insure the SSFAC remains a formal, working committee and that input from the committee is obtained, regarding the establishment or changes to the type, amount, and expenditure of student service fees as provided by the Texas Education Code. The process should consist of establishing a University policy that is aligned with requirements of Texas Education Code 54.5031 and include operational procedures to govern activities of the SSFAC.	The Director of Student Life has reviewed TEC 54.5031 and Student Service Fee Advisory Committee (SSFAC) standards, which describes membership (elected & appointed), SSFAC charge, terms of service, operating procedures, and process by which the SSFAC effectively reviews, discusses, and renders its recommendation to the University Leadership. In an effort to clarify why the majority of implementation dates are prior to the date of the audit report, it's important to note that this audit occurred April 2012 through May 24, 2013, and a number of corrective steps had already occurred well before the audit report was available.	Dr. Jared Cobb, Director of Student Life	2/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Noncompliance With Texas Education Code 54.5031 – The UNT Dallas student body or the student government was not made aware of \$319,955.38 in student service fees that were transferred from UNT and recorded in UNT Dallas reserve account 301011.	Moderate	Obtain SSFAC recommendations regarding the allocation, disbursement and expenditure of the \$319,955.38 held in reserve account 301011.	Student Service Fee Advisory Committee (SSFAC) was informed of the additional funding from UNT Dallas reserve account 301011 and asked to consider various renovations which would enhance Student Life at UNT Dallas. After several discussions, forums, etc. SSFAC recommend five (5) projects to the President's office for approval. Cost of projects totaled \$191,000.00. Additional projects will be identified and voted on once the first slate of projects has been completed. This will allow us to properly evaluate the best use of the remaining \$128,955.38 and to provide additional funding in the event unforeseen expenses arise during implementation of the approved improvements.	Dr. Jared Cobb, Director of Student Life	1/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Training - Training provided did not adequately prepare the Student Service Fee Advisory Committee (SSFAC) members to perform the duties as outlined in Texas Education Code 54.5031.	Moderate	Provide SSFAC members the training opportunities needed for service on the Student Service Fee Advisory Committee and for performing the duties outlined in Texas Education Code 54.5031.	The Student Service Fee Advisory Committee (SSFAC) will go through training prior to the review, discussion, and recommendation in the use of any Student Service Fee monies. Training will be conducted by University liaison to the SSFAC and/or Associate Provost of Student Success.	Dr. Jared Cobb, Director of Student Life	2/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Conflict of Interest - The advisor to the Student Service Fee Advisory Committee has a conflict of interest in that the advisor's salary is subject to the committee's annual allocation and approval process.	Moderate	The advisor to the Student Service Fee Advisory Committee should consider the following management actions: o Resign as advisor to the committee; o Fund the advisor's salary through a source other than student Service fees; or o Reassign the advisor role to another employee whose salary is not dependent on the committee's annual allocation and approval decision.	University will assign a liaison to the Student Service Fee Advisory Committee (SSFAC) whose salary is not an item by which the committee would vote upon in its annual allocation and approval process. Liaison moving forward will be Director of Student Life and/or other designee by the Associate Provost of Student Success who meets the stipulations outlined above.	Dr. Charlotte Tullos, Associate Provost of Student Success	10/1/2012	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Student Service Fees Review	UNT Dallas	Conflict of Interest - The chief student affairs administrator served in positions that present a potential conflict of interest between the UNT Dallas Administration and the Student Service Fee Advisory Committee.	Moderate	The chief student affairs administrator should consider the following management actions: o Resign as a voting member of the committee. o Reassign the membership position to another employee or student. o Recuse oneself from participating in committee activities. o Abstain from voting on conflicting interests.	The University will appoint the Director of Student Life and/or other designee by the Associate Provost of Student Success to serve as liaison to the Student Service Fee Advisory Committee (SSFAC). Designee to committee will act in a liaison capacity and not be eligible to be a voting member of the SSFAC.	Dr. Charlotte Tullos, Associate Provost of Student Success	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Coordinate with the individual responsible for research at UNT Dallas, the UNT Dallas CFO/Vice President Finance and Administration, and the ORS (UNT Office of Research Service), to clearly document Advancement’s role in managing and monitoring grants.	University Advancement disagrees that gifts and grants are being mismanaged and monitored. We believe that we have an effective system in place for gift management. With respect to grant management, University Advancement’s responsibility is to monitor and track grants to ensure donor intent is followed. University Advancement believes it is within its purview to manage private grants. Publicly funded grants should be managed by the Office of Research Services (ORS).	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	February 1, 2013.	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Coordinate with the UNT Dallas CFO and the ORS to update the intra-system cooperation agreement between UNT Dallas and ORS for services to support grant management. The updates should state the role of Advancement personnel in the grant management process.	University Advancement commits to contact ORS and work through the roles and definitions of gifts and grants, as well as work with ORS and the UNT Dallas CFO regarding the contract modification to reflect the agreed upon roles and definitions.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Review the current report of all gifts and grants for UNT Dallas with ORS staff and determine which should be managed by ORS as defined by the ORS policy, and make appropriate changes where necessary.	University Advancement commits to review current gifts and grants based on agreed-upon definitions and to delineate management/tracking roles after the meeting with ORS has concluded to ensure proper monitoring and management are in place.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Update all management reporting to the Board of Regents, where applicable, regarding UNT Dallas gifts to clearly delineate between gifts and grants as defined by ORS UNT.	University Advancement agrees to update reporting methods for the Board of Regents based upon the agreed-upon definitions of gifts and grants after the meeting with ORS has concluded.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Update UNT Dallas policies and procedures where applicable based on the updated agreement. Coordinate training for Advancement and faculty personnel from ORS to detail roles and responsibilities regarding grant management.	University Advancement agrees to update department policies and procedures after the meeting with ORS has concluded.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Update and reconcile current gift processing procedures with UNT policies and procedures already established. Ensure UNT policies and procedures are followed and referenced where required in relation to any and all intra-system cooperation agreement and accreditation requirements.	University Advancement continues to assess gift processing procedures to ensure they meet the highest industry standards that ensure safety, privacy and documentation. University Advancement will update and document controls and processing procedures that reflect Raisers Edge implementation.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Update and document controls and processing procedures for gifts in the new Raiser's Edge fundraising and donor management system. Work with UNT Advancement personnel to implement the new system and coordinate user access and data entry procedures and controls.	University Advancement commits to update and document controls and processing procedures that reflect Raisers Edge implementation, the new relationship with UNT Dallas Foundation, and staffing resources.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Determine any changes to management reporting based on the implementation and use of the new system.	University Advancement commits to assess and continually update gift processing procedures.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Segregation of Duties – One individual was recording, depositing, and reconciling the cash received in the UCD Student Store.	Moderate	To the extent staffing levels permit, separate the duties of collecting, recording, depositing, and reconciling cash receipts among different individuals.	Monica Castillo will be in charge of duties during store operating hours. She will make all deposits and sign off on receipts at the end of the day. Araceli Cadena & Eva Randles will count the money every Friday morning before bank deposit is made. (Araceli is the only key holder to the safe deposit box.) Eva Randles will write the bank deposit slip and Araceli will make the deposit to Wells Fargo and return a receipt to Eva Randles to confirm correct deposit was made. Eva Randles will continue to email a UCD Student Store report that includes a detailed bank deposit slip, and any shortages or overages relevant for the week.	Monica Castillo, UCD Student Store Cashier Eva Randles, Office Manager Araceli Cadena, Coordinator of Recruitment and Advising	9/14/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Purchasing Cards – The use of purchasing cards was not consistent with policy.	Moderate	Follow the Purchasing Card Guide, specifically as it relates to: <ul style="list-style-type: none"> • Use of card for UNT business purposes only; • Completing Controlled Item Code Equipment Forms; • Unacceptable purchases such as memberships; and • Keeping a receipt for every purchase on file. 	Review items before purchasing to identify that they are within Purchasing Card guidelines.	Berri O'Neal, Executive Director for the Universities Center at Dallas Monica Rodriguez, Assistant to the Executive Director Eva Randles, Office Manager Araceli Cadena, Coordinator of Recruitment and Advising	9/14/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Petty Cash – The change fund was used as petty cash.	Moderate	Follow policy as it relates to the use of petty cash: <ul style="list-style-type: none"> • Reimburse the change fund; and • Create a petty cash fund through PPS. 	Universities Center at Dallas does not plan on creating a petty cash fund through PPS. UCD will continue to store \$100 in change for the register which is never to be used as petty cash. Only one individual has access to the change box used for the register at the UCD student store. The change fund was reimbursed and continues to have a balance of \$100.	Araceli Cadena, Coordinator of Recruitment and Advising Monica Castillo, UCD Student Store Cashier	9/14/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Passwords – All employees knew the password to access the cash register, including terminated employees.	Moderate	Deactivate the shared password for the cash register and assign each those needing access their own password.	Nick Schmitt, IT Specialist, has changed the UCD Student Store log in and each individual needing access to the computer has their own log-in username/password.	Nick Schmitt, Information Technology Specialist Monica Castillo, UCD Student Store Cashier	9/7/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Cash Register Funds – Cash was left overnight in the cash register inside the store.	Low	Safeguard cash by securing all funds outside of the student store when the store is closed.	Once register has been closed for the night the money will be locked in a closed file cabinet. Only one individual will have access to this key and money.	Monica Castillo, UCD Student Store Cashier	9/7/2012	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Recreational Sports Office Cash Handling Review	UNT	The Recreational Sports Office has established effective and efficient procedures for handling cash. Additionally, controls have been established to comply with UNT Policies 2.2.1 and 2.2.31.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Transition Review Office of Research and Economic Development	UNT	Our review of the processes and related controls and our testing indicated that the major business procedures and controls are adequate.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	UNT Dallas President's Expenditures Review	UNT Dallas	The UNT Dallas President's travel and non-travel expenditures were in compliance with his employment agreement. Additionally, his compensation for fiscal year 2012 was compliant with his employment agreement.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Joint Admission Medical Program Review	UNTHSC	Overall, UNTHSC was in compliance with policies, procedures, laws, and regulations that could have a significant impact on JAMP operations and reports. All expenditures were in compliance with the guidelines and were properly classified on the Annual Expenditure Report for the fiscal year ended August 31, 2012. In addition, the annual report submitted to JAMP accurately reflects the financial activities of the program.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Chancellor's Expenditure Review	UNT System	Internal Audit observed a proactive approach to monitoring expenses and reimbursements, with a strong attention to detail and adherence to policy. This level of detail was evidenced through support documentation retained by the Office of the Chancellor. No observations were made during the review that required management action.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	NCAA Minimum Agreed Upon Procedures	UNT	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	HSC President's Expenses Review	UNTHSC	Travel, entertainment, and business expenses for which the President was reimbursed, or that were paid on behalf of the President during fiscal year 2012, were in compliance with UNTHSC policies and the employment agreement. Additionally, expenditures reviewed were reasonable, appropriate, and documented as to business purpose.	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Vice Chancellor and General Counsel Expenditures Review	UNT System	Based on the results of the procedures performed, Internal Audit noted the following: <ul style="list-style-type: none"> • Travel expenditures reimbursed to the Vice Chancellor and General Counsel were deemed appropriate, reasonable, and in compliance with UNT System Travel Policy 04-901 and UNT Travel Policy 2.1.15. • Travel expenditures for the employees of the Office of General were also deemed appropriate, reasonable, and in compliance with travel policies. • The Right to Travel form is prepared for out of state travel. • P-card purchases are performed by one p-card holder and reviewed by the p-card reconciler and approver. • Non-travel expenditures were deemed appropriate for the Office of General Counsel. • The process and procedure for selecting outside legal counsel includes a review by the Texas Attorney General's office. • Outside legal counsel invoices are reviewed by the requesting department, Office of General Counsel, and the Texas Attorney General's office. There were no suggested management actions.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Purchasing Card Review	UNT Dallas	Non-compliance with Business Service Center Purchasing Card Program Guidelines. – The following instances of noncompliance with the BSC program guidelines were noted:	Moderate	Require purchasing cardholders, reconcilers and approvers to attend BSC-provided PCard training; and emphasize the importance of complying with purchasing guidelines, University policy, and state regulations.	We concur, cardholder and reconciler will be required to complete BSC PCard training.	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Annual UNTHSC Investment Review	UNTHSC	Overall, we found that investments were safeguarded, diversified, and provided sufficient liquidity to meet the reasonable anticipated financial needs of the UNTHSC. UNTHSC is in compliance with the Public Funds Investment Act (PFIA) and the state higher education investment reporting requirements.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	All expenditures were in compliance with the guidelines and were properly classified on the Annual Report for the fiscal year ended August 31, 2012. All THECB funds appropriated to UNTHSC were received and accounted for in accordance with the THECB guidelines.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	President's Expenditures Review	UNT	Overall, the President's travel, business and entertainment, and employment compensation comply with the employment agreement and UNT/System Policies. Expenditures appear to be reasonable, appropriate, and well documented to provide assurance as to their business purposes.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Audit – The Student Investment Group did not ensure that an annual audit was performed by UNT accounting majors as required by the donor agreement.	Moderate	Establish an audit committee and ensure an annual audit is performed.	Chair of FIREL will meet with the chair of the Department of Accounting to discuss means of encouraging participation in SIG and the audit function by accounting majors. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Audit – The Student Investment Group did not ensure that an annual audit was performed by UNT accounting majors as required by the donor agreement.	Moderate	Develop strategies to engage accounting and auditing students to perform the annual audit.	Chair of FIREL will meet with the chair of the Department of Accounting to discuss means of encouraging participation in SIG and the audit function by accounting majors. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Audit – The Student Investment Group did not ensure that an annual audit was performed by UNT accounting majors as required by the donor agreement.	Moderate	Consult with the advisor and accounting faculty to determine incentives that could be offered to encourage student participation in the annual audit.	Chair of FIREL will meet with the chair of the Department of Accounting to discuss means of encouraging participation in SIG and the audit function by accounting majors. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Maintaining Records – The Student Investment Group did not record and retain meeting minutes and voting records.	Moderate	The Student Investment Group should record and retain meeting minutes, including voting records.	Chair of FIREL will work with the SIG to develop a template for SIG meetings, including voting records. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Quarterly Reports – Quarterly reports contained inaccuracies related to expenses and revenues and were not completed timely.	Moderate	Consult with the faculty advisor to gain an understanding on how to properly report expenses and revenues in the quarterly reports.	The Chair of FIREL will continue to remind SIG leaders prior to the due dates of the reports. Reports will be signed by the preparer and one SIG officer. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	7/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Quarterly Reports – Quarterly reports contained inaccuracies related to expenses and revenues and were not completed timely.	Moderate	Develop a process to ensure reports are completed timely.	The Chair of FIREL will continue to remind SIG leaders prior to the due dates of the reports. Reports will be signed by the preparer and one SIG officer. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	7/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Quarterly Reports – Quarterly reports contained inaccuracies related to expenses and revenues and were not completed timely.	Moderate	Establish an audit committee to assist in preparing and reviewing the reports.	The Chair of FIREL will continue to remind SIG leaders prior to the due dates of the reports. Reports will be signed by the preparer and one SIG officer. Implementation and compliance rests ultimately with the members of the SIG.	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	7/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Financial Aid Review	UNTHSC	Overall, the Office of Financial Aid (OFA) has appropriate procedures and controls in place to comply with the UNTHSC policies, state laws and the U.S. Department of Education regulations.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Finance Review	UNTHSC	Overall, the Office of Student Finance has appropriate procedures and controls in place to comply with the UNTHSC policies and state laws.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Information Technology	Meaningful Use Stage 1 Attestation Review	UNTHSC	Overall, UNTHSC appropriately documented and attested to Meaningful Use Stage 1 requirements as defined by CMS & TMHP. No observations were made during the review that required management action.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dining Services A/P Audit	UNT	UNT Dining Services is not verifying that they have been billed in accordance with the contract terms with Ben E. Keith.	Moderate	Implement a process and procedure to audit the Ben E. Keith invoices to verify that UNT is billed in accordance with the contract terms.	We will be conducting periodic audits of the Ben E. Keith invoices and verifying the 6.5% margin is being enforced.	Suzan Cruz, Business Manager	2/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dining Services A/P Audit	UNT	UNT Dining Services is not scanning its Retail Dining Service invoices and supporting documentation as required by the Delegated Voucher Payable Agreement with the UNT System Business Service Center.	Low	Develop a procedure to scan Retail Dining Service invoices.	We are committed to completing the suggested electronic/scan Retail invoices as requested. We will be contacting our Retail Vendors and discussing the changes that are required by the University with regards to electronic/scanned invoicing and how we can streamline a process that will work for both parties.	Suzan Cruz, Business Manager	9/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Space Planning Review	UNT	OSMP has not completed a Space Inventory Survey since 2009 which was conducted by Facilities.	Moderate	Suggested Management Action for Director of Office of Space Management and Planning: Conduct periodically a Space Inventory Survey preferably annually if possible, and update information into the Space Management System data base in order to ensure that information recorded in the data base is complete and accurate.	Agreed at time of observation however Survey is currently in progress. OSMP has invested more than a year in discovery, specification and development of an expanded and more robust system that will not only allow us to complete a yearly space survey but will enable UNT to collect and disseminate valuable data that will benefit Research Services, the Registrar, Facilities, Risk Management, HR, Classroom Support, Asset Management and virtually every other unit on campus. Additional auditee comments: OSMP currently maintains the data for and completes THECB and Federal required reporting for the UNT Denton and Dallas campuses as well as some of the space occupied by the System. The combined total of approximately 7.3 million square feet of space, according to industry standards for staff required for CAFM systems, should require 3-4 people full time to maintain it after initial setup. At this time OSMP has 1 FTE dedicated to the role of system development project management and maintenance of all space data.	Cheryl Benningfield, Space Inventory Manager	4/26/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Space Planning Review	UNT	UNT has only one employee who is fully knowledgeable in using and maintaining the Space Management System data base.	Moderate	Suggested Management Action for Director of Office of Space Management and Planning: Provide appropriate training to another employee in order to ensure continuity of the Space Management System.	Agreed. Although Jessica, the Office Manager has taken several training classes since May, the complexity and certain administrative rights of the Space Management System make training of existing regular staff difficult. Each member of the current OSMP staff has a full time position and associated workload and only one person's position includes the responsibility for the system. The amount of training and ongoing use that would be required to achieve competence in the maintenance of the system does not lend itself to an "additional duties as assigned" task or one that is a part-time on occasion role. Additional auditee comments: The need for additional personnel to be trained as well as another FTE for the Space Management System is crucial especially if our office is expected to continue State reporting for the UNT Dallas and System campuses. The addition of the new Law School, Shared Services under the System, and UNT Dallas campus failing their THECB space audit, cannot be achieved with the current staff in OSMP. We will need one additional FTE in order to address these critical issues.	Cheryl Benningfield, Space Inventory Manager	5/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Space Planning Review	UNT	OSMP does not have detailed operational written procedures addressing the assignment and re-assignment of University space.	Low	Suggested Management Action for Director of Office of Space Management and Planning: Develop detailed written departmental procedures, outlining the OSMP operational processes and controls.	Agreed at time of observation however certain written procedures have since been written. 1. OSMP now has written procedures for communications and processes concerning the Space Assessment Committee and Administration approval/non-approval of such requests. 2. Detailed written procedures have been completed for the Space Inventory Survey process and were published online in April, 2013. Additional written OSMP operational procedures have been identified and are being developed at this time.	Jessica Shumate, Office Manager	12/1/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Parking Meters - Parking operations does not have adequate controls over parking meter receipts. Under current procedures employee theft could occur and remain undetected. Reported Receipts from meter parking for fiscal year 2012 were \$448,884.	High	Parking and Transportation Services management should consider the following management actions: Do not provide keys to personnel responsible for collection of receipts which will allow them access to those receipts.	1. Agreed. Individuals collecting each meters locked storage container do not have access to the container. Once the coinage is dumped into the larger locked collection container via a mechanical process the meter coinage collection container is returned to the meter. The locked collection container is then returned to the Parking Office when collections are complete. The individuals collecting the coinage do not have access to the locked collection container.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	6/30/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Parking Meters - Parking operations does not have adequate controls over parking meter receipts. Under current procedures employee theft could occur and remain undetected. Reported Receipts from meter parking for fiscal year 2012 were \$448,884.	High	Reconcile revenue recorded in the Meter Manager system to deposit bank receipts.	Agreed. Revenue will be recorded and entered in the Meter Manager System. Upon receiving the bank deposit receipts they will be used to reconcile the revenue recorded in the Meter Manager system.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	12/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Written Procedures - The Parking Office does not have written procedures addressing major business processes.	Moderate	Parking and Transportation Services management should consider the following management action: Develop detailed written procedures for applicable departmental business processes.	Agreed. Written procedures are being developed addressing the collection, recording, depositing, and reconciliation of parking revenue. The written procedures being drafted for the Parking and Transportation Services operations will provide consistency, and guidance with regards to established University and departmental controls and procedures. Additional auditee comments: The parking office previously had written procedures and prior managers had been directed to update those procedures to maintain consistency with UNT policies and maintain accountability within the operation. Management within the operation was realigned and a new Director was recruited and hired effective January 2013.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	12/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	The following equipment at the Union Circle garage facility is either inoperable or not fully operable since May 2012. <ul style="list-style-type: none"> •West Exit Booth – not operable, no power pad to perform transactions, currently out for repair. •West Exit Verifier (stand- alone equipment) – not operable, Internal Power Pad needs repair. In addition, access card reader not operable. •Middle Exit Booth – partly operable, Power Pad is able to process locally, however the local system has lost the ability to communicate information to the Scan Net data base. •Pay-Station Equipment – not operable, Power Pad needs repair. 	Moderate	Evaluate and determine Parking garage operational and reporting needs.	Agreed. Parking and Transportation Services has evaluated and determined the Parking garage operational and reporting needs.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	The following equipment at the Union Circle garage facility is either inoperable or not fully operable since May 2012. <ul style="list-style-type: none"> •West Exit Booth – not operable, no power pad to perform transactions, currently out for repair. •West Exit Verifier (stand- alone equipment) – not operable, Internal Power Pad needs repair. In addition, access card reader not operable. •Middle Exit Booth – partly operable, Power Pad is able to process locally, however the local system has lost the ability to communicate information to the Scan Net data base. •Pay-Station Equipment – not operable, Power Pad needs repair. 	Moderate	Determine whether to either maintain current garage operational systems and repair necessary equipment, or replace applicable equipment and/or software to meet the expectations and needs of the University parking garage operations.	Agreed. PTS is working with our software provider T2 Systems, Inc. to develop a plan to maintain current garage operational systems and repair necessary equipment. The plan will include replacing applicable equipment and software to meet the expectations and needs of the University parking garage operations.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	1/31/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	There is no reconciliation of the physical inventory of permits kept in the office to permits sold.	Moderate	Maintain a physical inventory record of permits with cumulative balances noting beginning balances, purchased additions, and permit removals for each type of parking permit stored and locked in the storage-cage area and also for permits maintained in the cabinet in the front sales area.	Agreed. The maintaining of the physical inventory record of permits with cumulative balances noting beginning balances, purchased additions, and permit removals for each type of parking permit stored and locked in the storage-cage area and also for permits maintained in the cabinet in the front sales area is being developed.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	There is no reconciliation of the physical inventory of permits kept in the office to permits sold.	Moderate	Reconcile office inventoried permit usage to office sales documentation.	PTS will reconcile office inventoried permit usage to office sales documentation	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Parking Office credit card receipts are not being reconciled to source transaction activity recorded in the T-2 and Scan-Net systems.	Moderate	Reconcile Parking Office credit card receipts to original source transaction activity. Implementation will ensure that credit card revenues are recorded and reconciled to transaction source documentation.	Agreed. PTS will reconcile Parking Office credit card receipts to original source transaction activity.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Enrollment Management Audit	UNT	None of the departments that process cash receipts were in compliance with UNT Policy 2.1.10.1 Cash Controls. Two departments had no written procedures and two other departments had inadequate written procedures.	Moderate	Revise cash handling written procedures to include, but not limited to: <ul style="list-style-type: none"> • a reconciliation process; • authorization of persons (named) to collect cash; • separation of duties; and • maintenance of cash receipts logs 	We will follow-through with the suggestion management action plan.	Dr. Elizabeth With, Vice President for Student Affairs	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Enrollment Management Audit	UNT	None of the departments that process cash receipts were in compliance with UNT Policy 2.1.10.1 Cash Controls. Two departments had no written procedures and two other departments had inadequate written procedures.	Moderate	Request assistance and a review by Student Accounting and University Cashiering Services.	We will follow-through with the suggestion management action plan.	Dr. Elizabeth With, Vice President for Student Affairs	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Enrollment Management Audit	UNT	The Student Financial Aid and Scholarships department does not redact bank account information on checks before scanning into Image Now.	Low	Amend the check receipting process to include redacting the bank account number and bank routing number before scanning into Image Now.	We will follow-through with the suggestion management action plan.	Dr. Elizabeth With, Vice President for Student Affairs	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Facilities Certification Review	UNT Dallas	Overall, based on the results of procedures performed, the facilities development projects and acquisitions of real property complied with rules established by the Texas Administrative Code and within the parameters specified in the project applications that were submitted to THECB.	NA	None	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	Students received scholarships from the Texas Apartment Association (TAA) that were not processed through the Office of Student Financial Aid and Scholarships (SFAS). Students enrolled in the Residential Property Management (RPM) degree program offered by the Department of Finance, Insurance, Real Estate and Law (FIREL) are eligible to apply for a scholarship from the TAA. Scholarships awarded by TAA are sent directly to the student. Consequently, the awards are not processed through SFAS.	Low	Recommendations for Chair of the FIREL Department: Coordinate with the Office of Financial Aid to determine if receipt of the TAA scholarships resulted in any over-awards in federal financial aid and if so, adjustments should be resolved and reported as required. Implementation will provide assurance that scholarships awarded by the Texas Apartment Association will be coordinated and processed through the Office of Student Financial Aid and Scholarships; compliance with Federal Regulations, University policy, SFAS guidelines, and MOU requirements will be achieved; and the overall control environment will be strengthened.	2: The donor established its own nonprofit organization to provide scholarships to students and makes the awards totally independent of the University. Management has no direct knowledge of which students receive the scholarships or in what amounts. To the best of management's knowledge and belief, the funds are paid directly to the students. However, management has no direct knowledge of any such receipt. Since the scholarships are provided by an independent third party, students are required to report the scholarship amounts to SFAS. Management is not aware of any mechanism by which it is required to and/or can report scholarships made by third parties to UNT students of which management has no direct knowledge. Management agrees to consult with the UNT Office of Financial Aid to determine University policy and procedures related to any required reporting of scholarships made to UNT students by third parties when the award is not made by the department or program and is administered by an independent third party. Management agrees to comply with the policies and procedures prescribed by the Office of Financial Aid.	Marcia J. Staff, Chair, FIREL	1/27/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	The scholarship committee waived the minimum 3.25 GPA requirement to award a scholarship to a student.	Low	Recommendations for Director of the Professional Leadership Program (PLP): Administer endowment distributions in accordance with provisions of the MOU.	We agree that the procedure was not followed, although the donor was consulted for approval. 3. We will consult the UNT General Counsel to determine whether corrective action is needed for the award that was made.	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	The scholarship committee waived the minimum 3.25 GPA requirement to award a scholarship to a student.	Low	Recommendations for Director of the Professional Leadership Program (PLP): Obtain documented approval (agreement) from stakeholders (donor, university, students, faculty, staff) as appropriate before modifying the provisions of an existing MOU. Generally, the approval should be documented in the same form as the original agreement.	We agree that the procedure was not followed, although the donor was consulted for approval. 4. We will call a meeting including the donor, the PLP director and the PLP assistant director to discuss compliance for future awards and whether MOU modifications are needed, and document the results of the meeting.	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	The scholarship committee waived the minimum 3.25 GPA requirement to award a scholarship to a student.	Low	Recommendations for Director of the Professional Leadership Program (PLP): Consult with Legal Counsel to determine if any or what corrective action needs to be taken. Implementation will provide assurance that stakeholders will be made aware of modifications to the gift agreement; compliance with provisions of the gift agreement will be achieved; potential loss of endowment funds and other gifts will be minimized; strained relations between donors and the University, which might affect future gifts will be deterred; and negative publicity and damage to the University's reputation will be prevented.	We agree that the procedure was not followed, although the donor was consulted for approval. 5. In the future, the PLP director and staff will work closely with the Dean's office to be sure that all scholarships are appropriately awarded in compliance with the MOU provisions.	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<p>Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following:</p> <ul style="list-style-type: none"> •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. <p>In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed.</p> <p>For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following:</p> <ul style="list-style-type: none"> •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and 	Moderate	<p>Suggested Management Actions for the Vice President for Finance and Administration/CFO:</p> <p>Review the PCard guidelines with cardholders, reconcilers, and approvers to help ensure compliance. Ensure all parties understand their responsibilities. BSC provided training should be attended to understand any changes or updated to the process.</p>	<p>We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC polices related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<p>Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following:</p> <ul style="list-style-type: none"> •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. <p>In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed.</p> <p>For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following:</p> <ul style="list-style-type: none"> •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and 	Moderate	<p>Suggested Management Actions for the Vice President for Finance and Administration/CFO:</p> <p>Clearly delineate responsibilities to designees who process travel, reimbursements, and PCard transactions. Ensure the processors understand their responsibilities, and have an established method for complying with guidelines and expectations.</p>	<p>We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC polices related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<p>Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following:</p> <ul style="list-style-type: none"> •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. <p>In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed.</p> <p>For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following:</p> <ul style="list-style-type: none"> •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and 	Moderate	<p>Suggested Management Actions for the Vice President for Finance and Administration/CFO:</p> <p>Review trends in PCard usage and continue to move expenses to the normal purchase order process for transactions that recur, that have an associated contract, or need to have an updated contract with the vendor. Continue to work with the BSC staff to identify required or suggested transaction changes.</p>	<p>We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC polices related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<p>Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following:</p> <ul style="list-style-type: none"> •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. <p>In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed.</p> <p>For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following:</p> <ul style="list-style-type: none"> •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and 	Moderate	<p>Suggested Management Actions for the Vice President for Finance and Administration/CFO:</p> <p>Continue to develop and refine campus specific policies related to travel and business related reimbursements for all employees. This could include limits and or detailed expectations on business meals and other business related purchases. Implementation of these suggested actions will help assure compliance with PCard guidelines, as well as improve the overall control environment in the UNT Dallas Finance and Administration Office and campus.</p>	<p>We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC polices related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	NCAA Compliance Review – Eligibility Certification	UNT	The review and testing of operational processes and controls indicated that business procedures and controls pertaining to the determination of student-athlete eligibility certification are effective and operating as intended. For the sample tested, information recorded and maintained to determine student athlete eligibility for the Fall 2012 and Spring 2013 semesters was accurate. The Office of the Registrar and the Athletics department are proactive in ensuring that the University has complied with NCAA eligibility requirements and maintain accurate information used in determining student-athlete eligibility. Meetings are often held between the two departments to ensure UNT compliance. The Office of the Registrar recently developed a control schedule called “Student-Athlete Checklist for Continuing Students” to assist in documenting that NCAA requirements have been met. Internal Audit noted a need to improve the recording of signatures and dates on some supporting documentation; this was discussed during the Exit Meeting.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dining Services A/P Audit	UNT	UNT Dining Services is not verifying that they have been billed in accordance with the contract terms with Ben E. Keith. Ben E. Keith, Dining Services main food vendor, is required to bill Dining Services the identical amount that Ben E. Keith pays for food products purchased from other vendors. On top of this amount, Ben E. Keith is allowed to charge a profit margin, not greater than 6.5%. The method by which the margin is calculated is detailed in the contract. Currently, in processing payments to Ben E. Keith, Dining Services is not verifying that the 6.5% margin has been calculated correctly and in accordance with the contract terms. Also, the contract includes a right to audit clause so that UNT can verify that it has been charged the same amount that Ben E. Keith has paid. Dining Services has never exercised this option.	Moderate	Suggested Management Action for the Executive Director of Dining Services: 1. Implement a process and procedure to audit the Ben E. Keith invoices to verify that UNT is billed in accordance with the contract terms. Implementation will provide assurance that UNT Dining Services is verifying and paying no more than the agreed six and one half percent (6.5%) margin.	We will be conducting periodic audits of the Ben E. Keith invoices and verifying the 6.5% margin is being enforced.	Suzan Cruz, Business Manager	2/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Research	Restricted Research Review	UNT	Expenditures for one research project were not included in the 2012 annual report to the Texas Higher Education Coordinating Board. (THECB). At the time of initial setup, a research project was inadvertently assigned a National Association of College and University Business Officers (NACUBO) class code that identified the project as public service instead of restricted research in the University's general ledger (GL) system. Subsequently, when restricted research expenditures data were extracted from the GL to report to the THECB, expenditures for the project coded as public service were not included.	Moderate	Suggested Management Action for the Director of the Office of Research Services: 1. Develop a process to match and reconcile restricted research awards with corresponding restricted research expenditures prior to reporting to the THECB or other regulatory entities. Implementation will provide assurance that restricted research awards are accurately matched or reconciled to restricted research expenditures prior to reporting to the THECB.	Develop and use a control report on a consistent basis to ensure that NACUBO class coding for restricted research awards matches corresponding reporting for restricted research expenditures.	Britt Khovjak, Assistant Director for Research Accounting	11/30/2013	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP:</p> <ul style="list-style-type: none"> • The department withdraws cash to pay research/simulated patients a fee for participation in a study of class. After the cash is provided to the SHP, no record of custody is maintained when cash is passed from one employee to another. • There was no log showing entrance into the safe where these funds were kept. • Funds were not in the location indicated on the 'Research Participation Custodial Agreement' form. • Large cash balances were withdrawn and held for periods exceeding three months. <p>In our sample of withdrawals for research or training patients, three institutionally funded projects had cash outstanding of \$16,190.</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Develop comprehensive cash handling policies and/or procedures that ensure cash is safeguarded. The procedure should include processes for: Maintaining a chain of custody, storing cash in a safe, entrance into the safe, disbursing cash to patients, returning all unused funds, and establishing an independent reconciliation.</p>	<p>Management agrees that UNTHSC does not have comprehensive procedure for cash handling, although there is a procedure for handling petty cash. Management will develop a general policy for instances that are outside the scope of petty cash. The suggestion will be made to the BSC Director of Purchasing to add instructions regarding securing funds to the simulated patient and research participant procedures.</p>	Kim Schaade, Associate Controller	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP:</p> <ul style="list-style-type: none"> • The department withdraws cash to pay research/simulated patients a fee for participation in a study of class. After the cash is provided to the SHP, no record of custody is maintained when cash is passed from one employee to another. • There was no log showing entrance into the safe where these funds were kept. • Funds were not in the location indicated on the 'Research Participation Custodial Agreement' form. • Large cash balances were withdrawn and held for periods exceeding three months. <p>In our sample of withdrawals for research or training patients, three institutionally funded projects had cash outstanding of \$16,190.</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Ensure the cash handling policies and/or procedures are distributed to all department personnel handling cash.</p>	<p>Management agrees that UNTHSC does not have comprehensive procedure for cash handling, although there is a procedure for handling petty cash. Management will develop a general policy for instances that are outside the scope of petty cash. The suggestion will be made to the BSC Director of Purchasing to add instructions regarding securing funds to the simulated patient and research participant procedures.</p>	Kim Schaade, Associate Controller	1/31/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP:</p> <ul style="list-style-type: none"> • The department withdraws cash to pay research/simulated patients a fee for participation in a study of class. After the cash is provided to the SHP, no record of custody is maintained when cash is passed from one employee to another. • There was no log showing entrance into the safe where these funds were kept. • Funds were not in the location indicated on the 'Research Participation Custodial Agreement' form. • Large cash balances were withdrawn and held for periods exceeding three months. <p>In our sample of withdrawals for research or training patients, three institutionally funded projects had cash outstanding of \$16,190.</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Update departmental cash handling procedures to follow policies and/or procedures developed by the Office of Accounting.</p>	Management Agrees and will ensure that each department has written procedures for handling cash. The suggestions mentioned in Item #4 will be included in the guidelines that the school will present prior to February 28, 2014.	Syndi Espinoza, Assistant to the Chair (PT) Kim Williams, Assistant to the Chair (PA)	02/28,/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP:</p> <ul style="list-style-type: none"> • The department withdraws cash to pay research/simulated patients a fee for participation in a study of class. After the cash is provided to the SHP, no record of custody is maintained when cash is passed from one employee to another. • There was no log showing entrance into the safe where these funds were kept. • Funds were not in the location indicated on the 'Research Participation Custodial Agreement' form. • Large cash balances were withdrawn and held for periods exceeding three months. <p>In our sample of withdrawals for research or training patients, three institutionally funded projects had cash outstanding of \$16,190.</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Determine the funds needed for a three month period and return all excess funds to the original ProjIDs or DeptIDs. Implementation will protect staff members and cash by ensuring that cash is adequately safeguarded.</p>	Management Agrees and will ensure that each department has written procedures for handling cash. The suggestions mentioned in Item #4 will be included in the guidelines that the school will present prior to February 28, 2014.	Syndi Espinoza, Assistant to the Chair (PT) Kim Williams, Assistant to the Chair (PA)	02/28,/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	Students received scholarships from the Texas Apartment Association (TAA) that were not processed through the Office of Student Financial Aid and Scholarships (SFAS). Students enrolled in the Residential Property Management (RPM) degree program offered by the Department of Finance, Insurance, Real Estate and Law (FIREL) are eligible to apply for a scholarship from the TAA. Scholarships awarded by TAA are sent directly to the student. Consequently, the awards are not processed through SFAS.	Low	Recommendations for Chair of the FIREL Department: Establish procedures to work in conjunction with the TAA to identify recipients of scholarships, ascertain the amount of each scholarship awarded, and direct scholarship payments to the Office of Student Financial Aid and Scholarships for coordination and processing; or consult with the donor, Office of General Counsel, and SFAS to amend the MOU so that the requirements conform to current practice.	1: Management agrees that the following portion of the MOU has not been implemented: "The University agrees to establish a RPM Program scholarship to be funded by the Donor, and to work in conjunction with the Donor to identify candidates and recipients for the scholarship." Since the donor chose to not fund the program, the University could not establish the program scholarship as described in the MOU. Since the program was never created, no scholarships were ever awarded as UNT RPM program scholarships. Management agrees to consult with the donor and the Office of General Counsel to amend the MOU to delete the reference in the statement quoted above.	Michael Braswell, TAA Professor and Marcia J. Staff, Chair, FIREL	3/1/2014	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	UNTHSC and the Foundation deposits received and processed by the UNTHSC advancement function are deposited into separate bank accounts owned by UNTHSC and swept nightly into the general operating account for UNTHSC. In addition, UNTHSC and the Foundation share a Federal Employer Identification Number (FEIN). As UNTHSC and the Foundation are separate legal entities, deposits related to the Foundation receipts should not be combined with UNTHSC funds. Specifically: <ul style="list-style-type: none"> • 55 of 60 contributions sampled totaling \$6,403,499.71 were deposited into the UNTHSC bank account that were intended for the Foundation. • Of that amount, 45 contributions totaling \$5,513,999.71 were made payable to the Foundation and 10 contributions totaling \$889,500.00 were made payable to UNTHSC. 	NA	The Foundation should establish a unique FEIN.	Application for new FEIN and related tax exempt status to be completed.	Doug White, Vice President UNTHSC Institutional Advancement	8/31/2014	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	UNTHSC and the Foundation deposits received and processed by the UNTHSC advancement function are deposited into separate bank accounts owned by UNTHSC and swept nightly into the general operating account for UNTHSC. In addition, UNTHSC and the Foundation share a Federal Employer Identification Number (FEIN). As UNTHSC and the Foundation are separate legal entities, deposits related to the Foundation receipts should not be combined with UNTHSC funds. Specifically: <ul style="list-style-type: none"> • 55 of 60 contributions sampled totaling \$6,403,499.71 were deposited into the UNTHSC bank account that were intended for the Foundation. • Of that amount, 45 contributions totaling \$5,513,999.71 were made payable to the Foundation and 10 contributions totaling \$889,500.00 were made payable to UNTHSC. 	NA	The Foundation should establish a separate bank account to act as an operating account and create procedures for determining that UNTHSC and Foundation funds are deposited in the correct bank account to ensure that funds are properly segregated by legal entity.	Establishment of separate bank account for Foundation operations to be completed.	Doug White, Vice President UNTHSC Institutional Advancement	8/31/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	UNTHSC and the Foundation deposits received and processed by the UNTHSC advancement function are deposited into separate bank accounts owned by UNTHSC and swept nightly into the general operating account for UNTHSC. In addition, UNTHSC and the Foundation share a Federal Employer Identification Number (FEIN). As UNTHSC and the Foundation are separate legal entities, deposits related to the Foundation receipts should not be combined with UNTHSC funds. Specifically: <ul style="list-style-type: none"> • 55 of 60 contributions sampled totaling \$6,403,499.71 were deposited into the UNTHSC bank account that were intended for the Foundation. • Of that amount, 45 contributions totaling \$5,513,999.71 were made payable to the Foundation and 10 contributions totaling \$889,500.00 were made payable to UNTHSC. 	NA	Determine the amount of existing Foundation funds held in UNTHSC bank accounts and transfer these funds to the new Foundation bank account once the separate FEIN and letter of determination from the IRS are obtained.	Establishment of separate bank account for Foundation operations to be completed.	Doug White, Vice President UNTHSC Institutional Advancement	8/31/2014	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	10 of 60 contributions sampled totaling \$889,500.00 were written to UNTHSC and deposited to the UNTHSC bank account; however, they were posted to the general ledger as a Foundation contribution as the donor intent indicated the contribution was for the Foundation. The advancement function process consists of depositing contributions based on the donor's intent instead of how the check was made payable.	NA	Donor intent should be followed; however, the check should be made payable to the correct legal entity prior to deposit. Working in collaboration with the Office of General Counsel, the UNTHSC advancement function should establish a process to resolve issues where donors' checks are made payable to a legal entity in contradiction to supporting documentation, such as the donor's letter of intent.	• All fundraising materials will state clearly that checks should be made payable to "UNTHSC Foundation" as a first step toward confirming donor intent. • All donor acknowledgement letters to donors will be sent on UNTHSC Foundation letterhead and contain explicit language confirming deposit of funds to the Foundation. • On occasions when checks are made payable to UNTHSC but clear intent is for deposit to UNTHSC Foundation, donor will be contacted to either reissue check or provide written confirmation (email) of intent to make gift payable to Foundation.	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	10 of 60 contributions sampled totaling \$889,500.00 were written to UNTHSC and deposited to the UNTHSC bank account; however, they were posted to the general ledger as a Foundation contribution as the donor intent indicated the contribution was for the Foundation. The advancement function process consists of depositing contributions based on the donor's intent instead of how the check was made payable.	NA	The UNT advancement function should provide training and education to UNTHSC advancement personnel to communicate with donors on deposit requirements.	NA	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	There is a cash handling policy for UNTHSC which requires cash or check deposits to be sent to the Cashier's Office within 3 business days upon receipt to reduce the risk that checks could be misplaced, misused, or not deposited; however, through interviews, it was noted the UNTHSC advancement function does not strictly adhere to this policy, which presents a risk that checks could be misplaced, misused, or not deposited.	NA	The UNTHSC advancement function should follow the UNTHSC Cash Handling policy and establish a monitoring process to provide assurance donations are submitted to the Cashier's Office within 3 business days of receipt.	Recommendation has been implemented, with a check jogging system now in use to confirm compliance with this policy.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	Current business practice is to record contributions received in Raiser's Edge within 3 days of receipt; however, there is no UNTHSC advancement policy requiring contributions to be recorded in a timely manner, resulting in a risk that contributions received are lost or misplaced and not recorded in Raiser's Edge and subsequently to the general ledger.	NA	The UNTHSC advancement function should establish a policy and communicate requiring contributions to be recorded in Raiser's Edge within 3 business days of receipt.	Practice has been formalized with appropriate staff.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	7 of 56 general ledger postings sampled totaling \$1,896,910.42 were posted to the clearing or operating DeptID of the advancement function and not to the permanent DeptID. The review process for the clearing account DeptID is not performed monthly and does not receive appropriate approvals. A running balance is maintained in the clearing DeptID and expenditures are being made out of the account, which could potentially misstate the financial position if contributions recorded to this Foundation DeptID are meant for UNTHSC. This issue has also been noted on previous UNTS Internal Audit reports to UNTHSC.	NA	The UNTHSC advancement function should document the purpose of the Clearing DeptID and determine the DeptID is only used for those purposes.	Monthly reconciling has been enacted, with all transfers from of the Clearing Dept/D requiring review and approval of the VP of Institutional Advancement.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	7 of 56 general ledger postings sampled totaling \$1,896,910.42 were posted to the clearing or operating DeptID of the advancement function and not to the permanent DeptID. The review process for the clearing account DeptID is not performed monthly and does not receive appropriate approvals. A running balance is maintained in the clearing DeptID and expenditures are being made out of the account, which could potentially misstate the financial position if contributions recorded to this Foundation DeptID are meant for UNTHSC. This issue has also been noted on previous UNTS Internal Audit reports to UNTHSC.	NA	The UNTHSC advancement function should prepare a reconciliation of the clearing DeptID identifying gifts, deposits, and expenditures that make up the balance.	Monthly reconciling has been enacted, with all transfers from of the Clearing Dept/D requiring review and approval of the VP of Institutional Advancement.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	7 of 56 general ledger postings sampled totaling \$1,896,910.42 were posted to the clearing or operating DeptID of the advancement function and not to the permanent DeptID. The review process for the clearing account DeptID is not performed monthly and does not receive appropriate approvals. A running balance is maintained in the clearing DeptID and expenditures are being made out of the account, which could potentially misstate the financial position if contributions recorded to this Foundation DeptID are meant for UNTHSC. This issue has also been noted on previous UNTS Internal Audit reports to UNTHSC.	NA	The UNTHSC advancement function should reconcile the Clearing DeptID monthly, and move identified outstanding gifts or deposits to permanent DeptIDs.	Monthly reconciling has been enacted, with all transfers from of the Clearing Dept/D requiring review and approval of the VP of Institutional Advancement.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	7 of 56 general ledger postings sampled totaling \$1,896,910.42 were posted to the clearing or operating DeptID of the advancement function and not to the permanent DeptID. The review process for the clearing account DeptID is not performed monthly and does not receive appropriate approvals. A running balance is maintained in the clearing DeptID and expenditures are being made out of the account, which could potentially misstate the financial position if contributions recorded to this Foundation DeptID are meant for UNTHSC. This issue has also been noted on previous UNTS Internal Audit reports to UNTHSC.	NA	The UNTHSC advancement function should not allow expenditures to be posted to the Clearing DeptID.	Monthly reconciling has been enacted, with all transfers from of the Clearing Dept/D requiring review and approval of the VP of Institutional Advancement.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	<ul style="list-style-type: none"> A lack of segregation of duties exists between the personnel responsible for receiving contributions and recording in Raiser's Edge. There is not a current process to record mail or in-hand contributions on a receipt log as they are received by the UNTHSC advancement function, which increases the risk of contributions not being deposited upon receipt. 	NA	The UNTHSC advancement function should establish a segregation of duties between receiving contributions and entering contributions into Raiser's Edge to provide for adequate checks and balances.	A contribution log has been created and is assigned to a distinct member of the Advancement team for receipt and recording of all gifts received in person or through the mail.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	<ul style="list-style-type: none"> A lack of segregation of duties exists between the personnel responsible for receiving contributions and recording in Raiser's Edge. There is not a current process to record mail or in-hand contributions on a receipt log as they are received by the UNTHSC advancement function, which increases the risk of contributions not being deposited upon receipt. 	NA	The UNTHSC advancement function should establish a contribution receipt log to record donations received in-person or through mail. The log should include, at a minimum, the check number, payee name, amount, and date received.	The contribution log is being reconciled monthly to ensure that all gifts on the log have been recorded in Raiser's Edge.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	<ul style="list-style-type: none"> A lack of segregation of duties exists between the personnel responsible for receiving contributions and recording in Raiser's Edge. There is not a current process to record mail or in-hand contributions on a receipt log as they are received by the UNTHSC advancement function, which increases the risk of contributions not being deposited upon receipt. 	NA	The UNTHSC advancement function should establish a process to reconcile the contribution receipt log monthly to Raiser's Edge and EIS to determine that contributions received have been recorded in Raiser's Edge.	The contribution log is being reconciled monthly to ensure that all gifts on the log have been recorded in Raiser's Edge.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	The bank reconciliation process performed by the UNTHSC Accounting function does not resolve unreconciled items in a timely manner due to delays in receiving necessary transaction information from the Foundation. The August 2013 bank reconciliation for the Advancement account had two reconciling items over three months old in the total amount of \$18,308.46, which could potentially misstate the financial position of UNTHSC if the reconciling items are determined inaccurate.	NA	The UNTHSC advancement and accounting functions should establish a policy indicating reconciling items should be resolved within one month. The UNTHSC advancement function should provide timely recording of transactions to facilitate timely reconciliations.	The practice has been established and is in place.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	2 of 60 contributions reviewed totaling \$220,000 were not recorded in Raiser's Edge to the proper DeptID. One contribution totaling \$10,000 was unable to be tested due to lack of supporting documentation provided. Without a review process prior to contributions being entered into Raiser's Edge, a risk exists that contributions are not recorded to the correct DeptID and potentially misstating the financial position of UNTHSC.	NA	The UNTHSC advancement function should research and resolve the three exceptions noted.	NA	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	2 of 60 contributions reviewed totaling \$220,000 were not recorded in Raiser's Edge to the proper DeptID. One contribution totaling \$10,000 was unable to be tested due to lack of supporting documentation provided. Without a review process prior to contributions being entered into Raiser's Edge, a risk exists that contributions are not recorded to the correct DeptID and potentially misstating the financial position of UNTHSC.	NA	The UNTHSC advancement function should establish a policy requiring review of contributions received and the proposed DeptID prior to being recorded in Raiser's Edge.	A new practice has been instituted that requires a second review of donor documentation to better ensure that contributions are assigned to the correct Dept/Din Raiser's Edge.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	Research and resolve the three exceptions noted.	NA	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	The Foundation should work with the UNTHSC Accounting Office to establish a policy to perform a monthly reconciliation between the general ledger and Raiser's Edge to assess whether contributions recorded in Raiser's Edge were recorded to the correct DeptID in the general ledger.	A monthly reconciliation is now being conducted.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	The Foundation shall provide to the UNTHSC Accounting Office an adequate level of support for all journal entries prior to their posting to the general ledger.	A monthly reconciliation is now being conducted.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A policy does not exist requiring an executive level review and approval of transfers from the UNTHSC operating account where general contributions are maintained to the Foundation investment account. Currently, the accounts are owned by UNTHSC and Foundation, respectively, and the legal ownership of the funds change through these transfers. The ability to transfer funds between bank accounts provide for an increased risk to the misuse of funds.	NA	The UNTHSC advancement function should establish a policy requiring documentation of executive level review and approval of transfer requests prior to the transfer being executed.	A practice requiring executive level review and approval has been implemented.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A policy does not exist requiring review and approval of transfer transactions between DeptIDs prior to being posted to the general ledger. The ability to transfer funds between DeptIDs provides for an increased risk of misrepresentation of funds on the UNTHSC financial statements.	NA	The UNTHSC advancement function should establish a policy requiring executive level review and approval of DeptID transfers prior to their posting to Raiser's Edge and the general ledger.	A practice requiring executive level review and approval of Dept/D transfers has been implemented.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	There is currently not a policy within the advancement function related to the review and approval of DeptID addition, deletion, and modifications in the system. The ability to add, delete, or modify DeptIDs increases the risk that funds are misrepresented on the UNTHSC financial statements or that funds are recorded for a purpose in contradiction to the intent of the contribution.	NA	The UNTHSC advancement function should establish a policy requiring review and approval of additions, deletions, or modifications of DeptID code prior to effecting Raiser's Edge or the general ledger.	A practice requiring executive level review/approval of Dept/D creation or alterations has been implemented.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Food and Drug Administration	Fiscal Year 2014	Governance and Regulatory Compliance	Protocol Compliance; TCOM/Medical Education	UNTHSC	None	NA	NA	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2013	UNT	For 5 (8 percent) of 60 students tested, the University of North Texas (University) did not submit corrections for changes in education credit amounts to the U.S. Department of Education as required; however, the University accurately verified all required information.	NA	The University should correct the batch process in its financial aid system so that it submits changes in education credit amounts to the U.S. Department of Education and adjusts applicants' financial aid packages accordingly.	Management made changes to the batch process in EIS which allow education credit changes to be reported. All students affected were corrected.	Dena Guzman-Torres and Lacey Thompson	7/1/2013	Closed

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External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2014	UNT	For 13 (22 percent) of 60 students tested, the University did not accurately report the students' enrollment status to NSLDS.	NA	The University should implement a formal process to accurately report status changes and effective dates for unofficially withdrawn students to NSLDS.	Management is attentive to the U.S. Department of Education requirements associated with Student Status Changes resulting from unofficial withdrawals. Management Response and Corrective Action Plan: Management has implemented business controls to ensure accurate and timely reporting to the National Student Clearinghouse and the National Student Loan Data System for this population of students	Bryan Heard	6/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2013	UNT	One (1 percent) of 70 direct cost transactions tested at the University of North Texas (University) was unallowable. For 1 (1 percent) of 70 direct cost transactions tested, the University incorrectly calculated the amount of the federal expenditure.	NA	The University should establish and implement procedures to ensure that it does not charge unallowable or incorrect costs to federal awards.	The UNT Business Service Center (BSC) agrees. The BSC has corrected the travel reimbursement and the payroll underpayment. The BSC has established business practices to address the recommendation, which include: <u>Management Response and Corrective Action Plan 2012:</u> -Provided additional training to Travel staff regarding unallowable expenses on federal funds. -Will participate in ongoing collaboration with the UNT Office of Research Services to enhance the audit process of travel expenditures to avoid unallowable charges to federal funds. -ERP (PeopleSoft) system now calculates partial months using an annualized hourly rate of pay (2,080 hours). The manual calculation is no longer necessary. The University has implemented a process to calculate partial month salary payments. Auditors tested a sample of payroll transactions and determined that each transaction was allowable and calculated correctly. However, 1 of 15 travel expenditures tested was unallowable. The University reimbursed gratuity charges as part of a travel reimbursement. <u>2013 Update:</u> The UNT Office of Research Services has a written procedure and training in place covering unallowable expenditures on federal awards, including tips. The employee that approved the travel reimbursement that included the \$19 was already aware of the procedure, but didn't detect the unallowable charge during his regular review. The issue has been discussed with the employee, and will be reinforced further	Britt Khovjak and Debbie Reynolds	12/5/2013	Closed
External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2013	UNT	The University of North Texas (University) did not ensure that vendors associated with 4 (40 percent) of 10 procurements tested that exceeded \$25,000 were not suspended or debarred.	NA	The University should document its vendor suspension and debarment verifications for all procurements of at least \$25,000.	The UNT System Business Service Center (BSC) agrees. The BSC has established business practices to address the recommendation, which include: <u>Management Response and Corrective Action Plan 2012:</u> -Added a clause/condition to the UNT System Purchase Order Terms and Conditions on 10/26/12. - Provided additional training to Purchasing staff on EPLS Search and documentation requirements on 1/16/13. - Created a procedure to ensure all procurements of at least \$25,000 are documented appropriately and are audited by management daily on 1/22/13. All Business Service Center Purchasing staff will be re-educated on the EPLS requirements and the need to maintain verification documentation. Purchasing Director/Manager will continue to audit for compliance on a daily basis. Management Response and Corrective Action Plan	Debbie Reynolds, Carolyn Cross, and Tina Koening	12/16/2013	Closed

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External	State Auditor's Office	Fiscal Year 2014	Finance	State Agency, University, and Community College District Compliance with the Public Funds Investment Act and Investment Reporting Requirements	UNT	Not Fully Compliant with the Public Funds Investment Act * (*Source: Findings listed are based upon reviews of the audit reports issued by the universities' internal or external auditors.)	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2014	Finance	State Agency, University, and Community College District Compliance with the Public Funds Investment Act and Investment Reporting Requirements	UNT HSC	Not Fully Compliant with the Public Funds Investment Act * (*Source: Findings listed are based upon reviews of the audit reports issued by the universities' internal or external auditors.)	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2014	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2013	UNT	NA	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2014	Finance	Statewide Single Audit Report for the Year Ended August 31, 2013	UNT	On its SEFA, the University of North Texas (UNT): - Incorrectly reported expenditures for four CFDA's in the Student Financial Assistance Cluster of federal programs using award year instead of fiscal year. As a result, UNT (1) incorrectly included \$6,257,520 and (2) incorrectly excluded \$278,738 in expenditures on its SEFA. UNT also incorrectly included \$6,255,520 of those expenditures in the notes to its SEFA and understated federal revenue by \$276,738 in the notes to its SEFA. - Could not provide adequate support for excluding \$361,374 in expenditures from its SEFA. UNT asserted that it excluded those expenditures because it had a vendor relationship with other state entities; however, UNT could not provide support for that assertion.	NA	None	Corrective action was taken.	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or scholarships.	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Establish a team with the knowledge and expertise to evaluate the KFAC's Business Plan;	The Vice Provost for Academic Resources agrees with all the recommendations. 1. The Vice Provost for Academic Resources with the Dean of the College of Education to compose an evaluation team with the knowledge and expertise to evaluate the KFAC's Business Plan. This team will consist of members of UNT and the community who can help to advise on individual components of the plan.	Dr. Allen Clark, Vice Provost for Academic Resources	4/01/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or scholarships.	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Assure that all sources of revenue have been identified and validated;	2. Assure that all sources of revenue have been identified and validated through the development of a funding model of service provided by the center.	Dr. Kevin Callahan, Executive Director of the Kristen Farmer Autism Center	4/01/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or scholarships.	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Perform a cost/benefit analysis of the KFAC; and	The Vice Provost for Academic Resources agrees with all the recommendations. 3. A cost/benefit analysis will be included as part of the updated business plan.	Dr. Kevin Callahan, Executive Director of the Kristen Farmer Autism Center	4/01/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or scholarships.	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Prepare a Memorandum of Understanding to document the financial funding agreements between the KFAC, the Provost Office and the University. Implementation will provide assurance that a thorough evaluation of future Centers and Institutes will be performed. Additionally, a cost/benefit analysis of the KFAC will be performed.	The Vice Provost for Academic Resources agrees with all the recommendations. 4. Prepare a Memorandum of Understanding to document the financial funding agreements between the KFAC, the Provost, and the University. A cost/benefit analysis will be included as part of the updated business plan.	Dr. Allen Clark, Vice Provost for Academic Resources	3/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	We performed a limited review of the control environment related to football ticket sales. We noted weaknesses related to complimentary and student tickets. These weaknesses included a lack of procedures for complimentary tickets and no reconciliations of complimentary tickets or unsold student tickets.	NA	We recommend that the Athletics department strengthen the controls related to complimentary tickets (including student tickets), develop procedures relating to complimentary tickets which should include documentation of each complimentary ticket recipient, and perform reconciliations of complimentary and student tickets.	The athletic department agrees with a recommendation that additional steps can be taken to further assure reconciliation/security of comp/students tickets. The athletic department will: 1. On a weekly basis reconcile a. student tickets b. student athlete tickets 2. Work with Ticketmaster to assure that all protocols are in place to link personnel who can print or distribute comp tickets. 3. On a monthly basis, spot check and report on comp ticket distributions to assure proper approvals are in place.	Mike Ashbaugh, Troy Taylor	1/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Future game guarantees are not accrued when contracts are executed.	NA	We recommend that game guarantees be accrued in the financial reporting period when the contracts are executed.	The athletic department agrees to create accounts receivable for game contracts. We will consult with Financial Reporting to record existing and future contracts using GAAP as a guideline for recording these amounts. The athletic department notes that in most cases the guaranteed amount in the event a scheduled contest is not played is not the same as the face value of the contract when the game is played. Again we will consult with Financial Reporting to determine the amount to be recorded.	Mike Ashbaugh	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	NCAA Bylaw 11.2.2, Athletically Related Income, requires annual reporting of all athletically related income and benefits from sources outside the institution. This reporting is to also be provided to the President. During the audit, Athletics did not have all required reports on file for fiscal year 2013. The forms were subsequently completed and no third-party compensation was received by the Athletics Department employees that met the criteria to be disclosed in the financial statements.	NA	We recommend that the Athletics Department develop a process for assuring that all reports are obtained and completed appropriately, and determine if any additional steps are necessary for this process to be fully compliant with NCAA Bylaw 11.2.2.	The athletic department has always collected all forms in a timely manner through the Compliance Office. This year due to a change in the Compliance Officer, all forms were not collected. To alleviate this from happening again the athletic department will: 1. Reinforce the responsibility of the Compliance Officer to create a list of staff required to submit forms. 2. Meet with staff and department personnel to get each form signed and recorded on an Excel spreadsheet. 3. Athletic Director and Senior Associate Athletic Director for Business Affairs will set calendar reminders to meet with Compliance Officer and complete certification two weeks prior to required submission date. Athletics notes that forms for 2011 and 2012 were requested after the review and all forms were provided immediately. This is reinforcement that our procedures under normal circumstances have been followed.	Rick Villarreal, Mike Ashbaugh, Scott Hobbs	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Future game guarantees are not recorded when contracts are executed.	NA	We recommend that game guarantees be recorded when the contracts are executed.	We will consult with Financial Reporting to record existing and future contracts using GAAP as a guideline for recording these amounts. The athletic department notes that in most cases the guaranteed amount in the event a scheduled contest is not played is not the same as the face value of the contract when the game is played. Again we will consult with Financial Reporting to determine the amount to be recorded.	Mike Ashbaugh	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Non-cash benefits for Athletic Department Employees -When recalculating a sample of the calendar year 2012 W-2s and reviewing other supporting documentation, temporary housing benefits for several of the recently hired coaches should be evaluated for inclusion on the employees' W-2s as taxable income.	NA	We recommend that any necessary corrections be made to prior year W-2's.	The UNT System BSC agrees and will review the documentation provided by Internal Audit.	Carol McFarland, BSC Tax Accountant	3/31/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	In calendar year 2011, the tax treatment for employee cell phone allowances and cell phone purchase reimbursements was changed entity-wide to a non-taxable allowance. However, procedures have not been established requiring documentation to ensure that the cell phone expense reimbursements do not exceed the employee's actual business expense and the reimbursement is provided for the IRS required business purposes. The current cell phone allowance policies are not consistent with the current tax-treatment and practices, and need to be revised.	NA	We recommend that the Vice President for Information Technology and CIO, in conjunction with the Business Service Center, review the current tax treatment practice for cell phone allowances and cell phone purchase reimbursements, and update the cell phone policy accordingly. Additionally, policy training to cell phone allowance recipients should be provided to ensure compliance with policy requirements.	The Vice Provost for Information Technology and CIO, in conjunction with the Business Service Center and IT Shared Services, will review the current tax treatment practice for cell phone allowances and cell phone purchase reimbursements and update the cell phone policy accordingly. Further, appropriate policy training for cell phone allowance recipients will be developed to ensure compliance with policy requirements.	John Hooper, UNT Vice Provost for Information Technology and CIO	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	When recalculating a sample of the calendar year 2012 W-2s and reviewing other supporting documentation, an overstatement of wages in one employee's W-2 Box 1 wages was identified. After consulting with the Business Service Center (BSC), it was determined that a year-end adjustment was made twice for covered wages. The BSC will issue a W-2c reducing covered wages by \$1,765.93.	NA	We recommend that the Business Service Center review the current process for making year-end adjustments to all employee wages to ensure that all wages reported on the Institutions' W-2s are accurate.	The UNT System BSC agrees	Carol McFarland, BSC Tax Accountant	3/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	During the review of recruiting policies, it was noted that no policy manual exists, just a collection of documents. These documents did not address recruiting expenses.	NA	We recommend that policies be developed specific to recruiting expenses to assist in assuring compliance with all NCAA regulations.	The Athletic Department currently has documented procedures given to every new coach upon arrival at the University. The department currently: 1. Has a training session with each coach or staff as hired to cover policies 2. Gives each coach a NCAA Rule Book which lists all applicable rules and bylaws 3. Provides a hardcopy and online file of department policies on travel and credit card use 4. Annually test coaches on rules The athletic department agrees to review other university policy manuals to strengthen our existing policies and manuals.	Rick Villarreal, Mike Ashbaugh, Patty Wells, Becky Hall, Scott Hobbs	8/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	During the review of team travel policies, it was noted that the policies specific to team travel do not address all relevant NCAA Bylaws.	NA	We recommend that the policies be reviewed and updated to assure all significant team travel NCAA regulations are addressed.	The Athletic Department currently has documented procedures given to every new coach upon arrival at the University. The department currently: 1. Has a training session with each coach or staff as hired to cover policies 2. Gives each coach a NCAA Rule Book which lists all applicable rules and bylaws 3. Provides a hardcopy and online file of department policies on travel and credit card use 4. Annually test coaches on rules The athletic department agrees to review other university policy manuals to strengthen our existing policies and manuals.	Rick Villarreal, Mike Ashbaugh, Patty Wells, Becky Hall, Scott Hobbs	8/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	During the course of the review, we noted that detailed supporting documentation for two transactions was not available. These transactions were journal entries prepared by Athletics Department staff to move an expense into one account from another.	NA	We recommend that Athletics retain detailed supporting documentation for all journal entries.	It is not the practice of the Athletic Department to process journal entries without proper backup documentation. To ensure in the future there are no journal entries without documentation the Athletic Department agrees to do the following: 1. Require documentation review on all transactions with spot department checks. 2. The Athletic Department will follow the policy set by Financial Reporting for journal entry documentation.	Mike Ashbaugh, Troy Taylors	1/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	One expense was not fully supported by the supporting documentation. A travel voucher was reimbursed at \$11,306.45, however only \$9,873.34 of that expense could be matched to travel receipts. However, the documentation submitted included an explanation that there were issues with the billing from the hotel. This voucher was for hotel charges for temporary housing for new coaches. This expense was reclassified from Other Operating Expenses to Coaching Salaries, Benefits and Bonuses Paid by the University and Related Entities	NA	We recommend that only expenses that can be supported by receipts be paid. Additionally, temporary housing expenses should be handled via a purchase order.	The supporting documentation reviewed was only the partial items available at the time of the filing of the expense report. The balance of the documentation was available during the next month's expense statements. In addition, this particular bill was problematic due to a breach in normal hotel billing policies; the proper receipts and accounting were not available from the hotel. Documentation of these irregularities, including e-mails from hotel management, was attached to expense report. Concerning the travel voucher, housing was supplied and required by the Athletic Department during the recruiting period. The reclassification of expenses is a necessary process due to a number of factors both in athletics and other departments. The athletic department will conduct a review of why reclassifications were required. The athletic department will continue to reduce the number of reclassifications by: 1. Performing monthly reviews of accounts and account numbers to insure better accuracy. 2. Review changes of account numbers made once transactions leave the athletic department.	Mike Ashbaugh, Troy Taylor	5/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Twenty-eight percent of the invoices reviewed in our samples were paid more than 30 days from the date of the invoice. Additionally, 10% of the invoices, totaling \$167,126.10, spanned two fiscal years resulting in expenses reported in the wrong financial reporting period.	NA	We recommend that the Athletics Department assure that all invoices are paid in a timely manner and that goods and services are paid and expensed in the year in which the expense occurred.	The first two bills reviewed were those with the longest pay date. Both were found to be delinquent from the company's issuing, one that had been sold 13 months ago. The athletic department intends to review each of the specified bills that were late in payment to identify where the delays are taking place in order to make sure that all bills are paid within the terms listed from the vendor. This process will take some time but will be completed by the end of March. The athletic department will immediately take the following actions: 1. Will conduct thorough review of payment process from P.O. to payment and each step in between. 2. Review and check the statement date of each bill submitted for payment. 3. Retain records of dates bills are transmitted for payment to campus or the BSC.	Mike Ashbaugh, Troy Taylor, Clara Richard	1/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	It was noted during the course of the review that all journal template entries booked by the any UNT department, including the Athletic Department, are booked on the general ledger without inclusion and review of supporting documentation by Financial Reporting. The current process of booking journal entries is for an employee to submit a journal template to Financial Reporting for review that consists of an account type match and a budget check. It is expected that the department has and maintains the supporting documentation for every journal template entry submitted. Lack of review of supporting documentation can result in inappropriate, inaccurate journal entries and/or errors and discrepancies going undetected.	NA	We recommend that Financial Reporting develop a written standard for journal entry documentation and review the supporting documentation for journal entries.	The Controller's Office and Financial Reporting are developing a written standard for journal entry documentation that will require all submitted journals with line item amounts \$5K and above to include appropriate supporting documentation that fully explains the journal being booked to the system. Supporting documentation for journals with line item amounts less than \$5,000 will continue to be retained within the originating department in accordance with UNT's Records Management and Retention policy 10.10. This will require a culture change throughout campus and numerous training sessions.	Lee Miara, Associate Vice President for Finance and Controller	6/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNT System	As of August 31, 2013, UNT reported an investment in both agency securities and Small Business Administration (SBA's) bonds, however; UNT System Regulation 08.2000 does not include these investments as authorized investments. These investments were authorized by the policy in effect at the time of purchase. In fiscal year 2013, no new securities were purchased and future purchases are not planned. Two of the three agency securities matured in FY 2013, and one matured in September 2013.	Low	Recommended Management Action for Andrew Harris, Vice President for Finance and Administration (UNT): Assure all investments are authorized by current policy. Implementation will ensure that all investments are supported by a Board approved regulation.	Agree. The SBA investment will mature 9/25/2014. UNT will reinvest in compliance with the current investment regulations.	Jean Bush, Sr. Associate VP for Finance	9/25/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNT System	UNT System, UNT, and UNT Dallas do not have fully executed bank depository agreements with Wells Fargo. The bank depository agreement with Wells Fargo expired August 31, 2013. A draft agreement has been completed, but the agreement has not been finalized and executed.	High	Recommendation for Allen Clemson, Vice Chancellor for Administration and Chief of Staff (UNT System), Andrew Harris, Vice President for Finance (UNT), and Carlos Hernandez, Vice President of Finance and Administration/CFO (UNT Dallas): Finalize the UNT System, UNT, and UNT Dallas Bank Depository Agreements with Wells Fargo. Implementation will help ensure that Board of Regents expectations are met, bank deposits are safeguarded, and any favorable terms are in force.	UNT Response: Although the written agreement between Wells Fargo bank and UNT expired in 2013, the parties have continued to operate under the existing agreement with the same terms until the new contract can be finalized. Management will continue to work with the Office of the General Counsel to finalize the written agreement and expects to have a newly executed agreement by April 1, 2014. UNT Dallas Response: Agree. Management will continue to work with the Office of the General Counsel to finalize the written agreement and expects to have a newly executed agreement by UNT System Response: Agree. Bring closure to all unresolved issues and finalize depository agreements.	UNT: Allen Clemson, Vice Chancellor for Administration UNT Dallas :Carlos Hernandez, Vice President for Finance and Administration/CFO – UNTD UNT System: Alan Stucky	4/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNT System	The Investment Portfolio Summary graph reported in the UNT the Quarterly Investment Report for the period ending May 31, 2013 was not accurate. Additionally the earned income figure should have been \$148,566.64 versus the \$304, 933.53 reported.	Low	Recommended Management Action for Andrew Harris, Vice President for Finance and Administration (UNT): Review the UNT Quarterly Investment Report to assure the accuracy of information prior to the issuance of the quarterly report to the Board of Regents and posting of the report on the institution's investment disclosure website. Implementation will ensure that the information reported on a Quarterly Investment Reports is complete and accurate.	Agree. A correction to the May 31, 2013 quarterly investment report will be included with the next presentation of quarterly investment reports for the Board of Regents.	Jean Bush, Sr. Associate VP for Finance	5/20/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNT System	A report of investment performance over the course of the year was not submitted to the Board of Regents at its first regularly scheduled board meeting following the end of the fiscal year as required by System Regulation 08.2000.	Moderate	Recommended Management Action for Allen Clemson, Vice Chancellor for Administration and Chief of Staff (UNT System): At the end of each fiscal year, prepare and submit a report of investment performance for the year to the UNT System Board of Regents at its first regularly scheduled board meeting following the end of the fiscal year. Implementation will assure compliance with UNT System Regulation, 08.2000.	UNT System Response: Agree. Submit a report of investment performance at the Board of Regents first regularly scheduled board meeting following the end of the fiscal year. Expected Implementation Date: Immediately	Carolyn Whitlock	2/7/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	UNTHSC did not include disclosure of an external investment advisor in response to the SAO's disclosure requirement question. UNTHSC answered "no" to the question "Does the institution employ outside investment advisors or managers." However, the response should be revised to yes, since the UNTHSC uses the UNTHSC Foundation for management of its endowment funds.	Moderate	Recommended action for Senior Vice President of Finance and Chief Finance Officer: Update the UNTHSC website investment disclosure to document use of an external advisor or managers pertaining to the use of the independent UNTHSC Foundation as an external investment advisor or manager. Compliance will ensure that regulatory reporting requirements are met and responses to requires questions have been properly noted.	Management agrees with recommendation. Management will update its website investment disclosures to reflect that UNTHSC uses and external advisor/manager, the UNTHSC Foundation, for management of some endowment funds.	Geoffrey Scarpelli, Controller and Chief Budget Officer	2/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	The first three quarterly investment reports for fiscal year 2013 were not published to the intuition's website within the timeframe required by the SAO. The quarterly investment reports for November 30, 2012, February 28, 2013, and May 31, 2013 were not published to the intuition's website until November 7, 2013. The SAO requires that quarterly reports be published on the institution's website within 90 days of the end of the quarter or 7 days after the investment report is presented to the Board, whichever occurs first. The August 31, 2013 quarterly report was published within SAO guidelines.	Low	Recommended action for Director of Financial Reporting: Publish Quarterly Investment Reports to the institutions website within 90 days after the end of the quarter or 7 days after the investment report is presented to the Board, whichever occurs first. Implementation will help ensure transparency and that SAO reporting requirements are met.	Management agrees with recommendation. Management will implement procedures to ensure that Quarterly Investment Reports are published to the institution's website within 90 days of the end of the quarter or 7 days after the report is presented to the Board, whichever occurs first. Expected Implementation Date: Previously Implemented. Individual Responsible for Implementation: Geoffrey Scarpelli, Controller and Chief Budget Officer	Geoffrey Scarpelli, Controller and Chief Budget Officer	2/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	UNTHSC Annual Tracking Report for Investment Reporting for fiscal year 2012 was not submitted within the timeframe required by the SAO. The Annual Tracking Report for Investment Reporting sends investment website locations to the SAO. For fiscal year 2012, the report was not submitted to the SAO until February 1, 2013. The fiscal year 2013 annual tracking report was submitted on December 11, 2013.	Low	Recommended action for Director of Financial Reporting: Send the Annual Tracking Report for Investment Reporting to the SAO by December 31 of each year. Implementation will help ensure that Rider 5 reporting requirements are met.	Management agrees with recommendation. Management will implement procedures to ensure that the Annual Tracking Report for Investment Reporting is submitted to the SAO by December 31st of each year. Expected Implementation Date: Previously Implemented Individual Responsible for Implementation: Geoffrey Scarpelli, Controller and Chief Budget Officer	Geoffrey Scarpelli, Controller and Chief Budget Officer	2/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	UNTHSC does not have a current executed bank depository agreement with JPMorgan Chase. The current depository for UNTHSC is JPMorgan Chase. The bank depository agreement with JPMorgan Chase expired on August 31, 2012. The expired agreement states: "The term may be extended until such time as the successor shall have been duly selected and qualified, such extension not to exceed 60 days." According to the Chief Finance Officer of UNTHSC, a draft agreement has been completed, but the agreement has not been executed.	High	Recommended action for Senior Vice President of Finance and Chief Finance Officer: 4. Finalize and fully execute the UNTHSC Bank Depository Agreement with JPMorgan Chase. Implementation will help ensure that BOR expectations are met, bank deposits are safeguarded, and any favorable terms are in force.	Management agrees with recommendation. Although the written agreement between J.P. Morgan Chase Bank expired in 2012, the parties have continued to operate under the agreement with the same terms until the new contract can be finalized. Management will continue to work with the Office of General Counsel to finalize the written agreement.	John A. Harman, Senior Vice President for Finance and CFO	4/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	UNTHSC does not have a Management Agreement with the UNTHSC Foundation to manage UNTHSC Medical Professional Liability Self-Insurance Funds. UNTHSC has an executed management agreement with the UNTHSC Foundation for the management of institutional tobacco funds, but this agreement does not include the management of Medical Professional Liability Self-Insurance Funds.	Moderate	Recommended action for Senior Vice President of Finance and Chief Finance Officer: Execute a new exhibit to the current agreement with the UNTHSC Foundation to include the management of Medical Professional Liability Self-Insurance Funds. Implementation will help ensure that Medical Professional Liability Self-Insurance Funds are adequately safeguarded and invested.	Management agrees with recommendation. Prior to January 17, 2014 an Exhibit did not exist. However, management executed Exhibit C to the Investment Management Agreement between the UNTHSC and the UNTHSC Foundation on January 17th for the management of the Medical Professional Liability Self Insurance Funds. The change in institutional Finance leadership in early FY2013 may have contributed to the delay in submittal since funds were initially invested with the Foundation prior to the transition in leadership.	John A. Harman, Senior Vice President for Finance and CFO	2/7/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	FY 2013 Investments Review Audit	UNTHSC	Signatory authority for the former UNTHSC Vice President of Finance and CFO was not removed from the bank account until ten months after he left his position. The former Vice President of Finance and CFO for UNTHSC remained with signatory authority over ten months while not in a role to warranting that authority.	Low	Recommended actions for Controller and Chief Budget Officer: Develop a process to ensure that banking signatory authority cards are updated immediately to accurately reflect changes to personnel and only individuals with proper authority are active. Implementation will help ensure funds are adequately safeguarded and controlled.	Management agrees with recommendation. Management will work with system business service center and commercial banking personnel to ensure that banking signature cards submitted for changes in authorized personnel are updated in the electronic signature system in a timely fashion and only individuals with proper authority are active.	Geoffrey Scarpelli, Comptroller and Chief Budget Officer	3/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	During the prior administration, contract Amendments required for the NextGen EPM System functionality totaling more than \$1.02 million were approved and executed internally, but without the consent of UNT System Board of Regents. The NextGen EPM system implementation included two original contract amendments. The two contract amendments were presented and approved by the Board of Regents on May 12, 2011 in the amount of \$2.45 Million (\$2 Million for professional services and \$450,000 for hardware and infrastructure). Beginning on January 20, 2012, the first of an additional 17 contract amendments totaling \$1,058,112 were approved and executed due to the unforeseen need to 1) implement a separate bill center for Correctional Medicine and 2) additional applications licenses related to medical student and resident activity. Each individual contract amendment was approved and executed by the management of UNTHSC leadership; however, no additional approval or Board Order was provided to the Board of Regents noting the additional amendments and cost.	High	Recommendations for the current Senior Vice President for Finance and CFO: Ensure procedures are established for the new UNTHSC Administration to ensure approval of the UNT System Board of Regents related to Regents Rules requiring Board approval for all purchases exceeding \$1 million. Implementation will provide assurance that the Board of Regents are aware of and approve all contract amendments related to projects that in aggregate total more than \$1 million.	Management agrees. Additional contract amendments were executed over an eleven month period that in total exceeded \$1M. This was necessary to expand functionality and include the Correctional Medicine practice which was not envisioned in the original project scope. Management will develop a written procedure to be followed by all areas of the institution and, in support of Regents Rule 3.9, that reinforces the importance of management fully evaluating project scope and related estimated expenditures for contracted services. If, subsequent to Board approval, project scope is materially expanded or enhanced by an amount or cumulative amounts exceeding \$1M, management will inform the Board and seek advance approval where required.	John A. Harman- Senior Vice President for Finance and CFO	6/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health.</p> <p>The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	Moderate	<p>Recommendations for the Director, Process Improvement:</p> <p>Develop and implement a termination checklist for supervisors' that includes a step to notify Information Technology and Records and Information Management of a user's termination so network access can be disabled immediately.</p>	<p>What Action Management Commits To Do:</p> <p>1. A termination checklist for UNT Health Clinic Supervisors that includes notification to terminate a user's NextGen access and network access will be created and distributed.</p> <p>UNT Health has also approved the implementation of the following to address the recommendations above:</p> <p>1. NextGen has been configured to disable a user that has not logged into NextGen within a 30 day time period. these scenarios require intervention/review by the HIM Security Division.</p>	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health.</p> <p>The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	Moderate	<p>Recommendations for the Director, Process Improvement:</p> <p>Submit notifications to deactivate network access for active EPM users who are no longer employed with UNT Health.</p>	<p>What Action Management Commits To Do:</p> <p>2. Network access for users who are no longer employed has already been deactivated.</p> <p>UNT Health has also approved the implementation of the following to address the recommendations above:</p> <p>2. NextGen also forces a user to change their password after 120 days. If the password is not changed, the account locks and disables the user from logging in. (This follows the network security protocol as well.) these scenarios require intervention/review by the HIM Security Division.</p>	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health.</p> <p>The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	Moderate	<p>Recommendations for the Director, Records and Information Management:</p> <p>Update the UNT Health NextGen User Request Form to include a field for expiration dates.</p>	<p>What Action Management Commits To Do:</p> <p>3. The UNT Health NextGen User Request form will include a field for an expiration date which will be filled in for those users who are given authorized access for a limited period of time.</p>	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health.</p> <p>The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	Moderate	<p>Recommendations for the Director, Records and Information Management:</p> <p>Provide training to supervisory personnel regarding the updated UNT Health NextGen User Request Form and process. Implementation will provide assurance that network and NextGen EPM user accounts are immediately disabled and active NextGen EPM users are current employees and residents.</p>	<p>What Action Management Commits To Do:</p> <p>4. Training will be provided to UNT Health supervisors regarding the changes made to and the purpose of the UNT Health NextGen User request Form and process.</p>	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health.</p> <p>The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one resident, were immediately disabled. 	NA	NA	<p>What Action Management Commits To Do:</p> <p>5. The Chief Compliance and Risk Management Officer and the Director of IT Infrastructure and Security will conduct a review of the process in UNT Health of deactivating a user's access to the EPM /NextGen and the network once the user is no longer authorized to access those systems or other UNTHSC network resources. If needed, changes in the process will be implemented in addition to the changes outlined in this Action Plan. Implementation oversight for any changes recommended will be provided by the Dean of TCOM/Interim Chief Medical Officer for UNT Health</p> <p>Since the audit, UNT Health has also approved the implementation of the following to address the recommendations above:</p>	Anthony Tissera, Director of IT Infrastructure and Security Anne E. Long, Chief Compliance and Risk Management Officer Dr. Don Peska, Dean – TCOM and Interim Chief Medical Officer - UNT Health	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Approval of Incidental Fees Review	UNTHSC	<p>UNTHSC does not have documentation in place to formally delegate authority for approval and review of incidental fees. The incidental fees at UNTHSC are split into three different categories: course fees, library fines, and all other incidental fees. Each category of incidental fees currently has its own approval process. The following are the results of testing for each category tested.</p> <p>Of the 20 course fees tested:</p> <ul style="list-style-type: none"> •Eight were appropriately approved by the BOR. •Ten were approved by the Provost without any formal delegation of authority from the President. •Two did not have approval documentation available. •Ten have not been reaffirmed since 1993. <p>Of the seven library fees tested:</p> <ul style="list-style-type: none"> •All seven were approved by the Library Director without any formal delegation of authority from the President. •Library fines were reviewed annually. <p>Of the 29 other incidental fees tested:</p> <ul style="list-style-type: none"> •Twenty-four were appropriately approved by the President. •Five did not have approval documentation available. 	Moderate	<p>Recommendations for Vice President of Administration & Chief of Staff:</p> <p>If the President elects to delegate authority to approve incidental fees, ensure appropriate documentation is in place to evidence such delegation. Further guidelines should also be documented outlining how often incidental fees are reviewed and reaffirmed.</p>	<p>Management Agrees. Management commits to work with the President and Provost to develop proper documentation of delegation of approval of incidental fees to the Provost from the President. In addition, Management will also develop and implement appropriate guidelines to ensure the required review and reaffirmation process occurs in compliance with state law and Regents Rules.</p> <p>Additional Comments: Once made aware of this compliance issue and prior to completion of this audit, the Provost's Office re-established procedures to ensure that incidental fees are being approved appropriately by the President until further documentation is developed.</p>	Jennifer Treviño, Vice President of Administration & Chief of Staff	7/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Approval of Incidental Fees Review	UNTHSC	<p>UNTHSC does not have documentation in place to formally delegate authority for approval and review of incidental fees. The incidental fees at UNTHSC are split into three different categories: course fees, library fines, and all other incidental fees. Each category of incidental fees currently has its own approval process. The following are the results of testing for each category tested.</p> <p>Of the 20 course fees tested:</p> <ul style="list-style-type: none"> •Eight were appropriately approved by the BOR. •Ten were approved by the Provost without any formal delegation of authority from the President. •Two did not have approval documentation available. •Ten have not been reaffirmed since 1993. <p>Of the seven library fees tested:</p> <ul style="list-style-type: none"> •All seven were approved by the Library Director without any formal delegation of authority from the President. •Library fines were reviewed annually. <p>Of the 29 other incidental fees tested:</p> <ul style="list-style-type: none"> •Twenty-four were appropriately approved by the President. •Five did not have approval documentation available. 	Moderate	<p>Recommendations for Vice President of Administration & Chief of Staff:</p> <p>Review all incidental fees to ensure appropriate approval and supporting documentation is in place. Implementation will help ensure that all incidental fees are properly approved in accordance to state law, and reviewed and reaffirmed periodically.</p>	<p>Management Agrees. Management commits to work with the President and Provost to develop proper documentation of delegation of approval of incidental fees to the Provost from the President. In addition, Management will also develop and implement appropriate guidelines to ensure the required review and reaffirmation process occurs in compliance with state law and Regents Rules.</p> <p>Additional Comments: Once made aware of this compliance issue and prior to completion of this audit, the Provost's Office re-established procedures to ensure that incidental fees are being approved appropriately by the President until further documentation is developed.</p>	Jennifer Treviño, Vice President of Administration & Chief of Staff	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	<p>Required forms and fees were not processed to the SAB. Additionally, documentation was not retained or updated to evidence the Annual Cadaver and Use Report was filed for the period ended July 31, 2013. For four of the 18 files reviewed, a Form A indicating receipt of a donor cadaver had not been filed and the \$8 SAB fee had not been remitted to the SAB. These donors were received in the lab during January 2013. Additionally, the Department did not retain a copy of the Annual Cadaver and Use Report filed with the SAB for the period ended July 31, 2013. Internal Audit could not confirm that the report was filed or was filed in a timely manner.</p>	Moderate	<p>Recommendations for the Director of Anatomical Services:</p> <p>Review donor records to ensure that all required forms and fees have been filed and submitted for all donors to the SAB.</p>	<p>Management agrees. A procedure plan is in the process of being created to address the SAB Coordination. Additionally, going forward a confirmation from the SAB will be obtained to evidence receipt of all required reports and will maintain copies of all documents filed with the SAB.</p>	Robin Belcher, Director of The Willed Body Program	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	<p>Required forms and fees were not processed to the SAB. Additionally, documentation was not retained or updated to evidence the Annual Cadaver and Use Report was filed for the period ended July 31, 2013. For four of the 18 files reviewed, a Form A indicating receipt of a donor cadaver had not been filed and the \$8 SAB fee had not been remitted to the SAB. These donors were received in the lab during January 2013. Additionally, the Department did not retain a copy of the Annual Cadaver and Use Report filed with the SAB for the period ended July 31, 2013. Internal Audit could not confirm that the report was filed or was filed in a timely manner.</p>	Moderate	<p>Recommendations for the Director of Anatomical Services:</p> <p>Develop a process to ensure forms and fees are processed with the SAB and recorded properly</p>	<p>Management agrees. A procedure plan is in the process of being created to address the SAB Coordination. Additionally, going forward a confirmation from the SAB will be obtained to evidence receipt of all required reports and will maintain copies of all documents filed with the SAB.</p>	Robin Belcher, Director of The Willed Body Program	9/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	Required forms and fees were not processed to the SAB. Additionally, documentation was not retained or updated to evidence the Annual Cadaver and Use Report was filed for the period ended July 31, 2013. For four of the 18 files reviewed, a Form A indicating receipt of a donor cadaver had not been filed and the \$8 SAB fee had not been remitted to the SAB. These donors were received in the lab during January 2013. Additionally, the Department did not retain a copy of the Annual Cadaver and Use Report filed with the SAB for the period ended July 31, 2013. Internal Audit could not confirm that the report was filed or was filed in a timely manner.	Moderate	Recommendations for the Director of Anatomical Services: Obtain confirmation with the SAB to evidence their receipt of all required reports such as the Annual Cadaver and Use Report. Maintain copies of all documents filed with the SAB. Implementation will provide assurance that SAB forms, fees and reports are filed for each donor.	Management agrees. A procedure plan is in the process of being created to address the SAB Coordination. Additionally, going forward a confirmation from the SAB will be obtained to evidence receipt of all required reports and will maintain copies of all documents filed with the SAB.	Robin Belcher, Director of The Willed Body Program	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	Unauthorized individuals have card key access to the Laboratory and Embalming Room. As of January 30, 2014, the list of individuals with authorized card access to the Embalming room (RES 228) was 303 and the Gross Anatomy Lab (RES 242) was 2,380. Based on the review performed by the Department and Internal Audit of these lists, it was determined that there were 176 unauthorized users for the Embalming room and 1,839 unauthorized users for the Gross Anatomy Lab.	Moderate	Recommended action for the Director of Anatomical Services and Chair of Integrative Physiology: Remove access to the Laboratory and Embalming Room where bodies and anatomical specimens are held for unauthorized individuals.	Management agrees to review the Access List immediately and at the end of each semester, and send a list to Campus Police of individuals who need to have their badge access deactivated.	Sandra Clapp, Sr. Administrative Coordinator.	5/30/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	Unauthorized individuals have card key access to the Laboratory and Embalming Room. As of January 30, 2014, the list of individuals with authorized card access to the Embalming room (RES 228) was 303 and the Gross Anatomy Lab (RES 242) was 2,380. Based on the review performed by the Department and Internal Audit of these lists, it was determined that there were 176 unauthorized users for the Embalming room and 1,839 unauthorized users for the Gross Anatomy Lab.	Moderate	Recommended action for the Director of Anatomical Services and Chair of Integrative Physiology: Develop a process to periodically review the lists of individuals with Laboratory and Embalming Room access and remove unauthorized individuals. Implementation will provide assurance that only authorized individuals have access to the laboratories.	Management agrees to review the Access List immediately and at the end of each semester, and send a list to Campus Police of individuals who need to have their badge access deactivated.	Sandra Clapp, Sr. Administrative Coordinator.	5/30/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	The Department did not perform an informal bid process for selecting a vendor to perform crematorium services during the review period. The Department did not perform an informal bid process to obtain cremation services during the period under review. The Department has used the same vendor for many years.	Low	Recommendation for the Director of Anatomical Services: The Department should proceed through an informal bid process for crematorium services. Implementation will provide assurance that UNTHSC obtains the best value for services purchased and compliance with the UNTHSC Purchasing Guidelines.	Management agrees. At least 3 informal bids will be requested before issuing contract.	Robin Belcher, Director of The Willed Body Program	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	The Department does not have written policies and procedures for its operations including maintenance or records and for the proper disposal non-return cremains. The files and spreadsheets maintained by the Department noted many items that were incomplete and not updated in a timely manner. It was noted in 8 of 18 files in our sample that the donor checklist forms were not always fully completed or updated. Many were missing dates, for example, date of cremation, return of cremains, and cremains received by/sent were often not updated in the files. Some of the same items were noted in the spreadsheets maintained by the Department. The Department is currently storing non-return cremains in a storage cabinet.	Low	Recommendation for the Director of Anatomical Services: In consultation with the Office of General Counsel, develop policies and written processes for all processes of the Department including maintenance of records and for the proper disposal of non-return cremains. Implementation of written procedures will provide for consistency and guidance with Departmental processes.	Management agrees. A Policy and Procedures document is being created.	Robin Belcher, Director of The Willed Body Program.	9/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Anatomical Lab Review Audit	UNTHSC	The Department does not maintain an inventory of anatomical specimens. The Department does not maintain an inventory of anatomical specimens. Anatomical specimens are removed from donors and retained in labeled boxes, in the lab, for teaching purposes. They are not numbered with the donors SAB number and can be retained in the lab after the donor has been cremated. Specimens are cremated when they are no longer usable. The cremains are not returned.	Low	Recommended action for the Director of Anatomical Services: Consider maintaining an inventory of anatomical specimens that contains an item number, date specimen retained, description and location. Implementation will provide assurance that the Department has a record of anatomical specimens.	Management agrees. A spread sheet will be created to document specimens and their locations. A form will be created for each specimen with a description and columns for: Date of check out, Name of person checking out, Date of check in, Name of person checking specimen back in.	Robin Belcher, Director of The Willed Body Program and Sandra Clapp, Sr. Administrative Coordinator.	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	A policy has not been established requiring executive level approval of checks exceeding a set monetary threshold.	High	Recommended action for the Vice Chancellor for Finance: Create a formal UNT System regulation or policy requiring executive level review and signature of checks for all transactions exceeding an established dollar threshold.	Management concurs with the recommendation to create a formal UNT System regulation requiring executive level review and signature of checks for all transactions exceeding an established dollar threshold. Management has assigned resources to begin the research and development of this policy and will quickly develop drafts for leadership review and approval. The Vice Chancellor for Finance will immediately establish an interim policy that will require the signature of the appropriate VC/VP for Finance on any check equal to or greater than \$500,000 and the Chancellor/President for checks equal to or greater than \$1,000,000.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	Employees with signature card authority also have access to alter the general ledger through the ability to process journal entries within the EIS PeopleSoft system. Internal Audit noted three instances where an authorized signer on the UNT general fund account and payroll account also had the authority to create and approve journal entries directly in the system.	High	Recommended actions for the Vice Chancellor for Finance: Review all current employees with bank signature authority and confirm appropriate segregation of duties exist.	Management concurs with the recommendation to review all current employees with bank signature authority and confirm appropriate segregation of duties exist. Immediate review is being completed in high priority areas with action being taken as warranted. A comprehensive review has also begun that will address all areas. An interim policy is being immediately established that the System Treasurer will be responsible for adding and deleting all bank signatory authority. This immediate provision will include scheduled inventory and segregation of duties.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	The removal of signatory authority access for terminating employees from University bank accounts was not completed timely. Of the nine employees that left their signatory role during fiscal year 2013, five were not removed immediately from University bank accounts. Three employees were removed within two weeks. Additional review of the two remaining employees revealed the following: • One UNT employee remained with signatory authority over two years after retiring from the University. • One HSC employee held signature authority for over ten months while not in a role to warrant that authority, as also identified in the recent Fiscal Year 2013 Investment Review (Audit No. 14-002 HSC).	High	Recommended actions for the Vice Chancellor for Finance: Develop a process to ensure that banking signatory authority cards are updated immediately to accurately reflect personnel changes and only individuals with current fiduciary responsibility have bank signatory authority.	Management concurs with the recommendations that bank signatory authority is kept up to date and there is a policy created that specifies who will ensure they remain current at all times.	VC for Finance	7/1/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	The removal of signatory authority access for terminating employees from University bank accounts was not completed timely. Of the nine employees that left their signatory role during fiscal year 2013, five were not removed immediately from University bank accounts. Three employees were removed within two weeks. Additional review of the two remaining employees revealed the following: <ul style="list-style-type: none"> • One UNT employee remained with signatory authority over two years after retiring from the University. • One HSC employee held signature authority for over ten months while not in a role to warrant that authority, as also identified in the recent Fiscal Year 2013 Investment Review (Audit No. 14-002 HSC). 	High	Recommended actions for the Vice Chancellor for Finance: Implement a System-wide policy specifying a responsible party to monitor University bank accounts for the prompt removal of individuals who no longer would have authorized banking signatory authority.	Management concurs with the recommendations that bank signatory authority is kept up to date and there is a policy created that specifies who will ensure they remain current at all times.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	UNT System, UNT, and UNT Dallas were not compliant with the records retention requirements outlined in 13 Tex. Admin. Code § 6.10 by not retaining historical signature cards. Signature cards for UNT, UNT Dallas, and UNT System bank accounts are shredded once they are superseded and not retained by UNT Financial Reporting personnel as required by the TAC.	Moderate	Recommended actions for the Vice Chancellor for Finance: Establish a process to ensure retention of signature cards, once superseded, through the end of the fiscal year and an additional three years in accordance with the state record retention requirements.	Management concurs with the recommendation and will ensure that policies, procedures, and processes are in place along with adequate staff training to retain records in compliance with The Texas State Records Retention Schedule.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	The Office of Financial Reporting & Operations discovered a University bank account which was being maintained at the department-level. In May of 2013, the UNT Financial Reporting personnel discovered the UNT's Federal Perkins Loans bank account was being managed in the Student Financial Aid and Scholarships Office.	Moderate	Recommended actions for the Vice Chancellor for Finance: Develop a UNT System policy that documents the authority and requirements to establish, maintain, update, and close bank accounts, which includes: <ul style="list-style-type: none"> • An annual confirmation verifying directly with the bank, all bank accounts bearing the name University of North Texas in their title, listed as their customer, or with a UNT tax ID number, and • A statement of where each entity's signature cards and policy statements are to be maintained. 	Management concurs with the recommendation to develop a policy that documents the authority and requirement to establish, maintain, update, and close bank accounts. The policy will be comprehensive and not only address items presented in recommendation 6 but those policy matters presented above.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Chancellor's and Presidents' Reviews Audit	UNT System	Certain services over a several year period provided to or paid on behalf of the former UNT President qualify as a non-cash fringe benefit and may be subject to taxation under Internal Revenue Code. Services provided to or paid on behalf of the President include rent, electricity, water and waste services, automobile, automobile insurance, lawn service, maid service, NTTA toll service, and residential telephone service among others.	High	It is recommended that the Associate Vice Chancellor for Business Services: Coordinate with the Office of General Counsel to evaluate whether certain services provided to or paid on behalf of the former UNT President qualify as fringe benefits subject to taxation under the Internal Revenue Code (IRC) and amend any prior period tax reporting, as required. Implementation will ensure compliance with Internal Revenue Code.	The UNT System Business Service Center agrees with the recommendation. The UNT System Business Service Center will coordinate with the UNTS Office of General Counsel to evaluate any taxation required for the services provided to or on behalf of the former UNT President. If required, a W-2C will be issued to the individual and the IRS for each calendar year as necessary.	Carol McFarland, Tax Accountant	5/30/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Chancellor's and Presidents' Reviews Audit	UNT System	Policies do not specifically require itemized business meal receipts in accordance with IRS requirements. Some of the receipts submitted for reimbursement of business meals were not itemized and did not identify the number of meals provided or the number of individuals served on the vendor receipt. However, in accordance with institutional policies, the Chancellor's and Presidents' Offices noted the names of the individuals that were served.	Moderate	<p>It is recommended that the Associate Vice Chancellor for Business Services:</p> <p>In coordination with the Business Services Operations Committee, develop and implement a comprehensive system-wide travel and expense policy that includes a requirement that individuals seeking reimbursement for business meals to submit itemized meal receipts from the vendor that either lists the meals or the number of individuals served in support of reimbursement requests. Further, this travel and expense policy should be comprehensive and ensure compliance with all IRS requirements for travel and expenditure reimbursements. Implementation of a requirement that itemized receipts for business meals be included with all reimbursement requests should assure any tax issues related to business meals are addressed and it will assure that only allowable expenses are processed against certain fund types. Further, implementation will outline all IRS requirements for travel and expenditure reimbursements.</p>	<p>The UNT System Business Service Center agrees with the recommendation.</p> <p>The BSC has submitted a draft travel management policy to the UNT System Administration for review. The standardized procedures outlining receipt requirements for business meals and meals while in a travel status will be updated in the Purchasing Guidelines and Travel Guidelines published on the BSC website to reflect this requirement.</p>	Debbie Reynolds, Executive Director of Procurement Services	5/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	<p>Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below:</p> <p>1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required.</p> <p>2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required.</p> <p>3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing:</p> <p>A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation.</p> <p>B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication service</p>	Moderate	<p>Recommendations for AVP of Research Administration at UNTHSC:</p> <p>Evaluate and improve the process for notifying:</p> <p>a) Principal Investigators of upcoming due dates, and b) Administration personnel when due dates have passed and a report has not been filed. Implementation will provide assurance that grant conditions for reporting requirements and allowable</p>	<p>Notifications: Progress Reports HSC currently distributes a 90 and 30 day courtesy notification to all Principal Investigators (PIs) for final progress reporting as part of the award close-out process. A copy of the report for the file is requested from the PI. For CPRIT awards, OGCM will enhance this process by tracking submission dates for quarterly and annual progress reports and sending an additional email reminder to the PI with a copy to the department chair if the PI has not submitted the progress report 30 days past the sponsor due date.</p> <p>Additional Comments: Progress reporting is the responsibility of the PI with the support of department administration. Progress reports do not require institutional level signatures. This PI responsibility is documented in university policies and procedures.</p> <p>Notifications: Financial Reports OGCM will set up milestones in EIS for all quarterly and final reporting periods and generate a monthly query to better track sponsor due dates. The query will be reviewed monthly by the Accountant and the Director of Grants and Contracts to provide better monitoring of sponsor due dates.</p> <p>Notifications: Effort Reports OGCM developed and implemented a new on-line effort reporting system in June 2014 with supporting policies and procedures. Campus training was completed February 2014. On-line tutorial training has been developed and will be</p>	Mazen Barakat, Director of Grants and Contract Management	9/30/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below: 1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required. 2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required. 3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing: A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation. B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication service	Moderate	Maintain supporting documentation in accordance with record retention guidelines to evidence the dates of required report submission as well as for funds expended on CPRIT grants. Implementation will provide assurance that grant conditions for reporting requirements and allowable	Maintain supporting documentation: Report Submissions For CPRIT awards, OGCM will request and maintain all quarterly and annual progress reports. OGCM already maintains all quarterly and final financial reports and final progress reports.	Mazen Barakat, Director of Grants and Contract Management	9/30/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below: 1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required. 2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required. 3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing: A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation. B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication service	Moderate	Remove telecommunication service charges from CPRIT grants. Implementation will provide assurance that grant conditions for reporting requirements and allowable	Remove Telecommunication Services Charges OGCM will remove the telecommunication service charge for \$20 from the CPRIT grant.	Mazen Barakat, Director of Grants and Contract Management	8/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	<p>Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below:</p> <p>1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required.</p> <p>2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required.</p> <p>3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing:</p> <p>A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation.</p> <p>B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication service</p>	Moderate	Work with CPRIT to resolve expended funds that could not be substantiated. Implementation will provide assurance that grant conditions for reporting requirements and allowable	Work with CPRIT to resolve expended funds that could not be substantiated OGCM will work with CPRIT to resolve the expended funds on the hourly paid individual for which we were unable to locate timesheets. Additional Comments: Human Resources (HR) was unable to locate timesheets for one hourly paid individual; however, through a written letter to OGCM, the Director of Human Resources indicated during the specific dates of the requested timesheets, the employees who maintained the timekeeping records were relocated to a new building on campus. The letter also indicates a filing system has been established at the new location that ensures future compliance with record retention requirements for timekeeping records in accordance to university policy.	Mazen Barakat, Director of Grants and Contract Management	12/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	UNT Endowment Review Audit	UNT	<p>The composition of the scholarship committee does not conform to requirements outlined in the Frank Bracken PLP Endowment MOU. The Director for Budget and Administration in the College of Business Dean's Office stated that "the committee does not fully meet the criteria included in the Gift Agreement." The conclusion was based on an email communication from an Administrative Coordinator in the Professional Leadership Program (PLP) College of Business, who described the composition of the Scholarship Committee as the Executive Director, the Assistant Director, and the Chairman of the PLP Advisory Board.</p>	Low	<p>Recommend for Director of the Professional Leadership Program (PLP):</p> <p>Reorganize the Frank Bracken PLP Endowment scholarship committee to include those individuals as prescribed by and agreed to in the Gift Agreement as follows:</p> <ul style="list-style-type: none"> • At least three (3) College of Business faculty members; • Representatives of the PLP Advisory Board; • PLP Community Partners, and • College of Business Administration staff. <p>Implementation will provided assurance of compliance with the gift agreement, and minimize the potential loss of endowment funds and other gifts, strained relations between donors and the University affecting future gifts, and negative publicity and damage to the University's reputation.</p>	We agree that the scholarship committee was not properly constituted in accordance with the MOU. Because of difficulty in convening such a large group, the PLP director will first meet with the donor to discuss revising the MOU to allow a more streamlined committee, and will document the outcome appropriately. Following that meeting, the PLP director will closely adhere to the current or revised MOU, as applicable, in organizing the scholarship committee with oversight by the Dean's office.	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Adjusting Journal Entry Investigation	UNT	The Net Position in the FY2012 and FY2013 Financial Statements could be Overstated by as much \$23 Million. – The former UNT Associate Vice President for Finance and Controller and the former Director of Financial Reporting and Operations were aware of the unreconciled differences and potentially uncollectible receivables prior to the issuance of the FY2012 and FY2013 UNT and UNTS financial statements. They directed and recorded this adjustment rather than valuating the validity of these differences as to whether they were true assets of the UNTS.	High	Develop and document a UNT Allowance for Doubtful Accounts Policy, based on historical receivable information, to establish guidelines for accurately estimating uncollectible amounts.	UNT/UNTS concur and will review the current UNT Allowance for Doubtful Accounts Policy in comparison to historical receivable collectability to ensure the Policy and related process results in an accurate estimate. Any required revisions to the current Policy will be completed before August 31, 2014. UNT/UNTS will periodically evaluate all receivables in light of this Policy to determine receivable collectivity and appropriate asset value. UNT/UNTS will also ensure all necessary action is taken relative to the referenced UNT adjusting journal entry and will recalculate the Allowance for Doubtful Accounts estimate presented in the FY 2013 UNT and UNTS consolidated financial statements to ensure the net accounts receivable balance was presented accurately. Any necessary adjustments to prior period UNT and UNTS consolidated financial statements will be completed by August 31, 2014.	Dan Stephens, Assistant Vice-Chancellor Finance/Controller	Original 08/31/14 Revised 08/31/16 Actual 08/16/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	The name of a former employee is listed as the contact on monthly statements	Moderate	Recommendation for the Chair of Finance, Insurance, Real Estate, and Law: Coordinate with the Vice President for Finance and Administration to correct the contact name on the monthly statement. Implementation will provide assurance that the current Vice President of Finance and Administration will be listed on the monthly statements and assist in assuring compliance with Section 3-2.	1. Management agrees. The chair of the FIREL department has scheduled a meeting for January 29, 2015 with the Vice President for Finance to discuss the issue.	The Chair of FIREL with assistance from the Vice President for Finance and Administration	1/29/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Construction Close-out Process Review	UNT System	Three construction project accounts associated with completed projects at UNT Dallas remain open with deficit balances totaling \$214,807. When a construction project has been determined to be substantially complete, this starts the beginning of the one year project warranty period. During this warranty period steps are usually taken by System Facilities to close the project by the end of the warranty period. However, this process has been delayed due to the deficit balances.	Low	Suggested Management Action for James Maguire, Vice Chancellor for Facilities Planning and Construction & Chief Architect: Work with UNT Dallas personnel and take appropriate steps to identify funding to cover the account deficits, and then close the open accounts associated with the construction of the buildings at UNT Dallas.	UNT System Facilities agrees with the report finding. 1)There are multiple accounts associated with the construction of the buildings at UNT Dallas. UNT System Facilities will meet with UNT Dallas budget personnel to identify appropriate expenditures that can be moved from deficit accounts to accounts with available funds and then assist them in the closing the associated accounts.	Don Lynch, Director of System Facilities Administration	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Construction Close-out Process Review	UNT System	Three construction project accounts associated with completed projects at UNT Dallas remain open with deficit balances totaling \$214,807. When a construction project has been determined to be substantially complete, this starts the beginning of the one year project warranty period. During this warranty period steps are usually taken by System Facilities to close the project by the end of the warranty period. However, this process has been delayed due to the deficit balances.	Low	Suggested Management Action for James Maguire, Vice Chancellor for Facilities Planning and Construction & Chief Architect: Develop procedures and controls to assure that construction accounts are closed in a timely manner and expenditures cannot be charged to accounts that will result in deficit spending. Implementation will ensure that UNT Dallas project accounts are closed and the deficit spending is addressed.	UNT System Facilities agrees with the report finding. 2)At the end of a project warranty period, UNT System Facilities will close all associated general ledger project accounts out within 12 months. In addition, a project close out checklist will be developed documenting the action steps taken to close the project and the date completed.	Don Lynch, Director of System Facilities Administration	1/31/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	JAMP Review	UNT	Based on the results of the procedures performed, processes and controls related to JAMP financial activity appear to be effective and functioning as intended. Expenditures were in compliance with the JAMP Agreement and JAMP Expenditure Guidelines. In addition, the final FY 2013 JAMP Expenditure Report prepared by the Office of Research Services and submitted to the JAMP Council was accurate. Expenditures for fiscal year 2013 totaled \$16,135; resulting in \$677 in unspent funds. These funds are in the process of being returned to the JAMP Council.	NA	None	NA	NA	NA	NA
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-01 Safety: Chemical Safety: Respiratory Protection Program - During the consultation, SORM noted that according to their Safety Data Sheets, chemicals being used on campus have been assigned OSHA Permissible Exposure Limits and/or ACGIH Threshold Limit Values. However, no testing has been conducted to determine the level of the employees' exposure to these hazards.	NA	SORM recommends that UNTHSC measure the levels that the employees are exposed to. Based on the results of the testing, an OSHA-compliant respiratory protection program may need to be implemented.	We will partner with our School of Public Health to perform exposure assessments on employees.	Matthew Moncus, Director, Safety Office	9/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-02 Safety: Fire Safety: Sprinkler System Maintenance - During the consultation, SORM noted that UNTHSC has a functional sprinkler system in most of the buildings on campus. Annual maintenance is being conducted by a third-party vendor. Upon review, some of the quarterly tasks listed in NFPA-25 are not listed on the vendor-provided checklists, and therefore, are not being completed.	NA	SORM recommends that UNTHSC work with the third-party vendor and the UNTHSC maintenance personnel to ensure that all inspections, testing, and maintenance of the sprinkler systems conform to NFPA-25. If the vendor's procedures are out of compliance with this standard, SORM recommends that the university consider terminating the contract with this vendor as soon as possible, and contracting with a vendor who will comply with the standard.	We will meet with the vendor and discuss inspection procedures, requirements, and evaluate if the vendor can meet our needs. If they cannot we will begin the process of selecting a new vendor.	Matthew Moncus, Director, Safety Office	6/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-03 Safety: Hazard Communication: Eyewash Nozzle Caps (EAD Building) - SORM noted during the consultation that required nozzle caps on eyewash stations in the EAD Building were missing. Without these nozzle caps, dust and other debris can present an additional hazard to an employee flushing their eyes from a chemical exposure.	NA	SORM recommends that UNTHSC replace the required nozzle caps, as per the OSHA and ANSI standards.	Submitted work orders to have the nozzle caps replaced with a type that is not easily broken.	Matthew Moncus, Director, Safety Office	5/13/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-04 Safety: Fire Safety: GFCI (Electronic Water Fountain) - SORM noted during the consultation that an electronic water fountain in the library was not protected by a Ground Fault Circuit Interrupter, as required by the National Electrical Code.	NA	SORM recommends that UNTHSC provide this protection, either in the receptacle or on the circuit breaker.	Work order has been submitted to replace all outlets near water fountains with GFCI outlets.	Matthew Moncus, Director, Safety Office	6/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-05 Safety: Fire Safety: Standpipe Cap - SORM noted during the consultation that a standpipe in front of the cooling towers on Montgomery Street was missing one of its required caps. Without the required cap, debris may accumulate in the hose connection such that the system may malfunction.	NA	SORM recommends that UNTHSC replace this cap, as per the NFPA standard.	A work order has been issued to replace the cap.	Matthew Moncus, Director, Safety Office	5/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-06 Safety: Fire Safety: Sprinkler Heads - SORM noted during the consultation that two sprinkler heads in the EAD Building (one on the fourth floor, one on the fifth floor) were covered in dirt and debris. One sprinkler head on the fifth floor was ingressed into the ceiling tile. In these conditions, these sprinkler heads will not function as designed by the manufacturer, and thereby present a fire hazard.	NA	SORM recommends that UNTHSC repair these sprinkler heads, ensure that all inspections are done according to NFPA-25, and promptly correct any deficiencies once they are noted.	We will inspect the sprinkler heads more thoroughly and correct the deficiencies found. The Safety Office will assist in inspections to provide greater oversight in this task. A work order has been placed to repair the items observed during the inspection.	Matthew Moncus, Director, Safety Office	8/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-07 Safety: Fire Safety: Electrical Panelboard - SORM noted during the consultation that an electrical panelboard in the Internal Audit Building was missing a required knockout, thereby creating a fire hazard.	NA	SORM recommends that UNTHSC insert the required knockout, as per the National Electrical Code.	A work order has been submitted to replace the knockout in the panel.	Matthew Moncus, Director, Safety Office	5/31/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNTHSC	15-04-08 Safety: Fire Safety: Exit Sign - SORM noted during the consultation that an exit sign on the 5th floor of the MET was incorrectly indicating a path of travel.	NA	SORM recommends that UNTHSC correct this sign to properly direct the flow of traffic in an emergency.	A work order has been submitted to change the signage.	Matthew Moncus, Director, Safety Office	5/31/2015	Closed
External	Counsel on Education for Public Health Accreditation Committee	Fiscal Year 2015	Governance and Regulatory Compliance	National CEPH Certification	UNTHSC	Accreditation approved through 12/31/2022.	NA	None	NA	NA	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System - University of North Texas Health Science Center Benefits Funding Proportionality Analysis University of	UNTHSC	Based on the methodology used, the analysis identified no excess benefit expenditures or ineligible salary expenditures reimbursed paid to UNTHSC. Additionally, the AY2012 & AY2013 Accounting Policy Statement 011 forms submitted by UNTHSC were reviewed with no material issues identified.	NA	None	NA	NA	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Benefits Funding Proportionality Analysis University of	UNT System	Based on the methodology used, the analysis identified no excess benefit expenditures or ineligible salary expenditures reimbursed to UNTS.	NA	None	NA	NA	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System - University of North Texas at Dallas Benefits Funding Proportionality Analysis University of	UNT Dallas	The following exceptions were identified through the analysis of the appropriation year 2012 APS 011 form submitted to the TXCPA and should be discussed with TXCPA for any required remediation steps: · The appropriated amount for TRS expenditures through Fund 0001 was not included in Section 2.c of the finalized form. This amount was recorded as \$0.00 instead of \$353,077.69. · The TRS expenditure component of the local funds adjustment section of the APS 011 was reported as \$41,430.00 instead of \$394,507.69, which resulted in the GR-D local funds adjustment in Section 1 being reported as (\$166,137.00) instead of (\$210,107.00).	NA	None	NA	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Compliance with Generally Accepted Accounting Principles (GAAP): The process related to the preparation of the combined financial statements and related footnotes is not well defined and documented and does not require a detailed review and verification of financial information to substantiate the accuracy and completeness of the information presented. As a result, there is a risk that information is not properly presented or disclosed in accordance with GAAP. Some of the specific issues noted throughout this report point to specific errors identified, however there is a risk that other errors in the financial statements may exist and should be addressed to determine the proper presentation in accordance with GAAP.	High	Implement a process to validate financial statements are prepared and presented in accordance with GAAP. This should include implementing a process for proper detailed review by management of the financial statements. This process should include: -The definition of roles and responsibilities relative to the preparation and review of the financial statements; -The use of a footnote disclosure checklist to evaluate relevant footnotes are included; and -A detailed review of schedules supporting the financial statements, including the cash flow statement, the footnotes to the financial statements, and the management discussion and analysis. · Independently review the detail of the consolidation working papers for the financial statement line items and related footnotes for the fiscal year 2013 financial statements to identify errors or missing disclosures. · Perform an analysis of the Chart of Accounts to deactivate unnecessary or unused accounts, and implement procedures to review the Chart of Accounts on a periodic basis.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Financial Statement Integrity Thread and Account Reconciliation and Validation Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Compliance with Generally Accepted Accounting Principles (GAAP): The process related to the preparation of the combined financial statements and related footnotes is not well defined and documented and does not require a detailed review and verification of financial information to substantiate the accuracy and completeness of the information presented. As a result, there is a risk that information is not properly presented or disclosed in accordance with GAAP. Some of the specific issues noted throughout this report point to specific errors identified, however there is a risk that other errors in the financial statements may exist and should be addressed to determine the proper presentation in accordance with GAAP.	High	Independently review the detail of the consolidation working papers for the financial statement line items and related footnotes for the fiscal year 2013 financial statements to identify errors or missing disclosures.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Financial Statement Integrity Thread and Account Reconciliation and Validation Thread.	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Compliance with Generally Accepted Accounting Principles (GAAP): The process related to the preparation of the combined financial statements and related footnotes is not well defined and documented and does not require a detailed review and verification of financial information to substantiate the accuracy and completeness of the information presented. As a result, there is a risk that information is not properly presented or disclosed in accordance with GAAP. Some of the specific issues noted throughout this report point to specific errors identified, however there is a risk that other errors in the financial statements may exist and should be addressed to determine the proper presentation in accordance with GAAP.	High	Perform an analysis of the Chart of Accounts to deactivate unnecessary or unused accounts, and implement procedures to review the Chart of Accounts on a periodic basis.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Financial Statement Integrity Thread and Account Reconciliation and Validation Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Inadequate Financial Reporting and Accountability Practices: Recent finance organizational changes, such as personnel departures, have left the finance organization without consistent leadership and process accountability.	High	Perform personnel assessments to determine whether knowledgeable employees with requisite higher education and governmental accounting and financial reporting experience are assigned to critical financial reporting positions. In addition, management should consider its current hiring practices in the evaluation, including minimum requirements for supervisory/managerial positions in order to promote accountability of financial processes.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Change Management and Governance Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Undocumented or Insufficiently Established Financial Policies and Procedures: While some financial policies and procedures have been established, there is currently no formal process in place to review, revise, and evaluate these guidelines on a periodic basis to facilitate applicability and pertinence and determine that they are consistently applied across the component institutions. In addition, the lack of formal review over policies and procedures subjects UNTS to potential non-compliance with GAAP, as well as regulatory and compliance requirements.	High	Institute an initiative to fully inventory and review existing financial policies and procedures. Additionally, consideration should be given, as part of this review, to determine whether policies and procedures fully meet management's intention and are in accordance with GAAP. A formal review process should be established to confirm policies and procedures are reviewed on periodic basis going forward (at least annually).	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, management has identified financially significant policies that are currently being drafted within the Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Improper Segregation of Duties (SOD) Between Job Responsibilities: Current practices indicate that measures to prevent or detect SOD conflicts have not been established by management. This includes preventative or detective measures within applications, business process, and recording of transactions to the general ledger.	High	Management should promptly establish policies and procedures to prevent the assignment of conflicting job duties. Consideration should be given to personnel job duties within individual applications, between applications, and manual activities performed outside of an application. Additionally, an initiative should be instituted to analyze current job responsibilities in order to identify and terminate SOD conflicts, including canceling system access for personnel that are no longer employed by UNTS or do not require access to particular application roles based on their job responsibilities.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and IT Alignment Thread.	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	<p>Untimely, Incomplete, and Inaccurate Account Reconciliation Management</p> <p>Practices: Management of the account reconciliation process does not provide proper oversight of the accuracy of UNTS's general ledger and the financial statements.</p> <p>Specifically:</p> <ul style="list-style-type: none"> · Account balances were not reconciled as of August 31, 2013; · The balances on the reconciliations did not agree to the general ledger and, if applicable, respective subsidiary ledgers; · The reconciliations were not reviewed in detail; · Reconciling items were not researched and cleared on a timely basis; and · The reconciliations were not performed on a timely basis. 	High	<p>Management should promptly establish procedures governing account reconciliation practices to confirm significant accounts are reconciled completely and on a timely basis. In addition, management should issue guidance on researching and resolving reconciling differences to confirm that such differences are investigated for proper accounting treatments. Management should also consider implementing processes to require a supervisor or manager with requisite knowledge of the account to review the reconciliation for completeness and accuracy, as well as standardize and define an appropriate account reconciliation.</p>	<p>Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Account Reconciliation and Validation Thread.</p>	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	<p>Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result:</p> <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	<p>Promptly implement the following practices: Require that proper documentation be maintained with journal entries with financial reporting office.</p>	<p>Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.</p>	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	<p>Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result:</p> <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	<p>Perform an analysis of journal entries recorded in FY2013 and FYE 2014 to date to identify errors in reporting.</p>	<p>Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.</p>	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Configure PeopleSoft to enforce that bookkeepers and approvers can only post/approve journal entries into the specific accounts to which they are assigned. Management should regularly review the list of accounts for which each bookkeeper is authorized to create entries.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Configure PeopleSoft so that approvers cannot approve their own entries.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Establish a formal written policy that disallows approvers from approving their own entries and/or from creating entries, sending them to a bookkeeper to place into PeopleSoft, and then approving them.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Establish formal written policies that require entries to be reviewed by someone at least one level higher than their original creator.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Establish dollar amount thresholds that each level of bookkeeper can create, as well as the minimum level of review required prior to posting.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time a transaction occurred. 	High	Restrict the preparation and review of journal entries to individuals with financial accounting and reporting responsibilities.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Undocumented Business Processes: UNTS has not maintained written documentation for certain business processes identified as key by UNTS management. Management cannot efficiently identify, nor do they have sufficient documentation on, the significant flow of transactions, including ownership of the processes impacting its components and the consolidated financial statements.	High	Implement an initiative to document business processes to validate that current documentation is properly prepared and maintained.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread.	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Undocumented Business Processes: UNTS has not maintained written documentation for certain business processes identified as key by UNTS management. Management cannot efficiently identify, nor do they have sufficient documentation on, the significant flow of transactions, including ownership of the processes impacting its components and the consolidated financial statements.	High	Additionally, management should consider preparing desired end-state documentation, such as narratives and graphical process flows, as part of its finance transformation objectives to address identified process gaps.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Ineffective Internal Control Design and Implementation: There are currently no governing practices to determine proper internal controls over financial reporting have been established by UNTS management to meet management's financial reporting assertions. Additionally, upon comparison of UNTS's current internal control environment to industry leading practices, considerable gaps in the design and implementation of internal controls needed to facilitate the preparation of accurate and reliable financial reporting were identified.	High	Implement an initiative to re-engineer business processes to verify internal controls over financial reporting are appropriately identified, implemented, and monitored by leveraging a risk-based assessment methodology. As part of this initiative, management should determine that internal controls for the key processes identified by UNTS management meet the circumstances for its financial statement assertions. Management should consider adopting the Committee of Sponsoring Organizations of the Treadway Commission (COSO) Internal Control-Integrated Framework as their basis for implementing effective internal controls.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Mock Audit Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Improper Design of Information Technology Controls: Management currently has internal control design gaps in the database security procedures supporting the PeopleSoft Financials application. Security administration roles have not been fully and formally defined, and the logging and review of security events are not performed. Additionally, management has not performed a review of the following applications related to financial statement audit: Blackbaud; HSC Health – UNT Health Epicor; Dining Services; Facilities; Telecom – MySoft; and Residential Management System (Housing).	Moderate	Implement a unified General Information Technology Controls (GITCs) framework for applications, databases, and operating systems that directly or indirectly impact the financial statements.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the IT Alignment Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Improper Design of Information Technology Controls: Management currently has internal control design gaps in the database security procedures supporting the PeopleSoft Financials application. Security administration roles have not been fully and formally defined, and the logging and review of security events are not performed. Additionally, management has not performed a review of the following applications related to financial statement audit: Blackbaud; HSC Health – UNT Health Epicor; Dining Services; Facilities; Telecom – MySoft; and Residential Management System (Housing).	Moderate	Management should perform a similar review of financially significant applications to assess the design and implementation of GITCs outside of PeopleSoft.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the IT Alignment Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Continuous Accounting and Technical Training for Financial Reporting Personnel: Financial reporting office staff and management receive insufficient training on accounting methodologies, generally accepted accounting principles, financial reporting, internal controls, PeopleSoft, and the application of policies and procedures.	High	Research and implement regular financial reporting office-wide trainings for staff and managers on GAAP, Texas accounting code, internal controls, PeopleSoft, and other pertinent issues. Management should foster a culture of learning and continuous improvement.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Change Management Thread.	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Grant Thornton	Fiscal Year 2015	Finance	Consolidated Annual Financial Report of the University of North Texas System	UNT System	In our opinion, based on our audit and the report of the other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and the discretely presented component unit of the System as of August 31, 2014, and the respective changes in financial position and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.	NA	None	NA	NA	NA	NA
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Report on the Schedule of Expenditures of State Awards	UNTHSC, UNT	In our opinion, the financial statement referred to above presents fairly, in all material respects, the expenditures of state awards for the CPRIT program of the University for the years ended August 31, 2013 and 2014, in accordance with accounting principles generally accepted in the United States of America.	NA	None	NA	NA	NA	NA
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) program Report on Compliance for Cancer Prevention & Research Institute of Texas Financial Assistance Program	UNTHSC, UNT	As a result of our audit, we noted that the University had incomplete support for four out of the twenty-two and one out of twenty-five judgmentally selected expenditures for fiscal years 2013 and 2014, respectively. To be allowable under State awards, costs must have complete and adequate documentation.	NA	We recommend that the University maintain supporting documentation in accordance with record retention guidelines to evidence that funds were properly expended relative to all CPRIT grants. We also recommend that the University work with the grantor agency to resolve expended funds that could not be substantiated.	Management agrees with the recommendation and will work with the Principal Investigators (PIs) and department administrators with CPRIT awards to review procedures for tracking and retaining appropriate documentation for participant incentive expenditures.	NA	NA	Closed
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) program Report on Compliance for Cancer Prevention & Research Institute of Texas Financial Assistance Program	UNTHSC, UNT	As a result of our audit, we noted that the University was reimbursed for one travel related expenditure, in which the travel did not occur, out of the twenty-five expenditures judgmentally selected for testing. The University did not subsequently reimburse CPRIT for the expenditure.	NA	We recommend that the University implement controls that will identify all grant related travel credits so that they may be applied to the grant department. Any credits should be refunded in the financial status report.	BSC identified this problem and has changed the procedure to ensure payments are only made against actual receipts on rental vehicles. The Office of Grant and Contract Management is in the process of requesting a refund check to send to CPRIT.	NA	NA	Closed
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) program Report on Compliance for Cancer Prevention & Research Institute of Texas Financial Assistance Program	UNTHSC, UNT	As a result of our audit, we noted that one employee listed on the FY 2014 Time and Effort Report was not included in the Personnel Level of Effort in the approved budget. Additionally, we noted two Research Assistants were not included in the approved Personnel Level of Effort budget.	NA	We recommend that the University review their policies and procedures to inform CPRIT of any changes made in personnel to the original approved grant budget. All employees who dedicate time to the project should either be included in the Personnel Level of Effort section of the approved grant budget or communicated to and approved by CPRIT.	Management agrees with the recommendation and will work with the PIs and department administrators to review procedures for managing the Personnel Level of Effort budget.	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2014 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2014 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Re-class all amounts listed on line 26 (equipment, uniforms and supplies) under Non-Program Specific report appropriately. Per the NCAA there should be no amounts on this line item for the Non-Program Specific report.	None	NA	NA	Closed

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External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2014 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2014 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Re-class all amounts listed on Line 25 (Team Travel) under department ID 60800 and 60816 in the Non-program Specific report to Line 35 (Other Operating Expenses).	None	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2014 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2014 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Provide explanations for the highlighted variances on each attached report. If any items need to be re-classified after examination of the variances please do so accordingly and re-submit the appropriate report(s) to our firm.	None	NA	NA	Closed
External	State Auditor's Office	Fiscal Year 2015	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2014	UNT	<p><u>Cost of Attendance</u>: Eligibility - Cost of Attendance - For 28 (47 percent) of 60 students tested, the University of North Texas (University) incorrectly or inconsistently calculated COA. Specifically, the University included loan fees for Direct PLUS Loans in the COA budget for all dependent students, regardless of whether those students received that type of loan. The University does not have a process to remove the loan fees from the COA budget if a student does not accept a Direct PLUS loan.</p> <p>Because the University included loan fees for those students, it over awarded financial assistance to 3 of those 28 students.</p> <p>Not removing Direct PLUS loan fees from COA when necessary could result in higher COA budgets and increases the risk of over awarding financial assistance.</p>	NA	<p>The University should:</p> <p>- Include loan fees in COA only for students who receive loans.</p>	<p><u>Cost of Attendance</u> Management made changes to include loan fees in the COA budget only for students who receive loans. Implementation Date: August 2014 Responsible Persons: Dena Guzman-Torres and Lacey Thompson</p>	Dena Guzman-Torres and Lacey Thompson	8/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Auditor's Office	Fiscal Year 2015	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2014	UNT	<p><u>Satisfactory Academic Progress</u> : The University's SAP policy does not meet all federal requirements. As a result, for 6 (11 percent) of 54 students tested, the University did not correctly determine their SAP status. The University incorrectly disbursed financial assistance to five of the six students tested who did not meet SAP requirements.</p> <p>Having a policy that allows students to progress through their program at a pace that does not ensure that they will graduate within the maximum time frame increases the risk of federal assistance being disbursed to ineligible students.</p> <p>In addition, the University's SAP policy is less strict than its academic policy for graduate students. In addition, the University's SAP policy is less strict than its academic policy for graduate students.</p>	NA	<p>The University should:</p> <p>- Ensure that its SAP policy meets federal requirements by calculating the quantitative pace requirement on a cumulative basis, rather than an annual basis; ensuring that the policy requires students to graduate within the maximum time frame; and making the policy at least as strict as its academic policy.</p>	<p><u>Satisfactory Academic Progress</u> Management made changes to its SAP policy to meet federal requirements by calculating the quantitative pace requirement on a cumulative basis to ensure students graduate within the maximum time frame. For graduate students, management made changes to the policy to make it at least as strict as UNT's academic policy.</p>	Dena Guzman-Torres and Lacey Thompson	8/1/2014	Closed
External	State Auditor's Office	Fiscal Year 2015	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2014	UNT	<p>For 1 (3 percent) of 40 students tested, the University of North Texas (University) did not correctly verify all required information on the student's FAFSA and did not correct student ISIR information when required. The University incorrectly categorized Social Security benefits as untaxed income for that student, which resulted in an overstatement of the student's EFC. That error occurred as a result of a manual error in the University's verification process. When auditors brought that issue to the University's attention, it removed the Social Security benefits as untaxed income and submitted corrections to the student's ISIR. Not properly verifying FAFSA information can result in the University over awarding or under awarding student financial assistance.</p>	NA	<p>The University should accurately verify all required FAFSA information for students selected for verification and request updated ISIRs when required.</p>	<p>Management made changes to accurately categorize Social Security benefits for students selected for verification. Management corrected the ISIR information for the one student.</p>	Dena Guzman-Torres and Lacey Thompson	12/1/2014	Closed
External	State Auditor's Office	Fiscal Year 2015	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2014	UNT	None	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2015	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2014	UNT	NA	NA	None	NA	NA	NA	NA
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	COOP Plan Evaluation	UNTHSC	<p>COOP-15-01 Continuity of Operations (COOP) Plan - Emergency Operations procedures are incorporated throughout the University's COOP Plan. A COOP Plan should be a stand-alone plan.</p>	NA	<p>UNTHSC should have a separate Emergency Operations Plan to respond to and recover from an emergency. The primary goal of continuity is the continuation of essential functions during all-hazards emergencies or other situations that may disrupt normal operations.</p>	<p>Greater distinction will be made between the COOP and the EOP.</p>	Brandi Lara, Associate Director of Emergency Management and Business Continuity	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	COOP Plan Evaluation	UNTHSC	<p>COOP-15-02 Emergency Relocation Group (ERG) - UNTHSC should identify alternates for the ERG.</p>	NA	<p>UNTHSC should identify alternates for the ERG. For key positions and leadership, Orders of Succession should be used instead of alternates. Also, ERGs should be informed of and officially accepted their roles and responsibilities, in writing.</p>	<p>The terminology has been changed and Orders of Succession has been implemented.</p>	Brandi Lara, Associate Director of Emergency Management and Business Continuity	8/31/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	COOP Plan Evaluation	UNTHSC	COOP-15-03 Consideration should be given to the University of North Texas System Enterprise COOP to include all campuses.	NA	In the future, the University of North Texas may want to consider creating an enterprise COOP Program to include all campuses. Uniform standards would assist in limiting redundancy and creating an effective model for the system and its campuses.	This has been discussed between the campus emergency managers, but the System does not have a position responsible for coordination of a COOP program.	Matthew Moncus, Director, Safety Office	2/1/2016	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT Dallas	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The University must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <ul style="list-style-type: none"> Personnel transactions are timely when they are successfully reported to HRIS on or before the seventh day of the month following their effective date. 	The University agrees with this finding and requirements. HRIS reporting is managed by the payroll area in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, the delayed reporting issue was corrected shortly after the system conversion was complete. New and existing employees are receiving training to ensure timely reporting is maintained.	Mary Davis, Director of Payroll	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT Dallas	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The University must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <ul style="list-style-type: none"> Payroll transactions are timely when they are reported and posted by the seventh day of the month following their payment date. 	The University agrees with this finding and requirements. HRIS reporting is managed by the payroll area in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, the delayed reporting issue was corrected shortly after the system conversion was complete. New and existing employees are receiving training to ensure timely reporting is maintained.	Mary Davis, Director of Payroll	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT Dallas	Security: One employee who retained the security to expend funds after authority expired.	NA	The University must ensure that the person responsible for sending these requests to the Comptroller's office is aware of the designated employee's termination or revocation on or before the date the termination or revocation becomes effective. The University must also follow through with the Comptroller's office to ensure receipt of the request and removal of the employee's security.	The University agrees with this finding and recommendation. Despite UNT Dallas promptly initiating internal notices of terminated employees via an electronic payroll request, there was a breakdown of automatic electronic communication between the campus and UNT System which has since been remediated. Furthermore, the USAS security processing for all employees under the UNT System will be formally centralized by Sept. 1, 2015. The formalization of centralization will allow for improved communication and monitoring of employee terminations or revocations. Processes within the System will be established to ensure confirmation is received from the Comptroller's office after revocation requests are submitted and matched with employee terminations or USAS revocations.	Randall J. Saxon, Senior Director UNT System Business Support Services	9/1/2015	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNTHSC	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The Center must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <ul style="list-style-type: none"> Personnel transactions are timely when they are successfully reported to HRIS on or before the seventh day of the month following their effective date. 	The UNT Health Science Center agrees with this finding and requirements. HRIS reporting is currently managed by the Payroll Department in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, it is important to note that the delayed reporting issue was corrected shortly after the system conversion was complete and all employees (new and existing) continue to receive ongoing training to ensure timely reporting is maintained.	Mary Davis, Director of Payroll	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNTHSC	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The Center must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <ul style="list-style-type: none"> Payroll transactions are timely when they are reported and posted by the seventh day of the month following their payment date. 	The UNT Health Science Center agrees with this finding and requirements. HRIS reporting is currently managed by the Payroll Department in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, it is important to note that the delayed reporting issue was corrected shortly after the system conversion was complete and all employees (new and existing) continue to receive ongoing training to ensure timely reporting is maintained.	Mary Davis, Director of Payroll	NA	Closed
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Governance and Regulatory Compliance	Compliance Audit of Formula Funding (Division of Enrollment)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	CPRIT Grant financial and compliance audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	OneStar	Fiscal Year 2015	Governance and Regulatory Compliance	OneStar financial and compliance audit (Federal) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Academic and Students	College Readiness Grant financial audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Academic and Students	College Access Challenge Grant financial audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Governance and Regulatory Compliance	Sandia National Lab (Federal) financial and compliance audit (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Provide Direct Institutional Support budget vs actual figures for the year ended August 31, 2015 and explain any variances above 10% and \$50,000.	None	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Confirm the placement of Medical Expenses and Insurance is in line with NCAA and University standards and best practices.	None	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Provide explanations for any variances that exceed 10% and \$50,000. If any items need to be reclassified after examination of the variances, please do so accordingly and re-submit the appropriate reports.	None	NA	NA	Closed
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Confirm the placement of all NCAA distributions is in line with NCAA and University standards and best practices.	None	NA	NA	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts were found.	NA	Confirm no Prepaid Expenses exist for FY2016 that need to be moved to FY2015.	None	NA	NA	Closed
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement - Project #138980111.2.6	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement - Project #138980111.1.7	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement - Project #138980111.1.8	NA	Possible Plan Modification: Provider (HHSC) should consider revising the language for the goal I-18.3 to make clear they are reporting on individuals. NOTE: HHSC completed revision.	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement - Project #138980111.1.4	NA	None	NA	NA	NA	NA
External	Booze-Allen-Hamilton	Fiscal Year 2015	Governance and Regulatory Compliance	National Science Foundation (NSF) Desk Review of all NSF Awards (OGCA)	UNT	NA	NA	None	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Incorrect payment of accrued vacation time.	NA	<p>We recommend the System enhance its internal controls to prevent incorrect payments of accrued vacation time.</p> <p>The System should consider recovering the amount of overpayments in accordance with Texas Government Code, Chapter 666, unless it determines it is not cost effective to do so. In addition, the System must compensate the employee for the underpaid amount.</p>	<p>The UNT System Administration agrees with this finding and requirements. During the time period audited, the Payroll Department was in a stage of transition to a centralized, shared service organization established to provide payroll services to all UNT System institutions.</p> <p>The UNT System is also currently undergoing a major financial transformation to review all financial-related processing activities throughout all institutions. All payroll processing activities are being reviewed to establish best practices and controls that will help minimize errors in the future.</p> <p>Vacation payouts were calculated using an annualized approach. The underpayment error identified an unknown weakness in this approach and therefore identified a need to change the methodology, which has since been made. Also, under the historical practice, individual vacation payout calculations were completed with no review. A new process has been implemented that provides for a secondary review of payout calculations.</p> <p>The two overpayments that were the results of human error were analyzed to determine the cost/benefit for attempting to collect overpayments from past employees.</p>	Abdul Mohammad, Senior Director of Operations	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Incorrect longevity payment amount.	NA	<p>The System should verify months of service data for its employees and enhance its internal controls to prevent incorrect longevity payment amounts.</p> <p>In addition, the System should verify all personnel files and ensure that prior state service is properly verified and documented for its employees.</p>	<p>The UNT System Administration agrees with this finding and requirements. During the time period audited, the Human Resources Department was in a stage of transition to a centralized, shared service organization established to provide HR related services to all UNT System institutions.</p> <p>The UNT System is currently undergoing a major financial transformation to review all financial-related processing activities throughout all institutions. Longevity processing is being reviewed to establish best practices and controls that will help minimize errors in the future.</p> <p>The Human Resources Department will finalize implementation of an automated process that calculates state service date and create a Prior State Service web page on our Human Resources website to provide each employee with general information about Prior State Service and prior state service periods we have on record.</p> <p>The overpayment amounts identified during the audit were collected from the employees.</p>	Luis Lewin, Associate Vice Chancellor Human Resources	Original 09/01/2016 Revised 9/1/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The System must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <ul style="list-style-type: none"> Personnel transactions are timely when they are successfully reported to HRIS on or before the seventh day of the month following the effective date. 	The UNT System Administration agrees with this finding and requirements. HRIS reporting is currently managed by the Payroll Department in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, it is important to note that the delayed reporting issue was corrected shortly after the system conversion was complete and all employees (new and existing) continue to receive ongoing training to ensure timely reporting is maintained.	Abdul Mohammad, Senior Director of Operations	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The System must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <ul style="list-style-type: none"> Payroll transactions are timely when they are reported and posted in HRIS by the seventh day of the month following the payment date. 	The UNT System Administration agrees with this finding and requirements. HRIS reporting is currently managed by the Payroll Department in the UNT System Controller's Office. The payroll system was upgraded to a new version of PeopleSoft during the time period of the review. Concurrently, the department experienced significant turnover in staffing and is now stabilized. However, it is important to note that the delayed reporting issue was corrected shortly after the system conversion was complete and all employees (new and existing) continue to receive ongoing training to ensure timely reporting is maintained.	Abdul Mohammad, Senior Director of Operations	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Security: <ul style="list-style-type: none"> Four employees who retained the ability to expend funds after termination. 	NA	The System must ensure that the person responsible for sending the Comptroller's office the notifications is aware of the designated employee's revocation on or before the date the revocation becomes effective. The System must also follow through with the Comptroller's office to ensure receipt of the request and removal of the employee's security.	The UNT System Administration agrees with this finding and requirements. The process and oversight of managing approvers for expenditures was placed under scrutiny and a new centralized tracking process has been identified to improve controls in this area. This new centralization process will be implemented next fiscal year (beginning Sept. 1, 2015) to better monitor employee terminations and remove expenditure authorization in a timely manner. Future system enhancements are planned to include automated notification of employees terminating who have senior level authority for expenditure approvals and access to critical systems, including USAS, HRIS, banking and internal systems. The UNT System Administration will also work closely with the State Comptroller's Office to confirm receipt of requests related to terminating access in the future.	Joey Saxon, Senior Director UNT System Business Support Services	12/31/2015	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Security: • One employee who retained the security to expend funds after authority expired.	NA	The System must ensure that the person responsible for sending the Comptroller these notifications is aware of the designated employee's revocation on or before the date the revocation becomes effective. The System must also follow through with the Comptroller to ensure the receipt of the notification and that the removal of the employee's security occurs.	The UNT System Administration agrees with this finding and requirements. The process and oversight of managing USAS access was placed under scrutiny and a new centralized tracking process has been identified to improve controls in this area. This new centralization process will be implemented next fiscal year (beginning Sept. 1, 2015) to better monitor employee terminations and remove access in a timely manner. Future system enhancements are planned to include automated notification of employees terminating who have senior level authority for expenditure approvals and access to critical systems, including USAS, HRIS, banking and internal systems. The UNT System Administration will also work closely with the State Comptroller's Office to confirm receipt of requests related to terminating access in the future.	Joey Saxon, Senior Director UNT System Business Support Services	12/31/2015	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Internal Control Structure: Two employees can adjust payment instructions in the Texas Identification Number System (TINS) and approve paper vouchers.	NA	The System should periodically review the controls over expenditure processing and segregate each task to the extent possible to ensure that no individual is able to process payments without oversight.	The UNT System Administration agrees with this finding and requirements. The UNT System is also currently undergoing a major financial transformation to review all financial related processing activities throughout all institutions. All USAS, TINS and signature card processing activities are being reviewed to establish best practices and controls that will help minimize errors in the future.	Joey Saxon, Senior Director UNT System Business Support Services	12/31/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	UNT Facilities Certification Review	UNT	Based on the results of procedures performed, we concluded the projects and acquisitions of real property submitted to Texas Higher Education Coordinating Board (THECB) received required approvals, re-approvals or review, and were completed in accordance with rules established by the Texas Administrative Code and within the parameters specified in the project applications that were submitted to THECB.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	UNT Presidents' Expenditures	UNT	Travel reimbursements were not reviewed and approved by the Chancellor as required by the terms of the employment agreements. Instead, travel reimbursements were reviewed and approved by Vice President for Finance or the Vice President for Research. We discussed this observation with management and prior to the end of our work, management changed this practice and now all vouchers are approved by the Chancellor.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Chancellor's Expenditures Review	UNT System	None	NA	None	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	HSC Presidents' Expenditures Review	UNTHSC	Auditors reviewed purchases made via the eProcurement (EPro) process and with the purchasing card (PCard) for fiscal year 2014. The results disclosed that PCard reconciliations did not contain a reconciler signature. This observation was discussed with management during the review, who agreed to take the PCard refresher training course offered by the BSC and that future expense reports generated by the Citibank Global Management System are prepared and will include cardholder, reconciler and approver signatures.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	UNT Dallas President's Expenditures Review	UNT Dallas	Auditors reviewed purchases made via the eProcurement (EPro) process and with the purchasing card (PCard) for fiscal year 2014. The results disclosed that PCard reconciliations did not contain a reconciler signature. This observation was discussed with management during the review, who agreed to take the PCard refresher training course offered by the BSC and that future expense reports generated by the Citibank Global Management System are prepared and will include cardholder, reconciler and approver signatures.	NA	None	NA	NA	NA	NA
Internal	UNT System IT Shared Services	Fiscal Year 2015	Information Technology	Local Audit of Phone Numbers and User Access - IT Shared Services	UNT System	NA	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Based on procedures performed, the SMIF was in compliance with the Donor's Agreement for calendar year 2014. The funds were appropriately accounted for in accordance with guidelines.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNT	Accuracy of Quarterly Investment Report - The book and market value amounts reported in the Total Cash and Investment Amounts section on the UNT Quarterly Investment Report for the period ending May 31, 2014, were not accurate.	Low	Implement a review process of the UNT Quarterly Investment Reports to assure the accuracy of information prior to the issuance of the quarterly report to the Board of Regents and posting of the report on the institution's investment disclosure website.	Concur. It is imperative that information reported by Finance be complete and accurate. Implement a review process of investment reporting prior to issuance to the Board or posting to the public.	James Mauldin, Associate Vice Chancellor for Treasury	11/20/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT)	UNTHSC	Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor. The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was included in the audit report issued by Grant Thornton on August 12, 2015.	High	We recommend the Assistant Vice President of Research Administration at UNTHSC to re-educate faculty and staff on policies related to the attainment of gift cards used as research participant payments.	Management agrees with the recommendation and will send a group email to all active award account holders and will post in the Daily News a reminder to follow the procurement guidelines for purchasing gift cards for research participants.	LeAnn Forsberg, AVP Research Administration	11/15/2015	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT)	UNT	<p>Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor.</p> <p>The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was included in the audit report issued by Grant Thornton on August 12, 2015.</p>	High	We recommend the Assistant Vice President of Research Administration at UNTHSC to re-educate faculty and staff on policies related to the attainment of gift cards used as research participant payments.	Management agrees with the recommendation and will send a group email to all active award account holders and will post in the Daily News a reminder to follow the procurement guidelines for purchasing gift cards for research participants.	LeAnn Forsberg, AVP Research Administration	11/15/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT)	UNTHSC	<p>Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor.</p> <p>The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was included in the audit report issued by Grant Thornton on August 12, 2015.</p>	High	In addition, we recommend the Associate Vice Chancellor for Finance and Administration to re-educate staff on the review process of support documentation that is provided by UNT components to ensure it is appropriate based on the request.	Business Support Services (formerly Business Services Center) concurs with the recommendation. We have notified our procurement staff of the expectation that they follow the current guidelines associated with the gift card purchases. Additionally, we have also implemented a secondary approval process for all gift card purchase requests. The secondary approval must come from the Senior Director of Procurement, Director of Purchasing or Associate Vice Chancellor for Finance and Administration effectively immediately (10/29/2015).	Donna Asher, Associate Vice Chancellor for Finance and Administration	10/29/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT)	UNT	<p>Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor.</p> <p>The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was included in the audit report issued by Grant Thornton on August 12, 2015.</p>	High	In addition, we recommend the Associate Vice Chancellor for Finance and Administration to re-educate staff on the review process of support documentation that is provided by UNT components to ensure it is appropriate based on the request.	Business Support Services (formerly Business Services Center) concurs with the recommendation. We have notified our procurement staff of the expectation that they follow the current guidelines associated with the gift card purchases. Additionally, we have also implemented a secondary approval process for all gift card purchase requests. The secondary approval must come from the Senior Director of Procurement, Director of Purchasing or Associate Vice Chancellor for Finance and Administration effectively immediately (10/29/2015).	Donna Asher, Associate Vice Chancellor for Finance and Administration	10/29/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNTHSC	UNTHSC is in compliance with the PFI, Regents Rule 10.100, and the UNT System Regulation 08.2000. In addition, UNTHSC is in compliance with state higher education investment reporting requirements including SAO Article III, Rider 5 requirements.	NA	None	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNT System	Compliance with System Policy Requirements – Based on Internal Audit’s detail review of investment information reported for period ending May 31, 2014, the resulting recalculation of short term and long term investment percentages for UNT System based on market values were 50.6% and 49.4% respectively. These percentage investment results were not within establish Board approved investment percentage range requirements for short and long term investments. Per UNT System policy 08.2000 the range for short term investments is to be at least 55% but not more than 75%. For long term investments the percentage range is to be at least 25% but not more than 45%.	Low	Review the Investment of System Funds Regulation 08.2000 pertaining to short and long term investment percentages to determine if the percentage requirement ranges should be updated to reflect the potential actual investment needs of the UNT System and its institutions.	Concur. System Regulation 08.2000 is already under review for potential revisions, including appropriate percentage ranges for each investment pool. In addition, the increased professional staffing in Treasury will allow for improved compliance with the current and future versions of the regulation. Review of System Regulation 08.2000 to determine if modification is needed and resulting Board Order, if so.	James Mauldin, Associate Vice Chancellor for Treasury	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNT Dallas	UNT Dallas is in compliance with the PFIA, Regents Rule 10.100, and the UNT System Regulation 08.2000. In addition, UNT Dallas is in compliance with state higher education investment reporting requirements including SAO Article III, Rider 5 requirements.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Three employees were paid from the Environmental Service Fee (ESF) fund while working on activities not eligible under the fund. The following specific issues were identified: • A student employee was paid \$1,785 from the fund while working on a website not related to the fund. • A student employee was paid \$1,919 from the fund while working on activities not related to the fund. • The Assistant Director was paid \$16,643 from the fund from January 2015 to May 2015 while working on activities not related to the fund.	Moderate	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: 1. Determine all payroll amounts incorrectly expensed to the fund and move to appropriate funding sources.	1. Management agrees. Management agrees to locate a new fund that more appropriately aligns with incorrect expenses.	1. Elizabeth With, Vice President of Student Affairs and Hope Garcia, Executive Director of Student Affairs Administration	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Three employees were paid from the Environmental Service Fee (ESF) fund while working on activities not eligible under the fund. The following specific issues were identified: • A student employee was paid \$1,785 from the fund while working on a website not related to the fund. • A student employee was paid \$1,919 from the fund while working on activities not related to the fund. • The Assistant Director was paid \$16,643 from the fund from January 2015 to May 2015 while working on activities not related to the fund.	Moderate	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Implement a procedure to assure expenses are reviewed and funds are only spent on allowable purposes. Implementation will ensure compliance with TEC Section 54.5041.	2. Management agrees. An advisor of the We Mean Green Fund (WGMF) will oversee activity of the WGMF Committee and provide guidance to committee on purpose of the fee and allowable purposes through the Committee Bylaws and ongoing training for returning and new committee members.	2. Hope Garcia, Executive Director, of Student Affairs Administration and Gary Cocke, Student Coordinator of Sustainability	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Excess funds transferred from the Environmental Service Fee (ESF) fund to another department for an approved project were not claimed after project was completed. \$3,818 out of the total funds transferred for a project remained with the department when the project was complete. The excess funds were not transferred back to the fund.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Recover funds remaining after the project was completed.	3. Management agrees. Management agrees to determine the department that was transferred funds and request the excess of \$3,818 be returned.	3. Elizabeth With, Vice President of Student Affairs and Hope Garcia, Executive Director of Student Affairs Administration	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Excess funds transferred from the Environmental Service Fee (ESF) fund to another department for an approved project were not claimed after project was completed. \$3,818 out of the total funds transferred for a project remained with the department when the project was complete. The excess funds were not transferred back to the fund.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Develop procedures to fully account for use of money transferred from the ESF fund. Implementation will ensure compliance with TEC Section 54.5041.	4. Management agrees. If funds are committed to an effort in partnership with another department, funds may only be used in one of two ways: a. Through IDO which lists exact line time costs; b. By directly purchasing items/services from the ESF rather than transferring a lump sum.	4. Hope Garcia, Executive Director, of Student Affairs Administration	2/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Two tablets and a parking pass were not eligible to be paid using Environmental Service Fee (ESF). The following specific issues were identified: • \$10 was used to pay for a parking pass. • \$875 was used to purchase tablets.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Move the expenditures incorrectly charged to the fund to an alternative funding source.	6. Management agrees. An advisor of the We Mean Green Fund (WMGF) will oversee activity of the WMGF Committee and provide guidance to committee on purpose of the fee and allowable purposes through the Committee Bylaws and ongoing training for returning and new committee members.	6. Hope Garcia, Executive Director of Student Affairs Administration and Gary Cocke, Student Coordinator of Sustainability	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Two tablets and a parking pass were not eligible to be paid using Environmental Service Fee (ESF). The following specific issues were identified: • \$10 was used to pay for a parking pass. • \$875 was used to purchase tablets.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Implement a procedure to assure expenses are reviewed and funds are only spent on allowable purposes. Implementation will ensure compliance with TEC Section 54.5041.	6. Management agrees. An advisor of the We Mean Green Fund (WMGF) will oversee activity of the WMGF Committee and provide guidance to committee on purpose of the fee and allowable purposes through the Committee Bylaws and ongoing training for returning and new committee members.	6. Hope Garcia, Executive Director of Student Affairs Administration and Gary Cocke, Student Coordinator of Sustainability	2/1/2016	Closed
Internal	UNTHSC Institutional Compliance Office	Fiscal Year 2015	Governance and Regulatory Compliance	Safety and Security Audit (conducted by UNTHSC Institutional Compliance Office)	UNTHSC	Safety Coordinator Training needs to be completed by each Safety Coordinator	NA	Institutional Compliance recommends that the Safety Office maintains a process that ensures that each UNTHSC Safety Coordinator has completed Safety Coordinator training. If training is not completed or is unable to be completed by the Safety Coordinator, then a new Safety Coordinator should be appointed for that department.	New Employee Safety training is currently in the process of being updated and moved to UNTHSC's new We Comply Training Platform. This will allow for more accurate reporting. The new Safety Training is set to roll out in September 2015.	Matthew Moncus, Director, Safety Office	9/2015	Closed
Internal	UNTHSC Institutional Compliance Office	Fiscal Year 2015	Governance and Regulatory Compliance	Safety and Security Audit (conducted by UNTHSC Institutional Compliance Office)	UNTHSC	Institutional Compliance (IC) found that per the Fire Drill Report, corrective actions needed to be implemented and another Fire Drill should have been scheduled five to six months after to evaluate the efficiency of the corrective actions. Facilities had scheduled a complete fire alarm upgrade for the Gibson D. Lewis Library and the Safety Officer decided to perform the next drill in the building after the upgrade was completed. Funding for the fire alarm upgrade has been secured by Facilities for fiscal year 2016. The engineering has been completed, the next step is the installation. Brian Jordon is the Project Manager.	NA	IC recommends that the Safety Office conduct at least one emergency of fire drill exercise in the PCC and other high occupancy, multi-story buildings.	A fire drill schedule has been implemented that tests each building at least once a year. A large scare emergency management exercise will be conducted in the PCC in October, 2016.	Matthew Moncus, Director, Safety Office	10/28/2016	Closed
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Patient Outcome Baseline Milestone Achievement; 1115 Waiver	UNTHSC	No errors found in baseline. Supporting documentation for sample baseline data had 2 identified issues. Baseline Rate = .702128	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Patient Outcome Baseline Milestone Achievement; 1115 Waiver	UNTHSC	Verify Patient Outcome Baseline Data - Project#138980111.3.204	NA	None	NA	NA	NA	NA

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External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Patient Outcome Baseline Milestone Achievement; 1115 Waiver	UNTHSC	Verify that 75 Patients Received Services Between 10/1/2013 and 9/30/2014 - Project# 138980111.2.5	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission (HHSC)	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Community Based Clinics/Mobile Teams Milestone Achievement	UNTHSC	Verify that 2 community based clinics were established and providing services between 10/1/2013 and 9/30/2014. Verify that 4 mobile clinic teams were established and providing services between 10/1/2013 and 9/30/2014. - Project# 138980111.1.2	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Cost of Attendance:</u> For 15 (24 percent) of 62 students tested, the University of North Texas (University) incorrectly or inconsistently calculated COA. Making incorrect COA calculations could result in under awards or over awards of financial assistance.	NA	The University should: - Include loan fees in COA only for students who receive loans and ensure that it does not make over awards of financial assistance as a result of removing the loan fees.	<u>Cost of Attendance (COA)</u> Management implemented changes last year in August 2014 to include loan fees in the COA budget for students who receive loans and ensure that the changes do not cause over awards of financial assistance as a result of removing the loan fees. Management modified the existing process to make adjustments more frequently throughout the year. Management implemented changes to identify students who have default values within the COA and have an ISIR to calculate each student's COA based on the correct budget.	Dena Guzman-Torres and Lacey Thompson	7/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Cost of Attendance:</u> For 15 (24 percent) of 62 students tested, the University of North Texas (University) incorrectly or inconsistently calculated COA. Making incorrect COA calculations could result in under awards or over awards of financial assistance.	NA	The University should: -Calculate each student's COA based on the correct budget.	<u>Cost of Attendance (COA)</u> Management implemented changes last year in August 2014 to include loan fees in the COA budget for students who receive loans and ensure that the changes do not cause over awards of financial assistance as a result of removing the loan fees. Management modified the existing process to make adjustments more frequently throughout the year. Management implemented changes to identify students who have default values within the COA and have an ISIR to calculate each student's COA based on the correct budget.	Dena Guzman-Torres and Lacey Thompson	7/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Satisfactory Academic Progress:</u> The University's SAP policy did not meet certain federal requirements at the beginning of the award year. As a result, for 2 (3 percent) of 62 students tested, the University did not correctly determine their SAP status.	NA	The University should: -Continue to ensure that its SAP policy meets federal requirements by calculating the quantitative pace requirement on a cumulative basis, rather than an annual basis; ensuring that the policy requires students to graduate within the maximum time frame; and making the SAP policy at least as strict as its academic policy.	<u>Satisfactory Academic Progress</u> Management implemented changes in the middle of the term last year in November 2014, after it was identified by the auditors, to its SAP policy to meet federal requirements by calculating the quantitative pace requirement on a cumulative basis, rather than an annual basis; to ensure students graduate within the maximum time frame to make the SAP policy as strict as its academic policy.	Dena Guzman-Torres and Lacey Thompson	11/1/2014	Closed

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External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Federal Pell Grant</u> : The University did not disburse Federal Pell Grant funds to one student who was eligible to receive those funds.	NA	The University should: - Disburse Federal Pell Grant funds to all eligible students.	<u>Pell Grants</u> Management implemented changes to ensure the disbursement of Federal Pell Grant funds to all eligible students.	Abby Goynes and Lacey Thompson	7/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	For 4 (7 percent) of 60 students who had a status change, the University submitted inaccurate effective dates to NSLDS. That occurred because the University had identified errors in its February 2015 report submission to NSC and, therefore, delayed submission of its enrollment report . That delay caused the effective dates to be reflected inaccurately in NSLDS. Not reporting effective dates accurately could affect determinations that guarantors, lenders, and servicers of student loans make related to in-school status, deferments, grace periods, repayment schedules, and the federal government's payment of interest subsidies.	NA	The University should accurately report effective dates to NSLDS.	Management is attentive to the U.S. Department of Education requirements regarding reporting dates of student enrollment status changes. Management has implemented a change to the internal National Student Clearinghouse Enrollment Report to help ensure the accuracy enrollment change dates.	Bryan Heard	8/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2015	UNT	During this audit, the University of North Texas's (University) Office of General Counsel disclosed to auditors that the University conducted an internal investigation related to the effort that one of its researchers charged to a federal award. The University determined that the associated payroll charges of \$68,236 resulted from unintentional errors related to the effort that researcher reported. In response to the increased risk related to payroll charges, auditors tested additional payroll related expenditures at the University but did not identify any additional instances of noncompliance or control deficiencies.	NA	2015-127 The University should: -Coordinate the repayment of all questioned costs with the awarding agency.	The University of North Texas will deduct \$68,236 in questioned costs from the next invoice submitted to the awarding agency. Supporting documentation will be provided to the State Auditor's Office.	Dr. David Schultz and Britt Krhovjak	2/29/2016	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2015	UNT	During this audit, the University of North Texas's (University) Office of General Counsel disclosed to auditors that the University conducted an internal investigation related to the effort that one of its researchers charged to a federal award. The University determined that the associated payroll charges of \$68,236 resulted from unintentional errors related to the effort that researcher reported. In response to the increased risk related to payroll charges, auditors tested additional payroll related expenditures at the University but did not identify any additional instances of noncompliance or control deficiencies.	NA	2015-127 The University should: -Improve controls related to the review and approval of effort charged to federal awards to help ensure that all charges are based on the effort contributed to federal awards.	A regular training regimen is being implemented with all principal investigators involved in federally funded research. The training includes reinforcement of requirements for supporting documentation for hours worked and allocation of effort.	Dr. David Schultz and Britt Krhovjak	9/30/2016	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	Agencies', Higher Education Institutions', and Community Colleges' Compliance with Public Investment Reporting Requirements	All Components	Were Not Fully Compliant with the Act (Source: State Auditor's Office review of the compliance audit reports that internal or external auditors issued.)	NA	None	NA	NA	NA	NA

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External	State Auditor's Office	Fiscal Year 2016	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31, 2015	UNT	NA	NA	None	NA	NA	NA	NA
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-01 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms - SORM noted during the consultation that mechanical, boiler, and electrical equipment ("chiller") rooms on campus were being used to store combustible materials such as cardboard boxes, paper, etc.	NA	SORM recommends that the university remove all combustible materials from all boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.18.5.2 of NFPA-1 (2015) states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.") In one area of the large mechanical room in Building 1, a room has been constructed which if built to code would be sufficient to house combustible materials. Currently, it does not meet code, however, and therefore, all combustible materials should be removed from this location. Reference: NFPA-1 (2015), "Fire Code," Chapters 10.18.5.1, 10.18.5.2	When have proposals and plans from 3 contractors to bring the storage area up.	Wayne McInnis, Assistant Director for Facilities	4/30/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-02 Safety: Fire Safety: Emergency Equipment/Hazard Communication (Chiller Room #147) - SORM noted during the consultation that the Chiller Room (Room #147) was being used for storing an excessive amount of furniture and other pieces of equipment. This room has emergency procedures for a spill of the chiller chemicals which include the use of Self-Contained Breathing Apparatus (SCBA) gear. However, egress to the gear is blocked by all of the equipment being stored in the room. In addition, there are no Safety Data Sheets (SDSs) nor an eyewash station present in the room.	NA	SORM recommends that the university immediately clean out this room such that the emergency procedures can be implemented as required, implement an OSHA-compliant hazard communication program vis-a-vis these chemicals, including the placement of the correct SDSs in the room, and install an ANSI-compliant eyewash station in the room. All employees exposed to these hazards should be trained on safety policies and procedures as part of the hazard communication program. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	On 1/28/16 we submitted a RFP for a Modular building that will eliminate the need to store these items in the machine room.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 2/28/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-03 Safety: Electrical Safety: Exterior Outlet (Outside of Kitchen) - SORM noted during the consultation that an exterior outlet outside of the kitchen was missing its required cover.	NA	SORM recommends that the university replace this cover in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 406.9 (B) (1)	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-04 Safety: Fire Safety: Firestops in Telecommunications Room - SORM noted during the consultation that telecommunications room #361 was lacking required firestops on wall penetrations made due to data-communications wiring.	NA	SORM recommends that the university firestop these penetrations in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapter 8.3.5.1	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-05 Safety: Fire Safety: Fire Doors, Equipment, and Assemblies - SORM noted during the consultation that the fire doors and assemblies on campus were in varying states of compliance with the fire and life safety codes with regard to the display of their fire-resistance ratings.	NA	SORM recommends that the university conduct an inventory of all fire doors, equipment, and assemblies and then ensure that each are labeled in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 8.3.3.1, 8.3.3.2, 8.3.3.2.2, 8.3.3.2.3, 8.3.3.2.3.1	We are going through the building's submittals and plans from construction to confirm the fire code ratings and have it displayed properly. Also working with UNT Risk Management to get them properly rated.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-06 Safety: Light Bulb Cover (Mechanical Room-Building #1) - SORM noted during the consultation that light bulbs in the southeast corner of the mechanical room in Building #1 were fewer than eight feet from ground level and were missing a required cover.	NA	SORM recommends that the university cover these bulbs, as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.305 (j)(1)(i)	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	1/14/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-07 Safety: Fire Safety: Storage Under Stairwell - SORM noted during the consultation that the State Fire Marshal's Office recommended that the university either remove a sprinklered, locked storage room under a stairwell in Building #1, or construct a doorway that leads directly outside and remove the doorway in the interior of the building, replacing it with a wall.	NA	SORM recommends that the university comply with the findings of the State Fire Marshal's Office in the timeframe as directed by the SFMO. Reference: NFPA-1 (2015), "Fire Code," Chapters 1.6, 1.7.3.1	We have proposals from 3 contractors to remove the enclosure and bring the stair well up to code.	Wayne McInnis, Assistant Director for Facilities	4/30/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-08 Risk Management: Policies/Procedures: Facilities Maintenance Staff - SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to: a) Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. b) New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. c) Adoption of NFPA-1 (Fire Code-2012) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however, it covers many more hazards.	NA	Considering these and other factors, SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	Risk assessment to be complete by 7/31/16	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 7/31/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-01 Safety: Fire Safety: Fire Extinguisher (Library) - SORM noted during the consultation that the fire extinguisher in the Center for Innovative Learning, room 448 in the Library, was a Carbon Dioxide "B/C" type of extinguisher.	NA	SORM recommends that UNTHSC replace this extinguisher with an A/B/C Dry Chemical type of extinguisher due to the hazard classification and type of combustible material present in this location, as per the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.3.5; 9.7.4.1; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 5.1, 5.2.1, 5.4.1.2	Fire Extinguisher was replaced with the proper type.	Matthew Moncus, Director, Safety Office	11/13/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-02 Safety: Fire Safety: Exit Signage (PCC Building) - SORM noted during the consultation that the hallway on the first floor near room 174 was lacking a required exit sign to direct travel in emergency situations.	NA	SORM recommends that the university install an approved, listed exit sign in accordance with the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.2.10, 7.10.2.1	Signs will be ordered and installed by Facilities.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-03 Safety: Fire Safety: Escutcheon Plate (PCC Building) - SORM noted during the consultation that an escutcheon plate was missing on one of the sprinkler heads on the first floor of the PCC building, near room 174.	NA	SORM recommends that the university replace this escutcheon plate in accordance with the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 4.6.12.4, 9.7.1.1; NFPA-13 (2016), "Standard for the Installation of Sprinkler Systems," Chapter 6.2.7	Escutcheon plate was replaced.	Matthew Moncus, Director, Safety Office	11/6/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-04 Safety: Electrical Safety: Junction Box Cover (RES Building) - SORM noted during the consultation that a junction box in room 1M3 on the first floor of the RES building was missing its required cover.	NA	SORM recommends that the university cover the junction box in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 314.28(C)	Cover was replaced by Facilities.	Matthew Moncus, Director, Safety Office	11/12/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-05 Safety: Fire Safety: Exit Signs (PCC Building) - SORM noted during the consultation that many of the exit signs at the end of the hallways in the PCC Building were insufficiently lit and some were pointing in the wrong direction for egress.	NA	SORM recommends that the university replace all exit signs that are not illuminated in accordance with the NFPA standard below, and ensure that the chevrons point in the correct direction of travel. References: NFPA-101 (2015), "Life Safety Code," Chapters 21.2.10, 7.10, 7.10.5.1	Signs will be ordered and installed by Facilities.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-06 Safety: Chemical Safety/Hazard Communication: Eyewash Stations (RES Building) - SORM noted during the consultation that many of the eyewash stations in the RES Building had not been inspected since August of 2015.	NA	SORM recommends that the university conduct documented inspections of these eyewash stations with a frequency in accordance with the manufacturer's specifications and the ANSI standard referenced below. Reference: ANSI/ISEA (2014), z358.1, "Standard for Emergency Eyewash and Shower Equipment"	The Safety Office has created an inspection checklist with frequencies for eyewashes and safety showers, and will conduct the inspections accordingly.	Matthew Moncus, Director, Safety Office	11/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-07 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms - SORM noted during the consultation that many of the mechanical, boiler, and electrical equipment rooms on campus were being used to store combustible materials such as cardboard boxes, paper, etc.	NA	SORM recommends that the university remove all combustible materials from boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.19.5.2 of NFPA-1 states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.") Reference: NFPA-1 (2015), "Fire Code," Chapters 10.19.5.1, 10.19.5.2	Combustible materials have been removed from mechanical/electrical/boiler rooms.	Matthew Moncus, Director, Safety Office	12/4/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-08 Safety: Occupational Noise: Testing (EAD Boiler Room) - SORM noted during the consultation that the EAD Boiler Room was an area of concern with regard to excess occupational noise.	NA	SORM recommends that the university measure the noise levels in this area as per the OSHA standard referenced below, and determine if a hearing protection program should be implemented. Reference: OSHA, 29 CFR 1910.95, "Occupational Noise Testing"	Noise levels were measured and were determined to be below the 85dB threshold for implementing a hearing protection program. However, hearing protection will be made available and training will be conducted on proper usage of hearing protection for employees who may work in that area.	Matthew Moncus, Director, Safety Office	12/11/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-09 Safety: Fire Safety: Electrical Panelboard (CBH Building) - SORM noted during the consultation that an electrical panelboard in room 5ME1 was missing a list of what each circuit breaker controls.	NA	SORM recommends that the university label this panelboard in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 408.4	The Facilities Electrician has been assigned to properly label the panel board.	Matthew Moncus, Director, Safety Office	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-10 Safety: Fire Safety: Escutcheon Plate (CBH Building) SORM noted during the consultation that an escutcheon plate over a sprinkler head on the fifth floor of the CBH Building was missing.	NA	SORM recommends that the university replace this escutcheon plate in accordance with the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 4.6.12.4, 9.7.1.1; NFPA-13 (2016), "Standard for the Installation of Sprinkler Systems," Chapter 6.2.7	Escutcheon plate was replaced.	Matthew Moncus, Director, Safety Office	11/6/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-11 Safety: Fire Safety: Exit Sign (CBH Building) - SORM noted during the consultation that an exit sign near the 2S2 stairwell is insufficiently lit.	NA	SORM recommends that the university replace this exit sign with one that performs in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 39.2.10, 7.10, 7.10.5.1	Signs will be ordered and installed by Facilities.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-12 Safety: Fire Safety: Electrical Panelboard (UNT-System HR Building) - SORM noted during the consultation that an electrical panelboard in the exterior mechanical room of the UNT-System HR Building was missing a required knockout and a list indicating which circuit each circuit breaker controls.	NA	SORM recommends that the university insert the knockout and label as per the NFPA standard referenced below. Reference: NFPA-70 (2015), "National Electrical Code," Articles 408.4, 110.12 [A]	Building is scheduled to be unoccupied within the next 2 months, and is scheduled to be demolished soon after.	Matthew Moncus, Director, Safety Office	2/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-13 Safety: Electrical Safety: GFCI Protection – Electric Water Fountain (General Services Building) - SORM noted during the consultation that an electric water fountain in the General Services Building was not protected by either a GFCI receptacle or circuit breaker.	NA	SORM recommends that the university install GFCI protection in this area in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2015), "National Electrical Code," Article 422.52	The Facilities Electrician has been assigned the task to provide GFCI protection for the water fountains.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-14 Safety: Emergency Management: Shelter-in-Place Drill - SORM noted during the consultation that although the university has excellent emergency management policies in place, a shelter-in-place drill had not been conducted recently.	NA	SORM recommends that the university conduct a "worst case scenario" shelter-in-place drill for all buildings on campus, including both employees and students in the procedure. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.5	A shelter-in-place drill matrix has been created that establishes a drill schedule for each building on campus. Each building will be drilled individually and performance will be evaluated by the Safety Office. A campus wide drill will be integrated into our annual emergency management exercise.	Matthew Moncus, Director, Safety Office	10/28/2016 (Exercise is scheduled based on availability of City of Fort Worth resources.)	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-15 Risk Management: Policies/Procedures: Incident Investigations - SORM noted during the consultation that root cause analyses of appropriate incidents is not currently occurring in a formalized manner.	NA	SORM recommends that the university provide incident investigation training for at least the University Safety Officer. Upon completion of this training, root cause analyses should be conducted for each appropriate incident that occurs. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 5, Subchapter 5.7	The Safety Director will attend an incident investigation course and conduct root cause analyses for each incident.	Matthew Moncus, Director, Safety Office	5/31/2016 Not yet implemented. SORM stopped offering this course, and an alternative has not been identified.	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	<p>16-11-16 Risk Management: Policies/Procedures: Facilities Maintenance Staff - SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to:</p> <ul style="list-style-type: none"> • Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. • New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. • Adoption of NFPA-1 (Fire Code) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however, it covers many more hazards. • The availability of and desire to obtain and utilize an infrared scanning device to detect electrical issues on campus before they result in failure and subsequent fire. 	NA	<p>Considering all of these factors, SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time.</p> <p>Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4</p>	An assessment will be conducted to determine appropriate staffing levels.	Matthew Moncus, Director, Safety Office	8/31/2016 Not yet implemented. An assessment of only Safety personnel revealed appropriate staffing levels based on square footage, population, and workload.	Closed
External	Grant Thornton	Fiscal Year 2016	Governance and Regulatory Compliance	Financial Report of the University of North Texas for SACS Accreditation	UNT	Based on our review, we are not aware of any material modifications that should be made to the accompanying financial statements in order for them to be in accordance with accounting principles generally accepted in the United States of America.	NA	None	NA	NA	NA	NA
External	Southern Association of Colleges and Schools Commission on Colleges	Fiscal Year 2016	Governance and Regulatory Compliance	Southern Association of Colleges and Schools Commission on Colleges Fifth-Year Interim Report	UNTHSC	Regional SACSCOC Accreditation	NA	None	NA	NA	NA	NA
External	Texas Department of State Health Services	Fiscal Year 2016	Governance and Regulatory Compliance	Radiation Safety Program Audit	UNTHSC	We have determined that your radiation safety program appears to be in compliance.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2016	Governance and Regulatory Compliance	Sandia National Lab (Federal) financial and compliance audit (Office of Grant and Contract Administration)	UNT	<p>Based on our review of the costs claimed by the contractor, no adjustments of the contractor's claim came to our attention that exceeded established materiality levels.</p> <p>The contractor's management concurred with the results of the audit.</p>	NA	None	NA	NA	NA	NA

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External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2015-001 Condition – There were two employees listed on the FY15 Effort Report that were not listed in the Personnel Level of Effort in the original approved grant budget. Questioned Costs – \$47,412 Context – Out of 2,661 expenditures totaling \$1,643,255, a sample of 40 expenditures totaling \$105,128 was selected for testing. Four payroll related expenditures totaling \$300.60 for individuals that were not included on the approved Personnel Level of Effort budget. The total payroll related expenditures charged to the CPRIT program for these two employees totaled \$47,412. The sample selected was not, and was not intended to be, statistically valid.	NA	The University should review their policies and procedures to ensure that CPRIT is notified and provides approval when necessary for any changes to employees or positions named in the original approved grant budget.	Management agrees with the recommendation and has already resolved the issue as it was discovered during the prior year audit. Audits for FY13 and FY14 were combined and completed August 14, 2015 which prevented any corrective action from being implemented during FY15. Management provided written and verbal training to Principal Investigators regarding CPRIT's notification and approval procedures related to names and positions listed in the Personnel Level of Effort section of the approved budget.	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2013-001 Condition – The University had incomplete support for four out of the twenty-two and one of twenty-five judgmentally selected expenditures for fiscal years 2013 and 2014, respectively. To be allowed under State awards, costs must have complete and adequate documentation. Questioned Costs – 2013: \$2,839.73; 2014: \$2,340.00 Context – The University was unable to provide complete evidence for expenditures related to the purchase and disbursement of gift cards that were deemed necessary and reasonable for proper and efficient performance and administration of the CPRIT program.	NA	None	NA	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2014-001 Condition – The University had incomplete support for four out of the twenty-two and one of twenty-five judgmentally selected expenditures for fiscal years 2013 and 2014, respectively. To be allowed under State awards, costs must have complete and adequate documentation. Questioned Costs – 2013: \$2,839.73; 2014: \$2,340.00 Context – The University was unable to provide complete evidence for expenditures related to the purchase and disbursement of gift cards that were deemed necessary and reasonable for proper and efficient performance and administration of the CPRIT program.	NA	None	NA	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2014-002 Condition – The University was reimbursed for one travel related expenditure, in which the travel did not occur, out of the twenty-five expenditures judgmentally selected for testing. The University did not subsequently reimburse CPRIT for the expenditure. Questioned Costs – \$142.02 Context – The University requested reimbursement for an expenditure that did not occur.	NA	None	NA	NA	NA	Closed

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External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2014-003 Condition – One employee on the FY 2014 Time and Effort Report that was not included in the Personnel Level of Effort in the approved budget. Additionally, two Research Assistants were not included in the approved Personnel Level of Effort budget. Questioned Costs – \$3,532.15 Context – The University added a second Program Coordinator to the project that was not included in the budget. Additionally, two employees were paid for work on the project who were not listed on the Personnel Level of Effort budget. CPRIT requires notification of all changes in personnel. Changes in key personnel that dedicate at least 10% of their time to a CPRIT funded project or program must also be communicated in writing to CPRIT.	NA	None	NA	NA	NA	Closed
External	Food and Drug Administration	Fiscal Year 2016	Governance and Regulatory Compliance	Protocol Compliance; TCOM/Medical Education	UNTHSC	None	NA	NA	NA	NA	NA	NA
External	International Association of Campus Law Enforcement Administrators	Fiscal Year 2016	Governance and Regulatory Compliance	Review for IACLEA Accreditation	UNTHSC	IACLEA Accreditation	NA	None	NA	NA	NA	NA
External	Department of Education	Fiscal Year 2016	Finance	Financial Aid Audit	UNT Dallas	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT Dallas	Building One - Finding 1: Two buildings were re-inspected for the fifth time with the following previously listed violations not corrected. Please respond to this office within 30 days of receipt of this report, detailing your intentions to correct the violations and a new timeline for their completion. The original inspection was conducted in July of 2013. Timelines for corrective actions supplied by the University are not being met. The UNT System Fire Marshal has been notified of the lack of correcting the outstanding violations by the UNT Dallas campus staff. The fire doors at the following locations are missing the bottom vertical rod and floor latching point or have not had fire pins installed. Double doors by rooms 362 and 381corridor and stairwell.	NA	NFPA 101, Life Safety Code, Chapters 8.3.3.1and NFPA 80 Standard for Fire Doors and other Opening Protectives	Has been corrected.. Vertical rods and floor latching were installed earlier this year.	Wayne McInnis, Assistant Director for Facilities	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT Dallas	<p>Building One - Finding 2: Two buildings were re-inspected for the fifth time with the following previously listed violations not corrected. Please respond to this office within 30 days of receipt of this report, detailing your intentions to correct the violations and a new timeline for their completion.</p> <p>The original inspection was conducted in July of 2013. Timelines for corrective actions supplied by the University are not being met. The UNT System Fire Marshal has been notified of the lack of correcting the outstanding violations by the UNT Dallas campus staff.</p> <p>The area under the stairwell on the first floor has been enclosed and is used for storage. The entrance to this area is located in the stairwell. The enclosure has been removed however storage still remains under the stairs.</p>	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.3.1, 7.2.2.5.3.2 and 7.2.3.3.1	The enclosed storage under the stairwell has been removed.	Wayne McInnis, Assistant Director for Facilities	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT Dallas	<p>Founders Hall - Finding 1: Two buildings were re-inspected for the fifth time with the following previously listed violations not corrected. Please respond to this office within 30 days of receipt of this report, detailing your intentions to correct the violations and a new timeline for their completion.</p> <p>The original inspection was conducted in July of 2013. Timelines for corrective actions supplied by the University are not being met. The UNT System Fire Marshal has been notified of the lack of correcting the outstanding violations by the UNT Dallas campus staff.</p> <p>The fire doors throughout the building are missing the bottom vertical rod and floor latching point.</p>	NA	NFPA 101, Life Safety Code, Chapters 8.3.3.1 and NFPA 80 Standard for Fire Doors and other Opening Protectives Building Services Violation	There was one set of fire doors that were identified needing the bottom vertical rod and that has been installed.	Wayne McInnis, Assistant Director for Facilities	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT Dallas	<p>Founders Hall - Finding 2: Two buildings were re-inspected for the fifth time with the following previously listed violations not corrected. Please respond to this office within 30 days of receipt of this report, detailing your intentions to correct the violations and a new timeline for their completion.</p> <p>The original inspection was conducted in July of 2013. Timelines for corrective actions supplied by the University are not being met. The UNT System Fire Marshal has been notified of the lack of correcting the outstanding violations by the UNT Dallas campus staff.</p> <p>There is unapproved storage of miscellaneous items in mechanical rooms and penthouses.</p>	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2, 9.2.1; NFPA 70, National Electrical Code and NFPA 90A, Standard for the Installation of Air Conditioning and Ventilating Systems	We still have the storage issue in the building and are working to lease a Modular building to place the items. I am actually meeting with the company on Tuesday 10/18/16, to walk the site where it will be placed.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: NA Revised Imp. Date: 2/28/2017	Open

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External	Department of the Treasury Internal Revenue Service	Fiscal Year 2016	Finance	Tax Exempt and Government Entities Exempt Organizations Examinations	UNT Dallas	<p>The audit identified the deficiencies discussed in the enclosed addendum. To avoid penalties, loss of exempt status, or both, you must comply with the requirements specified in the addendum.</p> <p>We audited the returns for the tax periods listed above and determined your organization continues to qualify for exemption from federal income tax under Section 510(c)(3) of the Internal Revenue Code. We accept your returns as filed.</p>	NA	<p>During the examination of your Form 990, Return of Organization Exempt from Income Tax, for tax year ended December 31, 2014, we noted the following:</p> <p>1) During our examination of the organization's Form 990, and related records, we determined that when you completed Schedule A, "Reason for Non-Private Foundation Status", you claimed you are described in Section 509(a)(1) and 170(b)(1)(A)(i) of the Code. The examination and interview held that you aren't a church. You also indicated that you are a Type III functionally integrated, a supporting organization. Based on your determination letter, we concluded that our determination of your organization's exempt status is Section 509(a)(1) and 170(b)(1)(A)(iv). Accordingly, please check the correct box in the future.</p>	NA	NA	NA	NA
External	Department of the Treasury Internal Revenue Service	Fiscal Year 2016	Finance	Tax Exempt and Government Entities Exempt Organizations Examinations	UNT Dallas	<p>The audit identified the deficiencies discussed in the enclosed addendum. To avoid penalties, loss of exempt status, or both, you must comply with the requirements specified in the addendum.</p> <p>We audited the returns for the tax periods listed above and determined your organization continues to qualify for exemption from federal income tax under Section 510(c)(3) of the Internal Revenue Code. We accept your returns as filed.</p>	NA	<p>During the examination of your Form 990, Return of Organization Exempt from Income Tax, for tax year ended December 31, 2014, we noted the following:</p> <p>2) During our review of your Form 990, we noted that some amounts shown on your balance sheet did not reflect those recorded on your books of account. You should make certain that accurate information is reported on your return in the future. Omitting material information from your Form 990 may subject you to a penalty under Section 6652(c) of the Internal Revenue Code of 1986.</p>	NA	NA	NA	NA
External	CPRIT	Fiscal Year 2016	Governance and Regulatory Compliance	Random Desk Review	UNTHSC	None	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>1. The UNT System Travel Guidelines are not consistently followed in the College of Information. Internal Audit reviewed a sample of 17 vouchers out of a population of 145 vouchers in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Reimbursement of personal travel with business travel on a Federal grant, • Conference agenda not attached with support documentation, • Missing Travel Budget Authorization Form (preapproval to travel), and • Administrative Coordinator signing vouchers in traveler's name with their emailed consent. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>1a. Evaluate the personal travel on the Federal Grant and work with the Office of Grants and Contracts Administration to determine what action needs to be taken.</p>	<p>We agree and are taking the actions below.</p> <p>A transfer was processed on 7/8/2016 through the Office of Grants and Contracts to move the allowable expenses from the Federal grant to the appropriate indirect cost or discretionary account. Only appropriate and allocable expenses will remain on the federal award.</p> <p>E-mail notification of UNT's Travel Guidelines was sent on 6/30/2016, which included a .pdf and PowerPoint presentation from the UNT's Business Service Center's Process Training section that consists of travel authorization & voucher training. All staff and faculty will be required to participate in on-site group training sessions provided by the BSC regarding UNT travel in either the summer or fall semesters, followed by regularly scheduled updates every fiscal year.</p> <p>All faculty and staff will be trained on how to create and utilize a certified electronic signature process for submitting and/or approving vouchers. Signing vouchers this way will be strongly encouraged if they are not physically available to sign the voucher.</p> <p>All travel reimbursement documentation will be reviewed during the approval process.</p>	Dean of the College of Information	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>1. The UNT System Travel Guidelines are not consistently followed in the College of Information. Internal Audit reviewed a sample of 17 vouchers out of a population of 145 vouchers in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Reimbursement of personal travel with business travel on a Federal grant, • Conference agenda not attached with support documentation, • Missing Travel Budget Authorization Form (preapproval to travel), and • Administrative Coordinator signing vouchers in traveler's name with their emailed consent. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>1b. Ensure that the UNT System Travel Guidelines are consistently followed in the College of Information by performing a thorough review of travel reimbursement documentation.</p>	<p>We agree and are taking the actions below.</p> <p>A transfer was processed on 7/8/2016 through the Office of Grants and Contracts to move the allowable expenses from the Federal grant to the appropriate indirect cost or discretionary account. Only appropriate and allocable expenses will remain on the federal award.</p> <p>E-mail notification of UNT's Travel Guidelines was sent on 6/30/2016, which included a .pdf and PowerPoint presentation from the UNT's Business Service Center's Process Training section that consists of travel authorization & voucher training. All staff and faculty will be required to participate in on-site group training sessions provided by the BSC regarding UNT travel in either the summer or fall semesters, followed by regularly scheduled updates every fiscal year.</p> <p>All faculty and staff will be trained on how to create and utilize a certified electronic signature process for submitting and/or approving vouchers. Signing vouchers this way will be strongly encouraged if they are not physically available to sign the voucher.</p> <p>All travel reimbursement documentation will be reviewed during the approval process.</p>	Dean of the College of Information	3/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>2. Accounts in the College of Information are not being managed in accordance with UNT Policy 2.1.10 Accountholder Responsibility.</p> <p>The Chair of the Department of Library Information Sciences (LIS) and the Interim Department Chair of Learning Technologies (LT) were not reviewing financial transactions for the DeptIDs for which he/she is the holder of record.</p> <p>Additionally, the Chair of LIS communicated to Internal Audit that he does not have sufficient time or resources to review the transactions on the DeptIDs for which he is responsible; therefore, he relies on the College Budget Officer to perform this task. Because the College Budget Officer position has undergone turnover, it is uncertain as to how long it has been since reconciliations have been performed.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>2a. Ensure all DeptID holders in COI obtain training from the UNT Budget Office to gain a better understanding of the requirements outlined in the UNT Policy 2.1.10 Accountholder Responsibility.</p>	<p>The department Chairs review Cognos accounts and all the financial transactions, and approve them in line with UNT policy 2.1.10. In the past, the College Budget Officer helped reconcile all accounts across the college, monitored deficits, and advised department chairs and support staff with regard to financial operations.</p> <p>All Dept ID holders and support staff will be required to attend updated training for UNT policies. We will work with the UNT Budget Office so that all account holders and their support staff can gain a better understanding of their responsibilities.</p> <p>Going forward, department assistants and chairs will perform the necessary actions to comply with Account Holder Responsibility policy and will work closely with the College budget officer to reconcile their accounts.</p>	Dean of the College of Information	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>2. Accounts in the College of Information are not being managed in accordance with UNT Policy 2.1.10 Accountholder Responsibility.</p> <p>The Chair of the Department of Library Information Sciences (LIS) and the Interim Department Chair of Learning Technologies (LT) were not reviewing financial transactions for the DeptIDs for which he/she is the holder of record.</p> <p>Additionally, the Chair of LIS communicated to Internal Audit that he does not have sufficient time or resources to review the transactions on the DeptIDs for which he is responsible; therefore, he relies on the College Budget Officer to perform this task. Because the College Budget Officer position has undergone turnover, it is uncertain as to how long it has been since reconciliations have been performed.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>2b. Ensure all DeptID holders in COI perform the necessary action to comply with the Account Holder Responsibility policy, including but not limited to, reviewing all financial transactions.</p>	<p>The department Chairs review Cognos accounts and all the financial transactions, and approve them in line with UNT policy 2.1.10. In the past, the College Budget Officer helped reconcile all accounts across the college, monitored deficits, and advised department chairs and support staff with regard to financial operations.</p> <p>All Dept ID holders and support staff will be required to attend updated training for UNT policies. We will work with the UNT Budget Office so that all account holders and their support staff can gain a better understanding of their responsibilities.</p> <p>Going forward, department assistants and chairs will perform the necessary actions to comply with Account Holder Responsibility policy and will work closely with the College budget officer to reconcile their accounts.</p> <p>3</p>	Dean of the College of Information	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>3. UNT cash handling policies were not consistently followed in the College of Information.</p> <p>Cash receipts were not collected, safeguarded, deposited, and/or reconciled in accordance with cash handling policies. Additionally, written cash handling procedures in the College of Information were either nonexistent or incomplete as required by policy.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>3a. Ensure compliance with University cash handling policies, including the development of written cash handling procedures.</p>	<p>We agree.</p> <p>Going forward, individuals who collect, safeguard, deposit, and/or reconcile currency for the College will perform the necessary actions to comply with UNT's Cash Handling policy. We will work closely with the College budget officer to create and implement a written cash handling procedure for the College as required by UNT policy.</p> <p>E-mail notification of UNT System's Cash Handling policy was sent on 7/5/2016 to all staff and faculty. This email included a .pdf and the corresponding Cash Handling guidelines handbook from the UNT System's Operations Support section. All staff and faculty will be required to participate in on-site group training sessions provided by the UNT Operations Support section regarding cash handling in either the summer or fall semesters, followed by regularly scheduled updates every fiscal year.</p>	Dean of the College of Information	3/1/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>3. UNT cash handling policies were not consistently followed in the College of Information.</p> <p>Cash receipts were not collected, safeguarded, deposited, and/or reconciled in accordance with cash handling policies. Additionally, written cash handling procedures in the College of Information were either nonexistent or incomplete as required by policy.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>3b. Ensure individuals with cash handling responsibilities receive training on University cash handling policies and departmental written procedures.</p>	<p>We agree.</p> <p>Going forward, individuals who collect, safeguard, deposit, and/or reconcile currency for the College will perform the necessary actions to comply with UNT's Cash Handling policy. We will work closely with the College budget officer to create and implement a written cash handling procedure for the College as required by UNT policy.</p> <p>E-mail notification of UNT System's Cash Handling policy was sent on 7/5/2016 to all staff and faculty. This email included a .pdf and the corresponding Cash Handling guidelines handbook from the UNT System's Operations Support section. All staff and faculty will be required to participate in on-site group training sessions provided by the UNT Operations Support section regarding cash handling in either the summer or fall semesters, followed by regularly scheduled updates every fiscal year.</p>	Dean of the College of Information	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>4. The UNTS Business Service Center Purchasing Card Program Guide was not consistently followed in the College of Information.</p> <p>Internal Audit reviewed a sample of three months of transactions for 10 purchasing cardholders in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Not obtaining annual on-line purchasing card refresher training during fiscal year 2015, • Missing signatures from the card holder, reconciler, and the approver, • Missing verification of State of Texas vendor warrant hold status on required purchases, • Missing vendor receipts, • Sales tax paid without subsequent reimbursement, and • Not obtaining prior approval for the purchase of alcohol for an event and software, as required. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>4a. Ensure that all purchasing cardholders, reconcilers, and approvers receive training on purchasing card guidelines.</p>	<p>We agree.</p> <p>Each pCard holder, reconciler, and approver will attend training and will also participate in a refresher training course as made available. An email will be sent to all pCard holders reminding them that they must have the correct signatures from the holder, reconciler, and approver. Alcohol purchasing guidelines will also be included. BSC pCard training will be scheduled the week of Aug 8th. Additional training will be offered during the fall semester.</p> <p>UNTS Business Service Center Purchasing Card Program Guide will be consistently followed and reviewed regularly to ensure compliance.</p>	Dean of the College of Information	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>4. The UNTS Business Service Center Purchasing Card Program Guide was not consistently followed in the College of Information.</p> <p>Internal Audit reviewed a sample of three months of transactions for 10 purchasing cardholders in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Not obtaining annual on-line purchasing card refresher training during fiscal year 2015, • Missing signatures from the card holder, reconciler, and the approver, • Missing verification of State of Texas vendor warrant hold status on required purchases, • Missing vendor receipts, • Sales tax paid without subsequent reimbursement, and • Not obtaining prior approval for the purchase of alcohol for an event and software, as required. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>4b. Ensure that the UNTS Business Service Center Purchasing Card Program Guide is consistently followed in the College of Information.</p>	<p>We agree.</p> <p>Each pCard holder, reconciler, and approver will attend training and will also participate in a refresher training course as made available. An email will be sent to all pCard holders reminding them that they must have the correct signatures from the holder, reconciler, and approver. Alcohol purchasing guidelines will also be included. BSC pCard training will be scheduled the week of Aug 8th. Additional training will be offered during the fall semester.</p> <p>UNTS Business Service Center Purchasing Card Program Guide will be consistently followed and reviewed regularly to ensure compliance.</p>	Dean of the College of Information	3/1/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>5. The scholarship criteria listed on the Department of Library and Information Sciences website did not match all the criteria in the corresponding donor agreement.</p> <p>There were 28 scholarships in the College of Information for which Internal Audit received an agreement identifying the criteria for awarding the scholarship. 14 of these scholarships were advertised on the Library and Information Science website. Internal Audit found that the criteria listed on the website contained discrepancies from the criteria in the agreement.</p>	Moderate	<p>Recommendation for Interim Dean of the College of Information:</p> <p>5a. Ensure all scholarships are advertised in accordance with donor agreements.</p>	<p>We agree.</p> <p>All COI websites will be reviewed and any discrepancies will be rectified. We will ensure that the webmasters are reviewing the criteria for compliance for each advertised scholarship.</p>	Dean of the College of Information	10/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>6. Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the departments in the College of Information.</p> <p>Internal Audit noted scholarship process inadequacies, specifically:</p> <ul style="list-style-type: none"> • No working departmental policies; • No meeting minutes; and • Donor participating in the scholarship committee and involved in award selection. 	Moderate	<p>Recommendation for Interim Dean of the College of Information:</p> <p>6a. Ensure that the Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are consistently followed in the College of Information, specifically:</p> <ul style="list-style-type: none"> • Create a departmental policy for awarding scholarship; • Hold committee meetings and document minutes; and • Ensure appropriate personnel are involved in the scholarship selection process. 	<p>We agree.</p> <p>The departments will ensure that each scholarship is in line with UNT's policies and best practices, and we will also create a department policy for awarding scholarships. College and department scholarship committees will keep minutes of all meetings and document the procedures in the selection process. Donor participation will be in line with UNT policy. Scholarship award process training will be provided on July 26th, 2016 as a follow up to an earlier meeting.</p>	Dean of the College of Information	12/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>7. When the School of Library and Information Sciences became a department in College of Information, the existing scholarship agreements were not evaluated to determine the appropriate program of study for which the scholarship should be offered. Additionally, the UNT Division of Advancement and the College of Information had a different number of endowment scholarships within the College of Information.</p> <p>The scholarship agreements were prepared and written to provide scholarships for the School of Library and Information Sciences. Once the school became a department in the College of Information, these scholarships were awarded solely to those studying within the Department of Library and Information Sciences.</p>	Low	<p>Recommendations for Interim Dean of the College of Information:</p> <p>7a. Coordinate with the Office of General Counsel and Advancement to examine the language and donor's intent to determine the appropriate program of study to which the scholarships can be offered.</p>	<p>Advancement did not provide information about the Mary Voegle endowed scholarship to the department and the scholarship was not listed in Cognos with the rest of the other scholarships. When the LIS budget was separated from the college budget in 2012, all endowed scholarships were awarded according to the MOUs.</p> <p>The dean of the College of Information will ask UNT General Counsel to examine the language and donor intent.</p> <p>The College of Information's Advancement representative will work closely with the College scholarship representative to ascertain the existing number of scholarships that are eligible to be awarded.</p>	Dean of the College of Information	1/17/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>7. When the School of Library and Information Sciences became a department in College of Information, the existing scholarship agreements were not evaluated to determine the appropriate program of study for which the scholarship should be offered. Additionally, the UNT Division of Advancement and the College of Information had a different number of endowment scholarships within the College of Information.</p> <p>The scholarship agreements were prepared and written to provide scholarships for the School of Library and Information Sciences. Once the school became a department in the College of Information, these scholarships were awarded solely to those studying within the Department of Library and Information Sciences.</p>	Low	<p>Recommendations for Interim Dean of the College of Information:</p> <p>7b. Coordinate with UNT Division of Advancement to obtain a clear understanding of how many scholarships exist within the College of Information and determine which are eligible to be awarded.</p>	<p>Advancement did not provide information about the Mary Voegle endowed scholarship to the department and the scholarship was not listed in Cognos with the rest of the other scholarships. When the LIS budget was separated from the college budget in 2012, all endowed scholarships were awarded according to the MOUs.</p> <p>The dean of the College of Information will ask UNT General Counsel to examine the language and donor intent.</p> <p>The College of Information's Advancement representative will work closely with the College scholarship representative to ascertain the existing number of scholarships that are eligible to be awarded.</p>	Dean of the College of Information	1/17/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Currently, UNTHSC utilizes an incremental budget model, in which budget allocations are based upon the funding levels of the previous years. However, the model is not sufficient to ensure allocated amounts are adequate based on business needs and to achieve institutional goals and initiatives.</p> <p>In addition, although UNTHSC has operating budget guidelines, there are no formalized principles. Budget principles help create overarching values for prioritization and resource allocation which management adhere to as the budget is developed. Furthermore, policies and procedures are not sufficiently developed to clarify and crystalize the intent behind how the University will manage its financial resources.</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1a. Review and assess alternative budget models and adopt a model that aligns with institutional goals and initiatives.</p>	a. The Health Science Center (HSC) will establish a budget advisory committee to review and assess various ways to budget and to provide recommendations regarding the underlining principles and procedures to the President's cabinet. The President's cabinet will discuss and determine the best course of action in budgeting for HSC, with the implementation of the revised budget model occurring in FY 2018 for the FY 2019 budget process. This budgeting model will be completed by September 1, 2017.	Gregory R. Anderson, Interim Chief Financial Officer	9/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Currently, UNTHSC utilizes an incremental budget model, in which budget allocations are based upon the funding levels of the previous years. However, the model is not sufficient to ensure allocated amounts are adequate based on business needs and to achieve institutional goals and initiatives.</p> <p>In addition, although UNTHSC has operating budget guidelines, there are no formalized principles. Budget principles help create overarching values for prioritization and resource allocation which management adhere to as the budget is developed. Furthermore, policies and procedures are not sufficiently developed to clarify and crystalize the intent behind how the University will manage its financial resources.</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1b. Develop institutional principles, policies and procedures.</p>	b. Based on the determination by the President's cabinet, budget principles, policy and procedures will be developed which support the accomplishment of the HSC objectives and initiatives consistent with the strategic plan. The proposed budget policy will be submitted to the Office of General Counsel (OGC) by September 5, 2017.	Gregory R. Anderson, Interim Chief Financial Officer	9/5/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Currently, UNTHSC utilizes an incremental budget model, in which budget allocations are based upon the funding levels of the previous years. However, the model is not sufficient to ensure allocated amounts are adequate based on business needs and to achieve institutional goals and initiatives.</p> <p>In addition, although UNTHSC has operating budget guidelines, there are no formalized principles. Budget principles help create overarching values for prioritization and resource allocation which management adhere to as the budget is developed. Furthermore, policies and procedures are not sufficiently developed to clarify and crystalize the intent behind how the University will manage its financial resources.</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1c. Communicate newly developed principles, policies and procedures to pertinent employees. Management should consider posting these documents on the UNTHSC website.</p>	c. Once developed, the proposed budget policy will be submitted to OGC for approval by September 5, 2017 and once OGC approves, then the budget policy and procedures will be communicated to the employees and posted on the UNTHSC website.	Gregory R. Anderson, Interim Chief Financial Officer	9/5/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>There was a change in the format of the Quarterly Budget Reports that became effective in Q2 FY2016 to exclude prior year balances brought forward. The Q1 Quarterly Budget Report reflected the current year budget amounts as well as the prior year balances; however, the Q2 Quarterly Budget Report only showed current year budget amounts. Therefore, the total available budget in the Q2 Budget Report was understated by the following:</p> <ul style="list-style-type: none"> Tobacco Settlement Funds - \$264,582 Designated Tuition Funds - \$43,282. <p>Additionally, prior year revenue generating activities of \$733,784 was also not shown in the Q2 Quarterly Budget Report. This amount comprises of Facilities & Administrative cost recovery from grants for the amount of \$363,855.</p>	Moderate	<p>Recommendation to the Interim Chief Financial Officer:</p> <p>2a. Management should determine what relevant information needs to be included in the Quarterly Budget Reports and develop a standard operating procedure.</p>	<p>a. Management will establish a task force to determine what relevant information needs to be included in quarterly budget reports, including the inclusion of prior year balances, as well as recommend a set of standard operating procedures. These recommendations will be submitted to the President's cabinet for discussion and approval by January 12, 2017.</p>	Gregory R. Anderson, Interim Chief Financial Officer	1/12/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>There was a change in the format of the Quarterly Budget Reports that became effective in Q2 FY2016 to exclude prior year balances brought forward. The Q1 Quarterly Budget Report reflected the current year budget amounts as well as the prior year balances; however, the Q2 Quarterly Budget Report only showed current year budget amounts. Therefore, the total available budget in the Q2 Budget Report was understated by the following:</p> <ul style="list-style-type: none"> Tobacco Settlement Funds - \$264,582 Designated Tuition Funds - \$43,282. <p>Additionally, prior year revenue generating activities of \$733,784 was also not shown in the Q2 Quarterly Budget Report. This amount comprises of Facilities & Administrative cost recovery from grants for the amount of \$363,855.</p>	Moderate	<p>Recommendation to the Interim Chief Financial Officer:</p> <p>2b. Once standard operating procedures have been developed, management should communicate to all relevant parties.</p>	<p>b. Once approved, the finance office will communicate to all relevant parties the procedures to be used by February 10, 2017.</p>	Gregory R. Anderson, Interim Chief Financial Officer	2/10/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Safeguarding measures of student fee payments received are not adequate during the receipting and reconciliation processes at the Office of Admissions. Specifically, the following were noted:</p> <ul style="list-style-type: none"> Current/prospective students are not provided with receipts when making payments for various fees unless requested by the student. Specifically, when the assigned individual receives money in person related to application, change of concentration, assurance and deferment fees, a manual unofficial receipt from a generic receipt logbook was provided to students upon request. Reconciliation processes are not in place to verify that assurance and deferment fees received from prospective students were properly credited towards the correct student account. Reconciliation processes are not in place to verify that application and change of concentration fees were properly recorded in the correct departmental account. 	Moderate	<p>Recommendation for the Director of Financial Services – Student Finance:</p> <p>3a. Work with Student Accounting and University Cashiering Services to change your process to require students paying in person to pay directly at the cashiering office and obtain an official university receipt and students paying by mail to send their checks directly to the Cashiering Office.</p>	<p>We concur with your findings and agree to partner with the appropriate staff from the School of Public Health to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC School of Public Health. Key team members from UNT System Student Accounting and UNT System Financial Systems Support will work with the appropriate staff (as necessary) to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4a. Establish a mandatory annual cash handling training for all personnel handling cash at UNTHSC.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4b. Require all cash handling personnel to sign a statement acknowledging that they have been trained, read and understand the relevant policies and procedures.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4c. Work with the UNTHSC Controller’s Office to modify Cash Handling Procedures to require cash handling annual training.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4d. Consider expanding the mandatory annual cash handling training and acknowledgement statement requirements to other University components.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted:</p> <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>4e. Ensure all bank deposit bags are kept in the safe until the armored truck arrives.</p>	<p>We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.</p>	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted: <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	Recommendations for the Director of Financial Services – Student Finance: 4f. Consider utilizing a desktop check scanner.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	While obtaining an understanding of UNTHSC Cashiering as it related to the process of receipting and depositing funds by the School of Public Health, we noted opportunities for improvement. Although, UNTHSC Cashiering Office is a keypad control access room with glass windows and limited access to only authorized personnel, the following exceptions were noted: <ul style="list-style-type: none"> • The drawers (cash registers) in which funds are kept do not have locks to ensure that each cashier is accountable for her assigned drawer. • The bank deposit bag is not kept in the safe until the armored truck arrives for pick up. • Cashiers have their purses in the cashiering room rather than having purses kept in a locker. • The two cashiers have only received cash handling training once, which was at the beginning of their employment in the last three and six year tenure. 	Moderate	Recommendations for the Director of Financial Services – Student Finance: 4g. Place all purses and belongings in a locker or drawer away from where the money is kept.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNTHSC campus in Fort Worth. Key team members from UNT System Student Accounting and UNT System Controller’s Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than August 1, 2017.	Jeane Olson, Director of Financial Services – Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	During our review of School of Public Health Payroll, we noted that UNT System Administration Policies 03.503 Longevity Pay is outdated and it is not in compliance with the statute. Specifically, as of September 1, 2005 the longevity pay was raised from \$20 per month for every three years of state service to \$20 per month for every two years of state service which is not reflected in the policy. Additionally, it is important to note that the longevity pay is appropriately calculated in the University Payroll System in accordance with the statute.	Low	Recommendation for the Human Resources Director: 5a. Modify University Administrative Policy regarding Longevity Pay to help ensure compliance with the state laws.	Management worked with the UNT System Policy Manager, to update/modify the University Administrative Policy. The updated policy was submitted to the Office of General Counsel for review during the audit.	Gary Finney, Human Resources Director	7/19/2016	Closed
Internal	UNTHSC Institutional Review Board	Fiscal Year 2016	Governance and Regulatory Compliance	PKU Human Microbiome Protocol	UNTHSC	None	NA	NA	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Responsibility for IT Security is decentralized and communication concerning the responsibilities of each party should be strengthened.</p> <p>ITSS establishes the policies for the UNT Enterprise concerning requirements for installing and maintaining anti-virus and encryption software on all laptops. It is then the responsibility of the IT Managers or Custodians to ensure these policies are carried out. IA talked to the IT Managers of UNTS, UNT CAS and UNTD and they were not aware of their responsibility for ongoing maintenance of the anti-virus and encryption software on the laptops. The IT Managers do not follow procedures to ensure the software installed is maintained and current. They do not receive directive communication from ITSS detailing accountability and responsibility for maintaining this software.</p>	High	<p>Recommendations for ITSS:</p> <p>ITSS should utilize a communication framework detailing how responsibility for installation and maintenance of anti-virus and encryption software on laptops, as well as inventory of laptops, will be disseminated.</p>	<p>IT Shared Services will utilize the following existing frameworks that address the recommendations of this observation (#1):</p> <ol style="list-style-type: none"> 1. The framework that establishes security responsibilities for the management of information resources, including laptops, which is defined and communicated online in the following resources: <ul style="list-style-type: none"> a. UNT System Information Security Regulation 6.1000, Section 6.1004(3), "Information Security Structure"; b. UNT System Information Security Policy 8.1000, Section 2, "Information Security Roles"; c. UNT System Information Security Handbook, Section 6, "Information Security Structure"; and d. Texas Administrative Code Chapter 202 and ISO 27001 and ISO 27002; and e. UNT System Information Security Mandate: Mobile Device Encryption. 2. The UNT System Information Security Handbook, sections 10.4.1-10.4.4, and 12.4.1-12.4.2, which is available online and establishes requirements for management and installation of anti-virus and encryption software. 3. UNT and UNT System committees established to communicate campus related IT projects and issues, in addition to a listserv that is used to communicate information technology, security, antivirus and encryption services issues to IT personnel across the UNT System and the Institutions. The UNT Committee is called the Technical 	Charlotte Russell, Chief Information Security Officer	3/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Responsibility for IT Security is decentralized and communication concerning the responsibilities of each party should be strengthened.</p> <p>ITSS establishes the policies for the UNT Enterprise concerning requirements for installing and maintaining anti-virus and encryption software on all laptops. It is then the responsibility of the IT Managers or Custodians to ensure these policies are carried out. IA talked to the IT Managers of UNTS, UNT CAS and UNTD and they were not aware of their responsibility for ongoing maintenance of the anti-virus and encryption software on the laptops. The IT Managers do not follow procedures to ensure the software installed is maintained and current. They do not receive directive communication from ITSS detailing accountability and responsibility for maintaining this software.</p>	High	<p>Recommendations for ITSS:</p> <p>ITSS may use an appropriate existing committee or create a new committee to communicate accountability and responsibility for security concerns, including anti-virus and encryption software maintenance. Such a committee should include representatives from across the University at all levels, not just IT personnel.</p>	<p>IT Shared Services will utilize the following existing frameworks that address the recommendations of this observation (#1):</p> <ol style="list-style-type: none"> 1. The framework that establishes security responsibilities for the management of information resources, including laptops, which is defined and communicated online in the following resources: <ul style="list-style-type: none"> a. UNT System Information Security Regulation 6.1000, Section 6.1004(3), "Information Security Structure"; b. UNT System Information Security Policy 8.1000, Section 2, "Information Security Roles"; c. UNT System Information Security Handbook, Section 6, "Information Security Structure"; and d. Texas Administrative Code Chapter 202 and ISO 27001 and ISO 27002; and e. UNT System Information Security Mandate: Mobile Device Encryption. 2. The UNT System Information Security Handbook, sections 10.4.1-10.4.4, and 12.4.1-12.4.2, which is available online and establishes requirements for management and installation of anti-virus and encryption software. 3. UNT and UNT System committees established to communicate campus related IT projects and issues, in addition to a listserv that is used to communicate information technology, security, antivirus and encryption services issues to IT personnel across the UNT System and the Institutions. The UNT Committee is called the Technical 	Charlotte Russell, Chief Information Security Officer	3/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Inventory list of laptops provided by Asset Management is not complete and accurate.</p> <p>Asset Management (AM) is responsible for maintaining an inventory of assets owned by the UNT Enterprise. This listing is maintained in EIS. IA obtained a list of laptops from asset management for UNT, UNTS, and UNTD, which contained 4688 entries. Listing from ePO provided to IA contained 3771 laptops for the entire UNT Enterprise. IA selected a random sample of 100 machines from the ePO report and attempted to find those machines in the asset management listing. Only 53 machines were found due to the asset management listing only sporadically including the machine name, the key field in ePO.</p> <p>Neither of the lists provided, from EIS or ePO, indicated the type of asset/machine.</p> <p>UNTD maintains an inventory list which contained 85 laptops. Asset Management's listing indicated 387 laptops assigned to UNTD.</p> <p>CAS does not maintain an independent inventory list of laptops purchased, and those assigned to CAS could not be identified in Asset Management's listing.</p>	High	<p>IA recommends Asset Management review their processes to ensure they result in an accurate laptop inventory across the Enterprise. IA should then conduct an audit of the Asset Management inventory process. IA recommends this occurs soon, as there are other UNT areas dependent on an accurate inventory. ITSS does not own AM, and AM was not the subject of this audit. IA is recommending an audit of the Asset Management process as a result of this audit.</p>	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Inventory listing of laptops from Asset Management and listing of laptops in ePO are not reconciled.</p> <p>IA obtained a list of laptops from Asset Management pulled from EIS 9.0, which contained 4688 entries for UNT, UNTS, and UNTD. 3771 laptops containing anti-virus software were found in ePO for the entire UNT Enterprise. IA selected a random sample of 100 machines from this ePO report and attempted to find those machines in the asset management listing. Only 53 machines were found due to the asset management listing only sporadically including the machine name, the key field in ePO.</p>	High	<p>Recommendation for ITSS:</p> <p>ITSS should develop and submit a policy requiring a periodic reconciliation of laptops in Asset Management's inventory to the list of laptops in ePO. This will help determine if all required laptops are equipped with encryption and anti-virus software.</p>	<p>Per discussions that ensued between the leadership of ITSS (Rama Dhuwaraha, Charlotte Russell, Dorothy Flores, and Kendra Ketchum) and Internal Audit (Tracy Grunig, Mickie Tate, and Sue Pagel) on August 11, 2016, all parties agreed to an alternative to this recommendation, due to non-compatibility of the asset management system with ePO. The two technologies are used for unique purposes: The asset management system is used by institutions to track inventory, and ePO is a software management tool used by ITSS to centrally manage the distribution of anti-virus and encryption software to institutionally owned devices. These tools do not capture the same type of information that would be needed to support reconciliation, thus correlated, or comparable information, is not stored in either system. ITSS will establish a requirement for departments to install current versions of anti-virus and encryption software deployment tools on all newly acquired laptops. By installing the anti-virus and encryption software tools on devices prior to deployment and use, the asset management inventory will initially be indicative of devices that are protected with these solutions. Thereafter, the annual check-in recommendation will support review and compliance as noted in Observation #4.</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Inventory listing of laptops from Asset Management and listing of laptops in ePO are not reconciled.</p> <p>IA obtained a list of laptops from Asset Management pulled from EIS 9.0, which contained 4688 entries for UNT, UNTS, and UNTD. 3771 laptops containing anti-virus software were found in ePO for the entire UNT Enterprise. IA selected a random sample of 100 machines from this ePO report and attempted to find those machines in the asset management listing. Only 53 machines were found due to the asset management listing only sporadically including the machine name, the key field in ePO.</p>	High	<p>Recommendation for IT Managers:</p> <p>IT Managers should develop a process to periodically reconcile the laptop asset management inventory with ePO in compliance with the new policy.</p>	<p>Per discussions that ensued between the leadership of ITSS (Rama Dhuwaraha, Charlotte Russell, Dorothy Flores, and Kendra Ketchum) and Internal Audit (Tracy Grunig, Mickie Tate, and Sue Pagel) on August 11, 2016, all parties agreed to an alternative to this recommendation, due to non-compatibility of the asset management system with ePO. The two technologies are used for unique purposes: The asset management system is used by institutions to track inventory, and ePO is a software management tool used by ITSS to centrally manage the distribution of anti-virus and encryption software to institutionally owned devices. These tools do not capture the same type of information that would be needed to support reconciliation, thus correlated, or comparable information, is not stored in either system. ITSS will establish a requirement for departments to install current versions of anti-virus and encryption software deployment tools on all newly acquired laptops. By installing the anti-virus and encryption software tools on devices prior to deployment and use, the asset management inventory will initially be indicative of devices that are protected with these solutions. Thereafter, the annual check-in recommendation will support review and compliance as noted in Observation #4.</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>No follow-up for laptops not checking in.</p> <p>ITSS maintains the ePO system, supplying the McAfee tool for people building laptops to put anti-virus and encryption software on machines. ePO also updates these machines with the most recent software upgrades when the machines access the network, normally every 15 minutes. ITSS does not require follow-up on machines that have not checked in within a certain timeframe.</p>	High	<p>Recommendations for ITSS:</p> <p>ITSS should develop and submit a policy requiring IT Managers investigate machines not checking into ePO within a defined timeframe or not containing anti-virus updates per definition.</p>	<p>Computer images that include anti-virus and encryption software are deployed to laptops by campus departments. ITSS does not have access to the images and is therefore unable to update them. In addition, ITSS does not manage departmental operations or processes associated with management of laptops.</p> <p>ITSS will establish a requirement for laptops to be connected to institutionally owned networks at least annually in order to receive anti-virus and encryption software updates. In cases where a laptop is not capable of running a specific institutionally managed anti-virus or encryption software solution, a security exception will be considered if mitigating controls can be established to protect the respective device.</p> <p>ITSS will establish a requirement for IT managers to remove laptops from ePO that have been surplussed and are no longer in use.</p> <p>ITSS will establish a requirement for IT managers to investigate the following:</p> <ul style="list-style-type: none"> • Laptops that do not check into ePO within an established timeframe; and • Laptops that do not receive anti-virus updates. <p>Documentation listing the reasons why a laptop does not check into ePO will be required to be maintained by the IT</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>No follow-up for laptops not checking in.</p> <p>ITSS maintains the ePO system, supplying the McAfee tool for people building laptops to put anti-virus and encryption software on machines. ePO also updates these machines with the most recent software upgrades when the machines access the network, normally every 15 minutes. ITSS does not require follow-up on machines that have not checked in within a certain timeframe.</p>	High	<p>Recommendations for ITSS:</p> <p>ITSS should develop and submit a policy requiring laptop owners to bring the laptop into campus and connect directly to the UNT network at least annually to receive required updates. Reason for not checking in should be documented, and/or machine access removed from the UNT network.</p>	<p>Computer images that include anti-virus and encryption software are deployed to laptops by campus departments. ITSS does not have access to the images and is therefore unable to update them. In addition, ITSS does not manage departmental operations or processes associated with management of laptops.</p> <p>ITSS will establish a requirement for laptops to be connected to institutionally owned networks at least annually in order to receive anti-virus and encryption software updates. In cases where a laptop is not capable of running a specific institutionally managed anti-virus or encryption software solution, a security exception will be considered if mitigating controls can be established to protect the respective device.</p> <p>ITSS will establish a requirement for IT managers to remove laptops from ePO that have been surplus and are no longer in use.</p> <p>ITSS will establish a requirement for IT managers to investigate the following:</p> <ul style="list-style-type: none"> • Laptops that do not check into ePO within an established timeframe; and • Laptops that do not receive anti-virus updates. <p>Documentation listing the reasons why a laptop does not check into ePO will be required to be maintained by the IT</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>No follow-up for laptops not checking in.</p> <p>ITSS maintains the ePO system, supplying the McAfee tool for people building laptops to put anti-virus and encryption software on machines. ePO also updates these machines with the most recent software upgrades when the machines access the network, normally every 15 minutes. ITSS does not require follow-up on machines that have not checked in within a certain timeframe.</p>	High	<p>Recommendation for IT Managers:</p> <p>IT Managers should remove laptops from ePO that are surplus and no longer in use.</p>	<p>IA communicated with CAS Assistant Dean for Information Technology Services, Tim Christian, regarding removing laptops from ePO that are surplus and no longer in use. He agreed to follow the policy set by ITSS.</p>	Tim Christian, Assistant Dean for Information Technology Services	3/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Use of the ePO tool is not required to install and monitor anti-virus and encryption software on laptops.</p> <p>While most IT Managers use the ePO agent to install anti-virus and encryption software on laptops, there is no requirement to do so. Installation of anti-virus and encryption software is required but use of a specific tool is not required.</p>	Moderate	<p>Recommendation for ITSS:</p> <p>ITSS should develop and submit a standard requiring all IT Managers use one tool to install anti-virus and encryption software on laptops during the build process.</p>	<p>Anti-virus software is deployed to devices in a variety of methods, including direct acquisition from anti-virus software vendors (e.g., McAfee), and also via ePolicy Orchestrator (ePO), a software management tool used by IT Shared Services to centrally manage the distribution of anti-virus and encryption software to institutionally owned devices, including laptops. Detection of the installation of anti-virus and encryption software can be done manually (by physically locating and assessing installation), or it can be done through the use of management tools such as ePO.</p> <p>ITSS will establish a standard requiring the use of the ITSS sanctioned anti-virus and encryption software distribution tool. In cases where a device is not capable of running a specific anti-virus or encryption software solution, a security exception will be considered if mitigating controls can be established to protect the respective device.</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Standard for compliant and non-compliant anti-virus updates on laptops does not take into account last check-in date.</p> <p>The current definition of laptops being compliant with anti-virus definitions states they must be within three versions of the current DAT file version in ePO. New DAT files are released approximately daily. This definition does not take into account the last time that the laptop checked into the UNT network.</p> <p>Laptops may receive updates even though they have not been connected to the UNT network and checked in. Also, laptops may have the most current version of anti-virus software as of the last time they checked in. The current definition of compliance for laptop anti-virus does not take into consideration these situations.</p>	Moderate	<p>Recommendation for ITSS:</p> <p>ITSS should establish a new definition of when a laptop is considered compliant, taking into account when they last checked into the UNT network.</p>	ITSS will update and document the conditions in which a laptop is considered compliant with the last check-in date requirement.	Charlotte Russell, Chief Information Security Officer	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Selected Grants Review - National Science Foundation Audit	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	International Travel Process Audit	UNT	<p>Listed below are reasons for conducting an audit at a later time:</p> <ol style="list-style-type: none"> 1. A System-wide travel regulation, which will contain a section on international travel requiring registration for all individuals travelling internationally on University business, will need to be approved and implemented. 2. RMS international travel registration mechanism will need to be implemented. 3. There is a need to establish an internal control to ensure that all individuals traveling internationally on University business register their travel. 4. Management may want to consider possible consequences for those individuals who do not comply with the international travel registration requirement in the System travel regulation. 5. Funding for future improvements and/or expansion of the international travel registration mechanism, if determined applicable, has not been obtained. 6. Need to update the UNT System Travel Guidelines and applicable travel procedures. 	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Toulouse Graduate School	UNT	<p>1. No Application Fee Policy: Internal Audit was unable to locate any University policies that directly address the use of the Graduate School Application fee.</p> <p>The Interim Dean of the Toulouse Graduate School, stated that application fees can be used for any purpose due to their flexibility, and the Interim Dean was not aware of any policies governing the use of application fees.</p> <p>The Interim Dean of the Toulouse Graduate School, stated that application fees can be used for any purpose due to their flexibility, and the Interim Dean was not aware of any policies governing the use of application fees.</p> <ul style="list-style-type: none"> • Texas Education Code, Sec. 54.504 considers the application fee as an incidental fee. This section establishes the rate of an incidental fee, but it does not address its use. • Texas Education Code, Sec. 55.16 generally addresses fees by stating that a fee should be sufficient to support the related activity. • UNT System Board of Regents Rule 07.403, 2(d) delegates responsibility for fixing the rate of incidental fee rates to the President of each Institution. Each President may make rules regarding the distribution of funds according to Texas Education Code, Sec. 54.504. However, Sec. 54.504 does not cover the distribution of funds. • UNT Policy 10.037 considers Academic Fees as an incidental fee. According to Policy 10.037, Academic Fees--and likewise incidental fees--should accurately reflect the actual costs to the University for providing the related 	Moderate	<p>Recommendation for Vice Provost of the Toulouse Graduate School:</p> <p>1a. Consult with the Vice President for Finance and Administration to develop a policy specifying appropriate uses for the Graduate School application fee.</p>	Historically the majority of the application fee was used to fund staff positions in the Toulouse Graduate School. Within the last six months the funding of these staff lines were adjusted so that the staff directly responsible for application processing are paid from the application fee account. This is consistent with the intended use of the funds. In addition the residual funds will be directed toward processing of applications and the associated expenses. However, the application fee and the staff on that fee have moved under admissions and, consistent with the change in the budget line, we communicated with the VP of Enrollment Management and the Executive Director of Admissions about the need to continue the staff funding from the application fee account. In addition, with the transfer of the application fee account to the Executive Director of Admissions, the Graduate School communicated the expected outcomes and recommendations of this audit to the Executive Director so that policy development can be fulfilled by the new account holder.	Rebecca Lothringer, Executive Director of Admissions	1/15/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>1. Intercollegiate Athletics Fee - The UNT Intercollegiate Athletics Fee was increased \$1 per semester credit hour (SCH) from \$10/SCH to \$11/SCH starting in the Spring of 2016 without a student general election conducted to approve the increase, which was not in compliance with the Texas Education Code Chapter 54 Section 54.5191. Therefore, this action resulted in the overbilling of students.</p>	High	<p>Recommendations for the Vice President of Finance and Administration and the Vice President of Athletics:</p> <p>a. Coordinate with the Office of General Counsel to take appropriate actions to rectify the overbilling of students.</p>	The fees for athletics were returned to \$10 per hour with limits, the last appropriately authorized amount, prior to registration and fee payment for spring, 2017. The university will refund the extra \$1 per hour collected for the two previous terms. All refunds will be made by November 30, 2016.	Bob Brown, Vice President for Finance and Administration	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>1. Intercollegiate Athletics Fee - The UNT Intercollegiate Athletics Fee was increased \$1 per semester credit hour (SCH) from \$10/SCH to \$11/SCH starting in the Spring of 2016 without a student general election conducted to approve the increase, which was not in compliance with the Texas Education Code Chapter 54 Section 54.5191. Therefore, this action resulted in the overbilling of students.</p>	High	<p>Recommendations for the Vice President of Finance and Administration and the Vice President of Athletics:</p> <p>b. Identify and refund students who were charged excess fees as a result of non-compliance with the Texas Education Code 54.5191 from Spring 2016 to current.</p>	The fees for athletics were returned to \$10 per hour with limits, the last appropriately authorized amount, prior to registration and fee payment for spring, 2017. The university will refund the extra \$1 per hour collected for the two previous terms. All refunds will be made by November 30, 2016.	Bob Brown, Vice President for Finance and Administration	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>2. Inadequate Safeguarding Measures - Safeguarding measures of blank check stock are not adequate. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • There is a small unsecured movable safe on a shelf in the custodian's office which includes blank pre-numbered checks and the safe combination of another safe located in Athletics administration. • There is no documentation listing the check numbers of the blank checks kept in safe. • The Athletic Department Working Fund maximum balance is \$20,000, though the estimated potential amount needed during peak months is \$5,000. 	High	<p>Recommendation for Assistant Athletic Director, Business Operations:</p> <p>a. Obtain a larger unmovable safe.</p>	The Department of Athletics agrees with the recommendations. A large unmovable safe has been purchased.	Pilar Bradfield, Assistant Athletic Director	2/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	2. Inadequate Safeguarding Measures - Safeguarding measures of blank check stock are not adequate. Specifically, the following were noted: <ul style="list-style-type: none"> There is a small unsecured movable safe on a shelf in the custodian's office which includes blank pre-numbered checks and the safe combination of another safe located in Athletics administration. There is no documentation listing the check numbers of the blank checks kept in safe. The Athletic Department Working Fund maximum balance is \$20,000, though the estimated potential amount needed during peak months is \$5,000. 	High	Recommendation for Assistant Athletic Director, Business Operations: b. Maintain a listing of check numbers for the blank check stock that is kept secured in the safe.	The Department of Athletics agrees with the recommendations. Blank check stock will be inventoried on a quarterly basis. The listing of check numbers for blank stock will be maintained and updated after each inventory.	Pilar Bradfield, Assistant Athletic Director	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	2. Inadequate Safeguarding Measures - Safeguarding measures of blank check stock are not adequate. Specifically, the following were noted: <ul style="list-style-type: none"> There is a small unsecured movable safe on a shelf in the custodian's office which includes blank pre-numbered checks and the safe combination of another safe located in Athletics administration. There is no documentation listing the check numbers of the blank checks kept in safe. The Athletic Department Working Fund maximum balance is \$20,000, though the estimated potential amount needed during peak months is \$5,000. 	High	Recommendation for Assistant Athletic Director, Business Operations: c. Reduce the working fund balance of the Athletic Department Working Fund to a lower amount which will still meet the needs of the department.	The Department of Athletics agrees with the recommendations. Athletics will work with the Controller's office in BSC to reduce the fund to \$10,000.00.	Pilar Bradfield, Assistant Athletic Director	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	3. Parking Revenue - Testing of parking revenue identified the following: <ul style="list-style-type: none"> Parking reconciliation reports had material differences between expected receipts and actual monies deposited to Student Accounting and University Cashiering Services. In detail parking payments from four football games identified a shortage of \$558.00, \$515.00, \$366.00, and an overage of \$140.00. The explanations notated on the reconciliation report regarding the over/short dollar difference were inadequate or missing. The reconciliation reports reviewed were signed by a UNT Athletic employee; however, the signature on the report by the representative for Contemporary Services Corporation (CSC) signed as "CSC" and the actual name was not used. There are no written procedures outlining the steps to be taken by UNT Athletic personnel with regards to parking operations after CSC collects and provides the parking funds to UNT Athletics personnel. 	High	Recommendations for Senior Associate Athletic Director, Business Operations: a. Develop procedures to help ensure that funds are appropriately accounted for, reconciled and deposited timely.	The Department of Athletics agrees with the recommendations. <ul style="list-style-type: none"> Procedures related to the parking funds will be formally documented. All pertinent personnel will be trained on the procedures. Reconciliation of parking funds will take place in a timely manner to ensure compliance with the institutional mandates regarding cash deposits. All overage/shortages will be appropriately documented. 	Pilar Bradfield, Assistant Athletic Director	11/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>3. Parking Revenue - Testing of parking revenue identified the following:</p> <ul style="list-style-type: none"> • Parking reconciliation reports had material differences between expected receipts and actual monies deposited to Student Accounting and University Cashiering Services. In detail parking payments from four football games identified a shortage of \$558.00, \$515.00, \$366.00, and an overage of \$140.00. • The explanations notated on the reconciliation report regarding the over/short dollar difference were inadequate or missing. • The reconciliation reports reviewed were signed by a UNT Athletic employee; however, the signature on the report by the representative for Contemporary Services Corporation (CSC) signed as "CSC" and the actual name was not used. • There are no written procedures outlining the steps to be taken by UNT Athletic personnel with regards to parking operations after CSC collects and provides the parking funds to UNT Athletics personnel. 	High	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>b. Train pertinent UNT personnel on the parking procedures expected to be developed.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Procedures related to the parking funds will be formally documented. • All pertinent personnel will be trained on the procedures. • Reconciliation of parking funds will take place in a timely manner to ensure compliance with the institutional mandates regarding cash deposits. All overage/shortages will be appropriately documented. 	Pilar Bradfield, Assistant Athletic Director	11/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>3. Parking Revenue - Testing of parking revenue identified the following:</p> <ul style="list-style-type: none"> • Parking reconciliation reports had material differences between expected receipts and actual monies deposited to Student Accounting and University Cashiering Services. In detail parking payments from four football games identified a shortage of \$558.00, \$515.00, \$366.00, and an overage of \$140.00. • The explanations notated on the reconciliation report regarding the over/short dollar difference were inadequate or missing. • The reconciliation reports reviewed were signed by a UNT Athletic employee; however, the signature on the report by the representative for Contemporary Services Corporation (CSC) signed as "CSC" and the actual name was not used. • There are no written procedures outlining the steps to be taken by UNT Athletic personnel with regards to parking operations after CSC collects and provides the parking funds to UNT Athletics personnel. 	High	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>c. Ensure adequate documentation is notated when there is an overage/shortage.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Procedures related to the parking funds will be formally documented. • All pertinent personnel will be trained on the procedures. • Reconciliation of parking funds will take place in a timely manner to ensure compliance with the institutional mandates regarding cash deposits. All overage/shortages will be appropriately documented. 	Pilar Bradfield, Assistant Athletic Director	11/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>3. Parking Revenue - Testing of parking revenue identified the following:</p> <ul style="list-style-type: none"> • Parking reconciliation reports had material differences between expected receipts and actual monies deposited to Student Accounting and University Cashiering Services. In detail parking payments from four football games identified a shortage of \$558.00, \$515.00, \$366.00, and an overage of \$140.00. • The explanations notated on the reconciliation report regarding the over/short dollar difference were inadequate or missing. • The reconciliation reports reviewed were signed by a UNT Athletic employee; however, the signature on the report by the representative for Contemporary Services Corporation (CSC) signed as "CSC" and the actual name was not used. • There are no written procedures outlining the steps to be taken by UNT Athletic personnel with regards to parking operations after CSC collects and provides the parking funds to UNT Athletics personnel. 	High	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>d. Monitor until sustained compliance is achieved.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Procedures related to the parking funds will be formally documented. • All pertinent personnel will be trained on the procedures. • Reconciliation of parking funds will take place in a timely manner to ensure compliance with the institutional mandates regarding cash deposits. All overage/shortages will be appropriately documented. 	Pilar Bradfield, Assistant Athletic Director	11/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> • Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. • Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. • Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. • Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. • Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Senior Associate Athletic Director, Business Operations:</p> <p>a. Re-educate applicable personnel on cash handling policy requirements.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> • The Business Process Trainer-UNT Finance and Administration will conduct cash handling training on a regular basis to Athletics staff whose responsibilities including the use of cash. • Athletics has scheduled a meeting with UNTS Financial Services on October 18, 2016 to determine the best options to deposit checks and cash. • The Athletic Department Business Office will perform periodic reviews to ensure funds are being deposited timely. 	Pilar Bradfield, Assistant Athletic Director	8/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Senior Associate Athletic Director, Business Operations:</p> <p>b. Management should perform a periodic review to ensure funds are being deposited timely.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> The Business Process Trainer-UNT Finance and Administration will conduct cash handling training on a regular basis to Athletics staff whose responsibilities including the use of cash. Athletics has scheduled a meeting with UNTS Financial Services on October 18, 2016 to determine the best options to deposit checks and cash. The Athletic Department Business Office will perform periodic reviews to ensure funds are being deposited timely. 	Pilar Bradfield, Assistant Athletic Director	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Senior Associate Athletic Director, Business Operations:</p> <p>c. Coordinate with UNTS Financial Services to determine best options with regards to the deposit of cash and checks (i.e. lockbox, desktop check scanner, and secure safe) to meet UNT Policy 10.024 and Texas Education Code 51.003 deposit requirements.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> The Business Process Trainer-UNT Finance and Administration will conduct cash handling training on a regular basis to Athletics staff whose responsibilities including the use of cash. Athletics has scheduled a meeting with UNTS Financial Services on October 18, 2016 to determine the best options to deposit checks and cash. The Athletic Department Business Office will perform periodic reviews to ensure funds are being deposited timely. 	Pilar Bradfield, Assistant Athletic Director	8/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>d. Evaluate the current requirements for the cash handling policy to ensure the funds received from other departments within five days is sufficient to meet the Texas Education Code deposit requirement of seven days.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> Student Financial Services will work with the UNT Operations Support department in identifying the departments that are not in compliance with the UNT Cash Handling policy 10.006. The UNT Cash Handling policy was updated as of 10/11/2016 to change the days that department need to deposit funds from five days to three days. 	Jeane Olson, Director of Financial Services - Student Finance	8/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>4. Deposit of Funds - Testing identified that funds are not delivered timely to the UNT Student Accounting and University Cashiering Services (SAUCS) within five days in accordance with the UNT Policy 10.024. Additionally, funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. In detail, the following were noted:</p> <ul style="list-style-type: none"> Funds were received on September 19, 2015 (total amount of \$12,592.00) for parking; however, these funds were not provided to SAUCS for deposit until September 25, 2015; and subsequently, deposited by SAUCS into the bank on September 28, 2015. Funds were received on October 17, 2015 (total amount of \$4,100.00) for parking; however, these funds were not provided to SAUCS for deposit until October 26, 2015 and deposited by SAUCS into the bank on the same day. Funds were received on October 31, 2015 (total amount of \$6,334.00) for parking; however, these funds were not provided to SAUCS for deposit until November 17, 2015; and subsequently, deposited by SAUCS into the bank on November 18, 2015. Funds were received from November 23 – 25, 2015 (total amount of \$4,011.00) from concessions; however, these funds were not provided to SAUCS for deposit until December 1, 2015; and subsequently, deposited by SAUCS into the bank on December 3, 2015. Funds were received from July 5 – 17, 2016 (total amount 	Moderate	<p>Recommendations for the Director of Financial Services – Student Finance:</p> <p>e. If a policy change is made regarding deposit requirements, communicate this information to all pertinent departments that receive money.</p>	<p>The Department of Athletics Agrees with the recommendations.</p> <ul style="list-style-type: none"> Student Financial Services will assist UNT Operations Support with communicating any changes to the UNT Cash Handling policy 10.006 as requested by UNT Operations Support to the UNT campus. Student Financial Services communicated the changes in the new Cash Handling policy to the Athletics department during a meeting on 10/19/2016 and will continue to coordinate training and awareness of the new policy to other campus departments by August 1, 2017. 	Jeane Olson, Director of Financial Services - Student Finance	8/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training • 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>a. Establish controls to ensure that all sports camp workers complete the required sexual abuse and child molestation awareness training prior to the start of the sports camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will work with sports camp directors to ensure that all sports camp employees complete the required sexual abuse and child molestation awareness training prior to the start of each camp. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training • 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>b. Establish controls to ensure that Risk Management personnel receive the necessary information to ensure that background checks are conducted for all sports camp workers prior to the start of the sport camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will work with Risk management to establish controls and ensure that they receive the necessary information that background checks are conducted for all camp employees. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training • 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>c. Communicate consistently with Risk Management personnel to ensure that they have received and/or have on file for each sports camp worker evidence of completion of sexual abuse and child molestation awareness training and background checks.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will communicate with Risk Management personnel to ensure they have received or have on file evidence of the completion of sexual abuse and child molestation awareness training and background checks. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>6. Insurance Coverage for Sports Camps - Testing of insurance coverage for sports camp participants (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 3 out of 136 (2%) volleyball sports camp participants did not have insurance coverage. • Volleyball did not provide notification and documentation to Risk Management for the camp participants who had insurance coverage. • Swimming was sponsored through NIKE which requires insurance; however, the proof of insurance certificate was not provided to Risk Management by the camp director. 	Moderate	<p>Recommendation for Senior Associate Athletic Director, Business Operations:</p> <p>a. Re-educate the Sports Camp Directors on the importance of providing notification and documentation to UNT Risk Management that camp insurance for participants has been obtained (i.e. through UNT or outside means) for their sports camp prior to the start of the camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will work with each sports camp director to ensure that they provide UNT Risk Management with documentation that insurance has been purchased for their camps prior to the start of each camp. 	Mike Ashbaugh, Sr. Associate Athletic Director	4/15/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships: <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	Recommendations for Associate Athletic Director, Compliance: <p>a. Ensure that the endowed scholarship criteria used by the committee agrees with eligibility requirements established by the donor.</p>	The Department of Athletics agrees with the recommendations. Athletics awards all of the athletic endowed scholarships during the month of August every year. This process involves selecting recipients for the upcoming academic year as well as completing the paperwork for the award winners of the previous year. <ul style="list-style-type: none"> The Athletic Compliance Office is currently working with the University and Athletic Development Offices to obtain Memorandums of Understanding (MOUs) for all endowed athletic scholarships. The complete gathering of this information will help to ensure the criteria used by the committee matches the requirements and intentions of the donor. 	Scott Hobbs, Sr. Associate Athletics Director – Compliance.	2/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships: <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	Recommendations for Associate Athletic Director, Compliance: <p>b. Develop written procedures to document processes and procedures pertaining to the awarding of Athletic endowed scholarships for eligible student athletes.</p>	The Department of Athletics agrees with the recommendations. Athletics awards all of the athletic endowed scholarships during the month of August every year. This process involves selecting recipients for the upcoming academic year as well as completing the paperwork for the award winners of the previous year. <ul style="list-style-type: none"> Once all the MOUs have been gathered, Athletics will formally develop its written policies and procedures for awarding of both the endowed scholarships and any general athletic donor scholarships. 	Scott Hobbs, Sr. Associate Athletics Director – Compliance.	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships: <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	Recommendations for Associate Athletic Director, Compliance: <p>c. Written minutes should be maintained on Athletics endowed scholarship committee meetings.</p>	The Department of Athletics agrees with the recommendations. Athletics awards all of the athletic endowed scholarships during the month of August every year. This process involves selecting recipients for the upcoming academic year as well as completing the paperwork for the award winners of the previous year. <ul style="list-style-type: none"> Athletics will maintain official records for actions taken at committee meetings for endowed scholarships. 	Scott Hobbs, Sr. Associate Athletics Director – Compliance.	2/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Report Completion Date – The annual report was prepared 47 days late.	Moderate	Prepare and present financial results as the annual report. Disseminate the annual report to all required parties within the time frame set forth in Article IX, section B(c) of the SIG By-Laws.	The department chair has visited with the incoming President of the SIG regarding the recommendations. He has agreed to share the recommendations with the SIG Board of Directors and will plan to meet the 45 day deadline for the 2017 annual financial report and reports thereafter.	SIG Board of Directors	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Report Completion Date – The annual report was prepared 47 days late.	Moderate	Present additional information, such as remarks from the Board of Directors, symposiums attended, and other activities, in a separate report at a later date.	The department chair has visited with the incoming President of the SIG regarding the recommendations. He has agreed to share the recommendations with the SIG Board of Directors and will plan to meet the 45 day deadline for the 2017 annual financial report and reports thereafter.	SIG Board of Directors	NA	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Voting Summary Form – The number of shares voted to be purchased was missing from two Voting Summary forms.	Low	Ensure that Senior Analysts and Portfolio Managers include the number of shares on the Voting Summary form. Designate one specific location on the Voting Summary form to include the number of shares.	In Spring 2016, the SIG Board of Directors adopted and began using a Recommendation Form and an Equity Order Form. Each form provides a specific location for the number of shares to be sold or purchased.	SIG Board of Directors	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1a. Management to work with Office of General Counsel and Human Resources to establish a mechanism, which includes a conflict of interest disclosure form, through which investment officers self-report annually any real or perceived conflicts of interest.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 8/31/2016 Revised 06/01/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1b. Implement a required annual conflict of interest training program to provide investment officers a clear understanding of their roles and responsibilities related to conflict of interest and steps they would need to take in the event of a concern.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 08/31/206 Revised 06/01/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1c. For staff positions which do not require an annual conflict of interest disclosure form to be completed, consider requiring periodic acknowledgement of the institution's ethics policy from staff, which has conflict of interest embedded within the policy.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 08/31/2016 Revised 03/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	2. Bank Addendum Certificate of Authority – UNT - Testing identified two terminated employees with access to the UNT repurchase sweep account ending in account number 2633.	Moderate	2a. To work with the Institutional CFO's in establishing an annual review process to ensure that bank account access for employees are appropriate based on their roles and responsibilities.	Online log on credentials were disabled prior to the employees' termination. Management will review existing processes for improvement opportunities regarding immediate removal of all access for terminated employees. In addition, Treasury will work with the CFO's regarding establishing a review that occurs no less than annually.	James Mauldin, Associate Vice Chancellor for Treasury	6/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	2. Bank Addendum Certificate of Authority – UNT - Testing identified two terminated employees with access to the UNT repurchase sweep account ending in account number 2633.	Moderate	2b. For employees that have an employment status change which includes termination, establish a process to remove access immediately.	Online log on credentials were disabled prior to the employees' termination. Management will review existing processes for improvement opportunities regarding immediate removal of all access for terminated employees. In addition, Treasury will work with the CFO's regarding establishing a review that occurs no less than annually.	James Mauldin, Associate Vice Chancellor for Treasury	6/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	3. Conflict of Interest – UNTHSC – One out of three employees (33%) who have access to investment related bank accounts did not complete a conflict of interest disclosure form.	Moderate	3a. Require all applicable staff to be re-educated on the policy.	Management will work with the UNTHSC Compliance Office to establish and implement procedures to notify employees when they have not completed the Conflict Disclosure Form within the required time frame established by UNTHSC and a process for educating staff about possibly detecting conflicts of interest.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	3. Conflict of Interest – UNTHSC – One out of three employees (33%) who have access to investment related bank accounts did not complete a conflict of interest disclosure form.	Moderate	3b. Work with the Office of Compliance to implement a monitoring process to ensure applicable staff completes an annual conflict of interest disclosure form.	Management will work with the UNTHSC Compliance Office to establish and implement procedures to notify employees when they have not completed the Conflict Disclosure Form within the required time frame established by UNTHSC and a process for educating staff about possibly detecting conflicts of interest.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/31/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	4. Inaccuracy of Quarterly Investment Report – UNT System / UNT / UNT Dallas - Testing of the accuracy of quarterly investment reports identified footing errors, instances of ending and beginning balances for successive quarters not matching, incorrect balances for the third quarter and incorrect investment report posted on the investment disclosure website.	Moderate	4a. Review fiscal year 2015 quarterly investment reports for which ending and beginning balances for successive quarters did not match and make necessary corrections. Then, update the investment disclosure websites with the corrected reports.	Fiscal Year 2015 was a transitional year organizationally for a consolidated treasury operation. Treasury has already begun working with the campuses to ensure that the investment reports on the websites are accurate and will continue to do so. A quality review process of these reports has been implemented and will going forward include ensuring that the posting to each campus' website is accurate and complete.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	4. Inaccuracy of Quarterly Investment Report – UNT System / UNT / UNT Dallas - Testing of the accuracy of quarterly investment reports identified footing errors, instances of ending and beginning balances for successive quarters not matching, incorrect balances for the third quarter and incorrect investment report posted on the investment disclosure website.	Moderate	4b. Implement a review process for quarterly investment reports to ensure the accuracy of data to be reported prior to the issuance to the Board of Regents and posting on the institution's investment disclosure website.	Fiscal Year 2015 was a transitional year organizationally for a consolidated treasury operation. Treasury has already begun working with the campuses to ensure that the investment reports on the websites are accurate and will continue to do so. A quality review process of these reports has been implemented and will going forward include ensuring that the posting to each campus' website is accurate and complete.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	5. Reconciliation to the General Ledger – UNTHSC - The cash account balance per the investment report was different from the balances recorded in the general ledger as of August 31, 2015. The balance per the quarterly investment report was understated by \$4,430,968.57.	Moderate	5a. Establish a process to ensure year-end close is performed on a timely basis.	FY15 was the first time UNTHSC's financial close was managed by UNT System Controller staff, none of whom had experience in prior UNTHSC year-end financial close activities. The year-end financial close process continues to improve since the Financial Transformation Project began. For the preparation of the FY16 Annual Financial Reports, the System Controller is preparing a timeline/schedule that will require each institution to complete their annual financial reports by early October. This would result in general ledger balances being fully reconciled and finalized by the end of September. In addition, the new review process for investment reports will include Accounting staff to ensure reported cash balances reconcile to the GL.	Paula Welch, Associate Controller James Mauldin, Associate Vice Chancellor for Treasury	10/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	5. Reconciliation to the General Ledger – UNTHSC - The cash account balance per the investment report was different from the balances recorded in the general ledger as of August 31, 2015. The balance per the quarterly investment report was understated by \$4,430,968.57.	Moderate	5b. Establish a review process to ensure balances in the quarterly investment reports reconcile to the balances in the general ledger.	FY15 was the first time UNTHSC's financial close was managed by UNT System Controller staff, none of whom had experience in prior UNTHSC year-end financial close activities. The year-end financial close process continues to improve since the Financial Transformation Project began. For the preparation of the FY16 Annual Financial Reports, the System Controller is preparing a timeline/schedule that will require each institution to complete their annual financial reports by early October. This would result in general ledger balances being fully reconciled and finalized by the end of September. In addition, the new review process for investment reports will include Accounting staff to ensure reported cash balances reconcile to the GL.	Paula Welch, Associate Controller James Mauldin, Associate Vice Chancellor for Treasury	10/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	6. Presentation of the UNTHSC and UNTHSC Foundation Investments on the Quarterly Investment Reports – UNTHSC - The August 31, 2015 UNTHSC Quarterly Investment Report did not reflect the separation of investments belonging to UNTHSC and to UNTHSC Foundation.	Low	6a. For subsequent periods, UNTHSC should identify and exclude all investments belonging to UNTHSC Foundation from the financial statements and investment reports. If investments are not excluded, properly define on the investment reports which amount is for UNTHSC and for Foundation.	Management believes the Board of Regents should have quarterly visibility to all investments that exist for the benefit of the System and therefore each Foundation's investments should not be excluded. However, we do agree that they should be clearly labeled as such. Treasury is in the process of reformatting all investment reports and will ensure that endowments, both campus and foundation, are included yet clearly labeled. A quality review of these reports is important and has been implemented to ensure that reports to the Board are accurate.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	6. Presentation of the UNTHSC and UNTHSC Foundation Investments on the Quarterly Investment Reports – UNTHSC - The August 31, 2015 UNTHSC Quarterly Investment Report did not reflect the separation of investments belonging to UNTHSC and to UNTHSC Foundation.	Low	6b. Establish a review process to ensure investments in the quarterly investment reports are appropriate.	Management believes the Board of Regents should have quarterly visibility to all investments that exist for the benefit of the System and therefore each Foundation's investments should not be excluded. However, we do agree that they should be clearly labeled as such. Treasury is in the process of reformatting all investment reports and will ensure that endowments, both campus and foundation, are included yet clearly labeled. A quality review of these reports is important and has been implemented to ensure that reports to the Board are accurate.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	7. Short Term Pool/Long Term Pool Ranges – UNT System / UNT / UNT Dallas - For certain months in fiscal year 2015, short term working capital funds and long term reserves percentage of available cash on hand were outside the ranges prescribed by policy. Additionally, necessary adjustments were not performed to ensure percentages remained within this range as required by the Regulation.	Low	7a. Review the Investment of System Funds Regulation 08.2000 pertaining to short and long term investment percentages to determine if the percentage requirement ranges should be updated to reflect the financial environment of UNT System and its' institutions.	This has already been addressed in the investment policy adopted by the Board on November 20, 2015.	James Mauldin, Associate Vice Chancellor for Treasury	11/20/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	8. Collateralization Below 102% - UNTHSC - For 11 days in August 2015, collateralization for deposit accounts fell below 102% of deposits.	Low	8a. Management should establish and follow procedures to inform the bank of changes in the amount or activity of deposits, that may exceed UNTHSC's collateral value, within a reasonable time before the change occurs.	Management agrees with the recommendation. Management will add additional steps to the current set of collateralization review procedures to ensure that the bank is notified in a more timely manner before large changes in deposits occur and when collateralization falls below the required amount.	Barbara Holt, UNTHSC Senior Director Financial Operations	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	9. Format and Content of Quarterly Investment Reports – UNT System / UNT / UNT Dallas / UNTHSC - The format and content of quarterly investment reports is not consistent across all institutions.	Low	9a. Management should determine if cash should be included in the quarterly investment reports, and once defined apply methodology consistently for all institutions.	Management has been aware of this need and has already targeted the implementation of a new format that will be standard across the System for the first report on Fiscal Year 2016.	James Mauldin, Associate Vice Chancellor for Treasury	2/25/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	9. Format and Content of Quarterly Investment Reports – UNT System / UNT / UNT Dallas / UNTHSC - The format and content of quarterly investment reports is not consistent across all institutions.	Low	9b. Management should determine an appropriate reporting format and once established utilize the new format for all institutions.	Management has been aware of this need and has already targeted the implementation of a new format that will be standard across the System for the first report on Fiscal Year 2016.	James Mauldin, Associate Vice Chancellor for Treasury	2/25/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	10. Annual Review and Adoption of Financial Institutions – UNT System - There was no indication that Board of Regents reviewed and adopted a list of financial institutions for fiscal year 2015.	Low	10a. Establish procedures to ensure compliance with System Regulation 08.2000, Section 2005, paragraph 10 or review the System Regulation to see if requirement is applicable as is and make changes as necessary.	Management will review the regulation to determine appropriateness of the wording as this is not a requirement in the Public Funds Investment Act. Based upon the findings, either the regulation will be revised or procedures will be modified to ensure compliance.	James Mauldin, Associate Vice Chancellor for Treasury	11/30/2016 Revised Date: 02/28/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	11. Outdated Investment Policy – UNTHSC - An outdated institutional investment policy is posted on the webpage under Chapter 10: Fiscal Management. However, this policy was superseded by System Regulation 08.2000 which was approved in August 2012.	Low	11a. Management should update the website to reflect System Regulation 08.2000 and revisions made should be communicated to appropriate personnel.	Management is in agreement with the recommendation. Management will implement additional steps to the current set of procedures to insure timely updating of investment policies and maintaining all required investment disclosures on the institution's website.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with University Policy - The Joint Admission Medical Program (JAMP) agreement was not properly set up in accordance to University Policy Chapter 13.123.	High	Work with appropriate management from the Office of Grants and Contract Management and the Office of Finance to set up JAMP as a sponsored project.	We are in agreement with moving JAMP funds to the Office of Grants and Contract Management. It should be noted that this has never been recommended in any previous audit.	Mike Kennedy, Director of Admissions	12/31/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	UNT Information Security Users Guidelines- Credit Card Sensitive Information	High	Provide training to appropriate personnel in regards to the UNT Information Security Users Guide and PCI Best Practices.	The Purchasing Card Program Supervisor sends a copy of the Citibank statement that includes the full account number each month as supporting documentation for the payment. The account number will be redacted going forward.	Kimberly Bien, Purchasing Card Program Supervisor	10/28/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	UNT Information Security Users Guidelines- Credit Card Sensitive Information	High	Mask credit card information that is transmitted by email, uploaded and retained in the document management system, ApplicationXtender, to help ensure sensitive information is not compromised.	The Purchasing Card Program Supervisor sends a copy of the Citibank statement that includes the full account number each month as supporting documentation for the payment. The account number will be redacted going forward.	Kimberly Bien, Purchasing Card Program Supervisor	10/28/2015	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Lack of Reconciliation Process - Internal Audit was unable to validate the reconciliation process between the FY 2015 Expenditure Reports to the University's Accounting System.	High	Develop procedures to help ensure that the expenditures recorded in the Expenditure Report are reconciled on a regular basis to the Accounting System.	We are in agreement with this assessment. We will set aside periodic reconciliation periods to review JAMP expenditures to the Accounting System.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with JAMP Medical School Expenditure Guidelines - Time and Effort Reporting - During our review of payroll activities related to JAMP, we noted that the JAMP Coordinator salary devoted to the project was based on an estimated average of annual time and effort.	High	Develop procedures to track and verify the accuracy of actual time and effort devoted to the program to help ensure compliance with the JAMP Medical School Expenditure Guidelines.	We are in agreement with the assessment that there is no official tracking of the JAMP Coordinator time and effort (only estimates). With the move of financials to the Office of Grants and Contract Management this will be a part of a new process for reporting time. It should be noted that this has never been recommended in any previous audit.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with JAMP Medical School Expenditure Guidelines - Time and Effort Reporting - During our review of payroll activities related to JAMP, we noted that the JAMP Coordinator salary devoted to the project was based on an estimated average of annual time and effort.	High	Re-evaluate percentage of salary distribution based on actual time and effort to help ensure that it is proportionate to the direct support to the JAMP Project.	We are in agreement with the assessment that there is no official tracking of the JAMP Coordinator time and effort (only estimates). With the move of financials to the Office of Grants and Contract Management this will be a part of a new process for reporting time. It should be noted that this has never been recommended in any previous audit.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with JAMP Medical School Expenditure Guidelines - Out of State Travel (Unallowable Cost) - A total of \$1,309.11 was used to fund out-of-state travel as a direct administrative cost under the JAMP Administrative Distribution.	High	Use a different funding source to cover the out of state travel expenditures and reimburse the JAMP Program account for the amount of \$1,309.11.	We are in agreement with this assessment. We will review JAMP expenditure guidelines to ensure compliance. We will identify another account to reimburse JAMP for the aforementioned expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with JAMP Medical School Expenditure Guidelines - Out of State Travel (Unallowable Cost) - A total of \$1,309.11 was used to fund out-of-state travel as a direct administrative cost under the JAMP Administrative Distribution.	High	Re-educate the JAMP Coordinator on the JAMP Medical Expenditure Guidelines.	We are in agreement with this assessment. We will review JAMP expenditure guidelines to ensure compliance. We will identify another account to reimburse JAMP for the aforementioned expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inadequate Monitoring of Expenditures - Two expenditures were incorrectly processed resulting in an overpayment of \$1,725.00 from the JAMP fund.	High	Request repayment from the JAMP Coordinator for the amount over-reimbursed of \$225.00.	The \$225 reimbursement has been repaid as of 10/22/2015. We will request a refund from the Department of Medical Education for \$1,500.00. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inadequate Monitoring of Expenditures - Two expenditures were incorrectly processed resulting in an overpayment of \$1,725.00 from the JAMP fund.	High	Develop expenditure verification procedures to help ensure that all transactions entered into the Accounting System are verified for accuracy and any errors are timely reported to the appropriate office for correction.	The \$225 reimbursement has been repaid as of 10/22/2015. We will request a refund from the Department of Medical Education for \$1,500.00. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Student Wages - For 27 timecards reviewed, hours reported on three timecards could not be reconciled to the student employees' payroll disbursement, for a net effect of \$55.00.	Moderate	Require all personnel entering and approving time and labor to be re-educated on the Hourly Payroll Guidelines.	We are in agreement with this assessment. All staff who are in responsible for time cards will undergo training through BSC on time and labor entry. Internal office procedures will be put in the place to allow more time for reconciliation of hourly payroll.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Student Wages - For 27 timecards reviewed, hours reported on three timecards could not be reconciled to the student employees' payroll disbursement, for a net effect of \$55.00.	Moderate	Implement a process to reconcile time entered in EIS Time and Labor to the employee's timecard prior to the payroll cut-off date.	We are in agreement with this assessment. All staff who are in responsible for time cards will undergo training through BSC on time and labor entry. Internal office procedures will be put in the place to allow more time for reconciliation of hourly payroll.	Mike Kennedy, Director of Admissions	3/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Purchasing Card (P-Card) Guidelines – Pcard Guidelines were not always followed.	Moderate	Require all current P-Card holders, reconcilers and approvers to be retrained on P-Card policies and procedures.	We are in agreement with this assessment. Prior to this audit, changes were made in the P-Card usage process within the department. We have moved all P-Card spending to one account holder and assigned a new reconciler to all P-Card transactions. We expect this change will be decrease risk for noncompliance.	Mike Kennedy, Director of Admissions	1/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Purchasing Card (P-Card) Guidelines – Pcard Guidelines were not always followed.	Moderate	Follow University Business Service P-Card Guidelines.	We are in agreement with this assessment. Prior to this audit, changes were made in the P-Card usage process within the department. We have moved all P-Card spending to one account holder and assigned a new reconciler to all P-Card transactions. We expect this change will be decrease risk for noncompliance.	Mike Kennedy, Director of Admissions	1/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inappropriately Billing Expenditures to Incorrect Fiscal Years - Testing identified two expenditures that they were not processed within the appropriate fiscal year.	Moderate	Re-educate the JAMP Coordinator on the JAMP Expenditure Report process and monitor until sustained compliance is achieved.	We are in agreement with this assessment. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Improper Commingling of Revenues and Expenditures - Testing identified that the Summer Internship Program and the Administration Distribution funds are deposited into and expended from the same Department ID.	Low	Consider separating the sources of funds after the JAMP funds are set up as a sponsored project, to help ensure that expenditures are applied to the appropriate funding source.	Office of Grants and Contract Management will follow all standard policies and procedures for project ID management and JAMP terms and conditions.	LeAnn Forsberg, Assistant VP, Research Administration, Grants and Contract Management	12/31/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Untimely Replenishment of Petty Cash - An amount of \$20.47 spent from the JAMP Petty Cash Fund was not replenished in order to be reflected on the Accounting System and the Expenditure Report.	Low	Modify HSC Petty Cash Fund Procedures to enforce the requirement for custodians to replenish the petty cash on a monthly basis, at a minimum, and communicate the updated procedures to all appropriate personnel.	We concur.	Paula J. Welch, Associate Controller	7/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inadequate Support Documentation - Adequate support documentation of attendees were not kept (i.e. missing, not used or not sufficient to support the expenditure) for 12 of 31 (39%) expenditures reviewed related to JAMP activities.	Low	Maintain adequate support for JAMP activities to help ensure that fund is expended for the direct support of JAMP participants.	We are in agreement with this assessment. The Director of Admissions will require all JAMP funded activities maintain a log of participants.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Untimely Return of Unspent FY 2014 Funds - An amount of \$361.91 of unspent FY 2014 funds was returned untimely to the JAMP Council. The check was issued on December 2, 2014 to refund unspent FY 2014 funds.	Low	Develop a procedure to help ensure that any unspent JAMP funds are returned to the JAMP Council in a timely manner in accordance with JAMP Medical Expenditure Guidelines.	We are in agreement with this assessment. We will establish an internal deadline prior to September 30 for reimbursement for unused funds. This is predicated that the Office of Grants and Contract Management is able to provide timely financial data.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Travel Guidelines - Untimely Submission of Travel Vouchers - Travel Guidelines were not always followed.	Low	Provide training to faculty and staff on travel policies to help ensure that University Travel Guidelines are followed.	We are in agreement with this assessment. All staff who work with JAMP travel funding will undergo training from BSC. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Travel Guidelines - Untimely Submission of Travel Vouchers - Travel Guidelines were not always followed.	Low	Develop procedures to help ensure travel vouchers are submitted timely to the Business Support Services Travel department.	We are in agreement with this assessment. All staff who work with JAMP travel funding will undergo training from BSC. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures. We also feel that the move of JAMP financials to the Office of Grants and Contract Management will be a better process moving forward.	Mike Kennedy, Director of Admissions	3/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	1. UNT System: Personally Identifiable Information -During our review of the cashing area, we identified personally identifiable information (PII) (i.e. social security numbers, birth certificates, marriage license) related to waiver support documentation which dates back to 2007.	High	1a. Develop procedures to help ensure that all personally identifiable information (PII) is appropriately protected against inappropriate access and use in compliance with applicable laws and regulations.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Certain key PII information included in the referenced binder has been imaged and the actual binder has been secured in a locked cabinet. In addition, the waiver documentation and review process requiring the need for this PII information has been transferred out of the UNT Dallas cashier's area and into the UNTS Student Accounting team to centrally manage this important operational matter for all campuses. In addition, key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure PII document retention policies are in compliance with applicable state & federal statutes.	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	1. UNT System: Personally Identifiable Information -During our review of the cashing area, we identified personally identifiable information (PII) (i.e. social security numbers, birth certificates, marriage license) related to waiver support documentation which dates back to 2007.	High	1b. Review applicable retention policy and statute limitation in regards to identifying if these documents can be destroyed.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Certain key PII information included in the referenced binder has been imaged and the actual binder has been secured in a locked cabinet. In addition, the waiver documentation and review process requiring the need for this PII information has been transferred out of the UNT Dallas cashier's area and into the UNTS Student Accounting team to centrally manage this important operational matter for all campuses. In addition, key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure PII document retention policies are in compliance with applicable state & federal statutes.	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	2. UNT System: Cash Control – Deposits - Testing identified that funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. Additionally, it was noted that funds are received from students by multiple departments within the College of Law but not delivered to the Assistant Registrar for deposit on a timely basis.	High	2a. Develop procedures to help ensure that funds are timely deposited in the institution's bank account in accordance with the statute.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting, UNT System Controller's Office, and UNT System Treasury are working with certain 3rd party vendors from the banking and security industries to evaluate the cost / benefit of available improved cash collection technology & armored car service collection procedures.	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3a. Re-educate personnel on cash handling procedures.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3b. Maintain a receipt logs for pre-numbered receipts and routinely review to help ensure that all receipts are accounted for.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3c. Ensure staff do not perform incompatible duties in the cashiering area, re-evaluate system access rights accordingly and develop compensating controls where not possible.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3d. Work with the College of Law to identify all areas collecting cash/checks and establish departmental cash controls to help ensure proper segregation of duties are in place in all areas.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	4. UNT System: Cash Controls - Safe Combination - Combinations to the safe are not modified when there is a change in staff or change in custody of the safe.	High	4a. Develop departmental procedures to help ensure that safe combination is changed periodically and always when there is employee turnover or reassignment in accordance with UNT Cash Control and Departmental Deposit Handbook.	UNT System Student Accounting and UNT System Controller's Office: We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. The safe combination at UNT Dallas main campus has been recently changed and new procedures will be put in place to change the safe combination immediately upon key employee turnover or reassignment and on a semi-annual basis at minimum. Due to mechanical limitations preventing the staff's ability to change the existing safe combination located at the UNT Dallas College of Law campus, a new safe will be purchased immediately and procedures (consistent with UNT Dallas main campus) will be put in place to change the safe combination immediately upon key employee turnover or reassignment and on a semi-annual basis at a minimum. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less). UNT Dallas College of Law: The College of Law is meeting with key members from UNT System Student Accounting and University Cashiering to review cash handling policies. Since	Jeane Olson, Director of Financial Service-Student Finance Reynaldo Valencia, College of Law Associate Dean for Finance and Administration and Professor of Law	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	5. UNT System: Unauthorized Change Fund - An unauthorized change fund for the amount of \$250.00 was established at the UNT System for the purpose of providing change for parking token sales to students and faculty members.	High	5a. Work with University Student Accounting and University Cashiering Services to assist you in establishing departmental cash controls and depositing any cash on hand.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT System in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Cynthia Hall, External Relations Director Jeane Olson, Director of Financial Services - Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	5. UNT System: Unauthorized Change Fund - An unauthorized change fund for the amount of \$250.00 was established at the UNT System for the purpose of providing change for parking token sales to students and faculty members.	High	5b. Submit a justification to the University Purchasing Services Division to establish a cash fund.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT System in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at the campus to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Cynthia Hall, External Relations Director Jeane Olson, Director of Financial Services - Student Finance	11/30/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	6. UNT System: Cash Controls - Change Fund - A change fund has not been established at the Office of Student Financial Services (University Cashiering) for the purpose of supporting their daily operations in a campus environment where an increased number of student population pays tuition and fees with cash.	Moderate	6a. Establish a change fund at UNT Dallas and update the website to not require students to pay the exact amount.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus. The campus has always maintained a desired goal of being a "cash-less" campus (where possible) in order to limit the potential fraud and safety risk inherent with this form of payment. Students are encouraged to pay with check online or at the cashier window and with credit card via online. However, given the greater goal to offer UNT Dallas students the highest quality, student-centered billing and payment services available on campus, key team members from UNT System Student Accounting and UNT System Controller's Office will evaluate and implement an acceptable change fund process at UNT Dallas that adequately serves the needs of the students while still limiting unnecessary risk associated with on-site cash handling procedures.	Jeane Olson, Director of Financial Services - Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	7. UNT Dallas: Security Devices - Although our walkthrough of UNT Dallas Security Devices identified the following, University Administration has initiated a search of security technology vendors prior to this review: <ul style="list-style-type: none"> • 4 out of 25 cameras (16%) were not working properly and no video images were available at the time of review • cameras were not identifiable by a location • record retention protocols were not established • cameras over cashiering were not appropriately positioned to ensure full coverage • cameras and panic buttons were not being tested; therefore, we were unsure whether or not they are actually functioning. 	High	7a. Test all cameras and panic buttons currently in place.	UNT Dallas has begun work on a comprehensive building security technology project as recommended by Internal Audit. The project includes an overhaul of the campus' current security alarm, access, and camera systems. Additionally the campus will implement an emergency notification system including laptop/desktop computer panic buttons in specified locations. The two cameras in the Student Finance cash handling area have been re-positioned as requested. The remainder of the project will be implemented in stages as soon as vendors and funding are approved.	Cliff Jaynes, Chief of Police	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	7. UNT Dallas: Security Devices - Although our walkthrough of UNT Dallas Security Devices identified the following, University Administration has initiated a search of security technology vendors prior to this review: <ul style="list-style-type: none"> • 4 out of 25 cameras (16%) were not working properly and no video images were available at the time of review • cameras were not identifiable by a location • record retention protocols were not established • cameras over cashiering were not appropriately positioned to ensure full coverage • cameras and panic buttons were not being tested; therefore, we were unsure whether or not they are actually functioning. 	High	7b. Repair / replace / reposition nonfunctioning devices.	UNT Dallas has begun work on a comprehensive building security technology project as recommended by Internal Audit. The project includes an overhaul of the campus' current security alarm, access, and camera systems. Additionally the campus will implement an emergency notification system including laptop/desktop computer panic buttons in specified locations. The two cameras in the Student Finance cash handling area have been re-positioned as requested. The remainder of the project will be implemented in stages as soon as vendors and funding are approved.	Cliff Jaynes, Chief of Police	3/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	7. UNT Dallas: Security Devices - Although our walkthrough of UNT Dallas Security Devices identified the following, University Administration has initiated a search of security technology vendors prior to this review: <ul style="list-style-type: none"> 4 out of 25 cameras (16%) were not working properly and no video images were available at the time of review cameras were not identifiable by a location record retention protocols were not established cameras over cashing were not appropriately positioned to ensure full coverage cameras and panic buttons were not being tested; therefore, we were unsure whether or not they are actually functioning. 	High	7c. Develop a process to periodically test all cameras and panic buttons.	UNT Dallas has begun work on a comprehensive building security technology project as recommended by Internal Audit. The project includes an overhaul of the campus' current security alarm, access, and camera systems. Additionally the campus will implement an emergency notification system including laptop/desktop computer panic buttons in specified locations. The two cameras in the Student Finance cash handling area have been re-positioned as requested. The remainder of the project will be implemented in stages as soon as vendors and funding are approved.	Cliff Jaynes, Chief of Police	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	8. UNT Dallas: Reconciliation of Application/Orientation Fees - The number of undergraduate/ graduate applicants submitting an application fee payment and the number of students submitting an orientation fee payment are not reconciled to revenues recorded in each respective account in the University Accounting System to help ensure that all payments received were posted in the proper accounts.	High	8a. Develop procedures to help ensure that all application fee and orientation fee revenues collected are reconciled on a regular basis to the University Accounting System.	VP of Student Access and Success will work with the Director of Undergraduate Admissions and the Director of Graduate Admissions to document procedures that ensure application and orientation fee payments are reconciled to match payments with postings of the revenue in the proper accounts. VP and Directors will also work together with Student Finance to correct any inaccurate postings for FY16.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	8. UNT Dallas: Reconciliation of Application/Orientation Fees - The number of undergraduate/ graduate applicants submitting an application fee payment and the number of students submitting an orientation fee payment are not reconciled to revenues recorded in each respective account in the University Accounting System to help ensure that all payments received were posted in the proper accounts.	High	8b. Identify any application and orientation fees recorded in the incorrect account and work with Accounting to make any necessary adjusting entries for FY 2016.	VP of Student Access and Success will work with the Director of Undergraduate Admissions and the Director of Graduate Admissions to document procedures that ensure application and orientation fee payments are reconciled to match payments with postings of the revenue in the proper accounts. VP and Directors will also work together with Student Finance to correct any inaccurate postings for FY16.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	9. UNT Dallas: Conflict of Interest- Student Workers -During our review of payroll expenditures funded by Student Services Fees, we noted that 3 out of 5 Student Service Fee Advisory Committee members for FY 2015 and 2 out 5 members for FY 2016 appointed by the Student Government Association were also working as Student Assistants for the Office of Student Affairs.	High	9a. Update the UNT Dallas Student Service Fee Advisory Committee bylaws to prohibit any Student Service Fee Advisory Committee member to be a compensated Student Assistant of any Student Services Fee funded departments other than the Committee itself.	The Student Service Fee Advisory Committee By-laws will be updated to reflect that students who are currently student assistants and funded by student fees may not hold a seat by either Student Government Association appointment or President appointment.	Jamaica Chapple, Dean of Student Affairs	8/22/2016 Revised 01/24/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	10. UNT Dallas: Academic Catalogs- During our review of the UNT Dallas Undergraduate and Graduate Catalogs for academic years 2013-2014, 2014-2015 and 2015-2016, we noted that the Catalogs available online did not provide the students current, complete and accurate information.	Moderate	10a. Update the University Catalogs to include accurate tuition and fee information.	VP of Student Access and Success will work with Office of the Registrar to implement a thorough catalog review and revision process to be conducted by each department, even when department information is listed in another department's section, not owned by that division/department. Catalog will be updated to cover current, complete and accurate information.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	10. UNT Dallas: Academic Catalogs- During our review of the UNT Dallas Undergraduate and Graduate Catalogs for academic years 2013-2014, 2014-2015 and 2015-2016, we noted that the Catalogs available online did not provide the students current, complete and accurate information.	Moderate	10b. Develop departmental procedures to help ensure that published University Catalogs reflect current tuition and fee information in compliance with University Board of Regents Rules.	VP of Student Access and Success will work with Office of the Registrar to implement a thorough catalog review and revision process to be conducted by each department, even when department information is listed in another department's section, not owned by that division/department. Catalog will be updated to cover current, complete and accurate information.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	11. UNT Dallas: Apply Texas Billing and Refunds - During our review of graduate application fee credit card payments submitted through ApplyTexas, we noted that applicants were inconsistently charged from February 2014 to September 2015 for graduate application fees.	Moderate	11a. Work with ApplyTexas to identify the reason for the rate discrepancy between fall and spring semesters.	VP of Student Access and Success will work with the Director of Graduate Admissions to request that ApplyTexas identify why inaccurate charging was applied inconsistently to applicants during fall and spring semesters. VP and Directors will also work together with ApplyTexas to identify students improperly charged and refund any overcharges.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	11. UNT Dallas: Apply Texas Billing and Refunds - During our review of graduate application fee credit card payments submitted through ApplyTexas, we noted that applicants were inconsistently charged from February 2014 to September 2015 for graduate application fees.	Moderate	11b. Identify and refund any applicants that have been overcharged.	VP of Student Access and Success will work with the Director of Graduate Admissions to request that ApplyTexas identify why inaccurate charging was applied inconsistently to applicants during fall and spring semesters. VP and Directors will also work together with ApplyTexas to identify students improperly charged and refund any overcharges.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	12. UNT Dallas: Discrepancy in Billing of 2nd Bachelor's Degree Program - The 2nd Bachelor's application fee amount was not consistently charged to students paying online and via check, money order, or cash. Students are asked to pay \$50.00 via check, money order, or cash to UNT Dallas but \$60.00 online through Nelnet (Online Business/Payment Solution). Although students are not instructed to pay online, this payment option is available on the University website.	Moderate	12a. Work with Student Accounting and University Cashiering to update Nelnet to \$50.00.	VP of Student Access and Success will work with the UNT System Director of Financial Services, Student Finance and the Director of Graduate Admissions to ensure Nelnet is charging the correct amount to 2nd Bachelor's Degree students. VP and Directors will also work together to ensure that all students who may have overpaid are refunded.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	12. UNT Dallas: Discrepancy in Billing of 2nd Bachelor's Degree Program - The 2nd Bachelor's application fee amount was not consistently charged to students paying online and via check, money order, or cash. Students are asked to pay \$50.00 via check, money order, or cash to UNT Dallas but \$60.00 online through Nelnet (Online Business/Payment Solution). Although students are not instructed to pay online, this payment option is available on the University website.	Moderate	12b. Identify and refund all students that have overpaid since Summer 2014.	VP of Student Access and Success will work with the UNT System Director of Financial Services, Student Finance and the Director of Graduate Admissions to ensure Nelnet is charging the correct amount to 2nd Bachelor's Degree students. VP and Directors will also work together to ensure that all students who may have overpaid are refunded.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	13. UNT Dallas: Student Services Fee Assessment Process - Since FY2011, Student Services Fee (SSF) has been set at \$10.00 per credit hour. During our review, we noted that current SSF process does not encompass the study of SSF amount to assist in evaluating if current rate/amount is sufficient to cover the cost of student services.	Moderate	13a. The Student Service Fee Advisory Committee should expand their processes to include the study of Student Services Fee amount. This will allow stakeholders to perform a student services fee assessment based on feasibility/cost analysis and submit request/propose fee increases with justifications to be study and approved by the SSFAC.	The Student Service Fee Advisory Committee will identify an individual to conduct a needs assessment. A Needs Assessment Survey will be developed and distributed to all students to identify areas of increased need of student service fee funds. Based on the survey data collected the SSFAC will conduct a cost analysis to address feasibility. Based on the results of the analysis and survey data the SSFAC will develop a report so as to address the increase of fees which will be substantiated by the cost analysis and results from the needs assessment survey.	Jamaica Chapple, Dean of Student Affairs	4/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	14. UNT Dallas: Instructional Fee Assessment Process -There is not an instructional fee assessment process in place to allow colleges/schools to request a review of new fees or changes to existing fees.	Moderate	14a. Develop procedures and detailed guidelines to help ensure that colleges/schools could request the establishment of new instructional fees or changes to existing instructional fees for review and approval before presented to the President.	The UNT Dallas Instructional Fees policy was drafted and submitted to the Office of General Counsel for review and approval.	Glenda Balas, UNT Dallas Interim Provost and Senior Vice President for Academic Excellence and Student Success	June 6, 2016 (action plan implemented)	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	15. UNT Dallas: Student Tuition and Fees Policy - During our review, we noted that UNT Dallas has not adopted policies on student tuition and fees. However, a draft policy on Tuition and Fees has been developed and will be submitted to the Office of General Counsel for review and approval.	Moderate	15a. The draft Tuition and Fees policy should be modified to reflect and define important Tuition and Fee elements and be submitted to the Office of General Council for review and approval.	The UNT Dallas Tuition and Fees policy was drafted and submitted to the Office of General Counsel for review and approval.	Daniel Edelman, Chief Financial Officer and the Executive Vice President for Finance and Administration	3/28/2016 (action plan implemented)	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	16. UNT Dallas: Incidental Fee Account Balances - During our review of six incidental fee accounts for UNT Dallas and UNT Dallas College of Law for FY 2014, FY 2015 and FY 2016, we noted incidental fee account balances were not rolled forward at the end of each fiscal year. Furthermore, testing identified 1 out of 6 incidental fee accounts had a large unexpended balance for FY 2015.	Moderate	16a. Update the accounts in University Accounting System to roll forward at the end of each fiscal year.	With these recommendations, the Budget Office will have a chance to edit budget closing rules and determine which budget balances roll forward into next fiscal year and which fund balances will close at the end of the fiscal year. A proposed list of incidental and student services fees accounts to roll forward will be communicated and approved by Chief Financial Officer and the Executive Vice President for Finance and Administration. Also, for any incidental fee budget roll forward balance that exceeds 25% of original budget, a formal justification will be required from the account manager. This justification shall include the reason for the unexpended balance and plans for the unexpended balance. Additionally, if the incidental fee account is projected to roll forward a deficit balance, regardless of dollar amount, the account manager shall submit a formal justification that includes the reason and plan for deficit coverage. All formal justifications shall be submitted to the Assistance Vice President for Budget and Planning by no later than February 1st each fiscal year and must contain the signature of the respective Vice President.	April Barnes, Assistant Vice President of Budgeting and Planning	7/31/2016 Revised 01/02/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	16. UNT Dallas: Incidental Fee Account Balances - During our review of six incidental fee accounts for UNT Dallas and UNT Dallas College of Law for FY 2014, FY 2015 and FY 2016, we noted incidental fee account balances were not rolled forward at the end of each fiscal year. Furthermore, testing identified 1 out of 6 incidental fee accounts had a large unexpended balance for FY 2015.	Moderate	16b. Establish an annual requirement for accountholders to provide a formal justifications or action plans for accumulated unexpended balances over an established threshold.	With these recommendations, the Budget Office will have a chance to edit budget closing rules and determine which budget balances roll forward into next fiscal year and which fund balances will close at the end of the fiscal year. A proposed list of incidental and student services fees accounts to roll forward will be communicated and approved by Chief Financial Officer and the Executive Vice President for Finance and Administration. Also, for any incidental fee budget roll forward balance that exceeds 25% of original budget, a formal justification will be required from the account manager. This justification shall include the reason for the unexpended balance and plans for the unexpended balance. Additionally, if the incidental fee account is projected to roll forward a deficit balance, regardless of dollar amount, the account manager shall submit a formal justification that includes the reason and plan for deficit coverage. All formal justifications shall be submitted to the Assistance Vice President for Budget and Planning by no later than February 1st each fiscal year and must contain the signature of the respective Vice President.	April Barnes, Assistant Vice President of Budgeting and Planning	7/31/2016 Revised 03/01/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>17. UNT Dallas: Student Service Fee Advisory Committee Composition - During our review of the FY 2014-2015 UNT Dallas Student Service Fee Advisory Committee composition, we noted that the student government appointed five undergraduate students as representative of all students enrolled at the institution. When the committee deliberated in FY 2015, none of the members appointed by the student government were graduate students. Additionally, when the committee deliberated on FY 2016, none of the members appointed by the student government were graduate or law students.</p> <p>Furthermore, we noted that since UNT Dallas and UNT Dallas College of Law are not within the same reasonably contiguous geographic area, some activities funded partially with student services fees may not be easily accessible and directly benefiting the Law student community.</p>	Moderate	<p>17a. Modify current Fee Advisory Committee bylaws to include composition requirements provided by the Texas Education Code § 54.5031 Student Fee Advisory Committee to help ensure that student government appointees are representative of all students enrolled at the institution.</p>	<p>The Student Service Fee Advisory Committee will ensure that the Student Government Association appoint one graduate student, and one college of law student to ensure representation of all students at UNT Dallas. Student Affairs will continue to expand the current process to ensure core services are available for students at the college of law. Currently (includes all of FY 2016) College of Law students have access to our Veterans Success Center and the Gym. They are also notified through UNT Dallas Announcements each week with the weekly programming and activities that we offer for our students via the Jaguar Roar</p> <ul style="list-style-type: none"> • We will continue to work in collaboration with the Student Affairs office at the College of Law, so that COL students continue to be notified through UNT Dallas Announcements (sent by a member of Student Affairs) each week with the weekly programming and activities that we offer for our students. Student Affairs remains committed to ensuring that all UNT Dallas students have access to services for which their fees provide. • We will continue to diligently work with the College of Law to further that students can take advantage of services that their fees provide for on both campuses. 	Jamaica Chapple, Dean of Student Affairs	8/22/2016 Revised 01/24/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>17. UNT Dallas: Student Service Fee Advisory Committee Composition - During our review of the FY 2014-2015 UNT Dallas Student Service Fee Advisory Committee composition, we noted that the student government appointed five undergraduate students as representative of all students enrolled at the institution. When the committee deliberated in FY 2015, none of the members appointed by the student government were graduate students. Additionally, when the committee deliberated on FY 2016, none of the members appointed by the student government were graduate or law students.</p> <p>Furthermore, we noted that since UNT Dallas and UNT Dallas College of Law are not within the same reasonably contiguous geographic area, some activities funded partially with student services fees may not be easily accessible and directly benefiting the Law student community.</p>	Moderate	<p>17b. Develop a process to help ensure that student services activities funded with student services fees at UNT Dallas are more easily accessible to the College of Law students.</p>	<p>The Student Service Fee Advisory Committee will ensure that the Student Government Association appoint one graduate student, and one college of law student to ensure representation of all students at UNT Dallas. Student Affairs will continue to expand the current process to ensure core services are available for students at the college of law. Currently (includes all of FY 2016) College of Law students have access to our Veterans Success Center and the Gym. They are also notified through UNT Dallas Announcements each week with the weekly programming and activities that we offer for our students via the Jaguar Roar</p> <ul style="list-style-type: none"> • We will continue to work in collaboration with the Student Affairs office at the College of Law, so that COL students continue to be notified through UNT Dallas Announcements (sent by a member of Student Affairs) each week with the weekly programming and activities that we offer for our students. Student Affairs remains committed to ensuring that all UNT Dallas students have access to services for which their fees provide. • We will continue to diligently work with the College of Law to further that students can take advantage of services that their fees provide for on both campuses. 	Jamaica Chapple, Dean of Student Affairs	8/22/2016 Revised 01/24/2017	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	18. UNT Dallas: Incidental Fee Approval Documentation - The application fees for undergraduate and graduate students changed from \$60.00 to \$40.00 and \$60.00 to \$50.00, respectively, and a \$30.00 late application fee was no longer assessed for any applications submitted since Summer 2014. However, a formal documentation that include the President as the final reviewer and approver of this change in application fee was not available for our review.	Moderate	18a. Develop procedures to help to ensure appropriate approval processes are in place when there are changes in fees and support documentation is retained.	The following management action plans and affirmation in regards to incidental fees were communicated and approved by the UNT Dallas President on June 3, 2016: <ul style="list-style-type: none"> • Effective immediately, all incidental fees shall be frozen at rates established as set forth in this memo and no new incidental fees shall be assessed without prior written approval from the UNT Dallas President until such time an approved policy can be implemented. • A proposed policy regarding incidental fees shall be submitted for your approval within the next 60 days and implemented by February 2017. • Please be aware that incidental fees charged for FY 2016 (and prior years) do not reconcile to the UNT System Board Briefing dated January 22, 2010 (UNT at Dallas Tuition for FY 2011 and 2012 and Fees for FY 2011). Apparently, over the years, a number of incidental fees being charged has increased as well as changes in the rates assessed. Unfortunately, documentation with Presidential approval cannot be located. Pursuant with UNT System Board of Regents Rule, Chapter 7 – Student Affairs, Education and Funding (07.403.2.d), authority has been delegated to the President of UNT Dallas to set the appropriate rates and rules pertaining to collection and distribution. • Incidental Fees shall be assessed through Student Financial Services by SF Item Type. College of Law specific fees shall contain appropriate General Ledger interface mapping to direct the activity to Organizational Departments located in 	Daniel Edelman, Chief Financial Officer and the Executive Vice President for Finance and Administration	8/15/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	19. UNT Dallas: Additional Funds Collected from Students - The Office of Student Affairs collects additional funds from students for a few student oriented activities as a participation fee to ensure proper planning for activities. Specifically, the College of Law may charge this additional fee to ensure student participation. The participation fee varies for these events from \$5.00 to \$15.00 and is determined in collaboration with the Student Bar Association (SBA) elected leaders. For FY 2016 the College of Law was allocated \$60,000.00 by the Student Service Fee Advisory Committee to be able to serve the College's student body needs. Although the College of Law expended only \$7,157.66 as of January 2016, major events funded by student services fees such as the Barristers' Ball and Over-the-Hump are planned later in the Spring Semester.	Moderate	19a. Plan/Determine what the student services fees will be utilized for.	We concur that we need to plan/determine what the student services fees will be utilized for and will continue to do so within the guidelines of the statutory Student Services Fee Advisory Committee (SSFAC) process. <ul style="list-style-type: none"> • We will work with the SBA and student organizations on their budget proposal deadlines each semester. • While we will expend all Student Services Fees each year, we will notify students that some events may require a minimal participation fee. • No additional funds will be commingled with student services fees. Funds collected will have appropriate segregation of duties when receiving, processing, and depositing money. • The Office of Student Affairs will record cash/money order payments on carbon receipts. The receipts will state the name of the payer and the name of the Student Affairs staff person who received the payment. An administrative assistant from another law school department will review/reconcile the payments received with the receipts and sign/verify that the payments match the receipts. The deposit of the cash/money order payments will be given to Candice Birks, the law school bursar, who will sign a statement confirm receipt of the funds. 	Rebecca Greenan, College of Law - Assistant Dean of Students	5/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>19. UNT Dallas: Additional Funds Collected from Students - The Office of Student Affairs collects additional funds from students for a few student oriented activities as a participation fee to ensure proper planning for activities. Specifically, the College of Law may charge this additional fee to ensure student participation. The participation fee varies for these events from \$5.00 to \$15.00 and is determined in collaboration with the Student Bar Association (SBA) elected leaders.</p> <p>For FY 2016 the College of Law was allocated \$60,000.00 by the Student Service Fee Advisory Committee to be able to serve the College's student body needs. Although the College of Law expended only \$7,157.66 as of January 2016, major events funded by student services fees such as the Barristers' Ball and Over-the-Hump are planned later in the Spring Semester.</p>	Moderate	19b. Determine if the fees allocated to the College by the Student Service Fee Advisory Committee will cover the cost and relay to students that additional funds will be needed to participate in the event/activity.	<p>We concur that we need to plan/determine what the student services fees will be utilized for and will continue to do so within the guidelines of the statutory Student Services Fee Advisory Committee (SSFAC) process.</p> <ul style="list-style-type: none"> • We will work with the SBA and student organizations on their budget proposal deadlines each semester. • While we will expend all Student Services Fees each year, we will notify students that some events may require a minimal participation fee. • No additional funds will be commingled with student services fees. Funds collected will have appropriate segregation of duties when receiving, processing, and depositing money. • The Office of Student Affairs will record cash/money order payments on carbon receipts. The receipts will state the name of the payer and the name of the Student Affairs staff person who received the payment. An administrative assistant from another law school department will review/reconcile the payments received with the receipts and sign/verify that the payments match the receipts. The deposit of the cash/money order payments will be given to Candice Birks, the law school bursar, who will sign a statement confirm receipt of the funds. 	Rebecca Greenan, College of Law - Assistant Dean of Students	5/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>19. UNT Dallas: Additional Funds Collected from Students - The Office of Student Affairs collects additional funds from students for a few student oriented activities as a participation fee to ensure proper planning for activities. Specifically, the College of Law may charge this additional fee to ensure student participation. The participation fee varies for these events from \$5.00 to \$15.00 and is determined in collaboration with the Student Bar Association (SBA) elected leaders.</p> <p>For FY 2016 the College of Law was allocated \$60,000.00 by the Student Service Fee Advisory Committee to be able to serve the College's student body needs. Although the College of Law expended only \$7,157.66 as of January 2016, major events funded by student services fees such as the Barristers' Ball and Over-the-Hump are planned later in the Spring Semester.</p>	Moderate	19c. Additional funds collected should be deposited within the same chart string account as a credit to expense with a unique identifying purpose value. Also, funds collected should have appropriate segregation of duties when receiving, processing and depositing the money.	<p>We concur that we need to plan/determine what the student services fees will be utilized for and will continue to do so within the guidelines of the statutory Student Services Fee Advisory Committee (SSFAC) process.</p> <ul style="list-style-type: none"> • We will work with the SBA and student organizations on their budget proposal deadlines each semester. • While we will expend all Student Services Fees each year, we will notify students that some events may require a minimal participation fee. • No additional funds will be commingled with student services fees. Funds collected will have appropriate segregation of duties when receiving, processing, and depositing money. • The Office of Student Affairs will record cash/money order payments on carbon receipts. The receipts will state the name of the payer and the name of the Student Affairs staff person who received the payment. An administrative assistant from another law school department will review/reconcile the payments received with the receipts and sign/verify that the payments match the receipts. The deposit of the cash/money order payments will be given to Candice Birks, the law school bursar, who will sign a statement confirm receipt of the funds. 	Rebecca Greenan, College of Law - Assistant Dean of Students	5/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	20. UNT Dallas College of Law: Seat Deposit Reconciliation - Reconciliation procedures have not been performed to verify that seat deposits sent by admitted Law Students to UNT College of Law Admission's Office were properly credited towards the correct student account if the student enrolled, or were properly recorded in the correct chart of accounts if seat deposits were forfeited .	Moderate	20a. Develop reconciliation procedures to help ensure that seat deposit checks received were credited towards the correct student account if the student enrolled or were properly recorded in the correct chart of accounts if the seat deposit was forfeited.	The College of Law- Office of Admissions will work with the Information Technology Manager at Dallas to establish a query report to be run weekly to ensure seat deposits received by the Office are timely processed and the respective student accounts are updated by student finance timely. This will allow the Office of Admissions to prevent or identify processing errors early—as a checks and balance mechanism. Additionally, the Office of Admissions will work with the Information Technology Manager at Dallas to obtain needed access to the student account screens in EIS to verify this information in the system. If there is a discrepancy found with seat deposits not being posted to a student's account or posted to the wrong student account, the Office of Admissions will work with the Information Technology Manager at Dallas to handle correction of the error. This process will be explained to the Assistant Director of Admissions, in the event that the Assistant Dean is out of the office to ensure that the report is reconciled weekly in the Assistant Dean's absence.	Valerie James, College of Law Assistant Dean of Admissions and Scholarships	9/1/2016 Revised 01/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	21. UNT Dallas: College of Law Academic Catalog - Although the total cost of attendance is included in the 2015-2016 UNT Dallas College of Law Catalog, the catalog did not include a description of the amount of each fee to be charged to students.	Moderate	21a. Develop procedures to help ensure that future academic catalogs include a description of the amount of each fee to be charged to students in accordance with the statute.	The three individuals who work on this page for the College of Law catalog are: 1) Assistant Director of Registration and Student Finance, 2) Information Technology Manager, Accounting Office, and 3) Director of Marketing and Communications. These three have been informed that moving forward, the incidental fees should be broken down and specifically identified/explained so that students have complete transparency as to the fee being charged and paid. In addition, these fees are also available on the College of Law website, by semester: https://lawschool.untsystem.edu/current-students/student-financial-services/tuition-and-fees .	Reynaldo Valencia, College of Law Associate Dean for Finance and Administration and Professor of Law	8/15/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	President's Expenditure Review	UNTHSC	Travel reimbursements paid to or on behalf of the President were in compliance with employment agreement provisions, System/University policies, state and federal laws. Although all travel reimbursements included proper documentation, not all travel budget authorization forms were signature-approved by the Chancellor, as required by UNT System Travel Guidelines. Additionally, Business Support Services processed the payments without all the appropriate approval signatures.	NA	None	Management will ensure that approval from the Chancellor will be obtained for all Travel Budget Authorization forms.	NA	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	Audit of IT Governance - IT Shared Services	UNT System	The IT Governance Audit was very enlightening as it involved an in depth analysis of the organizational structure and communication lines, and an overview of policies and procedures, security program and plan, strategic plan and risk assessment, and website / web application publishing. During the course of the audit, the team found that IT is making significant efforts to strengthen communication and governance throughout the System and found that all teams are working to improve the communication lines between individuals as well as committees.	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	The Family Medicine Residency Program (FMRP) agreement is not set up as a sponsored project in accordance with the Health Science Center Policy and it is not processed or monitored for financial performance by the Office of Grant and Contract Management.	High	Recommendation for the Associate Dean for Educational Programs is to: Work with appropriate management from the Office of Grant and Contract Management and the Office of Finance to set up the FMRP as a sponsored project.	1. Associate Dean for Educational Programs will work with appropriate management from the Office of Grant and Contract Management(OGCM) and the Office of Finance to set up the FMRP as a sponsored project.	Lisa R. Nash, DO, Associate Dean for Educational Programs /Jessica Chavez, Texas OPTI Administrator.	5/31/2016,	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	The Family Medicine Residency Program (FMRP) agreement is not set up as a sponsored project in accordance with the Health Science Center Policy and it is not processed or monitored for financial performance by the Office of Grant and Contract Management.	High	Recommendation for the Provost & Executive Vice President, Academic Affairs is to: Identify all grants, contracts or cooperative agreements (i.e. externally-funded activities with a formal written agreement) and collaborate with the Office of Grant and Contract Management to assess if these agreements should be identified as sponsored projects. Once identified, work with Office of Grant and Contract Management to set up as sponsored projects.	2. The Provost office will coordinate review of the final outstanding Texas Higher Education Coordinating Board(THECB) contract number 14178 between Texas College of Osteopathic Medicine (TCOM) and OGCM to determine if a new ProjID should be established. Review will occur and if needed, ProjID will be established prior to January 30 to allow for necessary accounting corrections prior to the black-out dates. For future awards, the Provost's office will ensure that all contracts submitted for signature by the Provost will have been vetted and routed through the Office of Contract Administration (OCA). OGCM will coordinate with OCA to ensure contracts that incorporate the State of Texas Uniform Grant Management Standards as a requirement of the award are routed through OGCM for review and project management.	2.Thomas Yorio, Provost & Executive Vice President, Academic Affairs / LeAnn Forsberg, Assistant Vice President for Research Administration	9/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	Internal Audit noted control deficiencies over the preparation of the FMRP Annual Financial Report (AFR). THE FMRP AFR is not prepared at a level required to ensure accurate financial reporting. We identified the following financial reporting errors after the FMRP AFR preparation methodology was validated by Texas Higher Education Coordinating Board(THECB): Revenues: B. Professional Service Revenue B1 - Total gross charge amount for Professional Service Charges was reported only for the FMRP primary locations (i.e. Seminary Family Medicine and Inpatient Plaza Medical Center) and not for all service locations the FMRP provides. This amount should also include other locations that all FMRP residents and Faculty provide professional services which are but not limited to Patient Care Center (PCC) APC Family Medicine, Eagle Ranch Internal Medicine, PCC APC General Internal Medicine and PCC Osteopathic Manipulative Medicine(OMM) B2 - Total net dollar amount for Professional Service Charges was reported only for the FMRP primary locations (i.e. Seminary Family Medicine and Inpatient Plaza Medical Center) and not for all service locations the FMRP provides. This amount should also include other locations that all FMRP residents and Faculty provide professional services which are but not limited to PCC APC Family Medicine, Eagle Ranch Internal Medicine, PCC APC General Internal Medicine	High	Recommendation for the Senior Vice President of Finance/ Chief Financial Officer and FMRP Director is to: The FMRP Annual Financial Report should be prepared by the Office of Finance in collaboration with the department in an effort to ensure accurate financial reporting.	Several areas/locations (specifically: PCC APC Family Medicine, Eagle Ranch Internal Medicine, PCC APC General Internal Medicine and PCC OMM) noted by the auditors under Revenues A., B. and C. above are unrelated in any way to the Family Residency Program funded under this grant and are not to be included in the financial report.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Barbara Holt, Senior Director Financial Operations / Jessica Chavez, Texas OPTI Administrator	5/31/2016 Revised: 10/31/ 2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	Testing identified that faculty and staff devoting time to the FMRP do not certify that the effort charged was based on actual activity.	High	Recommendation for the FMRP Director is to: Work with the Office of Grant and Contract Management to help ensure that the grant is in compliance with the Texas' Uniform Grant Management Standards for time and effort reporting requirements.	The Associate Dean for Educational Programs will work with the Office of Finance to develop and implement procedures to collect and report on financial activity related to the program in a manner that is in compliance with the Coordinating Board's financial reporting guidelines.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Jessica Chavez, Texas OPTI Administrator	5/31/2016 Revised: 10/31/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	Testing identified the following: <ul style="list-style-type: none"> • The Procurement-Card (P-Card) Expenditure Report which was partially paid from the Texas Higher Education Coordinating Board(THECB) grant for fiscal year 2015 was not retained at the department level and was unavailable for review. • Occasionally, the reconciler and approver is serving a dual role in the P-Card Expenditure review process. 	Moderate	Recommendations for the Associate Dean of Educational Programs are to: Require all current P-Card holders, reconcilers and approvers to be retrained on P-Card policies and procedures.	The Associate Dean for Educational Programs will require signature approval by three different individuals for final reconciliation/approval of P-card purchases. Transition to electronic filing of P-card documentation resolves issue on retention of documents.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Jessica Chavez, Texas OPTI Administrator	5/31/2016 Revised: 10/31/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	Testing identified the following: <ul style="list-style-type: none"> • The Procurement-Card (P-Card) Expenditure Report which was partially paid from the Texas Higher Education Coordinating Board(THECB) grant for fiscal year 2015 was not retained at the department level and was unavailable for review. • Occasionally, the reconciler and approver is serving a dual role in the P-Card Expenditure review process. 	Moderate	Recommendations for the Associate Dean of Educational Programs are to: Follow University Business Service Center P-Card Guidelines.	The Associate Dean for Educational Programs will require signature approval by three different individuals for final reconciliation/approval of P-card purchases. Transition to electronic filing of P-card documentation resolves issue on retention of documents.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Jessica Chavez, Texas OPTI Administrator	5/31/2016 Revised: 10/31/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	The FMRP grant was not properly classified in the UNTHSC Accounting System for fiscal year 2013 and fiscal year 2014. During our review of classification of revenues and proper recording for the FMRP grant in the UNTHSC Accounting System, we noted that fiscal year 2013 and fiscal year 2014 funds passed from the Texas Higher Education Coordinating Board(THECB) to UNTHSC were classified as State Grant Pass Through Revenue - Operational compared to fiscal year 2015 funds, which were classified as State Grant Pass Through Revenue - Non Operational. Based on the audited fiscal year 2013 and fiscal year 2014 FMRP Annual Financial Reports, the support received from THECB was 3.11% and 6.85% of the total revenues for the FMRP and are supplemental to the Program. The Associate Dean for Educational Programs also confirmed that the FMRP will be conducted regardless of the additional funds received from THECB.	Low	Recommendations for the UNTHSC Associate Controller are to: Work with the Texas Comptroller of Public Accounts to determine if prior years' classifications should be corrected.	Associate Dean for Educational Programs will work with appropriate management from the UNT System's Controller's Office to ensure the funds are recorded appropriately within UNTHSC's Accounting System. In addition, the UNT System's Controller's Office will work with the Texas Comptroller of Public Accounts to make a determination if prior year Annual Financial Reports need to be adjusted to report the proper classification of the program's funds.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Paula Welch, Associate Controller / Jessica Chavez, Texas OPTI Administrator	5/31/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	The FMRP grant was not properly classified in the UNTHSC Accounting System for fiscal year 2013 and fiscal year 2014. During our review of classification of revenues and proper recording for the FMRP grant in the UNTHSC Accounting System, we noted that fiscal year 2013 and fiscal year 2014 funds passed from the Texas Higher Education Coordinating Board (THECB) to UNTHSC were classified as State Grant Pass Through Revenue - Operational compared to fiscal year 2015 funds, which were classified as State Grant Pass Through Revenue - Non Operational. Based on the audited fiscal year 2013 and fiscal year 2014 FMRP Annual Financial Reports, the support received from THECB was 3.11% and 6.85% of the total revenues for the FMRP and are supplemental to the Program. The Associate Dean for Educational Programs also confirmed that the FMRP will be conducted regardless of the additional funds received from THECB.	Low	Recommendations for the UNTHSC Associate Controller are to: Re-educate personnel on financial reporting of state grant pass through revenues to help ensure compliance with the Texas Comptroller of Public Accounts' guidelines.	Associate Dean for Educational Programs will work with appropriate management from the UNT System's Controller's Office to ensure the funds are recorded appropriately within UNTHSC's Accounting System. In addition, the UNT System's Controller's Office will work with the Texas Comptroller of Public Accounts to make a determination if prior year Annual Financial Reports need to be adjusted to report the proper classification of the program's funds.	Lisa R. Nash, DO, Associate Dean for Educational Programs / Paula Welch, Associate Controller / Jessica Chavez, Texas OPTI Administrator	5/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	The current process for monitoring Student Service Fee allocations is not sufficient to ensure funds are not overspent and funds are spent in accordance with approved purposes. Internal Audit reviewed and tested the Student Service Fee (SSF) process and allocations for fiscal year 2015. Out of 57 SSF dept ID allocations, 9 instances were identified where total expenditures exceeded available SSF account revenues. If additional other funding sources were not obtained by SSF dept ID holder then deficit balances were charged to the SSF reserve account at year end.	Low	Recommendations for Vice President for Student Affairs: 1a. Coordinate with the UNT Budget Office to establish a process to ensure that only transfers approved by the Vice President for Student Affairs Office are processed.	a. Management agrees. Establish process to ensure no transfers are processed by the UNT Budget Office without approval from the VPSA Office.	Dr. Elizabeth With, Vice President for Student Affairs	7/31/2016 Actual 08/29/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	The current process for monitoring Student Service Fee allocations is not sufficient to ensure funds are not overspent and funds are spent in accordance with approved purposes. Internal Audit reviewed and tested the Student Service Fee (SSF) process and allocations for fiscal year 2015. Out of 57 SSF dept ID allocations, 9 instances were identified where total expenditures exceeded available SSF account revenues. If additional other funding sources were not obtained by SSF dept ID holder then deficit balances were charged to the SSF reserve account at year end.	Low	Recommendations for Vice President for Student Affairs: 1b. Provide training to SSF dept ID holders with regard to their responsibilities on receiving SSF funding especially SSF approval process pertaining to requesting transfers of SSF funds.	b. Management agrees. Send memo to all dept ID holders outlining approval process to transfer funds; also discuss during meetings with SSF dept ID holders (held as SSF process begins and when awards are made).	Dr. Elizabeth With, Vice President for Student Affairs	7/31/2016 Actual 08/29/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	The current process for monitoring Student Service Fee allocations is not sufficient to ensure funds are not overspent and funds are spent in accordance with approved purposes. Internal Audit reviewed and tested the Student Service Fee (SSF) process and allocations for fiscal year 2015. Out of 57 SSF dept ID allocations, 9 instances were identified where total expenditures exceeded available SSF account revenues. If additional other funding sources were not obtained by SSF dept ID holder then deficit balances were charged to the SSF reserve account at year end.	Low	Recommendations for Vice President for Student Affairs: 1c. Establish a process to identify potential deficit situations, including steps/procedures to be taken, and consequences for SSF dept ID holders for non-compliance.	c. Management agrees. Send memo to all dept ID holders outlining consequences of account deficits; also discuss during meetings with SSF dept ID holders (held as SSF process begins and when awards are made).	Dr. Elizabeth With, Vice President for Student Affairs	7/31/2016 Actual 08/29/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	UNT Policy 18.4.7 Student Service Fee Committee does not reflect current member selection process by the Student Government Association President. UNT policy 18.4.7 states nine students will be selected to comprise a Student Service Fee Committee (SSFC). Five students to be selected by the Student Government Association (SGA) President and four students by UNT President. In the current process the SGA President selects four because the SGA President is to be a member of the committee and acts as Chair of the SSFC.	Low	Recommendation for Vice President for Student Affairs: 2a. Revise UNT Policy 18.4.7 Student Services Fee Committee to reflect the current process regarding the Student Government Association President's Student Services Fee Committee member selection process.	Management agrees. Update policy to reflect actual practice.	Dr. Elizabeth With, Vice President for Student Affairs	11/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	Minutes are not taken on Student Service Fee Committee meetings. For selected Student Service Fee Committee (SSFC) members, annually the Vice President for Student Affairs management conducts meetings to explain to these members the committee's responsibilities, establish meeting dates, explanation of the deliberation and SSF allocation processes. During these meeting priorities and Student Service Fee (SSF) allocation criteria are established. Documentation as to priorities determined, proposed meeting agenda and meeting dates, and applications requests for SSF funding are submitted. However, meeting minutes including attendance of those SSFC members present are not documented and retained.	Low	Recommendation for Vice President for Student Affairs: 3a. Written minutes should be kept on Student Service Fee Committee meetings held.	Management agrees. Minutes will be taken at meetings.	Debbie Stevens, Budget Officer for Division of Student Affairs	Expected: 11/30/2016 Revised: 01/18/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Presidents' Expenditure Review	UNT Dallas	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Chancellor's Expenditure Review	UNT System	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Presidents' Expenditure Review	UNT	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable. • High default rate; 67.5% at December 31, 2015 and 60% at January 31, 2016 as compared to about 10% for the other loan programs. • For loans issued prior to August 2013, the collection rate since August 2013 to January 2016 is 9% , less than 4% per year. Overall default rate for old and new loans is 72%.	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 1a. Coordinate with Student Accounting and University Cashiering Services to determine an effective and efficient way to disburse loans and collect repayments.	a. Coordinate with Student Accounting and University Cashiering Services to transition loan program to an electronic disbursement, and repayment system (non-cash). Coordinate with Division of Student Affairs Advancement Specialist to secure a small allotment of gas and food cards for the purpose of disbursing to students facing critical and immediate need.	Paul Goebel, Assistant Director III, SMMC	09/01/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable. • High default rate; 67.5% at December 31, 2015 and 60% at January 31, 2016 as compared to about 10% for the other loan programs. • For loans issued prior to August 2013, the collection rate since August 2013 to January 2016 is 9% , less than 4% per year. Overall default rate for old and new loans is 72%.	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 1b. Coordinate with Student Accounting and University Cashiering Services to determine an effective way to display the blocks effectively in order to avoid any misconception.	b. For new loans posted directly to students' accounts, any unpaid balances will be clearly denoted on accounts that will avoid any misconceptions. Coordinate with Student Accounting and University Cashiering Services to add old defaulted loans to students' account balances.	Paul Goebel, Assistant Director III, SMMC	01/15/17	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	<p>1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable.</p> <ul style="list-style-type: none"> • High default rate; 67.5% at December 31, 2015 and 60% at January 31, 2016 as compared to about 10% for the other loan programs. • For loans issued prior to August 2013, the collection rate since August 2013 to January 2016 is 9% , less than 4% per year. Overall default rate for old and new loans is 72%. 	Moderate	<p>Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center:</p> <p>1c. Review loans issued prior to August 2013 and document current status e.g. whether and when a student graduated, whether they are a current student, whether all appropriate blocks are in place, and whether all necessary documents are in file.</p>	c. Review loans issued prior to August 2013 and document current status, all appropriate blocks are in place, and all necessary documents are in file.	Danielle Champagne, Student Services Coordinator II	8/01/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	<p>2. The current practice at Student Money Management Center (SMMC) is that management has some discretion as to the loan amounts and the repayment period for the Green Loan Program (GLP). Current procedures do not sufficiently document when and how much management discretion is allowable.</p> <ul style="list-style-type: none"> • There is some management discretion as to the amount of fees to charge, for 1 out of 24 loans tested, an exception was noted where the total fees and charges due was \$23; \$20 late charge and \$3 service charge. Only \$17 was collected while \$6 was waived. Additionally, procedures are not specific as to whether fees apply to a specific dollar amount of the loan i.e. \$100 or \$50. • Management also has some discretion as to the repayment date. For example, management can alter the repayment date if it falls on a weekend or if the student is aware of a difficulty in repaying before the deadline. 	Moderate	<p>Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center:</p> <p>2a. Review current GLP manual and update for procedures related to management discretion, including but not limited to, defining the exceptions and stating how and when management discretion should be applied, and also ensure that it is consistent with the current practice.</p>	a. Redraft Green Loan Program manual's management discretion reference. Include list of approved exceptions that would fall under the scope of "management discretion."	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	<p>2. The current practice at Student Money Management Center (SMMC) is that management has some discretion as to the loan amounts and the repayment period for the Green Loan Program (GLP). Current procedures do not sufficiently document when and how much management discretion is allowable.</p> <ul style="list-style-type: none"> • There is some management discretion as to the amount of fees to charge, for 1 out of 24 loans tested, an exception was noted where the total fees and charges due was \$23; \$20 late charge and \$3 service charge. Only \$17 was collected while \$6 was waived. Additionally, procedures are not specific as to whether fees apply to a specific dollar amount of the loan i.e. \$100 or \$50. • Management also has some discretion as to the repayment date. For example, management can alter the repayment date if it falls on a weekend or if the student is aware of a difficulty in repaying before the deadline. 	Moderate	<p>Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center:</p> <p>2b. Establish a specific periodic review process to ensure that the GLP manual is accurate and adequately addresses relevant issues. The procedures should indicate the last time it was reviewed.</p>	b. Identify a standard date of annual review for the GLP manual. Documentation of date of review on title page will be included in the updated GLP manual.	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	3. Promissory notes and transcript blocks were not in place as required by the Green Loan Program (GLP) manual terms and conditions. Promissory notes and transcript blocks were missing for old loans issued prior to August 2013. There were also instances relating to loans issued after August 2013 where there were no blocks on non-current loans. Incomplete documentation and lack of enforcement of blocks reduce the chance of repayment of loans.	Moderate	Recommendation for Paul Goebel, Assistant Director III, Student Money Management Center: 3a. Review non-current loans and document current status e.g. whether and when a student graduated, whether they are a current student, and whether all necessary documents are in file and ensure proper blocks are in place.	a. Review loans issued prior to August 2013 and document current status, all appropriate blocks are in place, and all necessary documents are in file.	Danielle Champagne, Student Services Coordinator II	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	3. Promissory notes and transcript blocks were not in place as required by the Green Loan Program (GLP) manual terms and conditions. Promissory notes and transcript blocks were missing for old loans issued prior to August 2013. There were also instances relating to loans issued after August 2013 where there were no blocks on non-current loans. Incomplete documentation and lack of enforcement of blocks reduce the chance of repayment of loans.	Moderate	Recommendation for Paul Goebel, Assistant Director III, Student Money Management Center: 3b. Establish a review process to ensure that appropriate blocks are being placed on students' accounts with non-current loans.	b. Identify process to ensure timely posting of relevant blocks to student accounts. Documentation of the process and monthly review checklist will be included in the updated program manual.	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	4. There is variance between petty cash records, total amount of donations received to the fund, and the general ledger. There is a variance between the amount of fund balance per the Student Money Management Center (SMMC) records - \$16,345, tally of the total amount of donations received into the fund - \$22,625, and fund balance per the general ledger - \$16,217.	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 4a. Review current fund balance and coordinate with Financial Reporting to ensure that the correct balance is reflected in the general ledger.	a. Coordinate with Financial Reporting to conduct a thorough and comprehensive reconciliation of the Green Loan account.	Paul Goebel, Assistant Director III, SMMC	1/15/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	4. There is variance between petty cash records, total amount of donations received to the fund, and the general ledger. There is a variance between the amount of fund balance per the Student Money Management Center (SMMC) records - \$16,345, tally of the total amount of donations received into the fund - \$22,625, and fund balance per the general ledger - \$16,217.	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 4b. Update policies to include procedures for periodic reconciliation with the General Ledger.	b. Coordinate with Financial Reporting to determine policies and procedures for periodic reconciliation. Include this information in GLP manual.	Danielle Champagne, Student Services Coordinator II	1/15/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	5. There are instances where information on Student Money Management Center (SMMC) website is not consistent with information in the procedures Green Loan Program (GLP) manual. One of the terms and conditions listed on the SMMC's website and in the GLP manual says that both transcript and registration blocks will be applied to late and default accounts but the intention and practice is to use transcript blocks only.	Low	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 5a. Review information currently posted to SMMC website for accuracy and consistency with policies and procedures.	a. Information posted to SMMC website has been reviewed for consistency with policies and procedures.	Danielle Champagne, Student Services Coordinator II	8/15/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	5. There are instances where information on Student Money Management Center (SMMC) website is not consistent with information in the procedures Green Loan Program (GLP) manual. One of the terms and conditions listed on the SMMC's website and in the GLP manual says that both transcript and registration blocks will be applied to late and default accounts but the intention and practice is to use transcript blocks only.	Low	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 5b. Establish a process to ensure review of information posted to SMMC website is performed periodically.	b. Annual date of website review has been set as August 1, documentation of this step will be included in the revised Green Loan Program Manual.	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	6. The Green Loan Program (GLP) is not being maintained on an imprest basis as required by UNT cash handling policies. The Green Loan petty cash fund is not being maintained on an imprest system; when repayments are received, only fees get deposited while the principal is retained in the petty cash fund to be used to disburse for new loans.	Low	Recommendation for Paul Goebel, Assistant Director III, Student Money Management Center: 6a. Coordinate with Financial Reporting and Vice President for Finance and Administration, UNT, to determine how to best comply with UNT cash handling policies.	a. Coordinate with Student Accounting and University Cashiering Services to transition loan program to an electronic disbursement, and repayment system (non-cash). This will eliminate the need for the SMMC to handle any cash.	Paul Goebel, Assistant Director III, SMMC	9/1/2016	Closed	
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	7. The Student Money Management Center (SMMC) uses pre-numbered receipts; however, the receipts do not comply with guidelines set forth in UNT policies. SMMC uses pre-numbered receipts but the receipts have not been approved by Student Accounting and University Cashiering Services (SAUCS) as to form and content as required by Cash Handling Controls Policy 2.1.10.1 and does not have UNT logo printed on as required by UNT Sales and Receipt of Funds Policy 2.2.1.	Low	Recommendations for Assistant Director III, Student Money Management Center: 7a. Coordinate with SAUCS to obtain receipts that comply with UNT sales and Receipt of Funds Policy 2.2.1.	a. Obtain approved receipt book from UNT Printing Services.	Danielle Champagne, Student Services Coordinator II	6/23/2016	Closed	
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Student Money Management Center	UNT	7. The Student Money Management Center (SMMC) uses pre-numbered receipts; however, the receipts do not comply with guidelines set forth in UNT policies. SMMC uses pre-numbered receipts but the receipts have not been approved by Student Accounting and University Cashiering Services (SAUCS) as to form and content as required by Cash Handling Controls Policy 2.1.10.1 and does not have UNT logo printed on as required by UNT Sales and Receipt of Funds Policy 2.2.1.	Low	Recommendations for Assistant Director III, Student Money Management Center: 7b. Establish a process to ensure that all receipts issued are cleared by SAUCS as to form.	b. Implement the use of SAUCS-approved receipts and payment deposit process.	Danielle Champagne, Student Services Coordinator II	6/23/2016	Closed	
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following: - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, and other information), was not formally documented for	Moderate	UNT should embed comments and/or notes within the supporting documentation Excel file to explain specific details of key amounts, calculations, and sources of information.	NA	NA	NA	NA	NA

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Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following: - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, and other information), was not formally documented for	Moderate	UNT and UNTD should implement a "Lead Workpaper" separate from the formal sections that would be used to detail source documentation and other important information. This workpaper could include the Method of Finance calculation, the Local Funds Adjustment calculation, and each benefits calculation.	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT Dallas	Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following: - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, and other information), was not formally documented for	Moderate	UNT and UNTD should implement a "Lead Workpaper" separate from the formal sections that would be used to detail source documentation and other important information. This workpaper could include the Method of Finance calculation, the Local Funds Adjustment calculation, and each benefits calculation.	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	<p>Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following:</p> <ul style="list-style-type: none"> - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, 	Moderate	<p>All entities within the UNT System should consider including a section for "Information/Documentation Needed to Complete the APS 011 Form". It would be helpful to include the following:</p> <ul style="list-style-type: none"> - APS 011 Form and Instructions (FMX website) - Method of Finance (General Appropriations Act) - Applicable USAS Screens - Specific queries from PeopleSoft General Ledger - APS_Check report - Instructions for uploading the completed form and performing internal reviews by the entity and the UNT System - Key contacts within the State and the UNT System - Other related and important documentation 	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT Dallas	<p>Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following:</p> <ul style="list-style-type: none"> - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, 	Moderate	<p>All entities within the UNT System should consider including a section for "Information/Documentation Needed to Complete the APS 011 Form". It would be helpful to include the following:</p> <ul style="list-style-type: none"> - APS 011 Form and Instructions (FMX website) - Method of Finance (General Appropriations Act) - Applicable USAS Screens - Specific queries from PeopleSoft General Ledger - APS_Check report - Instructions for uploading the completed form and performing internal reviews by the entity and the UNT System - Key contacts within the State and the UNT System - Other related and important documentation 	NA	NA	NA	NA

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Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNTHSC	Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following: - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information,	Moderate	All entities within the UNT System should consider including a section for "Information/Documentation Needed to Complete the APS 011 Form". It would be helpful to include the following: - APS 011 Form and Instructions (FMX website) - Method of Finance (General Appropriations Act) - Applicable USAS Screens - Specific queries from PeopleSoft General Ledger - APS_Check report - Instructions for uploading the completed form and performing internal reviews by the entity and the UNT System - Key contacts within the State and the UNT System - Other related and important documentation	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	Through review of processes related to Benefits Proportionality, IA identified that as part of APS 011 Form completion procedures, UNT and UNTD do not obtain an APS_Check Report from the ACO and compare the report information to the amounts used in the APS 011 Form. This APS_Check report includes the USAS expenses by benefit and appropriation. As such, UNT and UNTD were not performing a reconciliation comparing their recorded amounts to amounts provided by the State in order to ensure accuracy of the overall form.	Moderate	UNT and UNTD should obtain the APS_Check report from the assigned ACO and perform a reconciliation of UNT and UNTD amounts, respectively, to State amounts.	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT Dallas	Through review of processes related to Benefits Proportionality, IA identified that as part of APS 011 Form completion procedures, UNT and UNTD do not obtain an APS_Check Report from the ACO and compare the report information to the amounts used in the APS 011 Form. This APS_Check report includes the USAS expenses by benefit and appropriation. As such, UNT and UNTD were not performing a reconciliation comparing their recorded amounts to amounts provided by the State in order to ensure accuracy of the overall form.	Moderate	UNT and UNTD should obtain the APS_Check report from the assigned ACO and perform a reconciliation of UNT and UNTD amounts, respectively, to State amounts.	NA	NA	NA	NA

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Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT Dallas	Through review of processes related to Benefits Proportionality, IA identified that as part of APS 011 Form completion procedures, HSC and UNTD were not periodically performing a "mock completion" of the APS 011 Form based on estimates and information obtained up to the date of the mock completion. To perform this procedure, an institution fills out a preliminary APS 011 Template, which assists them in tracking payments from the GR and GR-D funds, as well as remaining balances to monitor what amounts may still be utilized. Additionally, completing the preliminary templates can provide opportunities for additional feedback and make the year-end process less time consuming.	Moderate	UNTD and HSC should establish a routine for periodically completing preliminary templates of the APS011 form and formally documenting the preliminary templates in source documentation files.	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNTHSC	Through review of processes related to Benefits Proportionality, IA identified that as part of APS 011 Form completion procedures, HSC and UNTD were not periodically performing a "mock completion" of the APS 011 Form based on estimates and information obtained up to the date of the mock completion. To perform this procedure, an institution fills out a preliminary APS 011 Template, which assists them in tracking payments from the GR and GR-D funds, as well as remaining balances to monitor what amounts may still be utilized. Additionally, completing the preliminary templates can provide opportunities for additional feedback and make the year-end process less time consuming.	Moderate	UNTD and HSC should establish a routine for periodically completing preliminary templates of the APS011 form and formally documenting the preliminary templates in source documentation files.	NA	NA	NA	NA
External	Accreditation Council for Pharmacy Education	Fiscal Year 2016	Governance and Regulatory Compliance	Review for Pharmacy Education Accreditation	UNTHSC	Accreditation Council for Pharmacy Education	NA	None	NA	NA	NA	NA
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The door going from the exterior balcony to the main building is equipped with a double-cylinder lock. Balcony occupants could be locked out of the building and unable to egress the balcony. Exterior door assemblies shall be permitted to have key-operated locks from the egress side, provided that the following criteria are met: - There shall be a readily visible and durable sign in letters not less than 1 inch high on a contrasting background and located on or adjacent to the door. This sign shall read as follows: "THIS DOOR TO REMAIN UNLOCKED WHEN THE BUILDING IS OCCUPIED." - The locking devices are of a type that is readily distinguishable as locked. - A key is immediately available to any occupant inside the building when it is locked. The primary entrance/exit door may be equipped with a thumb lock provided it is the only locking/latching device on the door NFPA 1, Fire Code, Chapters 14.5.2.5.1 and 4.4.3.1.2	Door hardware will be replaced to allow re-entry from the balcony.	NA	1/31/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The penthouse chiller room has two electrical splice boxes with the covers removed. NFPA 1, Fire Code, Chapter 11.1.10	Covers will be replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 An extension cord is used as permanent wiring at the 5th floor receptionist desk.	Outlet will be installed and extension cord will be removed.	NA	11/14/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 4 There are unsecured gas cylinders in Room 421 and in the Penthouse. NFPA 1, Fire Code, Chapter 63.3.1.8.4	Mounting hardware will be installed and cylinders will be secured.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 5 The egress hallway is obstructed near Room 470. NFPA 1, Fire Code, Chapters 4.4.3.1.1, 14.4.1 and 14.10.2	Equipment will be moved.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 6 There are missing ceiling tiles in room IE4 auditorium support NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 7 Room 432 has a sprinkler head missing the escutcheon ring. NFPA 1, Fire Code, Chapter 4.5.8.1	Parts will be replaced.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 8 The fire department connection is obstructed by vegetation. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4, and 13.1.4.1	A clear path will be created.	NA	12/23/2016	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 9 The copy machine located outside cubical WKSTN W3N obstructs the egress corridor to less than three feet.	The copy machine will be relocated.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 10 The following rooms have unsealed penetrations. <input type="checkbox"/> Electrical room 5E1 <input type="checkbox"/> Room 3J2 <input type="checkbox"/> Room 3E2 communications room floor penetrations extends all 5 floors and numerous wall penetrations. (5 violations) NFPA 1, Fire Code, Chapter 12.7.5.6.1	Penetrations will be properly sealed.	NA	11/14/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 11 The roof top Freon emergency shut pull station has a protective cover marked Fire alarm. NFPA 1, Fire Code, Chapter 4.5.8.1	Cover will be replaced.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 12 The convenience stairs between the first and second floors lack corridor smoke doors on the second floor to close off the area from the egress corridor by the women's rest room 2T1. NFPA 1, Fire Code, Chapter 10.1.2; and NFPA 101, Life Safety Code, Chapter 8.6.9.1(3)	We need to consult with our local fire authority for possible solutions. Once consultation takes place we will be able to provide a timeline.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 1 There are unsecured gas cylinders in the following rooms. <input type="checkbox"/> 124 <input type="checkbox"/> 310 NFPA 1, Fire Code, Chapter 63.3.1.8.4	Mounting hardware will be installed and cylinders will be secured.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 2 The egress hallway is obstructed in the following locations. - 2nd floor cross hallway - 1st floor cross hallway NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Equipment will be relocated.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 3 There are missing ceiling tiles in the following rooms. - 406 - 240 NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 4 There are unsealed penetrations in the following rooms. - 4M1 - 3M1 - 2M1 - 1M3 NFPA 1, Fire Code, Chapter 12.7.5.1	Penetrations will be properly sealed.	NA	11/16/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 5 The chemical fume hood is being used for storage in the following rooms. - 310 - 240 NFPA1, Fire Code, Chapter 4.5.8.1	Items will be removed and stored properly.	NA	12/9/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 6 The chemical fume hoods throughout the building lack current inspection labels. The last inspection was dated 5/2015. (58 Violations) NFPA 1, Fire Code, Chapter 4.5.8.1	All hoods will be inspected and labeled properly.	NA	10/16/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 7 There are containers of hazardous chemicals improperly stored in the following rooms. - 406 - 118 NFPA 1, Fire Code, Chapter 34.4.1.1	Chemicals will be stored properly.	NA	12/9/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 8 An extension cord is used as permanent wiring in Room 553, which also has a filing cabinet sitting on the cord. NFPA 1, Fire Code, Chapter 11.1.7.6 and 11.1.7.5	This violation is in the CBH building, not RES. See the RES section for corrective action.	NA	12/26/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 9 There are unused openings in the electrical panels in the following rooms. - 208 - 2M1 - 126 - E01 - OLA Sect 2 NFPA 1, Fire Code, Chapter 11.1.2; and NFPA 70, National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 10 The fire alarm panel was red tagged on 6/24/16 and UNT Staff state the system is current and operational, but no white correction tag is present. NFPA 1, Fire Code, Chapter 4.5.8.1	Correct tags will be attached.	NA	12/5/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 11 There are electrical outlet faceplates missing in the following rooms. - E01 - 3M1 NFPA 1, Fire Code, Chapter 11.1.10	Faceplates will be replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 12 There is a lack of building separation where the RES building connects to the EAD building on floors 1, 3, and 4. NFPA 1, Fire Code, Chapter 10.1.2; and NFPA 101, Life Safety Code, Chapter 8.2.1.3	Proper separations will be installed.	NA	6/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 13 Multiplug adapters are being used in the following rooms. - 406 - 448 NFPA 1, Fire Code, Chapter 11.1.5.2	Adapters will be removed and equipment properly connected.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 14 Appliances are plugged into surge protectors in the following rooms I, rather than directly into wall outlets. - 302H - 220D NFPA 1, Fire Code, Chapter 10.1.7	Outlets will be installed and appliances correctly connected.	NA	1/25/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 15 There is exposed wiring in the following rooms. - 3M1 - 240 - E01 NFPA 1, Fire Code, Chapter 11.1.2; and NFPA 70, National Electrical Code, Articles 300.3 (A) and 300.4	Wiring will be properly capped and protected.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 16 The exit signs are not illuminated in the basement area. NFPA 1, Fire Code, Chapter 4.5.8.1	Signs will either be replaced or repaired.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 17 The fire sprinkler riser lacks appropriate valve signage. NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing and Maintenance of Water Based Fire Protection Systems, Table 5.1.1.2	Signage will be installed.	NA	1/31/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 18 The basement lacks audio visual occupant notification appliances for the fire alarm. NFPA 1, Fire Code, Chapter 13.7.1.4.10.1	Proper equipment will be installed in the basement.	NA	4/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 19 Storage is piled within 18 inches of the sprinkler head in Hall 240. NFPA 1, Fire Code, Chapter 10.19.3.2	Items will be removed and stored properly.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 20 There is wiring hanging from the fire sprinkler system piping in lab 240. NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing And Maintenance of Water - Based Fire Protection Systems, Chapter 5.2.2.2	Wiring will be removed.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 21 Non-UL Listed electrical outlets are suspended from the ceiling in room 456. NFPA 1, Fire Code, Chapter 11.1.3; and NFPA 70, National Electrical Code 300.3	Proper outlets will be installed and Non-UL outlets will be removed.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 22 Surge protectors are daisy chained in room 406. NFPA 1, Fire Code, Chapter 11.1.6.2	Surge protectors will only be plugged into wall outlets.	NA	12/23/2016	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 23 The exit doors in room 240 are equipped with a magnetic locking device and do not incorporate the required operational features. (1) A sensor shall be provided on the egress side, arranged to detect an occupant approaching door leaves that are arranged to unlock in the direction of egress upon detection of an approaching occupant or loss of power to the sensor. (2) Loss of power to the part of the access control system that locks the door leaves shall automatically unlock the door leaves in the direction of egress. (3) Door leaves shall be arranged to unlock in the direction of egress from a manual release device located 40 in. to 48 in. vertically above the floor and within 60 in. of the secured door openings. (4) The manual release device shall be readily accessible and clearly identified by a sign that reads as follows: PUSH TO EXIT. (5) When operated, the manual release device shall result in direct interruption of power to the lock — independent of the access control system electronics — and the door leaves shall remain unlocked for not less than 30 seconds. (6) Activation of the building fire-protective signaling system, if provided, shall automatically unlock the door leaves in the direction of egress, and they shall remain	Hardware will be installed to deactivate magnetic locks when someone approaches from inside the room.	Bill Jones, Senior Systems Analyst	4/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 24 The door leading from the chiller room to the main part of the building has a key operated lock. There is no secondary exit from the chiller room. NFPA 1, Fire Code, Chapters 14.5.2.1 and 14.5.2.3	We need clarity on this location, as the chiller room seems to have adequate exits.	NA	NA	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 1 Storage is piled within 18 inches of sprinkler head in the following rooms. - 250 - 323 - 440 - 460 - 500 - 501 - 504 - 551 - 552 NFPA 1, Fire Code, Chapter 10.19.3.2	All storage will be relocated as needed.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 2 There are unsealed penetrations in the following locations. - Room 2ME2 - Room 3ME1 - Room 5E1 - Room 5E2 - Room 6E1 - SMEC north chase - IT rooms all six floors NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	1/31/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 3 The chemical fume hood is being used for storage in the following rooms. - 250 - 323 - 440 - 460 - 500 - 501 - 504 - 551 - 552 NFPA1, Fire Code, Chapter 4.5.8.1	Materials will be removed from hoods and stored properly.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 4 The chemical fume hoods throughout the building lack current inspection labels. The last inspection was May 2015. (51 Violations) NFPA 1, Fire Code, Chapter 4.5.8.1	All fume hoods will be inspected and properly labeled.	NA	10/16/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 5 There are two 5 gallon cans of flammable liquid being stored on the lab floor in Room 511, which should be stored flammable liquid cabinet. NFPA 1, Fire Code, Chapter 34.4.4.1	Flammable materials will be stored in flammable cabinets.	NA	12/9/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 6 An extension cord is used as permanent wiring and is running under a filing cabinet in room 553. NFPA 1, Fire Code, Chapters 11.1.7.6 and 11.1.7.5	Extension cord will be removed.	NA	12/6/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 7 There are unused openings in electrical panel 3LB in the third floor pipe chase. NFPA 1, Fire Code, Chapter 11.1.2; NFPA 70, National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 8 Stairwell doors will not close and latch due to excessive stairwell pressurization in the following rooms. - 452 - 351 - 352 - 251 NFPA 1, Fire Code, Chapter 4.5.8.1	Air balancing will be adjusted to correct issue, or hardware will be installed if necessary.	NA	1/31/2016	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 9 There is an unsecured CO2 cylinder in room 355. NFPA 1, Fire Code, Chapter 63.1.8.4	All cylinders will be secured.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 10 Two large wood crates block corridor egress by room 355. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Equipment will be removed.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 11 Stairwell two first floor has unapproved storage under the stairs. NFPA 1, Fire Code, Chapter 14.6.3.1	Storage will be removed.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 There are missing ceiling tiles in the following locations. - 4th floor elevator - 2nd floor cross hall NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The stairwell doors lack the required two hour fire rating throughout the building. NFPA 1, Fire Code, Chapter 12.7.3.1	Doors will be evaluated and labeled properly, or replaced.	NA	3/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 The doors on room 852 have self-closing mechanisms that do not function properly. NFPA 1, Fire Code, Chapter 12.4.6.19.1	Hardware will be repaired or replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 4 Combustibles are stored under stairwell A on the first floor. NFPA 1, Fire Code, Chapter 14.6.3	Materials will be removed and stored properly.	NA	12/23/2016	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 5 There are unused openings in the electrical panels in the following rooms. - 8M1 - 5LS6 - 3M3 - 474 NFPA 1, Fire Code, Chapter 11.1.2; NFPA 70, National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 6 There are unsealed penetrations in the following rooms. - 5M3 - 6M3 - 1E1 - 2E1 NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 7 Storage is piled within 18 inches of the sprinkler head in room 662. NFPA 1, Fire Code, Chapter 10.19.3.2	Storage will be removed.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 8 The chemical fume hoods lack current inspection labels. The last inspection was dated May 2015. (45 locations) NFPA 1, Fire Code, Chapter 4.5.8.1	All fume hoods will be inspected and labeled.	NA	10/1/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 9 The chemical fume hoods are being used for storage in the following rooms. - 632 - 546 - 544 - 474 NFPA1, Fire Code, Chapter 4.5.8.1; and NFPA 45, Standard on Fire Protection for Laboratories using Chemicals, Chapter 9.2.3.7	Chemicals will be removed and stored properly.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 10 There are containers of hazardous chemicals improperly stored in the following rooms. - 546 - 544 - 474 - 646 NFPA 1, Fire Code, Chapter 34.4.1.1	Chemicals will be stored properly.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 11 There are unsecured gas cylinders in room 554. NFPA 1, Fire Code, Chapter 63.3.1.8.4	All cylinders will be secured properly.	NA	12/23/2016	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 12 Electrical junction boxes in following rooms are missing the protective covers. - 3M3 - 4M2 - 4M3 - 474 - 8M1 NFPA 1, Fire Code, Chapter 11.1.10	Protective covers will be replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 13 The interior exit stairwell B lacks the required enclosed rated construction. NFPA 1, Fire Code, Chapters 14.6.1.1 and 14.6.1.2	Consultation for appropriate corrective action will need to occur.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 14 The interior exit stairwell A lacks the required enclosed rated construction. NFPA 1, Fire Code, Chapters 14.6.1.1 and 14.6.1.2	Consultation for appropriate corrective action will need to occur.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 1 The fire alarm system is a new installation, the control panel lacks a white installation label and the blue inspection tag is not properly filled out. NFPA 1, Fire Code, Chapter 4.6.12.1; and Title 28 Texas Department of Insurance Chapter 34 State Fire Marshal Subchapter "F" Fire Alarm Rules, Chapters 34.620 and 34.622	Labels and tags will be installed.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 2 Room 126 computer area has extension cords used as a replacement for permanent wiring to power the computers. NFPA 1, Fire Code, Chapter 11.1.7.6	Electrical outlets or appropriate wiring will be installed.	NA	NA	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 3 Room 126K is missing the cover plate for the light switch. NFPA 1, Fire Code, Chapter 11.1.10	Cover plate will be replaced.	NA	1/31/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 4 There are unsealed penetrations in the following rooms. - 4ME2 - 32ME2 - 3ME1 - 1E1 NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	11/27/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 5 A sprinkler head in room 114A is missing the escutcheon. NFPA 1, Fire Code, Chapter 4.5.8.1	Sprinkler head will be repaired.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 6 Room 4ME2 has an unused opening in electrical panel L4A. NFPA 1, Fire Code, Chapter 11.1.2 and NFPA 70 National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 7 The basement high voltage room is used for storage, NFPA 1, Fire Code, Chapter 10.19.5.1	Storage will be removed.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 8 Sprinkler piping in the following areas have wires attached to the pipe. - Basement electrical supply room - Basement fresh air chase NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing And Maintenance of Water-Based Fire Protection Systems, Chapter 5.2.2.2	All items suspended from sprinkler piping will be removed.	NA	NA	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 9 The Fire Department Connection (FDC) is blocked by vegetation. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4 and 13.1.4.1	A clear path will be created to the FDC.	NA	12/23/2016	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 10 In the Kiva Lounge area the flexible electrical power cords for the food warming equipment is run across the floor and is subject to physical damage. NFPA 1, Fire Code, Chapter 11.1.7.5	Wiring will be routed in a way that protects them.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 11 (Noted on 2011 inspection report) There is a lack of the required fire rated separation in the basement area where the building connects to the RES building. NFPA 1, Fire Code, Chapter 10.1.2; and NFPA 101, Life Safety Code, Chapter 8.2.1.3	A fire separation will be installed. (Note this is on the 1st floor, not the basement).	NA	4/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	East Parking Garage The East Parking Garage is a three-story structure classified as an existing storage occupancy. Features of fire protection include a dry stand pipe system, a fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the stairwells.	NA	VIOLATION 1 The fire department standpipe connections are obstructed by vehicles on all levels of the parking garage. NFPA 1, Fire Code, Chapter 13.1.4.1	Standpipe connections will be routed so they are not obstructed.	NA	3/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	St. Emillion Restaurant The St. Emillion Restaurant is a two-story structure classified as an existing assembly occupancy. Features of fire protection include a UL300 wet chemical fire suppression system, single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 An electric deep fryer unit is not contained within the hood and is not protected by the hood fire suppression system. Additionally the unit does not shut down upon activation of the suppression system. NFPA, Fire Code, Chapters 50.1.1, 50.4.3.2, 50.4.4.3, 50.4.4.3.1, 50.4.6.1; and NFPA 96 Standard for Ventilation Control and Fire Protection of Commercial Cooking Equipment, Chapter 10.1.2	Equipment will be removed.	NA	11/1/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	St. Emillion Restaurant The St. Emillion Restaurant is a two-story structure classified as an existing assembly occupancy. Features of fire protection include a UL300 wet chemical fire suppression system, single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The dining room electrical outlet is missing the protective cover plate. NFPA 1, Fire Code, Chapter 11.1.10	The electrical plate will be replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	St. Emillion Restaurant The St. Emillion Restaurant is a two-story structure classified as an existing assembly occupancy. Features of fire protection include a UL300 wet chemical fire suppression system, single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 Extension cords are used as a substitute for permanent wiring in the kitchen area. NFPA, Fire Code, Chapter 11.1.7.6	Extension cords will be removed.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 1 There are interconnected power strips in room 101. NFPA 1, Fire Code, Chapter 11.1.6.2	Power strips will only be plugged into wall outlets.	NA	12/31/2016	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 2 The side exit door will not open, it appears to be painted shut. The forces required to open the door by manual means shall not exceed 15 lbf to release the latch, 30 lbf to set the door in motion, and 15 lbf to open the door to the minimum required width. These forces shall be applied at the latch stile. NFPA 1, Fire Code, Chapter 14.5.1.5.1	Door will be repaired to open easily.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 3 The garage located under the house is used for storage of combustible materials and lacks a fire rated separation from the first floor. The room ceiling is exposed wood floor joists and exposed wood flooring. NFPA 1, Fire Code, Chapter 10.19.6; and NFPA 101, Life Safety Code, Chapter 8.7.1.1	Combustible materials will be removed.	NA	3/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 1 The Kitchen UL300 suppression system lacks a current inspection tag. The last inspection was conducted in February 2015. NFPA1, Fire Code, Chapter 4.5.8.1	Kitchen suppression system will either be inspected properly or kitchen will be removed.	NA	4/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 2 The class K portable fire extinguisher is missing from its mounting location. NFPA1, Fire Code, Chapter 4.5.8.1	Fire extinguisher will be mounted properly.	NA	3/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 3 In room 3 the center cubical has interconnected power strips. NFPA 1, Fire Code, Chapter 11.1.6.2	Power strips will only be plugged into wall outlets.	NA	11/2/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 4 Access to the manual fire alarm pull stations are blocked by photocopy machines in the following locations. - Room 2 (Room 2 Corrected at the time of the inspection) - Room 5 NFPA 1, Fire Code, Chapter 13.7.1.4.8.7 Note: Since the building is temporarily used as office space additional outlets were required and have been installed by a licensed electrician. The temporary wiring is slated to be removed by March 31, 2017.	Copy machines will be relocated.	NA	12/7/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Sleep Lab (3632 Modlin Street) The Sleep Lab is a two-story structure classified as an existing business occupancy. Features of fire protection include battery operated single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs emergency lighting.	NA	VIOLATION 1 In room 106 an electrical outlet is missing the protective cover plate. NFPA 1, Fire Code, Chapter 11.1.10	Outlet cover plate will be replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Sleep Lab (3632 Modlin Street) The Sleep Lab is a two-story structure classified as an existing business occupancy. Features of fire protection include battery operated single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs emergency lighting.	NA	VIOLATION 2 The fire doors separating the egress stairwell exit enclosure from the first floor are propped in the open position. NFPA 1, Fire Code, Chapter 12.4.6.3.2	Doors will be closed and occupants trained to keep doors closed.	NA	12/9/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Police Services and Parking Garage (3600 Mattison Ave) The Police Services and Parking Garage building consists of a four-story open parking structure and a single story police building. The building is classified as a mixed occupancy consisting of existing business and existing storage. Features of fire protection in the parking garage are limited to a standpipe system. Illuminated exit signs and emergency lighting are provided in the stairwells. The Police building has a fire sprinkler system, fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lights.	NA	VIOLATION 1 The parking garage lacks portable fire extinguishers. NFPA 1, Fire Code, Chapter 13.6.2	Extinguishers will be installed throughout the building.	NA	3/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Police Services and Parking Garage (3600 Mattison Ave) The Police Services and Parking Garage building consists of a four-story open parking structure and a single story police building. The building is classified as a mixed occupancy consisting of existing business and existing storage. Features of fire protection in the parking garage are limited to a standpipe system. Illuminated exit signs and emergency lighting are provided in the stairwells. The Police building has a fire sprinkler system, fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lights.	NA	VIOLATION 2 The Police Department report writing room has an extension cord connected to a power strip. NFPA 1, Fire Code, Chapter 11.1.6.2	Extension cord will be removed and power strip connected to a wall outlet.	NA	1/31/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 1 There are unsealed penetrations in the following rooms. - 6E2 - 6StairA - 5CM1 - 4CM1 - 3StairB - C3M1 - 2E1 - 2CM1 - 2E2 - 2ST1 - 1S T1 - 1CM1 - 1E1 - 3E1 - 4E1 - 5E1 - 6E1 NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	NA	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 2 There are unused openings in the electrical panels in the following rooms. - 6E2 - 5E1 - Riser room - Penthouse air handler NFPA 1, Fire Code, Chapter 11.1.2; NFPA 70, National Electrical Code, Article 408.7	All panel openings will have covers replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 3 There are appliances that are plugged into a surge protector rather than directly into the wall outlet in the following rooms. - 614 - 591 - 594 - 495 - 311 cubicle NFPA 1, Fire Code, Chapter 10.1.7	All appliances will be plugged directly into wall outlets. Outlets will be installed if necessary.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 4 There are sprinkler escutcheons missing or damaged in the following locations. - Room 621 - Room 201 - First floor parking garage NFPA 1, Fire Code, Chapter 4.5.8.1	Sprinkler equipment will be repaired or replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 5 The exit sign on the 6th floor, near the stair is not illuminated. NFPA 1, Fire Code, Chapter 4.5.8.1	The exit sign will be repaired or replaced.	NA	1/31/2017	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 6 Surge protectors are daisy chained in the following locations. - 5th floor main lobby - Hallway near room 594 - 311 cubicle NFPA 1, Fire Code, Chapter 11.1.6.2	All surge protectors will be plugged directly into wall outlets.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 7 The fire door near room 523 is damaged. NFPA 1, Fire Code, Chapter 12.4.6.9.2	The fire doors will be repaired or removed if it is determined they are no longer necessary.	NA	4/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 8 The fire door near room 451 is obstructed by the carpet and will not close properly. NFPA 1, Fire Code, Chapter 4.5.8.1	The fire doors will be repaired or removed if it is determined they are no longer necessary.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 9 The fire door near room 584 requires more than 15 pounds to open. The forces required to open the door by manual means shall not exceed 15 lbf to release the latch, 30 lbf to set the door in motion, and 15 lbf to open the door to the minimum required width. These forces shall be applied at the latch stile. NFPA 1, Fire Code, Chapter 14.5.1.5.1	The fire doors will be repaired or removed if it is determined they are no longer necessary.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 10 The Fire Department Connection (FDC) is obstructed at the front of the building. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4; and 13.1.4.1	A clear path will be created to the FDC.	NA	12/31/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 11 The junction box in the penthouse air handler room is missing the cover. NFPA 1, Fire Code, Chapter 11.1.10	Junction box cover will be replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 12 The sprinkler heads in the following locations have been altered or were inappropriately installed and will not function properly when activated. - 5th floor north lobby - Hall near room 594 NFPA 1, Fire Code, Chapter 4.5.8.1	Sprinkler equipment will be repaired or replaced.	NA	2/28/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Student Services Building (1002 Montgomery) The Student Services Building is a two-story structure classified as an existing business occupancy. Features of fire protection include a fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 There is an unsealed penetration in IT room 2E2. NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	12/31/2016	Open

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 1 An extension cord is used as a replacement for permanent wiring at the second floor reception desk. NFPA 1, Fire Code, Chapter 11.1.7.6	The extension cord will be removed.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 2 The group exercise room rear exit is partly blocked by a rack for free weights. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Weight rack will be relocated.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 3 The landing outside the cardio room east exit door has a piece of rebar sticking out of the concrete creating a tripping hazard. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Rebar will be removed.	NA	12/23/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 4 Room 203 door is equipped with a key lock and if locked occupants do not have access to the secondary exit from the second floor. NFPA 1, Fire Code, Chapters 14.5.2.1 and 14.5.2.3	Door hardware will be replaced to prevent anyone from being locked in the room.	NA	3/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	7th Street Strip The 7th Street Strip Building is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station smoke detectors. The building is equipped with illuminated exit signs emergency lighting. Note: At the time of the inspection only unit 3609 was occupied the other sections of the building are undergoing renovations. UNIT 3609 Eric Wear DDS Office	NA	VIOLATION 1 In the corridor closet O2 bottles are stored with an artificial Christmas tree. NFPA 1, Fire Code, Chapter 4.1.3.3.2.1	Christmas tree will be removed.	NA	12/31/2016	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	3633 W. 7th Street - Professional and Continuing Education The 3633 W. 7th Street building is a one-story structure classified as an existing business occupancy. Features of fire protection include a fire alarm system with smoke detection and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 1 The fire alarm system lacks a current inspection label. The last inspection was conducted in July 2015. NFPA 1, Fire Code, Chapter 4.5.8.1	Inspection tags will be properly installed.	NA	12/5/2016	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	FEB/General Services Building The FEB/General Services Building is a one-story structure classified as an existing business occupancy. Features of fire protection include a complete fire alarm system, full fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The installation label is missing on the fire alarm panel. NFPA 1, Fire Code, Chapter 4.5.8.1	Labels will be properly installed.	NA	12/5/2016	Closed

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External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	FEB/General Services Building The FEB/General Services Building is a one-story structure classified as an existing business occupancy. Features of fire protection include a complete fire alarm system, full fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 There are combustible materials stored around the gas water heater in room 1J1. NFPA 1, Fire Code, Chapter 10.19.5.	Combustible materials will be removed.	NA	3/1/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	SEM Building The SEM Building is a one-story structure classified as an existing business occupancy and used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The east exterior exit door by room 139 is a marked exit with an illuminated exit sign but has a sign on the door stating not an exit. (Corrected at the time of the inspection) NFPA 1, Fire Code, Chapter 4.5.8.1	Corrected.	NA	NA	Closed
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The exit signs throughout the building are not illuminated. NFPA 1, Fire Code, Chapter 4.5.8.1	Exit signs will be repaired or replaced.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The junction box in the room 1M1 is missing the cover. NFPA 1, Fire Code, Chapter 11.1.10	Junction box cover will be installed.	NA	1/31/2017	Open
External	State Fire Marshal's Office (SFMO)	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 There are missing ceiling tiles in room 137. NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-01 Safety: Fire Safety: Portable Fire Extinguishers (Frisco Campus) During this RMPR, SORM noted that the portable fire extinguishers on the Frisco Campus lacked an indication that they are being inspected monthly, as required by the Life Safety Code.	NA	SORM recommends that UNT communicate with the building owner/maintenance personnel to ensure that these inspections are occurring, as required. Inspections must be documented either on each extinguisher's tag or in a separate database or log. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.3.5, 9.9; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 7.2.1.2, 7.2.1.2.1, 7.2.2	UNT will communicate with building owner to ensure that those inspections are occurring.	Shauna Barbato, Assistant Director	1/27/2017	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-02 Safety: Emergency Preparedness: Shelter-in-Place Drill (Frisco Campus) During this RMPR, SORM noted that a shelter-in-place drill had not yet been conducted for this location.	NA	SORM recommends that UNT conduct a drill for this location to include the students to the degree that this is feasible. Identifying the occupancy of specific locations for a shelter in place event prior to an event is good risk management practice and can help improve the current plan in place. Reference: SORM, RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.5	UNT will conduct shelter-in-place drills before the end of the spring semester.	Shauna Barbato, Assistant Director	4/30/2017	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-03 Safety: Fire Safety: Combustible Materials Storage (Frisco Campus) During this RMPR, SORM noted that there were combustible materials such as cardboard boxes and filters being stored beneath an emergency egress stairwell.	NA	SORM recommends that UNT work with the landlord to remove these combustible materials from this area, in accordance with the Fire Code, as referenced below. Reference: NFPA-1 (2015), "Fire Code," Chapter 10.19.4	All combustible materials have been removed.	Shauna Barbato, Assistant Director	12/16/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-04 Safety: Hazard Communication: Safety Data Sheets and Eyewash Station (Pohl Recreation Center (Denton Campus)) During this RMPR, SORM noted that in room #39, the "pool room" in the Pohl Recreation Center, there were hazardous chemicals being stored and utilized relative to the maintenance of the swimming pools. However, the Material Safety Data Sheets were not current and no eyewash station was present even though the MSDSs for these chemicals indicated the need for an eyewash station.	NA	SORM recommends that the university install an eyewash station in this room and ensure that all the chemicals have their current Safety Data Sheets from the manufacturer or distributor, as required by federal law. References: OSHA, 29 CFR 1910.1200, "Hazard Communication;" OSHA, 29 CFR 1910.151 (c); ANSI/ISEA z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	UNT will install an eyewash station and update the SDS sheets.	Scott Dunkle, Program Director for Environmental Risk	2/28/2017	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-05 Safety: Hazard Communication: Safety Data Sheets and Eyewash Solution (Union Building (Denton Campus)) During this RMPR, SORM noted that in Paint Room #121 in the Union Building, paints and other hazardous chemicals were being stored. However, there were no Safety Data Sheets present for these chemicals. In addition, it was noted that the room is utilized by various student groups, and there is a procedure for signing up to access the room for various projects. There is an eyewash station within walking distance of the room itself.	NA	SORM recommends that the university maintain SDS's for all chemical substances in the room, and ensure that any groups using the room temporarily possess and follow the instructions of the SDS's for the hazardous substances they will be using. The university should measure the distance from the room to the eyewash station, and if it is less than 10-seconds walking-distance (as per the language in the ANSI standard), the university should install a portable, auxiliary eyewash bottle in the room to assist the injured person while moving to the eyewash station. If the eyewash station is further away than this, then a plumbed or self-contained eyewash station should be installed in the room, in accordance with the ANSI standard referenced below. References: OSHA, 29 CFR 1910.1200, "Hazard Communication;" OSHA, 29 CFR 1910.151 (c); ANSI/ISEA z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	UNT will install a mobile eyewash station and add SDS sheets for any hazardous materials.	Scott Dunkle, Program Director for Environmental Risk	2/28/2017	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-06 Safety: Fire Safety: Avesta Kitchen (Union Building (Denton Campus)) During this RMPR, SORM noted that in the "Avesta" kitchen in the Union Building several metal caps were hanging from the fire-suppression nozzle heads, and some nozzles were missing their "O-rings." This indicates a level of grease accumulation that will prevent the fire suppression system from operating as intended during a fire. Additionally, it was noted that the manual activation ("pull") stations were not marked, as required by the Fire Code.	NA	SORM recommends that the university mark the pull stations to indicate which part of the system each one controls, and establish a cleaning schedule for the nozzle heads such that grease does not accumulate in them in significant amounts. References: NFPA-1 (2015), "Fire Code," Chapters 50.4, 50.4.7.1, 50.5.6, 50.5.6.1, 50.5.6.3	O-rings will be replaced on fire-suppression nozzles and all metal caps will be inspected to ensure nozzles are positioned correctly. A cleaning schedule will be established to ensure the fire-suppression nozzle heads do not accumulate a significant amount of grease. The manual activation ("pull") stations will be marked to indicate which part of the system each one controls.	Vickie Coffey, Health and Food Safety Officer	2/28/2017	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-01 Safety: Fall Protection: Ladder Cage SORM noted during the consultation that the metal ladder secured to the wall beneath the grating in the sidewalk between the RES Building and the Library leading down to the transformer pit was missing a required cage.		17-10-01 Safety: Fall Protection: Ladder Cage SORM recommends that the university install an OSHA-compliant cage to this ladder, as per the standard referenced below. Reference: OSHA, 29 CFR 1910.127 and 1910.127(d)(1)(ii)	NA	Matthew Moncus, Director for the Safety Office	3/31/2017	Open
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-02 Safety: Electrical Safety: Open Junction Boxes (EAD Building, Rooms 3M4, 5M3) SORM noted during the consultation that junction boxes in rooms 3M4 and 5M3 in the EAD Building contained uncovered ("open") junction boxes.		17-10-02 Safety: Electrical Safety: Open Junction Boxes (EAD Building, Rooms 3M4, 5M3) SORM recommends that the university cover these junction boxes as required by the National Electrical Code, referenced below. Reference: NFPA-70 (2017), "National Electrical Code," Chapter 3, Article 314.28 C	The electricians are checking all junction boxes for covers.	Matthew Moncus, Director for the Safety Office	12/8/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-03 Safety: Electrical Safety: Electrical Panelboards (EAD Building, room 6M5) SORM noted during the consultation that in room 6M5 of the EAD Building, some of the circuit breakers appeared to be warmer than normal and the circuit breakers were not labeled to indicate what they controlled. These panelboards were: 6LN1, 6LN2, 6LN4, 6LN8, and 6LN9. Of specific concern were circuit breakers 14, 16, and 18 in these panelboards.		17-10-03 Safety: Electrical Safety: Electrical Panelboards (EAD Building, room 6M5) SORM recommends that the university determine (either via maintenance staff or with the contracted vendor(s)) what each circuit breaker controls and label it as such on the panelboard manifest, as required by the below-referenced National Electrical Code. Reference: NFPA-70 (2017), "National Electrical Code," Chapter 4, Article 408.4 A	The electricians are evaluating the loads of each of these panelboards and labeling them appropriately.	Matthew Moncus, Director for the Safety Office	1/31/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-04 Safety: Fire Safety: Combustible Materials in Mechanical Rooms (EAD Building, room 8M6) SORM noted during the consultation that in mechanical room 8M6 of the EAD Building, the university was storing combustible materials.		17-10-04 Safety: Fire Safety: Combustible Materials in Mechanical Rooms (EAD Building, room 8M6) SORM recommends that the university ensure that no combustible materials are stored in mechanical rooms, except for materials and supplies for the operation and maintenance of the equipment in the room, as per the below-referenced Fire Code. Reference: NFPA-1 (2015), "Fire Code," Chapters 10.18.5.1 and 10.18.5.2	Materials have already been removed.	Matthew Moncus, Director for the Safety Office	12/2/2016	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-05 Safety: Fire Safety: Electrical Panelboard Cleaning (PCC Building, room 1E1) SORM noted during the consultation that in the Patient Care Center (PCC Building), room 1E1, there is a significant accumulation of dust, including within the electrical panelboards located in this room.		17-10-05 Safety: Fire Safety: Electrical Panelboard Cleaning (PCC Building, room 1E1) SORM recommends that the university establish a cleaning schedule for this room and these electrical panelboards such that dust does not accumulate to a significant degree, as required by the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.303(b)(1)	Cleaning will be included as a part of regular maintenance on the panelboards.	Matthew Moncus, Director for the Safety Office	1/31/2017	Open
External	Tarrant County	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Fiscal Monitoring Review	UNTHSC	Tarrant County reviewed all expenditures for May-June 2016. No findings or recommendations.	NA	None	None	NA	NA	NA
External	Health Resources and Services Administration (HRSA)	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Fiscal Program Monitoring Review	UNTHSC	The primary scope of this on-site visit was to review program objectives and progress. OGCM met with HRSA for 30 minutes making introductions and providing a brief overview of organization and processes.	NA	None	None	NA	NA	NA
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The corridor fire doors by room 266 B do not close and latch properly. NFPA 1, Fire Code, Chapter 12.4.6.9.2(6) and (8)	UNT will repair doors to latch properly.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Room 355 Security closet - Apartment 280 Hole in ceiling by entrance door - Room 412 unsealed and improperly sealed mineral wool not secured in place by fire caulking. NFPA 1, Fire Code, Chapter 12.7.5.1 and 12.3.3.1	UNT will properly seal penetrations.	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Multipurpose room 270 A/B has an occupant load in excess of 49 people and lacks the required exit signs. NFPA 1, Fire Code, Chapters 20.1.4.7.1 and 14.14.1.1	UNT will install exit signs	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumely Hall Crumely Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 There is a dead end corridor on both the second and third floors that exceed the allowable distance of 50 feet. The corridors measured 64 feet long. On the second floor rooms 228 and 229 cannot be normally occupied. The third floor rooms 328 and 329 cannot be normally occupied due to the excessive dead-end corridor distance. Note: Rooms no longer being used. NOTE: The violation was noted several inspection cycles ago by the SFMO and the university was instructed at that time they were not to use these rooms. During this inspection it was observed the rooms were again being used. The Housing Staff stated the Risk Management Department told them since the building was retro fitted with a fire sprinkler system the rooms could now be used. THE SFMO instructed the university the rooms cannot be used, the code does not allow dead end corridors to exceed 50 feet in unsprinklered or sprinklered buildings. The university was ordered to lock the rooms and post signs the rooms are not to be occupied by order of the State Fire Marshal's Office. NFPA 1, Fire Code, Chapter 14.10.1.5; and NFPA 101, Life Safety Code, Chapter 29.2.5.5	Completed. Rooms are no longer being used.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumely Hall Crumely Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The stairwells have HVAC vent ducts penetrating the exit enclosure in approximately 12 locations. NFPA 1, Fire Code, Chapter 14.3.1(10)	Completed. Vents are closed.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumely Hall Crumely Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Paneling is applied to the walls located in the first floor business office corridor that does not meet class A or B interior finish requirements. NFPA 1, Fire Code, Chapter 20.13.3.2.1	UNT will replace paneling.	NA	4/3/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumely Hall Crumely Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The First floor A/C 3 room has an unsealed floor penetration. NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumely Hall Crumely Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The door separating the business occupancy from the dormitory occupancy lacks a fire rating. Provide documentation this door is not located in a fire wall. NFPA 1, Fire Code 6.1.14.4.1(a)	UNT will provide documentation.	NA	8/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumely Hall Crumely Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 The stairwell fire door on the third floor center stairwell has a continuous hinge and does not have UL listing information on hinge NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UNT will label the hinge.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumely Hall Crumely Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 The emergency egress floor plans are incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Fire doors in the following locations are damaged or missing parts. - B wing third floor stairwell door holes in door - B wing third floor broken wired glass panel - B wing second floor holes in door - Corridor fire door by room 146 missing latch plate and holes in door from old door hinge mount - B wing first floor holes in door and vent cut in door NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1) (4)	UNT will repair doors and/or replace missing parts.	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 HVAC vents for the building system are located in the stairwells. (6 stairwells x 3 floors) NFPA 1, Fire Code, Chapter 14.3.1 (10) (d)	Completed. All vents have been sealed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Unsealed or improperly sealed penetrations are present in the following locations. - C wing south stairwell unsealed penetration conduit for smoke detector - Custodial closet A wing - Corridor by room 379 hole in ceiling - Mechanical room A/C 7 improper material used to seal penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The First floor corridor fire door by mechanical room A/C 3 has a ventilation grate cut in the bottom half of the door. The door is no longer a UL listed fire door assembly. Additionally the door is missing the door latch cover plate. NFPA 1, Fire Code, Chapters 12.4.6.9.1 and 12.4.6.9.2(10) (4)	UNT will replace door.	NA	8/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The emergency egress floor plans are incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Unsealed or improperly sealed penetrations are present in the following locations. - Room A743 Several unsealed penetrations - Room A763A Several unsealed penetrations - Mechanical room 643A Several unsealed penetrations - Mechanical room 641A Unsealed sprinkler pipe and - Electrical room next to 641A floor conduit sealed with non-fire rated yellow spray foam used - Room 631A Floor penetrations - Mechanical room 563A non-fire rated yellow spray foam used - Mechanical room 543A non-fire rated yellow spray foam used - Room 541A non-fire rated yellow spray foam used - Room 531A Several unsealed penetrations - Mechanical room 505A non-fire rated yellow spray foam used - Room 507A Floor conduit unsealed - Room 463A non-fire rated yellow spray foam used - Mechanical room 443A non-fire rated yellow spray foam used - Electrical room next to 441A non-fire rated yellow spray foam used - Room 405A non-fire rated yellow spray foam used - Room 363A non-fire rated yellow spray foam used and	UNT will seal penetrations.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 The corridor sprinkler head by room 236A is missing the escutcheon. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will order new escutcheons, may have to replace sprinkler heads if escutcheons cannot be located due to sprinkler head age	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The cafeteria has a posted occupant load of 203 people. The main entrance doors have keyed deadbolts with thumb latches. Doors serving occupant loads of 100 or more shall be supplied with panic hardware or fire exit hardware only. NFPA 1, Fire Code, Chapter 14.5.3.4.2	UNT will install panic hardware.	NA	4/3/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The kitchen flame broiled grill is on wheels and lacks an approved method to insure the appliance is in the approved design location. NFPA 1, Fire Code, Chapter 50.6.1.2.3.1	Seal tech will install stops to position the equipment.	NA	4/3/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 Pizza conveyer type oven is open and produces grease laden vapors and is not protected by the UL-300 Wet chemical system. NFPA 1, Fire Code, Chapter 50.4.3.2	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 The pizza conveyer oven is not located under the vent a hood as required. NFPA 1, Fire Code, Chapter 50.2.1.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 8 The storage room located next to the boiler room off the loading is not protected by the building fire sprinkler system. NFPA 1, Fire Code, Chapter 13.3.1.2 and 13.3.2.26.2	UNT will add sprinkler coverage.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 9 The sprinkler system hydraulic calculation plate is unreadable. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will have the plate re-made.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Sprinkler heads are missing the escutcheons in the following locations. - Room 801B - Laundry room 719B two heads NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will order new escutcheons, may have to replace sprinkler heads if escutcheons cannot be located due to sprinkler head age.	NA	3/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Mechanical room 522B non fire rated yellow spray foam used - Mechanical room 402B non fire rated yellow spray foam used - Storage room 301B hole in ceiling NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Both stairwells discharge into the building interior on the first floor. Not less than fifty percent of the exits shall discharge directly to the exterior of the building. NFPA 1, Fire Code, Chapter 14.11.2(1)	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The following corridors have fiberglass reinforced plastic (FRP) ceiling panels installed in the drop ceiling grids. Documentation was not available at the time of the inspection that FRP ceiling tiles meet class A or B interior finish requirements for use in corridors. - F wing second floor - B wing first floor - B wing second floor - C wing second floor - C wing first floor - A wing second floor - D wing first floor - D wing second floor - D wing third floor NFPA 1, Fire Code, Chapter 20.8.3.3(2)	FRP will be replaced w/acoustical ceiling tile	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - FC-2 Mechanical room non rated yellow spray foam - F220 IT room 4 inch conduit floor and ceiling - E226 IT room 4 inch conduit floor and ceiling - A/C H8 room F321 floor non rated yellow spray foam NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	4/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Stairwell fire rated doors at the following locations have holes in the door. - Stairwell C third floor - Stairwell D second floor NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1)	UNT will seal hole in doors.	NA	4/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 Mechanical room B132 has an extension cord wired into the HVAC controller to supply power to the unit. NFPA 1, Fire Code, Chapter 11.1.2	UNT will replace extension cord with a permanent solution.	NA	4/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The corridor fire door by room C123 has a ventilation grate installed in the bottom of the door. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(10)	UNT will replace door.	NA	4/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 Stairwell signage is missing in the following locations. Stairwell signs are not required by code in this existing building however since signs have been installed they must be maintained. - D corridor south third floor - F wing west stairwell third floor - A wing west stairwell third floor - A wing south stairwell second floor - F wing west second floor - B wing south stairwell second floor - E wing corridor across from room 201 - D wing south stairwell first floor NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will replace signs.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The center stairwell first floor has an unsealed penetration around the security camera wire. NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal the penetration.	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Fire extinguishers in the following locations lack a current annual inspection tag. - Storage room 2162 last inspection January 2008 - Laundry room 1116 last inspection July 2009 - Room 3207 last inspection June 2013 - Storage room 3280 last inspection September 2014 - IT room 2250 no inspection tag on extinguisher, year of manufacture 2004 - Communications room 2210 last inspection June 2010 - IT room located off mechanical room 2280 no inspection tag on extinguisher, year of manufacture 2004 NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. All extinguishers have been removed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The fire alarm control panel is displaying the following trouble signals. <input type="checkbox"/> Missing detector <input type="checkbox"/> Pre-alarmFl #1 elevator <input type="checkbox"/> Mechanical room 1176 NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. UNT replaced detector and reset panel.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 The corridor travel distances between fire alarm pull stations exceeds the maximum 200 feet travel distance between pull stations. Corridor distance was measured to be 366 feet. NFPA 1, Fire Code, Chapter 13.7.1.4.8.5	Completed. UNT installed pull station.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 Unsealed or improperly sealed penetrations are present in the following locations. - Fire pump room unsealed penetrations - Custodial closet room 4116 unsealed penetrations - Storage room 4152 unsealed penetrations - Custodial closet room 44176 unsealed penetrations - IT room 2114 unsealed penetrations - IT room 2116 unsealed penetrations - IT room 2152 unsealed penetrations - IT room 2162 unsealed penetrations - Storage room 3212 unsealed penetrations - Laundry room 1116 unapproved yellow spray foam - Housing security room off mechanical room 2280 unsealed penetrations - Room 2250 unsealed penetrations - Room 2248 unsealed penetrations - Room 2212 unsealed penetrations - Room 2210 unsealed penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 Covers are missing off electric door controller panels and splice boxes for the exhaust controls in mechanical room 2280. NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace covers.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 Housing security room located off mechanical room 2280 has a power strip plugged into a UPS. NFPA 1, Fire Code, Chapter 11.1.6.2	UNT will develop a permanent solution.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 8 In room 2250 an extension cord is used to power a UPS unit. NFPA 1, Fire Code, Chapter 11.1.7.6	UNT will develop a permanent solution.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 9 The first floor elevator lobby fire doors lack vertical bottom rods and floor latching points or fire pins. (4 sets) NFPA 1, Fire Code, Chapter 12.4.1; and NFPA 80 Standard for Fire Doors and Other Opening Protectives, Chapter 4.6.3.1	UNT will replace vertical bottom rods and add floor latching points.	NA	3/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 10 Mechanical room 2280 has storage of materials not related to mechanical equipment operation. These items include but not limited to mop buckets, mops, paint, furniture, ceiling tiles. NFPA 1, Fire Code, Chapter 10.19.5.1	UNT will remove those materials.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The penthouse attic area lacks sprinkler protection and is used for storage of combustible material. NFPA 1, Fire Code, Chapters 13.3.2.16.2 and 10.19.6	UNT will remove combustible material.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 The third floor elevator lobby doors do not latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(8)	UNT will adjust closure.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - IT closet 324, 377 277,224, 124 4 inch conduits not sealed - Room 373 ceiling penetrations - Room H205 4 inch conduit not sealed - Six electrical rooms throughout the building 3/4 inch conduit not sealed NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 3 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 4 The third floor stairwell 3.2 panic bar lacks a label indicating the bar is UL listed fire exit hardware. NFPA 1, Fire Code, Chapter 14.5.3.4.2	UNT will install fire rated device.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 5 Stairwells are missing the stairwell identification signs in the following locations. - Stairwell 2.5 - Center stairwell first floor NFPA 1, Fire Code, Chapter 10.12.3.	UNT will add signage.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 6 In room 149 a new drop ceiling has been installed. The sprinkler heads have not been relocated below the new ceiling. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will move sprinkler head into new ceiling.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 7 Elevator lobby fire doors are on electronic hold open devices and lack the required smoke detectors within five feet of the doors. NFPA 1, Fire Code, Chapter 14.5.4.1(3)	Completed. UNT installed smoke detectors.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 1 The three fire sprinkler risers are yellow tagged since December 2015. Tags state gauges, not replaced or 5 year calibration". NFPA 1, Fire Code, Chapter 13.3.3.2	Completed. UNT replaced gauges.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Telephone room unsealed ceiling and floor penetrations - Cable TV room unsealed ceiling and floor penetrations - Room ST3H - Corridor outside room 222 - Room A/C2A - Main electrical room first floor above main switch gear not properly sealed unapproved material NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 3 Emergency lights failed to operate when tested in the following locations. - Stairwell B third floor - Corridor by room 203 NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair or replace emergency lights.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 4 Sprinkler heads are missing escutcheons in the following areas. - Stairwell A third floor - Room ST3H NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will reinstall escutcheon.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 5 Fire doors in stairwell B on the first floor lack a UL listed fire rating label or label from another recognized testing lab. NFPA 1, Fire Code, Chapter 12.7.3.2.2	Install fire rated hardware	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 6 Mechanical room and custodial closet are located off stairwell normally unoccupied spaces shall not enter into an exit enclosure. The mechanical room requires a one hour rated fire door separation from the exit enclosure NFPA 1, Fire Code, Chapter 14.3.1. (9) (10) and 14.3.1.9 (C)	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 7 Storage located by room 227 has a single cylinder dead bolt lock installed with the key side located inside the room and a thumb latch on the exterior side. Occupants can be locked inside the room. NFPA 1, Fire Code, Chapters 4.4.3.1.2, 14.5.2.1 and 14.5.2.3	UNT will reverse door hardware.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 8 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 The emergency egress floor plan diagram signs are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 The sprinkler system hydraulic calculation place is missing from the riser. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will have hydraulic plates redone and installed.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 3 The penthouse area lacks sprinkler system coverage and is used for combustible storage. NFPA 1, Fire Code, Chapters 13.3.2.16.2 and 10.19.5.1	UNT will remove combustible storage.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 1 The South East side of the building exterior walkway has dead ends on the second and third floor in excess of the allowed 20 foot maximum allowed. (2014 Violation) NFPA 1, Fire Code, Chapter 14.10.3.4; and NFPA 101, Life Safety Code, Chapters 31.2.5.1, 31.2.4.1, 7.5.3.3 and 7.5.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 2 The mechanical chase areas have unsealed or improperly sealed penetrations. (2014 Violation) NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 3 The emergency light failed to operate when tested in the Computing Center by main entrance. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair or replace emergency light.	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 4 The building lacks exterior emergency lighting for second floor egress. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapters 31.2.9 and 7.9	UNT will add exterior lighting and exits signage.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 5 The fire alarm control panel is indicating troubles on the system. (Power supply) NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair power supply.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 6 The computing center east exit store front glass doors have curtains installed on the doors making the doors blend in with the store front windows that also have curtains installed. NFPA 1, Fire Code, Chapter 14.4.2.1	Completed. UNT removed curtains.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 7 Documentation was not available at the time of the inspection that the carpet installed on the walls in the computing center has been tested and approved for vertical wall application. Carpet installed on walls or ceilings shall meet class A requirements and in accordance with the requirements of NFPA 1 Fire Code. Manufactures documentation shall be supplied indicating the carpet has been tested in accordance with NFPA 1 approved testing methods and meets or exceeds the code standard. NFPA 1, Fire Code, Chapter 12.5.5.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 1 Sprinkler protection is missing in the following locations. - Kitchen walk in Cooler #2 no sprinkler protection - Fire Pump room no sprinkler protection - RESNET room second floor off mechanical room A/C3 no sprinkler protection - Twelve mechanical rooms lack sprinkler protection under duct work that exceeds 4 feet wide - First floor A/C 1A room incomplete sprinkler coverage NFPA 1, Fire Code, Chapter 13.3.1.2	UNT will add sprinkler protection.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 2 The east, west, north and south stairwells on floors one through three have a chase in the stairwell with cover plates that lack the required 1 hour fire rating. (14 locations) NFPA 1, Fire Code, Chapter 14.3.1(1)	UNT will replace access panels w/ fire rated panels.	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 3 The corridor smoke door by room 612 does not close properly. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will adjust closure.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 4 The stairwells have HVAC vents penetrating the exit enclosure. (18 locations) NFPA 1, Fire Code, Chapter 14.3.1(10)	Completed. UNT sealed vents.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 5 The first floor east stairwell door has holes in the door from a previous hinge. NFPA 1, Fire Code, Chapter 12.4.6.9.2(1) (d)	UNT will seal holes in door or replace door.	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 6 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms.. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 7 Unable to verify that the building is supplied with the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1)	UNT will verify that the building is supplied with emergency lighting.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 8 In the kitchen walk in cooler number 1 spray foam is on the sprinkler head. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will replace sprinkler head fixture.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 9 The kitchen commercial cooking appliances wet chemical suppression system has an enclosed appliance with a discharge nozzle located above it. The cooking appliances have been moved since the original installation and this nozzle no longer covers any open equipment. Upon discharge of the system this nozzle will spray wet chemical on the floor. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 10 The cafeteria emergency exit door threshold is raised approximately four inches above the floor level creating a trip hazard to occupants exiting the building. NFPA 1, Fire Code, Chapter 14.1; and NFPA 101 Life Safety Code, Chapter 7.2.1.3.4	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 11 The main mechanical room has an open electrical splice box. NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace cover.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 Corridor smoke or fire doors in the following locations are held in the open position by electric hold open devices but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. - Double smoke doors by SRID3 NFPA 1, Fire Code, Chapter 14.5.4.2(3)	Completed. UNT added smoke detectors.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Room A/C 7 Unsealed and unapproved yellow spray foam used - Room A/C 9 unapproved yellow spray foam used - Room A/C 6 unapproved yellow spray foam used - Room A/C 5 has an 18"x18" hole in wall covered with plywood and unapproved yellow spray foam used NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 3 Unable to verify building is equipped with the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 29.2.9.1	Completed. UNT added sticker to fixture stating emergency light.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 4 The MAC room lacks emergency lighting. Inspection Number RRO15029B Revised 12/2014 Page 19 of 24 NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 29.2.9.1	Completed. UNT added emergency lighting.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 5 The first floor corridor fire doors have an electronic locking device installed. Documentation was not available to indicate the device is UL listed for use on fire doors. NFPA 1, Fire Code, Chapter 14.5.2.6(6)	Completed. UNT added rating.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 6 The stage lighting wires have a section where the plug has been pulled away from the outer protective sheath exposing the wiring. NFPA 1, Fire Code, Chapter 11.1.2	UNT will replace wiring.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 7 The stand-pipe system lacks an annual inspection tag. NFPA 1, Fire Code, Chapter 13.2.3.3	UNT will inspect stand-pipe system.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 8 The emergency egress floor plan diagram signs are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 9 Room A140A is being used as a wood shop. Saw dust was observed on work benches and the floor. This room is located directly off an assembly space and lacks the required two hour rated construction separation between industrial occupancy and assembly occupancy. Discontinue use of this room as a wood shop or other industrial type occupancy. NFPA 1, Fire Code, Chapter 6.1.14.4.1	AHJ will need to determine outcome.	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 10 In room AC6 permanent wiring has been abandoned in place, it is undetermined if the wiring is live or terminated. NFPA 1, Fire Code, Chapter 11.1.4	UNT will remove wiring.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 11 In McConnell Café the designated exit is marked with signage that states "DO NOT GO THROUGH THIS DOOR". NFPA 1, Fire Code, Chapter 4.5.8.1	Signage to read "Emergency Access Only"	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 12 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 The basement area located under the kitchen has only one means of egress and was formally considered a normally unoccupied space that was used for storage only. Two offices and a large dishwashing unit have been installed in the area. This changed the area use to a normally occupied area since employees now work in the space and a second approved means of egress is now required. (2013 violation) NFPA 1, Fire Code, Chapter 14.9.1.1	In progress, just received final proposal for kitchen basement egress from contractor and are in process of briefing statement and requesting PO.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 Corridor smoke or fire doors in the following locations are held in the open position by electric hold open devices but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. - Corridor smoke door third floor by room A325 - Corridor smoke door by room C221 - Corridor fire door by room A201 - Corridor smoke door by room B205 - Corridor fire door by room B222 - Corridor fire door by room B101 NFPA 1, Fire Code, Chapter 14.5.4.2(3)	Completed. Added smoke detectors.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 3 Fire door assemblies in the following areas lack UL listed fire rating labels or labels from another recognized testing lab. - Fire door and frame fourth floor - Fire door B wing west stairwell third floor - Fire door second floor "B" wing NFPA 1, Fire Code, Chapter 12.7.3.2.2 and 12.7.3.1	UNT will rate doors.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 4 Sprinkler protection is missing in the following locations. - Electrical room D458 - Electrical closet D wing - Sherwood lounge storage closet - Second floor IT closet - Second floor electrical room by dumb waiter - Second floor "B" wing IT room - First floor electrical room A wing - First floor "A" wing electrical room - Second floor "A" wing IT room - Basement music practice room enclosed cubes NFPA 1, Fire Code, Chapter 13.3.1.2	UNT will add sprinkler coverage.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 5 Unsealed or improperly sealed penetrations are present in the following locations. - Room D460 unsealed penetrations - Custodial room across from room 2029 unsealed penetrations - "D" wing electrical closet unsealed penetrations - Storage room by room B310 unsealed penetrations - Room 2073 unsealed and improperly sealed penetrations floor, ceiling and wall - Storage closet across from room C210 unsealed penetrations - "A" wing second floor ice machine room unapproved yellow spray foam - Second floor IT closet unsealed penetrations - "B" wing second floor custodial closet unsealed penetrations - "A" wing second floor laundry room unsealed four inch conduit - Closet across from room A211 unsealed penetrations - Closet across from A110 unsealed penetrations - Custodial closet by room A101 unsealed penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	5/1/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 6 The emergency egress floor plans are missing or incorrect and need to be redone. Inspection Number RRO15029B Revised 12/2014 Page 22 of 24 NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 7 On "A" wing, the third floor corridor lacks an adequate number of emergency lighting units. NFPA 1, Fire Code, Chapter 14.13.1.1; and NFPA 101, Life Safety Code, Chapters 29.2.9.1 and 7.9.2.1	UNT will install additional emergency lighting.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 8 Fire and smoke doors in the following areas do not close properly. - Corridor smoke door by room A325 - Fourth floor stairwell fire door "D" wing - Corridor smoke door by room C301 - Near B222 - Near A201 - Near A121 NFPA 1, Fire Code, Chapter 12.9.4.1, 12.4.6.9.1 and 12.4.6.9.2(6)	UNT will adjust doors.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 9 The fire alarm control panel is displaying system troubles. NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. UNT cleared panel trouble codes.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 10 The kitchen UL 300 wet chemical fire suppression system for the Combi oven and grill is red tagged since December of 2015, the tag states "No electric shutdown". NFPA 1, Fire Code, Chapter 50.4.6.1	Shunt trip added. Contacting Fire Systems for red tag	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 11 The kitchen fryer unit is on wheels and lacks an approved method to determine the unit is in the proper design location. NFPA 1, Fire Code, Chapter 50.6.1.2.3.1	Seal Tech will add stops to designate position of equipment.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 12 Cafeteria fire doors in the following locations are missing vertical bottom rods and floor latching points or fire pins. - North east emergency exit - South East Emergency exit NFPA 1, Fire Code, Chapter 12.4.1; and NFPA 80 Standard for Fire Doors and Other Opening Protectives, Chapter 4.6.3.1	UNT will install vertical bottom rods and add floor latching points.	NA	4/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 13 The portable fire extinguisher located by the dishwasher in the basement has the pin pulled. NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. UNT replaced pin.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 14 The basement stairwell from the kitchen area lacks a rated enclosure. The stairs are open at the top and bottom. Currently this is the only means of egress from the basement area. (See FINDING 1) NFPA 1, Fire Code, Chapter 14.6.1.1 and 14.3.1	TMA 12954-music basement egress was part of this project-completed last year. Just received final proposal for Kitchen Basement Egress from contractor and are in process of briefing statement and requesting PO	NA	5/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 15 In the Jon Collins room there is a battery operated smoke alarm on the wall that failed to operate when tested. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair or replace smoke detector.	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 16 The Jon Collins room exterior double exit doors have the right side leaf locked with dead bolts and the right side door leaf only provides a 24 inch exit width. The minimum exit width for existing buildings shall not be less than 28 inches clear width. NFPA 1, Fire Code, Chapter 14.8.3.4.1.2	Completed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 17 The Jon Collins room lacks an illuminated exit sign over the door leading to the egress corridor. NFPA 1, Fire Code, Chapter 14.14.1.2.1	UNT will install exit sign over door.	NA	2/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 18 At stairwell 1.1 on the first floor of "A" wing, the double fire doors are missing the center mullion rendering the doors unable to latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(4)	Completed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 19 An extension cord is used as a replacement for permanent wiring on the second floor in the "A" wing IT closet server rack. NFPA 1, Fire Code, Chapter 11.1.7.6	UNT will develop a permanent solution.	NA	3/1/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 20 Electrical splice box are missing covers in the following: - B wing janitorial closet - Storage closet near A211 NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace missing covers.	NA	2/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 21 A vent has been installed in the bottom of fire rated door of the laundry room. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(10)	UNT will replace door.	NA	5/1/2017	Open
External	US Department of Justice	Fiscal Year 2017	Governance and Regulatory Compliance	National Institute of Justice (NIJ) Capacity Enhancement and Backlog Reduction Program Desk Review	UNTHSC	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNT	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Chancellor's Expenditure Review	UNT System	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNTHSC	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. In detail the following was noted: <ul style="list-style-type: none"> 15 out of 30 (50%) invoices reviewed had personal checks with checking account numbers not redacted. 3 out of 30 (10%) invoices reviewed had credit card statements with credit card numbers not redacted. 	Moderate	1. Recommendations for the University: a. Mask credit card and bank account information that is uploaded and retained in Enterprise Information System and/or ImageNow, to help ensure sensitive information is not compromised.	1a and 1b - Implement a "Business Expense Reimbursement Checklist" to help reinforce important steps in processing, including masking bank account and credit card information. The checklist will be used by all President Office staff members responsible for preparing reimbursement requests for the president's business expenses and travel expenditures.	Susan Ross, Executive Director, Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNTHSC	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. In detail the following was noted: <ul style="list-style-type: none"> 15 out of 30 (50%) invoices reviewed had personal checks with checking account numbers not redacted. 3 out of 30 (10%) invoices reviewed had credit card statements with credit card numbers not redacted. 	Moderate	1. Recommendations for the University: b. Develop a travel/entertainment support checklist to minimize any oversight during preparation of documentation support to enhance completeness and accuracy.	1a and 1b - Implement a "Business Expense Reimbursement Checklist" to help reinforce important steps in processing, including masking bank account and credit card information. The checklist will be used by all President Office staff members responsible for preparing reimbursement requests for the president's business expenses and travel expenditures.	Susan Ross, Executive Director, Office of the President	10/27/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT System	<p>1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. In detail the following was noted:</p> <ul style="list-style-type: none"> • 15 out of 30 (50%) invoices reviewed had personal checks with checking account numbers not redacted. • 3 out of 30 (10%) invoices reviewed had credit card statements with credit card numbers not redacted. 	Moderate	<p>2. Recommendation for the UNT System:</p> <p>a. Provide training to individuals processing reimbursement to ensure all support documentation reviewed/processed does not contain personally identifiable information (PII). Additionally, when support documentation containing PII is received, we recommend returning the documentation back to the submitter with explanation for the PII to be redacted.</p>	<p>2a - Accounts Payable, UNTS Controller operations will take the following actions:</p> <p>Communicate to all employees and strongly emphasize in Travel process training provided across each component institution, the importance of protecting and redacting personal credit card and bank information on supporting documents submitted through the system. Training will also be provided to Accounts Payable staff to identify any Personally identifiable information (PII) on supporting documents submitted and if any PII is received without redaction, documents will be returned back to the submitter with explanation requiring required PII redaction prior to final processing.</p>	Abdul N Mohammad, Sr. Director of Operations, UNT System, Office of the Controller	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT Dallas	<p>1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.</p>	Moderate	<p>1. Recommendations for the University:</p> <p>a. Mask credit card and bank account information that is uploaded and retained in Enterprise Information System and/or ImageNow, to help ensure sensitive information is not compromised.</p>	<p>1a and b –Effective October 27, 2016, the Office of the President staff will mask all credit card and bank account information to help ensure sensitive information is not compromised. The Office of the President staff will also attend “process reimbursement” training (when available) to ensure we are following the recommended guidelines appropriately.</p>	The Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT Dallas	<p>1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.</p>	Moderate	<p>1. Recommendations for the University:</p> <p>b. Develop a travel/entertainment support checklist to minimize any oversight during preparation of documentation support to enhance completeness and accuracy.</p>	<p>1a and b –Effective October 27, 2016, the Office of the President staff will mask all credit card and bank account information to help ensure sensitive information is not compromised. The Office of the President staff will also attend “process reimbursement” training (when available) to ensure we are following the recommended guidelines appropriately.</p>	The Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT System	<p>1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.</p>	Moderate	<p>2. Recommendation for the UNT System:</p> <p>a. Provide training to individuals processing reimbursement to ensure all support documentation reviewed/processed does not contain personally identifiable information (PII). Additionally, when support documentation containing PII is received, we recommend returning the documentation back to the submitter with explanation for the PII to be redacted.</p>	<p>2a - Accounts Payable, UNTS Controller operations will take the following actions:</p> <p>Communicate to all employees and strongly emphasize in Travel process training provided across each component institution, the importance of protecting and redacting personal credit card and bank information on supporting documents submitted through the system. Training will also be provided to Accounts Payable staff to identify any Personally identifiable information (PII) on supporting documents submitted and if any PII is received without redaction, documents will be returned back to the submitter with explanation requiring required PII redaction prior to final processing.</p>	Abdul N Mohammad, Sr. Director of Operations, UNT System, Office of the Controller	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	No findings/deficiencies.	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>1. Cash Handling: UNT cash handling policies were not consistently followed in the College of Visual Arts and Design.</p> <p>Written cash handling procedures in the College of Visual Arts and Design were either nonexistent or incomplete and did not comply with UNT cash handling policies. Additionally, individuals who receive cash in the College of Visual Arts and Design either do not consistently record cash receipts in a log or do not maintain a cash receipts log at all.</p>	Moderate	1. 1a. Develop written cash handling procedures as required by UNT Policy 10.006.	1a. Mary Braden (Budget Officer) will develop a draft procedure document for the College to be approved by the College Executive Committee, based on the UNT cash handling policy. We will explore the use of a cash handling template that is available for use. Once approved each individual who handles cash will be expected to adhere to these procedures.	Mary Braden, Administrative Coordinator IV; Peter Hyland, Director of the Onstead Institute for Education; Susan Sanders, CVAD Development Director	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>1. Cash Handling: UNT cash handling policies were not consistently followed in the College of Visual Arts and Design.</p> <p>Written cash handling procedures in the College of Visual Arts and Design were either nonexistent or incomplete and did not comply with UNT cash handling policies. Additionally, individuals who receive cash in the College of Visual Arts and Design either do not consistently record cash receipts in a log or do not maintain a cash receipts log at all.</p>	Moderate	1. 1b. Ensure that those individuals who receive cash and checks record the receipt of funds in a log.	1b. The three individuals named will maintain either paper or electronic logs to record their cash handling.	Mary Braden, Administrative Coordinator IV; Peter Hyland, Director of the Onstead Institute for Education; Susan Sanders, CVAD Development Director	3/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>2. Personally Identifiable Information: Credit card information was not redacted prior to upload in ImageNow.</p> <p>During our review of travel reimbursement support documentation in ImageNow (Perceptive Content), we noted 3 of 21 travel vouchers (14.3%) where credit card numbers were not redacted prior to upload in the system. Two unredacted account numbers were for corporate credit cards. The other unredacted account number was for a personal credit card.</p>	Moderate	2. 1a. Mask credit card and bank account information to help ensure sensitive information is not compromised.	1a. We will immediately begin masking all credit card and bank information. We will send a reminder to all appropriate staff about the recent e-mail that outlined this policy.	Jerry Aul, Administrative Coordinator I	4/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>2. Personally Identifiable Information: Credit card information was not redacted prior to upload in ImageNow.</p> <p>During our review of travel reimbursement support documentation in ImageNow (Perceptive Content), we noted 3 of 21 travel vouchers (14.3%) where credit card numbers were not redacted prior to upload in the system. Two unredacted account numbers were for corporate credit cards. The other unredacted account number was for a personal credit card.</p>	Moderate	2. 1b. Develop a travel support checklist to minimize any oversight during preparation of documentation support to enhance completeness and accuracy.	1b. We will ensure a checklist is created and implemented.	Jerry Aul, Administrative Coordinator I	4/30/2017	Open

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>3. Budget Tracking: Personnel in the College of Visual Arts and Design (CVAD) indicated during interviews that they were experiencing difficulties with budget tracking, using PeopleSoft 9.2, and the new chart of accounts.</p> <p>It was mentioned that the PeopleSoft 9.2 upgrade and implementation of the new chart of accounts has added complexity to the budget tracking process. Personnel stated during interviews that additional resources and guidance on common challenges and issues would be useful. Moreover, CVAD personnel noted difficulty in obtaining clear, sufficient, and timely assistance from the UNT Budget Office.</p>	Moderate	<p>Recommendation for Dean:</p> <p>3. 1a. Ensure individuals with budget tracking responsibilities have received training related to PeopleSoft 9.2 and the new chart of accounts. Continue to work with the UNT Budget Office to improve and resolve challenges CVAD is experiencing.</p>	<p>1a. We will check to ensure that staff have indeed participated and if not we will make sure that they seek and participate in appropriate training. As notification of trainings are issued, we will continue to encourage staff to take advantage of these opportunities.</p>	Greg Watts, Dean of the College of Visual Arts and Design	3/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>3. Budget Tracking: Personnel in the College of Visual Arts and Design (CVAD) indicated during interviews that they were experiencing difficulties with budget tracking, using PeopleSoft 9.2, and the new chart of accounts.</p> <p>It was mentioned that the PeopleSoft 9.2 upgrade and implementation of the new chart of accounts has added complexity to the budget tracking process. Personnel stated during interviews that additional resources and guidance on common challenges and issues would be useful. Moreover, CVAD personnel noted difficulty in obtaining clear, sufficient, and timely assistance from the UNT Budget Office.</p>	Moderate	<p>Recommendation for UNT Budget Office:</p> <p>3. 2a. Develop a task force or user groups as a mechanism to improve transparency and communication with the campus. This will assist the Budget Office in understanding the challenges the campus is experiencing, improving training materials, and developing support handouts (e.g. FAQ sheets or brochures).</p>	<p>2a. Since the audit field work was completed for the CVAD transitional Audit, many additional reporting and training resources have been developed and implemented by the UNT Budget office for the UNT campus. Reporting and training requires coordinated efforts between many functional offices, including the UNT System areas of ITSS, Budget, and Financial Reporting and also for UNT's areas of Office of Data Analytics & Institutional Research and Grants Accounting, all of which are needed for correct information for budget to actual financial data. The front line support of Budget Office Analysts positions are fully staffed since November. The four Analysts are continuously learning as the daily application of the implementation is occurring and new business processes are developed and trained in the department by the UNT Budget Director and the two Budget Financial Analysts.</p> <p>Highlights of implemented new and enhanced resources include:</p> <p><input type="checkbox"/> Training: Two new training courses provided by the budget office added with a subject matter expert from the reporting area in the training also; Open Lab with the Budget office provided monthly – an opportunity for users to bring their specific questions and receive one-on-one assistance; Development of a Training Focus group.</p> <p><input type="checkbox"/> Communication: Announcements Page on the Budget</p>	Beverly Cotton, Associate Vice President for Budget and Analytics	4/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship policies; - Scholarship Committee minutes are not maintained; and - Scholarship criteria listed in the CVAD scholarship database did not match all the criteria in the corresponding donor agreements and other support documentation. 	Moderate	<p>4. 1a. Create a departmental policy for awarding scholarships.</p>	<p>1a. Seek guidance from the Scholarship Office on what is an acceptable documentation of a departmental scholarship process.</p>	Jerry Aul, Administrative Coordinator I	4/30/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship policies; - Scholarship Committee minutes are not maintained; and - Scholarship criteria listed in the CVAD scholarship database did not match all the criteria in the corresponding donor agreements and other support documentation. 	Moderate	4. 1b. Document Scholarship Committee meeting minutes.	1b. Maintain scholarship minutes.	Jerry Aul, Administrative Coordinator I	4/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship policies; - Scholarship Committee minutes are not maintained; and - Scholarship criteria listed in the CVAD scholarship database did not match all the criteria in the corresponding donor agreements and other support documentation. 	Moderate	4. 1c. Ensure that criteria in the CVAD scholarship database correspond with donor agreements and other support documentation.	1c. Review scholarship database to ensure criteria correspond with donor agreements and other support documentation.	Jerry Aul, Administrative Coordinator I	4/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>1. Segregation of Duties: Segregation of duties did not exist between the development of new code to bringing the code into the production environment.</p> <p>No evidence was produced to show that segregation of duties existed during change management between the development and production environment.</p>	High	<p>Recommendations for Chief Information Officer, ITS:</p> <p>1. 1a. Strengthen controls around moving code changes into production by:</p> <ul style="list-style-type: none"> • Acquiring and implementing a configuration management system, or if that is not feasible; • Designating more resources for development changes over critical applications. 	We are adding resources/reassigning duties to expand the development pipeline to include Quality Assurance (QA). QA will review code before it is moved into Staging and Production. The addition of QA into the production pipeline for segregation of duties will occur in the second quarter of 2017.	Anthony Tissera, Director of Product Development and Engineering, Information Technology Services	6/30/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>2. Inconsistent Process and Documentation: The change management process and documentation requirements were not being followed.</p> <p>ITS used a combination of software to communicate internally and manage their projects. Documentation for recent changes that were identified as formal could not be produced to prove that the business impact was considered, a back-out plan existed, segregation of duties was maintained, or peer review was conducted.</p> <p>HIM and ITS implement changes to the NextGen application. When a high impact change requires the approval of the NextGen Task Force Committee. Representatives from each clinic attend, and a vote is taken on whether or not to implement the proposed change. However, the result of the vote is not documented.</p>	Moderate	<p>Recommendations for Chief Information Officer, ITS:</p> <p>2. 1a. Establish a consistent practice that specifically addresses the following:</p> <ul style="list-style-type: none"> • Classification process to determine the level of risk and impact of the change; • Requirement for all changes to be documented and kept in one central location; • Document the justification for the change and the impact to business, including the information security impact of the change; • Require formal approval of all high risk or high impact changes and retain evidence of approvals; • Document who will be responsible for creating, testing, and implementing the change; • Document fallback procedures for aborting and recovering from unsuccessful changes and unforeseen events; and • Create an emergency change process to enable quick and controlled implementation of changes needed to resolve an incident whereby the regular process is not followed under a narrowly defined situation. 	We will transition change management approval and documentation to a centralized location (probably Jira) and educate ITS staff on entering and documenting changes.	Nathan Ribelin, Director, Helpdesk and Client Services, Information Technology Services	3/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>2. Inconsistent Process and Documentation: The change management process and documentation requirements were not being followed.</p> <p>ITS used a combination of software to communicate internally and manage their projects. Documentation for recent changes that were identified as formal could not be produced to prove that the business impact was considered, a back-out plan existed, segregation of duties was maintained, or peer review was conducted.</p> <p>HIM and ITS implement changes to the NextGen application. When a high impact change requires the approval of the NextGen Task Force Committee. Representatives from each clinic attend, and a vote is taken on whether or not to implement the proposed change. However, the result of the vote is not documented.</p>	Moderate	<p>Recommendations for Chief Operations Officer, UNT Health:</p> <p>2. 2a. Follow UNTHSC Policy 14.650 UNT Health IT Change Management Policy, specifically:</p> <ul style="list-style-type: none"> • Document all changes in one central location regardless of classification; • Create a back-out plan as required for changes classified as major; • Document who will be responsible for creating, testing, and implementing the change as part of the Implementation Plan on major changes; • Require a test plan for standard and major changes; and • Retain evidence of approvals. <p>In collaboration with the IT department I expect to have the following item implemented by September 1, 2017.</p> <ul style="list-style-type: none"> • Document all changes in one central location regardless of classification 	I agree with the all recommendations listed and expect to have the following items implemented by March 31, 2017:	Cynthia Loza, HIM Template Editor, Central Business Services	9/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>3. Administrative Input on Risk Assessment: The assessment of mission critical applications and services has not been reviewed by UNTHSC Administration in over a year.</p> <p>After meeting with the Chief Information Officer, it was noted that ITS has not had the opportunity to discuss which applications and services are most critical with administrators of UNTHSC. The Chief Information Officer formulated a risk assessment of UNTHSC applications and services based on her expertise, however it would be beneficial to have an assessment with senior leadership. According to the CIO, input was given by the Business Continuity Lead over a year ago, but that role no longer exists.</p>	Moderate	<p>Recommendations for Chief Information Officer, ITS:</p> <p>3. 1a. Perform a risk assessment with UNTHSC Administration to risk-rank applications and services and formally identify those critical to the Institution.</p>	The Information Security and Privacy Committee will be assessing and assigning risk for applications and services beginning in the first quarter of 2017.	Information Security and Privacy Committee (Co-Chairs: Chief Compliance Officer and Chief Information Officer).	3/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	<p>1. Conflict of Interest- SYS/UNT/DAL/HSC: Testing identified that all of System Investment Advisory Committee members and component Investment Officers did not complete Conflict of Interest disclosure forms for FY 2016 indicating any personal business relations with a business organization offering to engage in an investment transaction with UNT System, UNT, UNT Dallas and UNTHSC.</p> <p>This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit in two separate observations.</p> <p>UNT System Management concurred with Internal Audit's recommendations, but in order to establish a more comprehensive solution with the Office of General Counsel (OGC) and UNT System Human Resources, they were not able to fully implement a Conflict of Interest Disclosure process by the initial implementation date of August 31, 2016.</p> <p>Furthermore, UNTHSC Management concurred with Internal Audit's recommendations and implemented a process, however due to employee turnover, the implemented monitoring process was not sustained.</p>	High	<p>Recommendations for the Associate Vice Chancellor for Treasury:</p> <p>Ensure the following recommendations made in Internal Audit Report #16-004 UNT System, UNT, UNT Dallas are implemented:</p> <p>1. 1a. Management to work with Office of General Counsel and Human Resources to establish a mechanism, which includes a conflict of interest disclosure form, through which investment officers self-report annually any real or perceived conflicts of interest.</p> <p>b. Implement a required annual conflict of interest training program to provide all employees who works with investments a clear understanding of their roles and responsibilities related to conflict of interest and steps they would need to take in the event of a concern.</p>	Currently, we have the approved form for investment officers to sign certifying that there are no COI's, which will be sent out to each investment officer by the end of January 2017.	James Mauldin, Associate Vice Chancellor for Treasury and Gary Finney, Director of Human Resources	6/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	<p>1. Conflict of Interest- SYS/UNT/DAL/HSC: Testing identified that all of System Investment Advisory Committee members and component Investment Officers did not complete Conflict of Interest disclosure forms for FY 2016 indicating any personal business relations with a business organization offering to engage in an investment transaction with UNT System, UNT, UNT Dallas and UNTHSC.</p> <p>This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit in two separate observations.</p> <p>UNT System Management concurred with Internal Audit's recommendations, but in order to establish a more comprehensive solution with the Office of General Counsel (OGC) and UNT System Human Resources, they were not able to fully implement a Conflict of Interest Disclosure process by the initial implementation date of August 31, 2016.</p> <p>Furthermore, UNTHSC Management concurred with Internal Audit's recommendations and implemented a process, however due to employee turnover, the implemented monitoring process was not sustained.</p>	High	<p>Recommendations for the Associate Vice Chancellor for Treasury:</p> <p>Ensure the following recommendations made in Internal Audit Report #16-004 UNT System, UNT, UNT Dallas are implemented:</p> <p>1. 1b. Implement a required annual conflict of interest training program to provide all employees who works with investments a clear understanding of their roles and responsibilities related to conflict of interest and steps they would need to take in the event of a concern.</p>	We are developing slide(s) for Human Resources to incorporate into their orientation training, which should be completed and approved by Friday, January 27, 2017 at the latest. Human Resources will then incorporate this aspect into their "compliance day" training.	James Mauldin, Associate Vice Chancellor for Treasury and Gary Finney, Director of Human Resources	6/1/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNTHSC	<p>1. Conflict of Interest- SYS/UNT/DAL/HSC: Testing identified that all of System Investment Advisory Committee members and component Investment Officers did not complete Conflict of Interest disclosure forms for FY 2016 indicating any personal business relations with a business organization offering to engage in an investment transaction with UNT System, UNT, UNT Dallas and UNTHSC.</p> <p>This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit in two separate observations.</p> <p>UNT System Management concurred with Internal Audit's recommendations, but in order to establish a more comprehensive solution with the Office of General Counsel (OGC) and UNT System Human Resources, they were not able to fully implement a Conflict of Interest Disclosure process by the initial implementation date of August 31, 2016.</p> <p>Furthermore, UNTHSC Management concurred with Internal Audit's recommendations and implemented a process, however due to employee turnover, the implemented monitoring process was not sustained.</p>	High	<p>Recommendation for the UNTHSC Chief Financial Officer:</p> <p>1. 2a. Work with the UNTHSC Institutional & Clinical Compliance Office to implement a monitoring process to ensure applicable staff complete an annual conflict of interest disclosure form.</p>	The Compliance office will ensure 100% of the forms are completed and returned for FY2017 and future years. Any forms not returned by the due date (January 31st for FY 2017) will be followed up by the Compliance office shortly after January 31st with prompt escalation to supervisors and senior management, if needed. Any person not completing the form after follow-up by Compliance department will be subject to disciplinary action up to and including termination.	Elaine Anderson, Interim Chief Compliance and Enterprise Risk Officer	3/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	<p>1. Conflict of Interest- SYS/UNT/DAL/HSC: Testing identified that all of System Investment Advisory Committee members and component Investment Officers did not complete Conflict of Interest disclosure forms for FY 2016 indicating any personal business relations with a business organization offering to engage in an investment transaction with UNT System, UNT, UNT Dallas and UNTHSC.</p> <p>This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit in two separate observations.</p> <p>UNT System Management concurred with Internal Audit's recommendations, but in order to establish a more comprehensive solution with the Office of General Counsel (OGC) and UNT System Human Resources, they were not able to fully implement a Conflict of Interest Disclosure process by the initial implementation date of August 31, 2016.</p> <p>Furthermore, UNTHSC Management concurred with Internal Audit's recommendations and implemented a process, however due to employee turnover, the implemented monitoring process was not sustained.</p>	High	<p>Recommendation for the Associate Vice Chancellor for Treasury:</p> <p>1. 3a. Implement a monitoring process to request confirmation from all institutions to ensure annual conflict of interest disclosure forms were completed by all investments officers and designees.</p>	Going forward, annually a process will be in place to request confirmation from all institutions that annual conflict of interest disclosure forms were completed by all investments officers and designees.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	2. Board of Regents Public Funds Investment Act Training: Public Funds Investment Act (PFIA) testing identified two of the newly appointed Regents did not have PFIA training completed within six months after taking office or assuming duties. Based on our detail testing, trainings were completed by the Board of Regent members eight and ten months after taking office.	Moderate	Recommendation to the Secretary to the UNTS Board of Regents: 2. 1a. Develop follow-up procedures to help ensure that Board of Regents complete PFIA required training session within six months after taking office of assuming duties in accordance with the statute.	The Office of the Board Secretary will create a tracking system that will be used to monitor the completion of the variety of required trainings for new Regents. The tracking system will include the training required, required completion date, when reminder emails are sent, and when training was completed.	Dr. Rosemary Haggett, Secretary to the UNTS Board of Regents	6/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	3. Annual Review and Adoption of Financial Institutions and Broker/Dealers: The Board of Regents has not reviewed and adopted a list of financial institutions and broker/dealers qualified and authorized to engage in investment transactions with and for the System. This finding was also identified on last year's Internal Audit Report 16-004 UNT System, UNT, UNT Dallas and 16-009 UNTHSC FY 2015 Investment Compliance Audit. UNT System Management concurred with Internal Audit's recommendations, but they were unable to implement the corrective actions by the initial implementation date of November 30, 2016 because a consulting firm was obtained to review treasury operations. Additionally, management communicated they will be implementing recommendations provided by the consulting firm and Internal Audit.	Moderate	Recommendation for the Associate Vice Chancellor for Treasury: 3. 1a. Establish procedures to ensure compliance with System Regulation 08.2000, Section 2005, paragraph 10 and review the System Regulation to see if requirement is applicable as is and make revisions as necessary.	The investment policy will be revised to reflect that only the list of broker/dealers requires Board of Regents approval. This revision and the list of broker/dealers will be provided to the Board of Regents for review and approval at the May 2017 Board of Regents meeting.	James Mauldin, Associate Vice Chancellor for Treasury	6/30/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	1. Lack of Permanent Standards: Standard being used for ServiceNow changes not detailed, current or approved. CM processes used by Image Now, Office 365, and Blackboard Learn are called "Provisional CM Process" and the "CM Standard Operating Procedures". They were put in place over 3 years ago and are not updated, current or approved.	Moderate	Recommendation for IT Shared Services: 1. 1a. Update and finalize a detailed policy and associated standards for use during changes to vendor supplied applications, as recorded in ServiceNow.	ITSS will update and finalize a policy and associated standards for use during changes to vendor supplied applications, as recorded in ServiceNow.	Charlotte Russell, Chief Information Security Officer	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	2. Lack of Script Standards: There are no standards for Script type changes in Phire. EA Development Standards do not indicate or specify requirements for the Script CR type.	Moderate	Recommendation for IT Shared Services: 2. 1a. Add requirements to the EA Development Standards specifying controls required during changes to the CR Script type.	The script workflow within PHIRE provides Separation of Duties (SoD), and an audit trail for monitoring these types of changes. ITSS will review and update the standards document to include documentation necessary to specify additional controls required during changes to the CR Script type.	Dorothy Flores, Executive Director of Enterprise Applications	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	3. Lack of Segregation Duties: The same person assigned to and completing the change in the development environment moved it to the production environment. The ServiceNow tool does not actually move changes from one environment to another, including into production. Per the change record, the same person assigned to and performing the change also moved that change into production, resulting in a lack of Segregation of Duties (SOD).	Moderate	Recommendation for IT Shared Services: 3. 1a. Strengthen controls around moving code changes into production for applications using ServiceNow by designating more resources over critical applications or cross-training existing resources.	ITSS will revise standards to comply with Separation of Duties based on Texas Administrative Code Chapter 202.76 "Security Controls Standards Catalog", Section AC-5 Separation of Duties and ISO 27002, section 6.1.2. ITSS IT Service Management will follow the ITILv3 framework for change management and identify all aspects of the service design and service transition requirements prior to planning the 'go-live' into a production environment. There are changes to the environments that our outside project work and reside in operational work, these changes will also follow the ITILv3 change management framework.	Kendra Ketchum, Chief Technology Officer	7/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>4. Backout plans and post implementation review not required or recorded: Backout Plans and Post-Implementation reviews are not required for changes made in Phire, and no records tested contained these items. In ServiceNow, three of seven (43%) changes tested did not indicate a Post-Implementation Review was conducted, as required by ITIL.</p> <p>In Phire, Backout Plans and Post-Implementation reviews are not required, and none of the records tested contained these items. Post Implementation reviews are indicated in ServiceNow by a task called "Post Implementation Testing". During testing, this was considered a Yes if the State indicated "Closed Complete". Three of seven (43%) changes tested did not contain this indication.</p>	Moderate	<p>Recommendation for IT Shared Services:</p> <p>4a. Include requirements for backout plans and post-implementation reviews for changes recorded in Phire in the CM standards.</p>	ITSS will revise standards to include backout plans and post-implementation reviews for changes recorded in Phire in the CM standards, and will include post implementation reviews that are conducted during Change Management meetings are documented in ServiceNow. To clarify, ITILv3 has Continuous Improvement as the last development cycle and we will use that to identify our post-implementation reviews as part of the Service Lifecycle, as many of the services are already in production. ISO 27002, Section 12.1.2 Change Management, Texas Administrative Code Chapter 202.76 "Security Controls Standards Catalog", Section CM-Configuration Management, and ITIL v3 Framework will be utilized to address this observation.	Charlotte Russell, Chief Information Security Officer	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>4. Backout plans and post implementation review not required or recorded: Backout Plans and Post-Implementation reviews are not required for changes made in Phire, and no records tested contained these items. In ServiceNow, three of seven (43%) changes tested did not indicate a Post-Implementation Review was conducted, as required by ITIL.</p> <p>In Phire, Backout Plans and Post-Implementation reviews are not required, and none of the records tested contained these items. Post Implementation reviews are indicated in ServiceNow by a task called "Post Implementation Testing". During testing, this was considered a Yes if the State indicated "Closed Complete". Three of seven (43%) changes tested did not contain this indication.</p>	Moderate	<p>Recommendation for IT Shared Services:</p> <p>4b. Ensure post implementation reviews conducted during weekly Change Management meetings are documented in ServiceNow.</p>	ITSS will revise standards to include backout plans and post-implementation reviews for changes recorded in Phire in the CM standards, and will include post implementation reviews that are conducted during Change Management meetings are documented in ServiceNow. To clarify, ITILv3 has Continuous Improvement as the last development cycle and we will use that to identify our post-implementation reviews as part of the Service Lifecycle, as many of the services are already in production. ISO 27002, Section 12.1.2 Change Management, Texas Administrative Code Chapter 202.76 "Security Controls Standards Catalog", Section CM-Configuration Management, and ITIL v3 Framework will be utilized to address this observation.	Charlotte Russell, Chief Information Security Officer	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>5. Stakeholders and Communication Plan not included in change requests: Stakeholders and Communication Plan not included in change requests as required by standards.</p> <p>The ServiceNow records tested did not have a field or indicate in the record who were the Stakeholders of the change.</p> <p>Two of six (33%) changes tested did not contain a Communication plan. ITSS provided external communication of changes which occurred as part of the change process. While the ServiceNow record may serve as a communication of the change taking place, there was not a specific plan indicated.</p>	Moderate	<p>Recommendation for Chief Technology Officer:</p> <p>5a. Identify a location in the ServiceNow change request to identify stakeholders of the change.</p>	ITSS will use the ITILv3 framework to identify all necessary requirements in the service design process, this includes developing a communication plan. We will ensure that the stakeholders are identified and included in that communication plan and we will attach the plan to the ServiceNow ticket for the change.	Kendra Ketchum, Chief Technology Officer	7/31/2017	Open

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>5. Stakeholders and Communication Plan not included in change requests: Stakeholders and Communication Plan not included in change requests as required by standards.</p> <p>The ServiceNow records tested did not have a field or indicate in the record who were the Stakeholders of the change.</p> <p>Two of six (33%) changes tested did not contain a Communication plan. ITSS provided external communication of changes which occurred as part of the change process. While the ServiceNow record may serve as a communication of the change taking place, there was not a specific plan indicated.</p>	Moderate	<p>Recommendation for Chief Technology Officer:</p> <p>5b. Include a Communication Plan and communication of the change to interested parties in the ServiceNow change request.</p>	ITSS will use the ITILv3 framework to identify all necessary requirements in the service design process, this includes developing a communication plan. We will ensure that the stakeholders are identified and included in that communication plan and we will attach the plan to the ServiceNow ticket for the change.	Kendra Ketchum, Chief Technology Officer	7/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>6. Specifications and Notes not included in change requests.: Specifications and Notes were not included in change requests as required by standards.</p> <p>The EA Development Standards require Specifications and Notes to be included in all Change Requests. 48 of 50 (98%) of records did not include Specifications 45 of 50 (90%) of records did not include Notes</p>	Moderate	<p>Recommendation for IT Shared Services:</p> <p>6a. Either enforce the standard requiring specifications and notes in a change request, or eliminate this requirement from the standards.</p>	ITSS will review and update the standards document as needed to indicate the purpose of specifications and notes within PHIRE CR's. The Software Development Lifecycle (SDLC) process currently utilized for coding changes captures requirements and other specifications that document the change.	Dorothy Flores, Executive Director of Enterprise Applications	7/31/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	UNT Endowments Internal Audit	UNT	<p>Comment #1: Communication and Authority</p> <p>There are communication and information gaps between the UNT Foundation, Advancement, SFAS, and the Colleges/Departments; and there is not a clear delineation of responsibilities and authority for the management of university disbursement accounts.</p> <p>UNT has set up a taskforce to centralize the Scholarships process within the last year. However, during the course of fieldwork, IA noted several issues related to communication and responsibility, which has led to inconsistent disbursement processes across departments as well as a lack of sufficient information/training available for department personnel.</p> <p>Through interviews with Advancement, SFAS, and the sampled Colleges/Departments, IA identified several areas for improvement, including consistent communication between departments, as well as better defined authority and responsibilities in order to facilitate the related processes and help manage disbursement of endowment/scholarship funds appropriately.</p> <p>Refer to the following observations for further details:</p> <p>I. Management of Funds</p>	NA	<p>I. UNT should create a formal process for managing remaining balances in disbursement accounts and consider implementing a plan to cease distributions based on aging performed for each disbursement account's remaining balance. Additionally, UNT management should monitor the balances through the distribution of a university disbursement accounts report, addressed to the President of UNT, showing all disbursement account balances on a periodic basis.</p>	<p>I. Utilizing the new chart of accounts, UNT shall create a comprehensive report of all endowment/scholarship funds that shows the distribution of university disbursement account balances. Financial Aid and Scholarships will work in collaboration with Budget and Analytics, and Advancement, to develop the report. This report shall be generated monthly and distributed to the President, Divisional VP's, Deans and the Steering Committee. Each division and college shall designate a responsible party to review and reconcile the account balances. The Steering Committee (newly formed) shall monitor this activity, work to resolve issues, and escalate to division VP's and Deans as appropriate.</p> <p>I. The Division of Advancement has hired an Assistant Director of Donor Relations for Scholarship Stewardship and Compliance who will serve as a member of the university-wide team to create a formal process for managing balances in disbursement accounts.</p>	Collaboration between Mike Mlinac, UNT Foundation President & CEO; Finley Graves, Provost and Vice President for Academic Affairs; David Wolf, Vice President for Advancement; Shannon Goodman, Vice President for Enrollment; and Bob Brown, Vice President for Finance and Administration	12/22/2017	Open

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	UNT Endowments Internal Audit	UNT	<p>Comment #1: Communication and Authority</p> <p>There are communication and information gaps between the UNT Foundation, Advancement, SFAS, and the Colleges/Departments; and there is not a clear delineation of responsibilities and authority for the management of university disbursement accounts.</p> <p>UNT has set up a taskforce to centralize the Scholarships process within the last year. However, during the course of fieldwork, IA noted several issues related to communication and responsibility, which has led to inconsistent disbursement processes across departments as well as a lack of sufficient information/training available for department personnel.</p> <p>Through interviews with Advancement, SFAS, and the sampled Colleges/Departments, IA identified several areas for improvement, including consistent communication between departments, as well as better defined authority and responsibilities in order to facilitate the related processes and help manage disbursement of endowment/scholarship funds appropriately.</p> <p>Refer to the following observations for further details:</p> <p>II. Sharing of Information</p>	NA	<p>II. UNT should ensure that all disbursement account managers in addition to the respective Deans, are included in communications, reporting, and discussions involving related endowments and scholarships.</p>	<p>II. The Division of Advancement, Enrollment, Academic Affairs, Finance and Administration, and the Foundation will work collaboratively with the university-wide team to ensure Deans and disbursement account managers receive appropriate communication regarding endowments and scholarships.</p>	<p>Collaboration between Mike Mlinac, UNT Foundation President & CEO; Finley Graves, Provost and Vice President for Academic Affairs; David Wolf, Vice President for Advancement; Shannon Goodman, Vice President for Enrollment; and Bob Brown, Vice President for Finance and Administration</p>	12/22/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	UNT Endowments Internal Audit	UNT	<p>Comment #1: Communication and Authority</p> <p>There are communication and information gaps between the UNT Foundation, Advancement, SFAS, and the Colleges/Departments; and there is not a clear delineation of responsibilities and authority for the management of university disbursement accounts.</p> <p>UNT has set up a taskforce to centralize the Scholarships process within the last year. However, during the course of fieldwork, IA noted several issues related to communication and responsibility, which has led to inconsistent disbursement processes across departments as well as a lack of sufficient information/training available for department personnel.</p> <p>Through interviews with Advancement, SFAS, and the sampled Colleges/Departments, IA identified several areas for improvement, including consistent communication between departments, as well as better defined authority and responsibilities in order to facilitate the related processes and help manage disbursement of endowment/scholarship funds appropriately.</p> <p>Refer to the following observations for further details:</p> <p>III. Donor Compliance</p>	NA	<p>III - V. UNT should create a steering committee responsible for determining and implementing policies, processes, authority, and responsibility for various aspects related to managing scholarship and endowment awards and disbursement accounts. Specifically, UNT should consider implementation of an annual account-holder MOU-compliance certification letter and establishment of procedures for requiring Scholarship Committee Meeting Minutes as well as performing continuous monitoring of scholarship selections through review of the Minutes to ensure that MOUs are being followed appropriately and in alignment with donor wishes. The steering committee would also be responsible for 1) enhancement and distribution of existing policies and procedures to personnel responsible for managing endowment funds, 2) creating additional policies and procedures for internal reporting, and time limits/thresholds for accumulated unspent endowment distributions, 3) developing a detailed process flow document for the entire endowments process to be distributed to Colleges/Departments, and 4) implementation of formal endowment disbursement account training for all Colleges/Departments.</p> <p>Additionally, UNT should consider the use of new or existing software to assist in recording/monitoring the</p>	<p>III. The Division of Enrollment has appointed the Executive Director of Financial Aid and Scholarships and the Director of Scholarships to serve as members on the recommended steering committee.</p> <p>III. - V. The Division of Advancement has hired an Assistant Director of Donor Relations for Scholarship Stewardship and Compliance who will serve as a member of the recommended steering committee, along with the Director of Donor Relations and the Assistant Vice President for Donor Relations and Advancement Services.</p>	<p>Collaboration between Mike Mlinac, UNT Foundation President & CEO; Finley Graves, Provost and Vice President for Academic Affairs; David Wolf, Vice President for Advancement; Shannon Goodman, Vice President for Enrollment; and Bob Brown, Vice President for Finance and Administration</p>	12/22/2017	Open

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	UNT Endowments Internal Audit	UNT	<p>Comment #2: Incorrect Gift Agreement</p> <p>One out of the 14 MOUs sampled did not include all of the appropriate criteria in the revised gift agreement updated by the Office of Advancement.</p> <p>Advancement, responsible for donor solicitation as well as donor stewardship, revised a donor gift agreement for one sampled endowment in the College of Information in order to bring the gift agreement in alignment with current policy as the donor is deceased. However, the revisions made to the agreement did not include all of the required donor criteria from the original agreement, including GPA and career path requirements. Furthermore, the personnel responsible for the related disbursement account in the College of Information did not receive the updated gift agreement from Advancement. As a result, a review or reconciliation of the original and updated donor agreements to ensure that all criteria were appropriately transferred could not be performed.</p>	NA	The Office of Advancement should update the incorrect donor gift agreement for the endowment in the College of Information to include the correct criteria. Also, Advancement should consider formally documenting policies and procedures related to updating or changing MOUs and other gift agreements, including a review process to ensure all details of the updated memo are captured appropriately.	The Director of Donor Relations is drafting a memo to address the conflicting documentation for the endowment in question and will formally document the correct spending criteria according to original donor intent. This memo will be distributed to all appropriate parties on campus for record keeping purposes. Additionally, a Gift Agreement Handbook is currently in draft form written by Donor Relations to outline procedures currently used for writing new gift agreements/ memos and amending existing fund documentation. This handbook will include applicable laws the University must follow in regard to scholarship criteria, as well as University and UNT System policies that must be complied with in regard to gift acceptance and naming.	Rachel Kimball, Director of Donor Relations	12/22/2017	Open

Background Report



Committee: Audit

Date Filed: January 13, 2017

Title: UNT System Consolidated Quarterly Compliance Report, September 2016 through November 2016

Background: This report represents the quarterly compliance actions for the University of North Texas System, University of North Texas, University of North Texas Health Science Center and the University of North Texas at Dallas from September 1, 2016 through November 30, 2016. Regular reporting of compliance actions to the UNT System Board of Regents is required by the United States Sentencing Commission's Federal Guidelines §8B2.1(b)(2)(A).

This quarterly report is consolidated to reflect the compliance actions for all UNT System components. This report reflects the actions that management and each compliance function has taken to manage their highest risks.

Financial Analysis/History:

This is a report item only.

Janet
Waldron

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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Vice Chancellor/General Counsel

Schedule:

No action required. Information only. Submitted by:

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UNT System Compliance Officer

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Chancellor

Attachments Filed Electronically:

- UNT System Consolidated Quarterly Compliance Report
September 2016 through November 2016

UNT System Consolidated Quarterly Compliance Report September 2016 through November 2016



Section I. Organizational Actions

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

Section II. Compliance Risks

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

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to one hundred ninety (190) new or current employees.
- IT support is provided to UNT System through Information Technology Shared Services.

Action Taken by System and/or Institutional Compliance:

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

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

Action Taken by Management and Records Management and/or Institutional Compliance

- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to deliver records management and retention training to Records Management Representatives (RMRs) for UNT System Administration and campus units in addition to providing technical advice and guidance to management pertaining to complicated records management and retention questions and situations.
- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce the Records Management Representative (RMR) network for UNT System Administration and campus units.

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

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training PowerPoint into web-based training.

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

Action Taken by Management:

- All dedicated scanners are in place and use at UNT System, UNT, UNTHSC, and UNT Dallas. The dedicated scanner for the Austin office will be installed next quarter.
- Training for I-9 Coordinators was conducted. Additional training is scheduled for next quarter as well. UNT System Talent Acquisition and campus Human Resources continue to review and monitor the efficiency and effectiveness of this revised process.

Action Taken by System and/or Institutional Compliance:

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

Section III. Compliance Training

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training PowerPoint into web-based training.

Section IV. Confidential and Other Complaint Reporting for UNT System

- UNT System maintains a web-based Compliance Hotline that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- An analysis of the **four (4) reports (via hotline)** received by UNT System during this quarter reveals the following breakdown of complaints:
 - **Two reports were received pertaining to alleged inappropriate management behavior.** System/Institutional Compliance requested additional information in order to clarify the allegations referenced in these reports.
 - **One report was received pertaining to alleged mis-management and discriminatory practices.** System/Institutional Compliance requested additional information in order to clarify the allegation referenced in this report.
 - **One report was received pertaining to alleged inappropriate management and employment practices.** System/Institutional Compliance requested additional information in order to clarify the allegation referenced in this report.



Section I. Organizational Actions

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

Section II. Compliance Risks

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

Action Taken by Management:

- The new Director of Environmental Risk, RMS management, and Institutional Compliance have developed a plan of action based on the results of Institutional Compliance's evaluation of the university's laboratory inspection and follow-up process and the new director's preliminary assessment of the Environmental Risk Program.
- RMS is revising the frequency of all critical laboratory inspections to every six-months. RMS is reviewing the option of expanding the six-month frequency of inspections to include all laboratories (instead of quarterly self-inspections by laboratory personnel and periodic RMS review).
- RMS is working to enhance the comprehensive use of personal protective equipment (PPE) (laboratory coats and safety glasses) in both research and teaching laboratories. RMS is also working to enhance chemical hygiene practices (elimination of food being stored and eaten) in some laboratories. Additionally, RMS is looking to enhance chemical storage and segregation practices (storage by hazard class and labeling).
- RMS is working to enhance the receipt of updated chemical inventories and needed revisions to its Biosafety handbook (to provide clear guidance regarding the shipping of recombinant DNA (rDNA) and other genetically modified materials).
- RMS is in the process of revising (expanding) the laboratory inspection checklist so that certain inspection topic areas are more comprehensively reviewed. Additionally, RMS is in the process of enhancing the documentation of its laboratory inspection results by including pictures (as applicable), more specific details of findings, and suggestions/recommendations, that work to ensure all results are adequately documented so that resolutions to any applicable findings are expedited.

Action Taken by Institutional Compliance:

- Institutional Compliance continues to attend regular meetings between Risk Management Services and other applicable UNT System and UNT risk partners to assist in resolving any findings and/or impairments identified during inspections as quickly as possible and identifying opportunities to enhance laboratory inspections and follow-up processes and procedures.
- As part of the laboratory inspection review, an escalation policy was developed to assure that findings are addressed within the applicable period designated by RMS. This policy will be reviewed and approved using the University's policy approval process.

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

Action Taken by Management:

Emergency Planning & Preparedness and Business Continuity

- The Emergency Operation Center (EOC) is operational and the infrastructure (primarily installation of equipment) of the EOC is nearing completion. A multi-service cellular repeater is targeted for installation next quarter.
- A HAM radio was installed and the UNT Office of Emergency Management (OEM) has completed the first phase of establishing a UNT amateur radio network that will expand EOC communication capabilities and support emergency and event related activities.
- The latest version of UNT's Continuity of Operations Plan (COOP) meets the requirements set forth by the State Office of Risk Management (SORM). RMS is currently in the process of finalizing a structured plan (COOP Roadmap) that identifies potential gaps and needed enhancements along with corresponding steps that will provide guidance towards developing a more robust and comprehensive COOP. The COOP Roadmap will be broken down into phases with target completion dates established for each phase.

International Risk Management

- Risk Management Services (RMS) worked with UNT System and various UNT departments to develop a portion of the 08.15000 Travel Administration Regulation that requires all faculty, staff and students to register their University related international travel prior to departure. The regulation was approved by the Chancellor in November 2016.
- The new regulation will continue to help the University of North Texas accomplish the following:

Track and document all international travel in order to provide effective support should emergency situations arise.

Provide pre-departure safety, health, and security resources for travelers traveling abroad.

Capture the amount of travel and number of registered university related international travelers to help obtain a fair and equitable international insurance premium annually based on the number of travelers.

Action Taken by Institutional Compliance:

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

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

Action Taken by Management:

- RMS is developing a plan moving forward to address prioritized issues identified within the Environmental Risk Program. These will include a change in culture and improvements in hazardous materials management and environmental regulatory compliance.

- The new Director of Environmental Risk will build upon their preliminary assessment and prioritized recommendations for program enhancements. Additionally, the UNT Hazardous Waste program is being reviewed to ensure compliance with applicable regulatory requirements and best practices.
- RMS is leveraging the anticipated hire of a qualified industrial hygienist to initiate the development of a shop safety program for learning environments where machinery, power tools, and manufacturing type hazards exist.

Action Taken by Institutional Compliance:

- Institutional Compliance regularly meets with Risk Management Services and other applicable UNT System and UNT risk partners and the City of Denton (as applicable) in preventing exceeding Resource Conservation and Recovery Act (RCRA) metals, Fats, Oils, and Gases (FOG), or other applicable thresholds.

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

Action Taken by Management and Institutional Compliance:

- With the recent loss of the Radiation Safety Officer (RSO), RMS submitted changes to the current license to temporarily put the previous Director of Environmental Services (ENVM) as interim RSO until one can be hired. RMS is currently in the process of hiring a qualified RSO to oversee, maintain, and continually manage regulatory compliance and training requirements arising from radiation sources and use of lasers on the UNT campus.
- Institutional Compliance regularly meets with Risk Management Services and other applicable UNT System and UNT risk partners to ensure the program is in compliance with state radiation safety regulations.

High-Risk #5: Research Conflict of Interest - COI (Office of Research Integrity & Compliance)

Action Taken by Management:

- The Office of Research Integrity & Compliance (ORI&C) has completed its annual Financial Conflict of Interest (FCOI) self-disclosure process for FY 2017. There has been substantial improvement in terms of timeliness as a result of targeted changes implemented. ORI&C reviewed the positive disclosures and will continue to monitor self-reported changes to the original disclosures within the required thirty (30) days.
- ORI&C is requesting removal of FCOI as a high-risk.

Action Taken by Institutional Compliance:

- Institutional Compliance will work with ORI&C and division management to consider this risk for high-risk list removal effective the second quarter.

High-Risk #6: Time and Effort Reporting (Office of Grants & Contracts Administration)

Action Taken by Management and Institutional Compliance:

- Institutional Compliance is working with UNT System risk partners to evaluate the progress made towards addressing this risk and determining whether additional opportunities are available that may be used to enhance these operations.

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

Action Taken by Management and Institutional Compliance:

- Institutional Compliance continues to work with management to evaluate the progress made towards addressing this risk and determining whether additional opportunities are available that may be used to enhance these operations.

High-Risk #8: Electronic Information Handling (University Information Technology and Information Technology Shared Services - ITSS)

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to one thousand nine hundred and thirteen (1,913) new and current employees.
- IT support is provided to UNT either directly or indirectly via UNT System IT Shared Services, UNT University Information Technology, and distributed IT staff in the various Colleges and Departments.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with System and campus IT assets to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #9: Health Insurance Portability and Accountability Act (HIPAA) Compliance (Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- Institutional Compliance is developing a revised survey that will be administered for completion by UNT System Administration, UNT, and UNT Dallas units to ensure that all applicable units are designated as health care components.
- The survey will assist in identifying other applicable units that touch personally identifiable health information and comply with other privacy protections in accordance with applicable Health Information Technology for Economic and Clinical Health (HITECH) Act requirements.
- Institutional Compliance continues to work with UNT System Administration, UNT, and UNT Dallas units to ensure that each component unit has a HIPAA Security and Privacy Officer.

High-Risk #10: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management, Records Management, and/or Institutional Compliance:

- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to deliver records management and retention training to Records Management Representatives (RMRs) for UNT System Administration and campus units in addition to providing technical advice and guidance to management pertaining to complicated records management and retention questions and situations.
- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce the Records Management Representative (RMR) network for UNT System Administration and campus units.

High-Risk #11: Having policies, procedures, and/or practices in place that may not provide protection of minors participating in UNT related activities (Risk Management Services and Office of Institutional Compliance)

Action Taken by Management and Institutional Compliance:

- RMS continues to address applicable campus procedures, screening of program staff, training for all individuals involved in activities that include minors, monitoring and supervision of applicable programs, risk assessments, communication to the campus and community, responding to incidents, and administrative practices.
- With the Program Involving Minors Policy now in effect, RMS will focus on improving the communication of the policy and procedures to employees, students, and the community who participate with programs involving minors.

High-Risk #12: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training PowerPoint into web-based training.

High-Risk #13: I-9 Compliance (Associate Vice Chancellor for HR & Campus HR Director)

- All dedicated scanners are in place and use at UNT System, UNT, UNTHSC, and UNT Dallas. The dedicated scanner for the Austin office will be installed next quarter.
- Training for I-9 Coordinators was conducted. Additional training is scheduled for next quarter as well. UNT System Talent Acquisition and campus Human Resources continue to review and monitor the efficiency and effectiveness of this revised process.

Action Taken by System and/or Institutional Compliance:

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

Section III. Compliance Training

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training PowerPoint into web-based training.

Section IV. Confidential and Other Complaint Reporting for UNT

- UNT maintains a web-based Compliance Hotline that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- An analysis of the **fifteen (15) reports (via hotline)** received by UNT during this quarter reveals the following breakdown of complaints:
 - **There were thirteen (13) reports used for testing purposes.** These reports were closed.
 - **There was one (1) report received pertaining to alleged inappropriate employee behavior.** This report was referred to Internal Audit to review and resolve.
 - **There was one (1) report received pertaining to alleged fraudulent employee practices.** This report was referred to Internal Audit to review and resolve.

Section I. Organizational Actions

There have been significant changes in staffing in the Office of Institutional Compliance in recent months. The Chief Compliance and ERM Officer's last day at UNTHSC was September 2, 2016. The Senior Compliance Manager resigned on May 31, 2016 and two employees who provided monitoring and auditing services to UNTHSC transferred to a different UNTHSC dept. in June, 2016. An interim Chief Compliance and ERM Officer assumed responsibilities on September 1, 2016 and is leading the department until the permanent replacement arrives on February 27, 2017. (updated this quarter)

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

The Institutional Compliance Office receives quarterly reports from the Compliance Divisions on all low, medium and high risks identified during the fiscal year 2016-17 risk assessment. The First Quarter actions taken by UNT Health Science Center (UNTHSC) to address the UNTHSC Compliance high risks are below:

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

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

Action Taken by Management:

- UNT Health performed internal reviews and provided education for medical billing and documentation audits for many years. That process was continued through the first half of fiscal year 2016. After an assessment of the resources available and the needs of the organization, a decision was made that the audit function for billing and coding will be contracted to an outside vendor. Management is in the process of developing a bid packet that will be processed through Purchasing. A vendor contract is expected in early 2017. Contracting with an outside vendor for this service will provide more depth of knowledge, better stability in the process, and access to a higher level of billing/coding education for the providers. In the meantime, the Institutional Compliance Office has hired a Compliance Specialist who will (among other duties) perform at least one focused billing/coding audit in identified risk areas each quarter beginning in the second quarter. The Compliance Specialist will also conduct training as needed based upon the audit results. (updated this quarter)
- The Interim Chief Compliance and ERM Officer initiated the UNTHSC Billing, Coding and Revenue Cycle Compliance Committee which will meet monthly beginning in December 2016. The Committee's purpose is to serve as an oversight body to oversee proactive monitoring of UNT Health billing, coding and revenue cycle processes and controls to provide accurate documentation and reimbursement for health care services provided through UNT Health in compliance with laws, regulations and UNTHSC policies. (new this quarter)

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

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

Action Taken by Management:

- Institutional Laptop Encryption Project – The laptop encryption efforts were “restarted” with renewed efforts in early November, 2016 after a period of time with little progress. The revised plan of action includes a process to hold all employees accountable to complete the requested actions. The target date for all encryption to be complete was February 24, 2016. Progress will be monitored by the Office of Compliance, the President's Cabinet, and UNTHSC Information Technology Services (ITS) Security. (updated this quarter)
- Review of Office 365 OneDrive Security - The UNTHSC ITS Department, working with UNT System IT Shared Services, is performing a security evaluation of the Microsoft Office 365 OneDrive product as a possible enterprise solution for institutional file storage and sharing.

- The existing product and available feature set is not ready for UNTHSC enterprise-wide rollout due to mobile security related risks and the inability to prevent downloading of Institutional data to employee personal and/or unmanaged, untrusted devices. Additional security features are available within the Microsoft eco-system to mitigate and/or control these risks. However, these controls are not available to UNT customers due to licensing thresholds that have been exceeded across the System. UNT System IT Shared Services (ITSS) has been attempting to bring down these licensing thresholds to acceptable levels in order for these security controls to be made available. ITSS is aware of the (high) priority and impact of this item to UNTHSC.

(No update this quarter. Same status as last quarter. Escalated with IT Shared Services during quarterly meeting.)

- Mobile Device Security Enhancements - This project involves the discovery, evaluation and piloting of a mobile device management solution that can be deployed to protect Institutional data that is downloaded to faculty/staff personal mobile devices.

- Based on discovery work that ITS (UNTHSC) and ITSS (UNT System) have collaborated on the mobile device management options available within the Microsoft Office 365 suite of products looks to offer a viable solution for controlling the risk of mobile devices for conducting UNTHSC business. However, these controls are not available to UNT customers due to licensing thresholds that have been exceeded across the System. UNT System IT Shared Services (ITSS) has been attempting to bring down these licensing thresholds to acceptable levels in order for these security controls to be made available. ITSS is aware of the (high) priority and impact of this item to UNTHSC.

(No update this quarter. Same status as last quarter. Escalated with IT Shared Services during quarterly meeting.)

- Security Review of Enterprise Web Forms – A risk assessment and security review of existing UNTHSC web forms publishing technologies and associated customer workflow are currently in the beginning stages. The risk assessment was completed in the summer of 2016. This effort aims to identify current risks and possible mitigation actions for additional controls that should be implemented.

A “sweep” of web forms within the primary platforms was done. UNTHSC Information Technology Services (ITS) met with two groups of stakeholders (departments) in order to remediate two sets of web-forms that were collecting problematic data. Following a priority discussion ITS believes current resources should be used to retire a legacy web platform (Coldfusion-based) which carries a higher risk. The Office of Digital Outreach and Web Services is the custodian for most of what is under discussion. ITS is collaborating with them to complete these items.

Update this quarter: Requirements gathering and solution scoping complete to replace Daily News application that is hosted on legacy platform. Implementation of actual scope of work expected to continue during Q2 and Q3.

- The following activities capture ongoing risk management efforts that are built into the UNTHSC IT Security Program:
 - Training classes and new employee orientations include computer policies and security awareness training. "Refresher" training is delivered to existing staff on an annual basis. Compliance rate for most recently concluded “refresher” training is 100%.
 - Password security policies electronically enforced including use of strong passwords and changing passwords every 12 months.
 - Windows server 2003 (legacy platform) retirement – In progress
 - New Intrusion Detection System implementation – In progress

Action Taken by Compliance:

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

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

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

Action Taken by Management:

- An 1115 Waiver Steering Committee has been formed and meets on a quarterly basis to discuss any potential compliance issues with CMS and/or the Texas Health and Human Services Commission (“HHSC”). The 1115 Waiver management team also meets with the project leads, the Office of Grants and Contracts, clinical operations personnel and the Offices of Institutional Compliance and Quality and Risk Management on a regular basis to build awareness and discuss potential compliance issues before they arise.
- As part of HHSC’s on-going quality control efforts, UNTHSC continues to receive additional information requests from HHSC’s contracted auditing firm. Five of six audits are complete with no significant findings. One audit is still in process and may result in the return of

monies, the amount of which is undetermined at this time. Management does not believe the financial impact, if any, will be significant. (Update this quarter)

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Executive Director of Strategic Alignment to provide support for compliance activities as needed. The Chief Compliance and Enterprise Risk Management Officer is involved in key meetings and reviews and signs off on the data submitted to HHSC.

High Risk #4: Distance Education (Academic Affairs Division) HM

Description: Distance Education is highly regulated by state and federal law. UNTHSC monitors compliance with regulatory requirements.

Action Taken by Management:

- The Distance Education Course Development and Release Procedures Policy addressing distance education (DE) at UNTHSC was approved January 20, 2016. According to that policy, faculty planning to offer DE towards a degree or certificate awarded through the UNTHSC must obtain approval to do so through the University's Distance Education Committee (DEC).
- The UNTHSC will adhere to rules and notification procedures established by the Texas Higher Education Coordinating Board (THECB) for the conduct and approval of distance education including the *THECB Principles of Good Practice for Academic Degree and Certificate Programs and Credit Courses Offered Electronically and Approval of Distance Education, including Off-Campus Course and Programs*.
- The DEC and the Center for Innovative Learning (CIL) work with faculty from the five colleges/schools at UNTHSC to assure that curriculum and instruction provided through distance education are appropriate to the requirements listed above. In addition, course and instructional activities are required to be appropriately evaluated for educational effectiveness, including assessments of student learning outcomes, student retention, and student satisfaction.
- Access to DE materials is restricted to properly enrolled students who possess a unique login identifier which has been assigned to them by the UNTHSC. Login identifiers shall only be provided to students who have been properly registered and who have been approved to participate in online courses by the respective academic school/program.
 - All requests to deliver DE materials for academic credit must be routed through the CIL for review and ultimately through the DEC for approval.
 - To date, no internal or external audits have been conducted. In February 2016, UNTHSC was approved as an institutional member of the National Council for State Authorization Reciprocity Agreements (NC-SARA).
 - As of November 2016, the DEC has completed review and approval of 90% of DE courses offered online by UNTHSC. The review process is ongoing. (Updated this quarter)

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Interim Director of Center for Innovative Learning to provide support for compliance activities as needed.

High-Risk #5: Time and Effort Reporting (Research Grants and Contracts) HM

Description: Time and Effort Reporting certification is required to substantiate salaries and benefits charged to sponsored grants and research by UNTHSC. UNTHSC monitors compliance with regulatory requirements.

Action Taken by Management:

- UNTHSC is working with the Office of General Counsel ("OGC") to address discrepancies in time and effort reporting.
- Obtained approval from UNT System ITSS Governance Board to move forward January 2017 with plans for developing and implementing Phase 3 enhancements to assist with monitoring effort reporting activities. Efficiencies identified in the continuous improvement project with TSI consultants have been incorporated into this project. (updated this quarter)
- OGCM significantly enhanced procedures for monitoring payroll allocation activities within department, centers, and institutes as follows: (updated this quarter)
 - Created new procedures for Post Award to perform an in-depth review and assessment of payroll allocations, cost sharing, and salary cap cost sharing prior to approving an Electronic Payroll Action Request form (ePAR);
 - Created two new reports for OGCM Compliance to perform an in-depth review of payroll data prior to distributing effort reports for certification including (1) a Sponsor Commitment% vs Payroll% Report, and (2) an Overcommitted Report.
 - Established a distribution and certification schedule that meets the UNT System requirement to complete the semester process, including any necessary payroll reallocations, within 90 days after the end of the semester.
 - Established a post certification audit requirement to monitor departments, centers, and institutes on procedures for payroll allocation methodologies and practices, and proof of work documentation. Discussions are being scheduled to determine specific criteria and responsibility for performing and tracking the audits.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Interim VP of Research Administration to provide support for compliance activities as needed. The Chief Compliance and ERM Officer is assisting the OGCM in establishing ongoing compliance monitoring.

High-Risk #6: Fair Pay Practices (Human Resources) – HM (New)

Description: The Department of Labor's rules and regulations that govern overtime for non-exempt employees were set to change. UNTHSC will review policies and procedures and re-classify employees in order to comply with the changes, when effective. (Note: DOL changes were delayed and HR is monitoring further developments)

Action Taken by Management:

- Policies are posted on the intranet and accessible to any employee. System HR monitors federal and state changes in laws, regulations, and guidelines, and revises or formulates policies and procedures intended to insure that our system of internal control appropriately

limits exposure from failure to comply. System HR is responsible to develop, deliver or coordinate training and informational materials for use by our own employees, and all other campus employees whose duties require them to process human resource transactions. Such materials include but are not limited to – Daily News postings, email notifications, web site postings, posted announcements, and initiating specific changes to be made to official policy manuals as approved by the Administration. Institutional training is conducted for all new employees. Employees are required by Chapter 21, Sec. 21.010, Texas Labor Code to complete EO Training no later than thirty days after initial hire and bi-annually thereafter. An institutional database is maintained and employees are notified if they become non-compliant. Every effort is made to bring employees into compliance. Any employee who needs clarification or additional information can make an appointment to talk to the EO Office and receive answers to their questions. New Employee Orientation Attendance was 71. (updated this quarter)

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Director of Human Resources to provide support for compliance activities as needed.

High-Risk #7: Contract Administration (Finance) – HH (New)

Description: The Contracts Office manages and monitors the contract process to confirm that contracts are appropriately drafted, routed and that payments due are received or payments owed are processed as required under the terms of the agreements.

Action Taken by Management:

- Monitored contracts to ensure each is executed in compliance with contract administration rules and regulations.
- Provided one-on-one training sessions for departments with specialized contracts.
- Posted an Expiring UNTHSC Contract report on the UNTHSC Intranet and emailed an Expiring Contracts Notice to Contract Liaisons, department representatives, and department heads with a link to the report.
- Distributed quarterly Contract Liaison Update to contract liaisons, department chairs, and department representatives to communicate contract-related information.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with the Director of Contract Administration to provide support for compliance activities as needed.

High-Risk #8: Physical Safety on Campus (Operations) – HM (New)

Description: The UNTHSC Police Department, in conjunction with other departments, manages and monitors the campus in order to provide a safe environment for students, visitors and employees.

- The UNT Health Science Center Police Department is staffed by 24 full-time employees and operates 24 hours a day. UNT Health Science Center Police Officers are licensed with the Texas Commission on Law Enforcement as peace officers vested with all powers, privileges and immunities of peace officers in the States of Texas. Each is a police academy graduate who receives at least 40 hours or more of additional training every two years as required by law.

- The UNT Health Science Center Police Department provides comprehensive law enforcement services. Officers routinely patrol the campus by car, bicycle and foot. State criminal laws are enforced, as are administrative and state traffic regulations governing driving and parking restrictions. Officers take police reports when an offense or an incident is reported and criminal cases are filed in court when necessary.
- The UNT Health Science Center Police Department also employs a number of non-licensed personnel to serve as Communications Officers and Public Service Officers (PSOs). Communication Officers are certified through the Texas Commission on Law Enforcement as Telecommunications Operators. They are responsible for answering telephone and walk-up complaints, dispatching calls, monitoring surveillance cameras and alarm systems. PSOs are responsible for providing patients, visitors, and vendors coming to UNT Health Science Center with basic information such as instructions on where to park and directions on how to find campus facilities and personnel. PSOs also issue parking citations, take non-law enforcement reports, assist in covering the communications office, and drive courtesy shuttle vehicles for transporting patients to and from their vehicles to clinic entrances.
- Each Operations web presence contains detailed reference information, including policy and statute where applicable, to stimulate awareness. Compliance is discussed in standing individual team and department meetings.

Action Taken by Compliance:

- The Institutional Compliance Office works closely with Executive Director, Facilities Management to provide support for compliance activities as needed.

Section III. Compliance Training and Additional Monitoring

New Employee Compliance Training: First Quarter

- Code of Ethics/Standard of Conduct, HIPAA Privacy and Security, Reporting Child Abuse on Campus, Work Place Safety, Title IX Discrimination and Harassment, and Active Shooter training courses were assigned to 100% of new employees. 91% of all courses were completed within 30 days of assignment. Measure of Success is 95%. An enhanced monitoring process will be implemented for second quarter.

FY2017 Annual Employee Compliance Training:

- The Annual Compliance training for FY2017 was deployed on November 22, 2016. Going forward, Annual Compliance training to be deployed in the first quarter of each fiscal year. Faculty, staff and students must complete the FY2017 training by January 31, 2017 and will be held accountable for doing so.

Additional Monitoring: First Quarter

Each quarter, the Institutional Compliance Office selects certain areas to monitor in addition to monitoring the quarterly risk reports received from the Compliance Divisions. The Senior Compliance Manager resigned in May and the Chief Compliance and ERM Officer departed on 9/2/2016. The Interim Chief Compliance and ERM Officer assumed responsibilities on 9/1/2016. Limited additional monitoring took place during the first quarter due to lack of staff. The following report describes which areas were monitored.

Provider Trust Monitoring: First Quarter

Description: Provider Trust provides software that helps UNTHSC monitor whether employees are on the Office of Inspector General ("OIG") list of excluded individuals for federally funded healthcare programs as well as General Services Administration Excluded Parties List System (GSA-EPLS) and System for Award Management (SAM) exclusion list. UNTHSC runs the names of all UNT Health employees through the software on a monthly basis.

- The percentage of UNT Health employees reviewed through Provider Trust is 100%. Measure of Success is 100%.
 - 768 UNT Health employees were run through Provider Trust to confirm licenses, certifications, documentation, and verification. Completion score was 100% with zero issues found.

Timely Reimbursement of Unused Title IV Funding: First Quarter

Description: The Financial Aid Office (FAO) and the Student Finance Office (SFO) are responsible for authorizing, disbursing and delivering Title IV funding to students. The Accounting Office (AO) is responsible for recording the cash activity, including the receipt and disbursement of Title IV funds on the General Ledger, while the Finance Office (FO) is responsible for returning unused funds back to the Department of Education electronically and in a timely manner.

- The Institutional Compliance Office received confirmation from the Vice President of Finance and Planning showing that the refund was timely returned to the Department of Education.

Interim Chief Compliance and ERM Officer Primary Areas of Focus: First Quarter

The interim Chief Compliance and ERM Officer focused on gaining familiarity with the organization, current processes and oversight structures. As a result of this analysis, a need for three (3) compliance oversight workgroups was identified as follows: 1) Billing, Coding and Revenue Cycle Compliance Committee, 2) Research Compliance Oversight Committee, and 3) Information Security and Privacy Governance Committee. Draft charters have been developed during the first quarter and these oversight groups will be activated during the second quarter. In addition, an Institutional Compliance Dashboard has been implemented and will be completed each quarter.

Section IV. Compliance Reports: First Quarter

UNTHSC maintains a Compliance Hotline system with a third party vendor that allows a person to report a compliance matter or file a complaint anonymously and confidentially. The Compliance Hotline is managed by the Institutional Compliance Office. In addition, the Institutional Compliance Office receives complaints or becomes aware of compliance matters through email, by telephone or in person.

The Ethics Hotline information, which includes the hotline telephone number and information on how to report a violation, is posted on Institutional Compliance Office's website, UNTHSC's website and on signs through-out the campus. The Institutional Compliance Office provides Ethics Hotline handouts to new employees through the Human Resources orientation process.

100% of Hotline reports were dispatched to the appropriate division within 24 hours of notification. Measure of Success is within 48 hours.

As of November 30, 2016 – End of First Quarter

FY 2014-15 Outstanding Reports

- **One** Research report – (1 - In Person)
 - Monitoring a Research Integrity investigation by OIG and time and effort investigation by OGC– **In Progress – Managed by the Office of General Counsel**
- **One** Clinical Report – (1- In Person)
 - Outstanding UNTHSC invoices for hospital Program Director Services – **Resolved, corrective action taken**

FY 2016 Second Quarter Outstanding Reports

- **One** Clinical – (In Person)
 - A provider contacted the Chief Compliance Officer regarding a letter received from the Office of the Asst. Secretary of Defense – Health Affairs related to a concern about prescriptions written by the provider for Tricare patients – **In Progress, Managed by the Office of General Counsel**

FY 2016 Fourth Quarter Outstanding Reports

- **Three** Finance Reports – (3-Hotline)
 - Allegation that certain investment reports were not posted to the UNTHSC website as required and misleading statements regarding the posting were made. **Resolved, no finding of wrongdoing or improper activity.** (Hotline)
 - Allegation that an employee was asked to certify a report that contained a discrepancy. **In Progress** (Hotline)
 - Allegation of overspending of grants – **In Progress.** (Hotline)
- **Two** Clinical Reports – (1-Hotline, 1-In person)
 - Complaint against former provider regarding billing. **Resolved, without merit.** (In Person)
 - Complaint about provider billing. **Resolved, with merit. Corrective action taken.** (Hotline)
- **Two** Human Resources – (2-Hotline)
 - Concern regarding clinic supervisor's demeanor. **Resolved, without merit.** (Hotline)
 - Former employee reported use of racial slur. **Resolved, without merit.** (Hotline)

FY 2017 First Quarter Reports: September 1, 2016 through November 30, 2016

- **Two** Finance Reports – (2-Hotline)
 - Concern regarding documents scanned into the imaging system as documentation for a payment to a payer containing personal health information (PHI) that is not needed as documentation for the payment. **Resolved, with merit. Corrective action taken.** (Hotline)
 - Concern that patient was owed an overpayment for a lengthy period of time. **Resolved, with merit. Corrective action taken.** (Hotline)

- **One** Information Technology Services – (1 In Person)
 - Concern regarding a “spoofing” website found that replicated the UNTHSC “Evening With a Legend” website. **Resolved, with merit. Corrective action taken.** (In Person)

- **One** Student Affairs – (1 Hotline)
 - Concern that a faculty member is placing a bible in a common student area with verses marked. **Resolved, with merit. Corrective action taken.** (Hotline)

- **Two** Human Resources – (2 Hotline)
 - Employee feels he is being treated unfairly. **Resolved, without merit.** (Hotline)
 - Employee complained about discrimination investigation process. **Resolved, closed with advice to employee the employee grievance process is the avenue for the concern.** (Hotline)

- **Two** Operations – (1 Hotline, 1 State Audit Office)
 - Complaint regarding handicapped parking spaces. **Resolved, with merit. Corrective action taken.** (Hotline)
 - Complaint regarding plans to use 5th and 6th floors of the Patient Care Center for the new M.D. School. **In progress.** (State Audit Office)

- **One** Academic Affairs – (In Person)
 - Concern there may have been a HIPAA violation in connection with a contractual arrangement. **Resolved, without merit.** (In person)

Section I. Organizational Actions

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

Section II. Compliance Risks

High-Risk #1: Emergency Planning & Preparedness and Business Continuity (UNT Dallas Police Chief and UNT Risk Management Services, as applicable)

Action Taken by Management:

- UNT Dallas Chief of Police coordinated the installation of Emergency Preparedness placards for campus; also coordinated the installation of security cameras for the DART walkway; and, conducted some small group Campus Carry and Emergency Preparedness training for UNT Dallas faculty and staff.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continues to meet regularly with the UNT Dallas Chief of Police and UNT Risk Management Services as applicable to identify opportunities to enhance emergency planning & preparedness and business continuity processes and procedures at UNT Dallas.

High-Risk #2: Electronic Information Handling (Information Technology Shared Services - ITSS)

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73. Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to seventy-one (71) new or current employees.
- IT support is provided to UNT Dallas through Campus Technology Support Services.

Action Taken by System and/or Institutional Compliance:

- System and Institutional Compliance continue to partner with Campus Technology Support Services and ITSS to identify opportunities to enhance the processes and procedures associated with information security and Electronic Information Handling.

High-Risk #3: Grants Management (UNT Dallas Grants Writer & Administrator and UNT's Office of Grants & Contract Administration, as applicable)

Action Taken by Management and System/Institutional Compliance:

- Significant progress is being made toward mitigating the grant management risk. Institutional Compliance continues to work with UNT/UNT Dallas management to evaluate the progress made towards addressing this risk and determining whether additional opportunities are available that may be used to enhance these operations.

High-Risk #4: Having policies, procedures, and/or practices in place that may not provide protection of minors participating in UNT Dallas related activities (UNT Dallas Police Chief, UNT Risk Management Services, and Institutional Compliance)

Action Taken by Management and System/Institutional Compliance:

- UNT Risk Management Services (RMS) continues to make the 3rd party web based Child Molestation Awareness Training available to UNT Dallas employees requiring this training.

High-Risk #5: Records Management and Retention (Office of Institutional Compliance)

Action Taken by Management and Records Management and/or Institutional Compliance

- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to deliver records management and retention training to Records Management Representatives (RMRs) for UNT System Administration and campus units in addition to providing technical advice and guidance to management pertaining to complicated records management and retention questions and situations.
- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce the Records Management Representative (RMR) network for UNT System Administration and campus units.

High-Risk #6: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training PowerPoint into web-based training.

Section III. Compliance Training

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC plans to use Qualtrics to convert its Compliance Awareness Training PowerPoint into web-based training.

Section IV. Confidential and Other Complaint Reporting for UNT Dallas

- UNT Dallas maintains a Compliance Hotline reporting system that allows anonymous or confidential reporting as required by the U.S. Federal Sentencing Guidelines.
- An analysis of the **two (2) reports (via hotline)** received by UNT Dallas during this quarter reveals the following breakdown of complaints:
 - **One report was used for testing purposes.** This report was closed.
 - **One report was received pertaining to inappropriate management behavior.** System/Institutional Compliance requested additional information or the opportunity to meet directly to clarify the allegation referenced in this report.



Board Order

Title: Approval of the Minutes of the November 17-18, 2016 Board Meeting

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, the minutes of the November 17-18, 2016 Board Meeting have been prepared by the Board Secretary and are attached here for Board approval,

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

1. The Minutes of the November 17-18, 2016 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
November 17-18, 2016**

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

Thursday, November 17, 2016

The University Of North Texas System Board Of Regents convened on Thursday, November 17, 2016 in the University Union, Room 333, at the University of North Texas, 1155 Union Circle, Denton, Texas, with the following Regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Gwyn Shea, Al Silva, Glen Whitley, Laura Wright, and Christopher Lee. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 9:05 a.m.

Chairman Ryan recognized Chancellor Lee Jackson who discussed **Report on Fall Convening, Survey Climate in 2017, Legislative Session and Financial Milestones and Information Technology Investments Ahead**. Following the Chancellor's remarks, UNT President Neal Smatresk reported on **Athletics Update, Upcoming Events and Donor Updates, and Research Collaborations**. President Smatresk also introduced UNT's new Athletic Director, Wren Baker.

At 9:37 a.m. the Chairman recessed the Board 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 3:02 p.m., at which time Chairman Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071, 551.074 and 551.076.

Chairman Ryan reconvened the Board into open session at 5:36 p.m. with no action items coming out of Executive Session.

There being no further business, the Board meeting was recessed at 5:37 p.m. on Thursday, November 17, 2016, to be reconvened at 8:00 a.m. on Friday, November 18, 2016, at the same location.

Friday, November 18, 2016

The University of North Texas System Board of Regents convened on Friday, November 18, 2016 in the University Union, Room 333, at the University of North Texas, 1155 Union Circle, Denton, Texas, with the following Regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Al Silva, Glen Whitley, Laura Wright, and Christopher Lee. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 8:02 a.m.

Chairman Ryan recognized Dr. Stevens Brumbley who had requested to speak on an agenda item, the consideration of the recommendation to terminate for adequate cause the tenured employment of Dr. Brumbley, Associate Professor, Department of Biology, College of Arts and Sciences, University of North Texas, and possible action, which was posted for Executive Session. Dr. Brumbley spoke for approximately five minutes as allowed by Chairman Ryan.

At 8:08 a.m., Chairman Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071 and 551.074.

Chairman Ryan reconvened the Board into open session at 9:03 a.m. with one action item coming out of Executive Session.

2016-64 UNT Recommendation to Terminate Dr. Stevens Brumbley, Ph.D., Associate Professor, a tenured faculty member in the Department of Biological Sciences, College of Arts and Sciences, University of North Texas

Pursuant to a motion by Regent Glen Whitley seconded by Regent A.K. Mago, the Board approved the above action item. The motion was approved 8-0 on a roll call vote. Brint Ryan voted "yes". Milton Lee voted "yes". A.K. Mago voted "yes". Don Potts voted "yes". Rusty Reid voted "yes". Al Silva voted "yes". Glen Whitley voted "yes". Laura Wright voted "yes".

Chairman Ryan recessed the Board for the meetings of the Academic Affairs and Student Success, and Finance and Facilities Committees.

Following the Committee meetings, Chairman Ryan reconvened the full Board at 9:53 a.m.

The first item of business was consideration of the Consent Agenda. Regent Whitley asked to be recused from consideration of the last two items on the Consent Agenda, so the Consent Agenda was considered in two motions. First, the Board considered the following items on the Consent Agenda:

2016-65 UNTS Approval of the Minutes of the August 18-19, 2016, Board Meeting and September 6, 2016, Special Called Board Meeting

- 2016-66 UNTS** **FY18 & FY19 Holiday Schedule for the UNT System Administration, UNT, UNTHSC, and UNT Dallas**
- 2016-67 UNT** **Approval of UNT Emeritus Recommendations**
- 2016-68 UNTHSC** **Approval of Tenure Recommendation for New UNTHSC Faculty Appointee**

Pursuant to a motion by Regent Rusty Reid seconded by Regent Glen Whitley, the Board approved these action items on the consent agenda 8-0.

The last two items on the Consent Agenda were then considered.

- 2016-69 UNTHSC** **Authorization to Enter into Agreement Between Tarrant County Public Health and UNTHSC for Continuing Education Program**
- 2016-70 UNTHSC** **Subcontract and BAA from Tarrant County for “Ryan White HIV/AIDS Program Part D Grants for Coordinated HIV Services and Access to Research for Women, Infants, Children, and Youth (WICY)” to be Provided to UNTHSC, PI Dr. Amy Raines-Milenkov**

Pursuant to a motion by Regent A.K. Mago seconded by Regent Don Potts, the Board approved the action items on the consent agenda 7-0, with Regent Whitley recused.

The Board then considered the following action items coming out of committees:

Academic Affairs and Student Success Committee Items

- 2016-71 UNT** **Approval of New UNT Bachelor of Arts Degree Program with a Major in Japanese**
- 2016-72 UNT** **Approval to Add the TWU and UNT Joint Master of Social Work Degree Program**
- 2016-73 UNT** **Approval to Add the UNT Master of Arts Degree Program with a Major in Women’s and Gender Studies**

Pursuant to a motion by Regent Al Silva seconded by Regent Milton Lee, the Board approved the above action item 8-0.

Finance and Facilities Committee Items

- 2016-74 UNTS** **Approval to Request to Exceed the Full-Time Equivalent Limitation for Fiscal year 2017**
- 2016-75 UNTS** **Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B; Authorizing the Issuance of Tax-Exempt and Taxable Commercial Paper Notes; and Approving and Authorizing Instruments and Procedures Relating Thereto**
- 2016-76 UNTS** **Twenty-Fifth 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**
- 2016-77 UNTS** **Amendment to Regents Rule 10.300, Debt Management**
- 2016-78 UNTS** **Approval of Amended UNT System Regulation 08.2000, Investment of System Funds**
- 2016-79 UNTS** **Approval to Extend Agreement for Firm to Perform the FY 2017-2018 UNT System External Audits**
- 2016-80 UNTS** **Acquisition of Real Property Located at 1125 North Texas Boulevard, Denton, Texas**
- 2016-81 UNTHSC** **Approval of UNTHSC Professional Medical Malpractice Self-Insurance Premium Rates**

Pursuant to a motion by Regent Rusty Reid seconded by Regent Glen Whitley, the Board approved the above Finance and Facilities Committee action items. The motion was approved on an 8-0 vote.

At 9:56 a.m., Chairman Brint Ryan moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.074.

Chairman Ryan reconvened the Board into open session at 11:57 a.m. with no action items coming out of Executive Session.

There being no further business, the Board meeting was adjourned at 11:58 a.m. on Friday, November 18, 2016.

Submitted By:

Approved By:

Rosemary R. Haggett

Rosemary R. Haggett, Board Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Date: _____

Date: _____



Title: Approval of UNT Faculty Development Leaves for 2017-2018 Academic Year

Background:

In accordance with UNT Policy 06.010, *Faculty Development Leave Policy and Guidelines*,

“Faculty development leaves are authorized for the primary purpose of increasing the value of the recipient’s sustained contribution to the university by providing the individual an opportunity for professional growth. Such developmental leaves are not to be understood as deferred compensation, nor are they to be anticipated simply on the basis of longevity at the university, alone. Development leave may be granted, upon application, for study, research, writing, field observations, or other suitable purposes.

Opportunities for additional training, for improving skills, and for maintaining currency is understood to be included as a purpose of development leave.”

In 1984, UNT began granting faculty development leaves, recognizing the need for faculty to have an opportunity to pursue major research or creative projects in order to contribute to the body of knowledge in their fields and better serve their students by remaining current in their disciplines. In 1987, the 70th Texas Legislature similarly encouraged universities to expand faculty development programs through a series of measures that increased flexibility in accounting for faculty activities.

In the ensuing years, the faculty development leave program has proven vital in maintaining discipline mastery for our faculty as we push forward toward national research status. These development leaves contribute greatly to the increase in research funding, research publications, and national recognition for UNT.

After careful review of proposals at the department and college levels, by a Faculty Senate committee, and by the Provost and Vice President for Academic Affairs, UNT plans to award a total of 48 (4.5% of the full-time faculty) developmental leaves for the upcoming academic year. This represents a decrease in the number and percentages of faculty development leaves that have been approved in the past several years.

Financial Analysis/History:

The cost incurred as a result of the recommended faculty development leaves will be covered by existing college/school budgeted funds and will total approximately \$312,174. This figure represents total adjunct salary costs to cover the courses for the faculty on development leave.

Bob Brown Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North Texas,
ou=VP for Finance and Administration,
email=Bob.Brown@unt.edu, c=US
Date: 2017.02.03 11:20:06 -06'00'

Institution Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2017.02.08 12:35:23 -06'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2017.02.08 17:48:42 -06'00'
Vice Chancellor/General Counsel

Schedule:

2017-2018 Academic Year

Recommendation:

The President recommends that the Board of Regents approve the faculty development leaves for the individuals named on the attached list.

Recommended By:

O. Finley Graves
Provost and VPAA

Neal Smatresk
Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University of North Texas, ou=President, email=neal.smatresk@unt.edu, c=US
Date: 2017.02.07 10:03:38 -06'00'
President

Rosemary R. Haggett
Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North Texas System, ou=Vice Chancellor for Academic Affairs and Student Success, email=rosemary.haggett@untsystem.edu, c=US
Date: 2017.02.06 16:09:26 -06'00'
Vice Chancellor

Lee Jackson
Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System, ou=Office of the Chancellor, email=lee.jackson@untsystem.edu, c=US
Date: 2017.02.10 10:26:15 -06'00'
Chancellor

Attachments Filed Electronically:

- UNT Faculty Development Leaves for 2017-2018 Academic Year



Board Order

Title: Approval of UNT Faculty Development Leave for 2017-2018 Academic Year

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in 1984, UNT began granting faculty development leaves, recognizing the need for faculty to have an opportunity to pursue major research or creative projects in order to contribute to the body of knowledge in their fields and better serve their students by remaining current in their disciplines, and

Whereas, in 1987, the 70th Texas Legislature similarly encouraged universities to expand faculty development programs through a series of measures that increased flexibility in accounting for faculty activities,

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

1. Faculty development leave for academic year 2017-2018 for the UNT faculty as set forth in the attached list.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**UNT FACULTY DEVELOPMENT LEAVE RECOMMENDATIONS
2017-2018**

Name		Rank	Department	Abstract	Objectives	Leave Period Requested
Mickey	Abel	Associate Professor	Art Education and Art History	<p>Bourgueil's Cartulary and Maillezais' Chronicle illustrate the familial relationships linking the patronage and foundational politics of the two medieval abbeys, and suggest a similarly linked philosophical understanding of each monastery's relationship to its topographic local, which would have dictated design factors such as architectural configuration, as well as the socio-economic benefits of environmentally specified infrastructure. Separating the two abbeys is the type of evidence available to the historian. Maillezais is rich in extant architecture and an extensive system of infrastructure, but there remains only the Chronicle to substantiate the motivations of its benefactors or authorities. Conversely, at Bourgueil, little remains of the standing structure, but its library is rich in material that has not been mined for this type of comparative research. These documents are not available outside of the archive. The primary activity of this leave is to go to Bourgueil's archives to access these documents in order to substantiate my argument that the two abbeys would have shared economically-driven environmental philosophies. This research will be done in conjunction with a field survey of the abbey's topography and surviving infrastructure. While this program of study will produce comparanda for the final chapter of my Maillezais monograph, it will, importantly, open a new line of inquiry on Bourgueil to be published first as an article, developing into its own monograph. As it broadens my area of expertise, this work will enhance my standing in the international field of medieval architectural studies and initiate new avenues for student participation and collaboration.</p>	<p>Located in separate dioceses and in separate ruling counties, the two abbeys, Maillezais and Bourgueil, were linked by noble marriage, their primary patron being the Duke of Aquitaine's wife, Emma of Blois. Because of this relationship, my key objective in this new study, which proposes to compare the documentary evidence with archaeological field data, is to demonstrate that the circumstances of the founding of these two abbeys by the same woman within a couple of years from one another, coupled with the fact that they shared an initial abbot and cadre monks, signaled three corollary assumptions: 1) a similar outlook between the two abbeys on local politics, 2) a similar philosophy on the environmental stewardship of the abbey's land and resources, and 3) a similar attitude toward the economics inherent in managing a landed domain. Although the primary outcome will be publications and articles leading to a new monograph, the more expansive outcome, as has been the case with my work at Maillezais Abbey, is the opening of graduate student field opportunities that this type of interdisciplinary research provides archaeological field surveying, architectural drafting, geographic information system (GIS) mapping of extant infrastructure, as well as the archival exploration. Thus, while the co-publishing of student work will serve to enhance the general reputation of Medieval Studies at UNT, the work in general facilitates interdisciplinary collaboration between my UNT colleagues in Geography and the various affiliates of Medieval Studies, but also between them and our international counterparts in France.</p>	Spring 2018

Pieter	Allaart	Associate Professor	Mathematics	<p>I will spend about one month of the leave period at Utrecht University, one month at the University of St. Andrews, and the rest in Denton. In Utrecht, I will work on beta expansions with Dr. Karma Dajani, an expert in ergodic theory and number theory. In St. Andrews, I will work on multifractal analysis of self-affine functions in consultation with three of the world's leading experts in the field: Drs. Kenneth Falconer, Lars Olsen, and Jonathan Fraser. An opportunity to communicate closely with these outstanding and internationally recognized scholars is likely to provide a boost to my own research and take it to the next level. This will improve my chances to be promoted to full professor in the next few years. At both institutions, I will also actively participate in weekly research seminars on analysis and probability. In Denton, I will prepare for my upcoming research visits and finish research projects begun at two host universities. I expect to finish at least two research articles during the leave period, and hope to lay the groundwork for future publications, which will be submitted to international peer-reviewed research journals. The research performed while on leave will form the basis of a future external grant proposal to be submitted to the National Science Foundation (NSF). I am currently applying for an NSF grant and will apply for a grant from the Simons Foundation this January to help pay for the necessary travel.</p>	<p>The primary objective of the leave is to develop research collaborations with mathematicians in the Netherlands and the United Kingdom. My research area, which belongs to the fields of real analysis and fractal geometry, is much more active in Europe than in the U.S., and therefore I will spend parts of the leave (about one month each) at two European institutions: Utrecht University and University of St. Andrews. At Utrecht University, I will work with Dr. Karma Dajani on beta-expansions, a subject at the intersection of fractal geometry and number theory. Dr. Dajani's background in ergodic theory and number theory complement my strengths in analysis and probability, and therefore this collaboration is expected to lead to new breakthroughs in the theory of beta-expansions. At the University of St. Andrews, I will work on multifractal analysis of self-affine functions in close communication with Professors Kenneth Falconer, Lars Olsen, and Jonathan Fraser. Dr. Falconer is a top authority in the field of fractal geometry, and his books on the subject have long been standard reference texts. Dr. Olsen specializes in multifractal analysis. His insights and experience are bound to inspire new directions for my research. Dr. Fraser is a rising star in fractal geometry who has already pushed the field in new and exciting directions. Communicating with these outstanding scholars will be greatly beneficial for the quality of my future research papers and grant proposals. A more concrete objective is the publication of one or more research papers.</p>	Spring 2018
Thorne	Anderson	Associate Professor	Journalism	<p>With the boom of online news and multimedia presentation, journalism has become increasingly visual and interactive. At the same time increased access to vast troves of digital data via the internet has spurred the development of new techniques and technologies in data visualization. The primary activities of this leave will be the study of innovative developments in interactive data visualization and the development of expertise in the rapidly expanding field of data journalism. This experience will greatly increase my capacity as a visual journalist, position me as a cutting edge leader in journalism education, prepare me to guide students into high-demand jobs which scarcely existed even a few years ago, and allow me to mentor other faculty members in the School of Journalism as we all strive to stay ahead of these exciting trends in visual communication. This development represents the natural growth in my career trajectory as a multimedia storyteller.</p>	<p>As I expand my expertise I will simultaneously build a sorely needed course with the working title "Graphic Journalism." With this course, I seek to synthesize skills & principles that traditionally have been compartmentalized into "investigative journalism," "visual communication," "online journalism," & "graphic design." I believe this compartmentalization is a reason journalism schools have done poorly at producing well-rounded data visualizers despite intense demand. "Graphic Journalism" will emphasize skills integration & will include modules which introduce basic concepts and skills in each of the above-mentioned areas. Students will learn techniques for acquiring public data & continue working with same data sets to develop term project stories as they move through course modules on data preparation, investigative story development, graphic representation, & interactive multimedia publication. Integration of diverse skills in a single semester can be made possible by circumventing time-consuming computer coding instruction. I will employ an array of new off-the-shelf, affordable computer applications for data analysis, graphic design, GIS mapping, & interactive design with no need for coding expertise. Examples include Plot.ly, Carta DB, Many Eyes, Tableau and Swivel. high demand for data visualization in news organizations (as well as in other fields) coincides with a recent boom in these new technologies which have lowered barriers for entry, making this an ideal time to reimagine ways we teach these skills. I will also submit a proposal for presentation & publication of this innovative pedagogy to the Association for Education in Journalism & Mass Communication & associated journal, Journalism & Mass Communication Educator.</p>	Spring 2018

Jorge	Avilés Diz	Associate Professor	World Languages, Literatures, and Cultures/Spanish	<p>I am requesting a Faculty Development Leave (FDL) to continue research I have begun on the representation of historical memory, trauma and modernity in contemporary Spanish Theatre. To date, critics and historiographers have focused their studies on historical texts, documentaries, novels and movies about the Francoist repression immediately after the Spanish Civil War, but have devoted scant attention to other genres, like theatre. Contemporary Spanish Theatre was not exempt from this ongoing dialogue, and recuperation of the Spanish national past and the works of playwrights such as Guillem Clua, Itziar Pascual, Gracia Morales, and Alfredo Sanzol are good examples. Yet, because the theatrical response has not received as much critical and popular attention as novels or films, its contribution to the field of historical memory is often dismissed or viewed as secondary to that of other literary genres. Besides this, since the main purpose of theatrical literature is it be staged, my monograph will also study the different reactions of the audience according to the geographical locations of the performances and their different ideological alignment during the Spanish Civil War. I already have published several essays on this topic, but in order to produce a monograph, I need significant time away from campus to travel to Spain to conduct more in-depth research.</p>	<p>I have three expected outcomes for my FDL. The first outcome will be the completion of a working draft of two of the five chapters of my book manuscript (chapters 3 and 4). The second outcome will be the revision of the introduction and the first chapter, based partially on the research I have been doing from 2014-2016 that has already produced several articles and conferences (see CV). The third result of my FDL will be the search for printed versions of several plays on political theatre that, although staged, never have been published, a common problem nowadays for the study of contemporary drama. Although my research focuses mainly on theatrical literature, my time in Madrid will also allow me to attend different performances and interview several playwrights with whom I am already in contact. This material will be used to compose the fifth and last chapter of my book on the Historical Memory of the first years of democracy in Spain. Finally, after the FDL I will use the fall semester of 2018 to finish the last chapter and review my entire manuscript draft with the goal of submitting it to one or more academic presses such as Tamesis, Iberoamericana or Juan de la Cuesta at the beginning of 2019.</p>	Spring 2018
Ryan	Boettger	Associate Professor	Technical Communication	<p>My research focuses on technical writing curriculum & assessment. Understanding disciplinary writing differences has become increasingly relevant as writing instruction moves from literature-based composition courses in English departments to include technical writing & content-based courses taught by scholars in different disciplines. An effect of these changes is that students need to write in a way that conforms to the practices of a discipline they may not be familiar with. To facilitate this learning process, I have co-created The Technical Writing Project (TWP), an electronic databank of student technical writing that allows users to engage with authentic language data in order to learn discipline-specific writing conventions. Research on this project has been published in top-tier writing studies journals & UNT internal funding has supported the development of a user interface where instructors, researchers, & students can search texts on a number of metadata. FDL will allow me to complete a manuscript that introduces TWP as a resource that can enable writing researchers & teachers to investigate the written discourse of student writers. Additionally, it will give me time to conduct an experimental pilot study on the effects of data-driven learning using TWP. The data-driven learning model fosters learner engagement & allows students to explore a topic on their own terms. These activities will extend the impact of my research outside of technical communication & contribute to my goal of earning full professor.</p>	<p>The TWP includes 5,810 texts of student technical writing. These texts represent a variety of text types, job materials, instructions, white papers, and briefing notes, that were produced by 871 undergraduates who represent over 40 different academic majors. TWP will be completely inventoried by Fall 2017. Therefore, I anticipate two primary outcomes from this FDL. First, I will complete a manuscript that will introduce TWP as a resource that can enable writing researchers and teachers to investigate the written discourse of student writers. This article will appeal to a variety of disciplines (applied linguistics and technical communication) and audiences (teachers and researchers). Additionally, the majority of TWP texts were produced by STEM students in scientific writing courses, so this initial publication could motivate another paper focused on a STEM education journal. Second, I plan to conduct a pilot study on the effects of data-driven learning. Research on learning styles suggest that STEM students tend to be more active than reflective and more visual than verbal. Therefore, engaging these students with the TWP through a series of data-focused instructional units is an important next step in my research. Eventually, I believe all of this data could support an NSF grant in the area of STEM education. I'm currently resubmitting an NSF grant this November, but the grant is specifically focused on biology education and is not contingent on this FDL.</p>	Spring 2018

Benjamin	Brand	Associate Professor	Music History, Theory, and Ethnomusicology	<p>As the capital of western Christendom, Rome played a central role in the formation of urban identity in the Middle Ages. My project explores a critical yet little studied way in which cities in one particular region, namely Tuscany, promoted a sense of Romanitas (Romanness); i.e. via the adoption of the Roman stationary liturgy beyond Rome. Strictly speaking, the stationary liturgy denoted masses sung annually by the pope and his retinue at Roman churches. With the support of the FDL, I will publish two major articles, of which the first maps the stationary liturgy of one particular Tuscan city (i.e. Lucca) in the early Middle Ages (ca. 700-1000). In so doing, it develops new strategies for reconstructing ecclesiastical music and ritual during a period for which few liturgical sources survive. The second article in turn presents a comparative study of stationary liturgies in four Tuscan cities in the central Middle Ages (ca. 1100-1300), reconstructing these rites in all their aural and visual splendor. Together, these two articles reveal how the burgeoning city-states of medieval Tuscany adapted the Roman practice of stationary liturgy to their own urban topographies and, in so doing, cultivated their own sense of Romanitas.</p>	<p>The objective of this project is to publish two major articles in prominent, peer-reviewed journals, articles that engage in a broader cross-disciplinary conversation regarding urban development in medieval Italy.</p>	Spring 2018
Marijke	Breuning	Professor	Political Science	<p>My main objective for the leave is the completion of my book, entitled "Foreign Policy and Intercountry Adoption: Role Dissonance in Russia, China, and Ethiopia." The book employs role theory, which was originally developed in sociology and employs metaphors derived from the theatre. Rather than thinking in terms of "big powers" and "small states," role theorists recognize that decision makers actively shape the state's role in international affairs, albeit within constraints. Role theorists increasingly recognize that states play multiple roles, which may coexist uncomfortably. The book investigates the tension between the "great power" aspirations of Russia and China and the regional power aspirations of Ethiopia, on the one hand, and their role as sending countries in international child adoption on the other. The latter role is widely perceived by decision makers within each country as dissonant with the state's power aspirations. The study focuses on when, why, and how role conflict (the dissonance or tension between two or more foreign policy roles) becomes a salient political problem, as well as how decision makers resolve such role conflict. I have employed role theory in my previous work and have also studied intercountry adoption. The book allows me to raise my profile as a scholar of role theory in the field of international politics and solidify my contributions to the politics of international child adoption. Routledge has expressed a strong interest in including my book in its book series on Role Theory and International Relations.</p>	<p>My main objective for the leave is the completion of my book, entitled "Foreign Policy and Intercountry Adoption: Role Dissonance in Russia, China, and Ethiopia." The book employs role theory, which was originally developed in sociology and employs metaphors derived from the theatre. Whereas the study of international politics often relies on classifying states as "big powers" and "small states," role theory recognizes that decision makers shape the role that the state plays in international affairs, albeit within the bounds of what other states perceive as realistic. I have made various article-length contributions to role theory scholarship in foreign policy and international relations. However, a single-authored book will raise my profile as a scholar in this field of international politics. Additionally, the book will allow me to raise my profile as a scholar of the politics of intercountry adoption, a subject on which I have published several peer-reviewed journal articles. I plan to deliver a complete, single-authored book manuscript to Routledge by the conclusion of the leave. The manuscript will undergo peer review. Routledge's senior political science research editor, Natalja Mortensen, will commission several reviews, in consultation with the editors of the book series on Role Theory and International Relations, Cameron Thies and Juliet Kaarbo.</p>	Fall 2017

Jennifer	Callahan	Professor	Psychology	<p>It is well documented that client outcomes in psychology training clinics are substantially poorer than outcomes among clients being treated in other settings, the reason for this disparity is unclear. Efforts to understand & resolve this disparity require careful monitoring of client change session-by-session, across full course of treatment. However, no client outcome measures have been developed for specific use in psychology training clinics. My research team & I have successfully prepared the necessary foundation to address this problem. This includes developing a multi-site research network of training clinics, publishing an inaugural study, securing financial backing from the Society for the Advancement of Psychotherapy to pay certain measure development costs (e.g., participant compensation; translation to Spanish), & completion of advanced training in necessary statistical approach (item response theory analyses). At this point, we have developed an initial item pool & have secured Institutional Review Board (IRB) approval; data collection began 9/17/16 & we have already run 47. Building upon those efforts, my primary activities on leave will be to, 1) analyze gathered data, 2) refine the item pool, 3) extend data collection nationwide, & 4) translate the resultant measure into Spanish. Leave activities will promote my national visibility among psychotherapy researchers & contribute to the reputation of the clinical psychology doctoral program (which has as one of its advertised values & marks of excellence its commitment to measure development). The immediate intended outcome of the leave activity is the production of a new client outcome measure for use in psychology training clinics.</p>	<p>The primary outcome is the production of a new psychotherapy outcome measure. To support that endeavor there are additional objectives with clear outcomes. First, the findings will be submitted for publication in a peer-reviewed journal (a copy of which will be supplied). Second, I will schedule two trips to meet with key national and international collaborators for my research program (a summary of the meetings and projects discussed will be provided).</p>	Fall 2017
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Denise	Catalano	Associate Professor	Disability and Addiction Rehabilitation	<p>If granted FDL, I will use the leave to work on a research project that involves establishing strong research ties with collaborators at medical and rehabilitation facilities, and national and international colleagues in my field for the purpose of collecting data that will lead to furthering our understanding of adaptation to disability. During my leave I will improve my research skills by engaging in a series of activities designed to examine how resilience among individuals who have sustained a traumatic injury and the individuals who have taken on responsibility for their care can be facilitated through an ecological approach. Most recently I collaborated with a colleague at a university in Tokyo, Japan to present our conceptualization of ecological research from two cultural perspectives at an international conference. By continuing this work during my leave I have an excellent opportunity to enhance my own academic career by successfully completing a research project that will lead to additional research projects. The intended outcome of this activity is the construction of an assessment instrument for use by health and community service providers to identify the needs of individuals with disabilities who have acquired a traumatic injury and disability, and their caregivers. This information would be used to develop models of care that could effectively and efficiently facilitate an individuals' adjustment to disability and enhance the resilience of both the individual and his/her caregiver through community resources. This outcome would generate data for future projects, publications, and grant proposals.</p>	<p>The primary outcomes I anticipate achieving due to the leave activities include: 1) creation of a network of colleagues and healthcare providers for ongoing collaborations on research projects regarding resilience and adjustment to disability issues; 2) construction of an assessment instrument that can be used to identify the needs of individuals who have acquired a disability due to a traumatic injury and his/her caregivers; 3) establishment of a data set that can be used to develop and test models of ecological resilience and adjustment to disability; and 4) An ongoing series of published articles in peer-reviewed journals and presentations at national/international conferences regarding the relationships between resilience, adjustment to disability, and the availability and access to culturally meaningful resources in the community for individuals who have acquired a disability and his/her caregivers. Essentially, the leave activities will allow me to organize a collection of data that can be used to test models and inform healthcare and community service providers of those services and interventions identified by individuals with disabilities and their caregivers as being needed to help them maintain their well-being. This program of research will provide information that could minimize the rate of rehospitalization by individuals with traumatic injuries due to insufficient care given to their physical and psychological needs as well as the rate of depression among caregivers.</p>	Fall 2017
Oliver	Chyan	Professor	Chemistry	<p>As integrated circuits continue to miniaturize, the minute dimensions (< 10 nm) involved in advanced microelectronic device architecture can greatly accelerate the progression of on-chip microscopic corrosion into an increasingly severe reliability threat. Since 1992, I have obtained over \$3,248,000 grant supports for my microelectronic related research efforts that successfully produced three U.S. patents, large numbers of publications, invited talks and conference presentations and, most importantly, well-trained graduate students who are highly sought after by the microelectronic industry. The primary activity of this proposed leave is to explore the microscopic corrosion mechanism defects using a new Scanning Electrochemical Microscope (SECM) invented by Professor A.J. Bard at UT-Austin and provided by CH Instruments. The planned outcome of FDL are, 1) learn to use 9200 SECM and explore new application in microscopic corrosion. 2) Collect SECM data to test different hypotheses of microscopic corrosion mechanisms. 3) Design specific configuration of SECM, establish cost structure for subsequent proposal preparation and grant application. The proposed FDL will allow me to synergistically combine my group's strength in microelectronic research with the world's leading SECM microscope researcher to solve the critical issues of microscopic corrosion defects. I anticipate the new insights on origins of microscopic corrosion and its prevention approaches will greatly enhance my ability to acquire more external grants and attract new graduate students to UNT.</p>	<p>My research group has a strong international reputation in inventing novel characterization methodology to explore new microelectronic materials and characterize critical interfaces relevant to advanced microelectronic fabrication. Since 2000, co-workers and I have received three U.S. Patents based on new metrology invented in my Interfacial Electrochemistry and Materials Research Laboratory. These new technological advancements has attracted extensive collaboration and continue funding supports from major microelectronic industry like Intel. As the relentless miniaturization driving transistor size toward 7 nm (~2019) and 5 nm (~2021), there is a pressing need of further stringent control on microscopic corrosion related defects in advanced integrated circuit fabrication. The primary outcomes planned for this FDL research are, 1) explore and develop a new Scanning Electrochemical Microscopy (SECM) metrology to characterize and prevent microscopic corrosion defects encountered in advanced microelectronic fabrication. 2) Collect SECM data to establish working hypotheses toward establishing accurate microscopic corrosion mechanisms that can lead to effective corrosion prevention. 3) Design specific SECM instrument configuration for targeted microelectronic application and establish cost structure for new proposal preparation and grant application.</p>	Fall 2017

Patricia	Cukor-Avila	Professor	Linguistics	<p>A primary outcome from this FDL will be the creation of an online corpus of rural Texas speech (CoRTS) from two time periods: the late 1990s and 2017/2018. The proposed project, the Linguistic Survey of Rural Texas Speech (LSRT), will complement my current research through continued field research in rural Texas communities, providing new data for in-depth comparative research publications that investigate variation and change over time in rural Texas speech, as well as broader issues in the field such as linguistic diffusion from urban to rural areas and the effects of population shift and demographic change on rural speech patterns. The following is a projected time frame for the project, Spring 2017: incorporate fieldwork, transcription, and analysis into the content of LING 5330 Sociolinguistics. Students will work on course-related field projects in local rural communities. Fall 2017: apply for a small grant to train students in linguistic fieldwork and to begin the transcription and analysis of the 1998 interviews with students interested in using the data for independent study projects or thesis research. Spring 2018: proposed FDL semester where I will conduct fieldwork with students from the previous semester. Fall 2018: develop an interdisciplinary course on mapping linguistic variation and change (to be taught in spring 2019) that will include modules on database design and quantitative analysis. Fall 2018: complete research articles using the LSRT data. I also plan to apply for a larger externally funded grant to conduct additional fieldwork in Texas, complete the linguistic analysis, and further develop the online corpus (CoRTS).</p>	<p>The primary outcome from this FDL will be the creation of an online trend study corpus of rural Texas speech (CoRTS) from two time periods: the late 1990s and 2017/2018. The corpus will include audio recordings of each interview, word-for-word transcriptions of the interviews, and meta-data associated with the communities and speakers. Data and analysis from the this research will be disseminated in a series of refereed conference presentations and journal articles about the methods of the project and the analysis of the data. Students will also benefit from this project as I plan to train and work with graduate and undergraduate students throughout the duration of the project who are interested in learning the techniques of sociolinguistic fieldwork and who want to use the LSRT data for independent study projects or thesis research. I also plan to develop an interdisciplinary course on mapping linguistic variation and change (to be taught in spring 2019) that will include modules on database design and quantitative analysis.</p>	Spring 2018
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Ramanamurthy	Dantu	Professor	Computer Science and Engineering	<p>Primary Activity: the current set of emergency protocols in 9-1-1 centers contain a deck of cards with questions. Each caller's complaint is listed in alphabetical order as they arrive, & reflected either as a symptom (e.g., abdominal pain, burns, cardiac/respiratory arrest) or incident (e.g., electrocution, drowning, or traffic injury accident). I will be working closely with experienced 9-1-1 call takers & dispatchers. I will analyze & develop two to-three new protocols (e.g., CPR instructions, vital signs collection) while working hand-in-hand with staff of 9-1-1 centers. For example, without asking a single question, sensors (e.g., accelerometer, camera) in cell phones can detect vital signs (e.g., heart rate, respiratory rate) of the victim & automatically transmit data to 9-1-1 dispatchers, facilitating their assessment of the emergency situation. Enhancing Academic Career: the actual complete redesign of all 30 protocols (including standards) is a magnanimous effort, whereas this FDL application just signifies its start. We need to address many issues & challenges in converting dispatch protocols. Developing two-to-three new protocols during FDL can help my long-term plan for the development of a large funding proposal for all 30 protocols. Intended Outcome of Activity: I will be reviewing research plans with several 9-1-1 centers & first responders. To explore how NG9-1-1 multimedia technology can facilitate the communication, we need to identify & measure miscommunication. I have plans to measure the response time & bandwidth using current, as well as new protocols. One outcome of the study can be to decrease response time to 60 seconds.</p>	<p>1) I will work with 9-1-1 centers and come up with a strategy for integrating multimedia information from the emergency scene into the 9-1-1 operator screens. I plan to develop a requirements document. 2) I would like to summarize the findings and document engineering guidelines for a converged 9-1-1 network. 3) A demo (prototype) of one protocol in "9-1-1 Goes to Washington" conference to congressional staff in the Capitol Hill in 2018.</p>	Fall 2017
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Lisa	Dicke	Professor	Public Administration	<p>The primary activity of the development leave is to conduct research on nonprofit advocacy and administrative capacity building that will result in a published book and strengthened nonprofit and public administration graduate courses at UNT. The leave will allow me the time to travel to meet with experts in both academics and nonprofits who can provide insights into the preparation of the book. Although other books exist that examine public organization and nonprofit management, many of the offerings are works published by for-profit consultants that have little theoretical or foundational grounding suitable for an upper division undergraduate or graduate level student or practitioner. The national and international markets for advanced nonprofit education are growing, and the book should enhance my own academic reputation and serve to raise the reputation of the programming, curriculum and level of public and nonprofit education offered at UNT. The outcome of the leave will be the completion of research necessary to secure a contract with a recognized and high-quality publisher. Most books that currently exist consider only one type of nonprofit charitable organization. This book will expand to include discussion of foundations, professional nonprofits, national and international capacity building organizations and local clubs. A much broader and complete understanding of the nonprofit sector and management across organizational types will be one educational outcome. One important goal is to place a UNT education for graduate students at the forefront of education in research, innovation and management in the nonprofit sector.</p>	<p>The primary objectives will be to conduct interviews and collect data from public managers, nonprofit executives, and other organization officials to supplement the theory and literature reviews included in the book. The outcomes will be the successful body of data collected and analyzed, and the completion of chapters acceptable for a publishable book on public and nonprofit advocacy and governance. Many of the existing works on nonprofit administration and advocacy have little foundation in empirical management science and are based on the advice of for-profit consultants. My contacts will include discussions with publishers including Sage, Jossey-Bass, Westview Press, and ICMA. I have been in discussions with Westview Press on other successful book projects. Millennium Press is also a possible outlet. Major buyers will include university professors, students and practitioners in the nonprofit fields and those in regional, federal, state and local government markets who work hand in hand with nonprofits. The book will cut across a variety of disciplines including fields of nonprofits, public administration, political science, social work and business.</p>	Fall 2017
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Rebecca	Dickstein	Professor	Biological Sciences	<p>Legumes, plants in the bean family, can form nitrogen-fixing root nodules in symbiosis with soil bacteria called rhizobia. This symbiosis provides a path for nitrogen to enter the food chain in an environmentally friendly way, without synthetic fertilizer, making symbiotic nitrogen fixation (SNF) important to agriculture and animal and human nutrition. Important goals are to understand how nodules form with the aim of making SNF more efficient and widespread among plants. <i>Medicago truncatula</i> is a model legume - the "fruit fly" of the bean family - this is the plant I study. The development of SNF nodules is complex. During nodulation, the bacteria become internalized inside the plant roots and subsequently inside root cells, with each bacterium in specialized compartments within specialized cells. This makes transport of substances across the compartments and cells important to fully understand. Intrinsic to this knowledge is to understand the location of the transporters themselves. During my proposed development leave, I intend to work with my long-time collaborator Dr. D. Janine Sherrier at the University of Delaware (UD) during Spring 2018. My leave goals are 1) experimental research on a) localizing transporters to determine which compartments they control and b) localizing RNAs that may be transported across compartments, and 2) an uninterrupted period for writing manuscripts and grant proposals. UD has state-of-the-art bio imaging facilities to which I will have access. I expect these activities to open up new areas in SNF to enhance my competitiveness for federal funding and strengthen research ties between UNT and UD.</p>	<p>There are several anticipated outcomes: The first is scientific publications on specific genes' ribonucleic acid (RNA), controlling elements' and proteins' localizations within SNF nodules of the legume plant <i>Medicago truncatula</i>. The second outcome is proposals and potential funding for new research areas anticipated to result from the activities. The third outcome is a reinvigorated collaboration with Dr. D. J. Sherrier at UD. These outcomes will result from uninterrupted time for research in Dr. Sherrier's lab on specific genes and proteins required and involved in the development of SNF nodules. Specifically, I anticipate completing localization studies on the MtNIP/LATD/NPFI.7 transporter protein [1-4] and augmenting localization studies on newly discovered transporters required for nodule development that we have recently identified through whole genome sequencing [5]. I expect to localize MtENOD8 [6-8] mRNA and other symbiosome-specific proteins' RNAs and potential small RNAs that may be targeted to them. Dr. Sherrier has expertise in molecular localization in nodules [9, 10], small RNAs [11, 12], and both our labs have some experience with RNA localization [unpublished]. Direct access to this expertise will enable bringing it back to my lab and to other scientists at UNT. Dr. Sherrier and I have common research interests, have had three NSF grants funded together (one with other collaborators) during 2005-present, have co-authored a number of papers and have co-advised each other's students. The fourth outcome is strengthened research ties between UNT and UD, a natural outcome of these activities.</p>	Spring 2018
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Dornith	Doherty	Distinguished Research Professor	Studio Art	<p>This proposal is for a Creative FDL for the spring semester of 2018. I am requesting support for a one-semester leave for the purpose of creating seventy-five new artworks focusing on three historically, geographically, and environmentally important land bridges. I plan to travel to the Bering Strait, between North America and Asia; the Strait of Gibraltar between Europe and Africa; and Panama, between North and South America. From deep time to the current day, the geology of land bridges creates important migratory pathways for the interchange of humans, plants, and animals between the continents. In the current day, all three of the land bridges I will photograph have been bisected by sea passages. These landscapes now include ports and canals linking terrestrial and aquatic trade routes as well as nature preserves, political borders, and military outposts. My photographs will not only depict natural settings; they will also address the complicated cultural, political, strategic, and environmental landscape of these constricted sites of confluence and divergence. This project continues and expands my creative research focus of photographically exploring environmental themes involving human agency on a global scale. This professional development leave will enhance my academic career by providing much needed time to make six photographic expeditions and create new photographs to be included in my next socially engaged portfolio of work. This creative research will be disseminated through exhibitions, scholarly publications, and artist lectures. It will also form the basis for the proposal of my next monograph.</p>	<p>Land bridges, with their relative narrowness, create a focused site where fragile, moving landscapes, valued for their biodiversity and environmental importance, converge with military, strategic, and economic concerns. I will photograph locations on the land bridges where environmental concerns and human agency come into conflict, as well as the fragmentary details of historic human passages, the flight ways of migratory birds, and the routes of seafaring vessels. My new artworks will describe the landscape while acknowledging and articulating social and environmental concerns embedded in the three land bridges. My approach will be subjective and poetic, and the visual characteristics of the new work will favor clarity and an insistent descriptive quality. Through exhibition of the printed photographs in national and international venues, dissemination of my creative ideas in scholarly publications and lectures, my new series will offer substance for reflection and provoke conversation about the fragility of the landscape and the precariousness of the human and environmental condition. The results of my creative research will also be proposed as my next monograph.</p>	Spring 2018
Steven	Forde	Professor	Political Science	<p>My primary activity, if granted a FDL will be research in classical sources and contemporary scholarly literature on the implications of evolutionary theory ("Darwinism") for normative political theory. There is a great deal of literature applying the insights of Darwinism to a variety of fields, but political theory has generally not participated in this project. I intend to remedy this defect. I will begin with a look at Aristotle's biological works, which has interesting parallels with modern theories of evolution. I will then move selectively through the history of political thought, looking for other thinkers who may help me construct a normative political theory that accounts for Darwin. Finally, I will attend to contemporary evolutionary theory. I hope to produce a theory of the moral/political implications of evolution that resolves a number of problems that beset applications of Darwinism to human affairs. This work will enhance my academic career by providing general intellectual enrichment, enrichment of my teaching, and forming the basis for some published essays, and perhaps a book. The intended outcome is my own intellectual development, the enhancement of the courses I teach in political philosophy, and the enrichment of the scholarly debates on evolution and on political philosophy, through the publications that result from the project.</p>	<p>My objectives in pursuing this project are to improve our understanding of an under-studied problem of political philosophy, and to benefit others through teaching and research. The intellectual end-product will be a theory, or an account, of the implications of Darwinism for politics and political theory. I will deliver conference papers, publish essays, and perhaps produce a monograph, outlining this theory. I will incorporate the insights I gain into my teaching here at UNT.</p>	Spring 2018

Robert	Frodeman	Professor	Philosophy and Religion	<p>The primary activity of this leave will consist of research into new models for how academic humanists can interact with society. At the time of the rise of the modern research university (circa 1900), the humanities chose to emulate the natural and social sciences in becoming the domain of specialists whose research would primarily be of interest to other specialists in the humanities. As I have argued in Frodeman 2014 and Frodeman and Briggie 2016, this 'disciplinary' stance is inadequate for an era characterized by smaller state budgets and greater accountability. Public universities like UNT need to develop ways for humanists to be policy relevant, while avoiding the pitfalls of personal advocacy. This research will involve the identification of such efforts across the landscape of the humanities, both domestically and internationally. I am familiar with such efforts in philosophy, but need a greater understanding of the situation in fields like literature, cultural studies, and gender studies. Moreover, these developments are further along in Europe than in the US (e.g., the Humanomics Project in Copenhagen). This research will also involve an examination of current trends in higher education: what new models are being developed (e.g., at Arizona State and Linkoping University) in what could be called the 'entrepreneurial humanities'? Frodeman, Robert, and Briggie, Adam, 2016. Socrates Tenured: The Institutions of 21st Century Philosophy. Roman and Littlefield. Frodeman, Robert, 2014. Sustainable Knowledge: a Theory of Interdisciplinarity. MacMillan/Palgrave Press.</p>	<p>A series of articles (a half dozen, likely more) exploring elements of this subject. I already have requests from two editors of books to author chapters in their book on related topics: 1) Why Philosophy? Editors: Jeff Malpas and Diego Bubblio. David Publishing; 2) The Phenomenology of Water: Toward a new Policy Paradigm. Editor: Ingrid Leman Stefanovic, University of Toronto Press. I will seek publishing opportunities in a wide range of academic venues, across a number of disciplines, as well as in the more popular press (e.g., The Chronicle of Higher Education, Inside Higher Education, The Guardian, and the New York Times, all of which I have previously published in.) I also plan on this research resulting in a monograph to be published by an academic press. Finally, I always bring elements of my research into the teaching of both undergraduate and graduate classes. This research will be no exception.</p>	Spring 2018
Matthew	Fry	Associate Professor	Geography and Environment	<p>If granted FDL, I plan to use the leave for three primary purposes: complete manuscripts for publication in peer-reviewed journals, advance a new line of research, and strengthen my intellectual foundation in territory and property scholarship. Two manuscripts will build on current research and a third will result from research conducted over the leave. The leave period would also allow me to advance new, NSF funded research in Mexico that requires fourteen weeks of fieldwork. I would also spend the leave period reading and studying archival materials and scholarly literature on property and territory. These activities will enhance my academic career through significant scholarly achievement that pushes my research program towards greater national and international reputation. The intended outcome of the leave will be three peer-reviewed publications, advancement on new research, including interview data collection, transcription, and analysis, and intellectual growth in key areas of my research program, which would also be leveraged into course materials.</p>	<p>If granted FDL, I plan to use the leave for three primary purposes: publish peer-reviewed manuscripts, advance a new line of research, and strengthen my intellectual foundation in territory and property scholarship. First, I would aim to submit three manuscripts for publication. Two publications build on current research examining disclosure and hydrocarbon governance in Texas; both would be submitted within the first part of leave to Extractive Industries and Society and Energy Policy. The other publication will result from archival and scholarly work conducted over the course of the leave; my intent is to submit this towards the end of the leave period to The Journal of Historical Geography. Second, I would use the leave to advance new, NSF funded research in Mexico. A submitted proposal to NSF on "Territorializing Processes and Local Property Practices in Mexico's Newly Established Hydrocarbon Concession Areas" requires three research trips to Mexico, for a total of six weeks in 2017, and 8 weeks in 2018. Between data collection, I will be revising my interview protocol, collecting archival data, and analyzing interview data. As well, as part of the grant's broader impacts, I will conduct two workshops with undergraduate students. Third, I will spend some time at the State Archives and University of Texas Law Library in Austin developing a paper on the subsurface mineral estate and territorializing processes in Texas. I will also use the leave period to deepen my theoretical understanding of property and territory scholarship in Geography and related disciplines.</p>	Fall 2017 and Spring 2018

Jannon	Fuchs	Professor	Biological Sciences	<p>The proposed research concerns generation of astrocytes, which are the major type of glial cell in the nervous system. Understanding control of astrocyte production will lead to therapies for brain injury & neurological diseases. Proposed FDL activities will forge collaborations for obtaining funding of my lab's research. Most of the research would be in the lab of Dr. Robert Bachoo, UT Southwestern Medical School (UTSW), Dallas. Four-five weeks would be spent with collaborators Dr. Denise Garcia, Drexel University & Dr. Ellen Ezratty, Columbia University. My lab tracks developmental journeys from neural stem cells to mature neurons & glia. We focus on a crucial pair of organelles: primary cilium, a hair-like sensory antenna that extends out from the centrosome & detects proliferation signals & hormones, & the centrosome itself, which regulates cell division. We recently discovered the cilium/centrosome has a different composition in stem cells or cancer cells (which can divide) vs. in terminally differentiated neurons & glia. Observations will be applied to, 1) testing a method for treating gliomas, the most common & deadly form of brain cancer, & result from uncontrolled proliferation of glial stem cells, 2) examining involvement of cilium signaling pathway to proliferation of astrocytes in response to brain injury; & examining ciliary notch signaling in the choice between proliferation & differentiation. The three rich biomedical research environments will provide access to facilities & mice needed in our research, help me acquire cutting-edge techniques, establish collaborations that bring multiple benefits to UNT, & enhance my research career.</p>	<p>I anticipate these outcomes from leave activities: 1) I will develop collaborations that will interface with my lab's research and result in joint grant proposals and publications. 2) I will bring new technical expertise to UNT. 3) My students will directly participate in collaborations at UTSW. 4) I will meet faculty members and seminar speakers at UTSW and other institutions. 5) I will do confocal microscopy we need for quantification, we cannot afford the hourly rates on confocals at UNT, but the labs I would work in each have their own. 6) I will make substantial progress on projects with Drs. Bachoo and Garcia, which will result in quality publications. 7) I will establish new collaborations with investigators in NYC. 8) We will obtain genetically engineered mice that are invaluable in our research, facilities/resources are unavailable for generating these mice at UNT. My developmental leave in 2008 at UTSW was transformative. In that time I wrote 3 grant proposals, all were funded. The work I started there and continued at UNT led to my co-authoring a highly cited publication. I brought several students (1-2 at a time) to UTSW to work side-by-side with me at the bench and experience the benefits of the research environment there. The Chairman of my host department made me an Associate Clinical Professor in the Department of Psychiatry at UTSW, I continue to benefit from this association. My lab participated in the "Stem Cells in Neuroscience" monthly meetings and attended seminars.</p>	Fall 2017
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Frank	Heidlberger	Professor	Music History, Theory, and Ethnomusicology	<p>The primary activity of the leave will be the completion of a critical (original source-based) edition of Giacomo Meyerbeer's (1791-1864) first opera "Jephtas Gelübde" ("Jephta's Oath"), written in 1812. This opera is an important example for Meyerbeer's development as a composer, between his Jewish heritage in Berlin and his mature opera style in Paris, where Meyerbeer became a leading opera composer of the 19th century. I have published numerous articles about the composer's early works since the 1990s. My research has shown that "Jephta's Gelübde" already contains major features of Meyerbeer's mature dramatic style. I was asked by the editorial board of the "Meyerbeer-Gesamtausgabe" (Collected Works) to prepare the critical edition of this opera. I have completed most of the research. All texts (compositional and performance history, source description) have been drafted, and a digital score has been partially completed. The Development Leave would allow the applicant to get this editorial project ready for publication. The edition would significantly enhance my academic career as a scholar engaged in text criticism of 19th century musical works. So far I have published major works by Carl Maria von Weber and Felix Mendelssohn Bartholdy, and the opera by Meyerbeer would strengthen my reputation in the field of critical music editions. The primary outcome of the Leave would be the published volume of the critical edition of this opera by Meyerbeer. In addition, this project would allow me to intensify my research of the work, for future articles and conference presentations.</p>	<p>The leave will allow me to get the critical edition of Meyerbeer's first opera, Jephtha's Gelübde ready for publication. This process includes an extant text section, describing the history of the work, and its primary source material, a score, prepared with a digital music notation program and a critical commentary of text variants. This entire material will be sent electronically to the editorial board of the Meyerbeer-Gesamtausgabe that will review the material, and make suggestions for improvements. Ultimately the reviewed and finalized material will be printed by the publisher Ricordi (Milan/Munich), one of the most prestigious music publishers with their series of Meyerbeer works. Most of the mentioned material has been completed in shorter work phases over the last ten years. I am in need of a one-semester leave to put these pieces together for a publishable product.</p>	Fall 2017
Lisa	Henry	Professor	Anthropology	<p>At the end of Summer 2017, I will have just ended a six year term as Department Chair of Anthropology, during which time I earned a promotion to full professor by working overtime to keep up my scholarship. I have proven my commitment to scholarship, and I am now requesting some exclusive time to focus on my next phase of research. I am requesting leave to achieve one primary objective: to collect data. This project, Fracking Fears and the Knowledge, Beliefs, and Behaviors that Shape Them, will assess local knowledge, perceptions, concerns, and behaviors about fracking. I will investigate how experiences, shared cultural values, meanings, and threat perceptions shape models of risk and vulnerability, and behavioral responses. I am currently writing a proposal to NSF and will meet with the Program Officer to strengthen the proposal's intellectual merit and broader impacts. Funding decisions will be made by Spring 2017. I will submit an IRB protocol in late Spring 2017 and finish up my chair duties in Summer 2017. In Fall 2017, I will collect data for three uninterrupted months during this developmental leave. The outcome of this leave will be data analysis, presentation of findings at national conferences, publications, and student research.</p>	<p>My objective is to launch a new phase of research, three months of uninterrupted field research and data collection on the perceptions of environmental and health risks of hydraulic fracturing (fracking) in Denton, Texas and the surrounding communities. Once data are collected and analyzed, results will be presented at two national anthropology conferences, as well as written up for publication. Furthermore, this research will include advanced undergraduates and graduate students in order to provide experiential training for research.</p>	Fall 2017

Gabriel	Ignatow	Associate Professor	Sociology	<p>The primary activity of my proposed leave for Fall 2017 is to complete the bulk of the writing for two coauthored sociology books. The first, <i>Studying Digital Public Spaces</i> (I am second author), is a proposal that is currently under review by Sage, Polity, Routledge, and Palgrave Macmillan. The five coauthors of this book are all sociologists who work with a variety of digital research methods, but Laura Robinson (Santa Clara University) and I are the lead authors and organizers of the project. Our five authors unite their areas of expertise to examine digital methods vis-a-vis the digital public sphere and online political communities. <i>Studying Digital Public Spaces</i> will focus on methods that, while they require some training, are accessible for researchers who are interested in investigating online communities whose members discuss social and political issues. These methods include quantitative, qualitative, and mixed methods research: online surveys, text mining and web memetics, digital ethnography, content analysis, and qualitative case analysis. For the second book, for which I am first author, Routledge and Palgrave Macmillan have requested a full proposal, which is currently in progress. This project is on the sociologist Pierre Bourdieu and the influence of his ideas on the emerging field of digital sociology. It is based on a paper presented with my coauthor Laura Robinson at the American Sociological Association annual meeting in August 2016 which attracted the attention of several publishers. That paper is currently under review at a top-tier journal.</p>	<p>The primary outcomes of the FDL will be a completed and submitted manuscript of <i>Studying Digital Public Spaces</i> and a complete first draft of the manuscript of the Bourdieu book along with a signed contract from a major publisher.</p>	Fall 2017
John	Ishiyama	Professor	Political Science	<p>Primary Activity: During the course of the proposed leave period (Fall Semester 2017) I will be working on finishing a draft of my book for Cambridge University Press (CUP) entitled "<i>Understanding Party Change</i>". I am now in the process of completing the submission of the book prospectus, which will be done by January 2017. CUP approached me about writing the book and promised an expedited prospectus review process. Effects on Career: The completion of this project will cap off nearly 30 years of research I have conducted on how political parties change in a variety of different contexts, and how political party change promotes democracy, political stability and peace. The substantive focus of the work examines: 1) party change in established democracies; 2) party change during processes of transition from authoritarian rule; 3) the transformation of rebel groups into political parties after civil wars. Intended Outcome: During the leave I intend to complete a book length draft by the end of 2017 and deliver this to Sara Dostow, the political science editor at CUP. I anticipate a publication date of either late 2018 or early 2019.</p>	<p>The primary outcome of this proposed leave is the completion of my book with CUP entitled "<i>Understanding Party Change</i>". The political science editor at CUP approached me about writing this book (actually last year) but until now, given my responsibilities as the Editor in Chief of the <i>American Political Science Review</i> (a position I have held since 2012) I really did not have time to complete it. However given that my tenure as editor ends on December 31, 2016, I will have the time to turn toward this and other projects, although the primary focus during the projected leave period is on completion of a draft of this book by December 2017.</p>	Fall 2017

Tania	Khalaf	Associate Professor	Media Arts	<p>Being awarded the FDL will help me produce my next feature length documentary which takes place in Beirut Lebanon where the Syrian refugee crisis has left an abundance of refugee children in the country. With over one million registered refugees from Syria and half of them children, the documentary will follow one Lebanese woman who sets out to empower these children by teaching them animation and video game design. According to World Vision, the Syrian refugee crisis is one of the top humanitarian crisis in the world today. As a documentary filmmaker it is important to ensure the subject matter in a project is important and relevant so it is essential to take advantage of the opportunity while it is present. By producing a documentary that touches on such an important topic, there is a built-in interest that will have a positive impact on the project and as a result, my research. The outcome of the leave activity will be to bring further notoriety to the university by putting a lens on an important issue in the international world. UNT continues to excel in research and it's my goal to bring an increased focus on international projects along with domestic ones. The project will also help to further my own professional reputation as an international documentary filmmaker. The film will be submitted to film festivals and made eligible for awards and distribution. It will be screened to diverse audiences across the world.</p>	<p>Having completed several international films, I am deeply familiar with the primary outcomes of documentary production. The primary outcome of my leave activity will be the production of a feature length documentary that will be submitted and screened at film festivals nationally and internationally. The documentary will shed light on the refugee crisis which is one of the most important humanitarian issues facing the world today. The subject matter will qualify the documentary for awards of humanitarian importance.</p>	Fall 2017
Dan Jong	Kim	Professor	Information Technology and Decision Sciences	<p>Recent trends of innovation paradigm is shifting from closed to open innovation principles, characterized by purposive inflows & outflows of knowledge to accelerate internal innovation & to expand markets for external use of innovation. However, Not-Invented-Here (NIH), & Not-Sold-Here (NSH) or Only-Use-Here (OUH) syndromes are the most commonly faced challenges in open innovation processes. To meet increasing expectations of citizens, governments nowadays become more open, transparent, accessible, & consultative to deliver more efficient & effective public services. These trends for open innovation could be fulfilled through open government data provision & usage. Governments could generate social & economic values through data-driven open innovation processes, such as adopting citizens' ideas or knowledge related to open data & providing government data to the public. Despite importance of open innovation, research is scant. Although levels of open data provision & usage appear differently in practice from country to country, lacking is a maturity model that can be used to evaluate current status of data-driven open innovation & provide appropriate guidelines. As primary activity, I will dedicate my time to develop a model namely "Open Innovation Maturity Model." Results will provide valuable insight of successful adoption, evaluation, & leveraging of open innovation. This is part of a funded project supported by National Research Foundation of Korea Grant funded by Korean Government. As Co-PI, I will provide final deliverables, a final project report & a couple of journal publications. Results will enhance my academic career & show visibility of UNT as well.</p>	<p>As a Co-PI, I want to use FDL to complete required deliverables by the funded project on time. Project objectives & anticipated outcomes are: the literature on open data innovation lacks the appropriate governance mechanisms for providing insight into open government data provision & usage (Janssen et al. 2012). Uncertainty exists regarding value of open government data & manner of their evaluation (Helbig et al. 2012; Jetzek et al. 2014). In practice, the level of open data provision & usage appear differently from country to country. Therefore, important questions could arise: What factors should be measured? How should the as-is situation of the data-driven open innovation be assessed? How should its specific level of maturity be assigned? To find answers, we will develop an open innovation maturity model. More specifically, the project has several undertaking activities: 1) drawing upon motivation theory with perceived organizational fairness and commitment, the project identifies factors influencing NIH and NSH/OUH syndromes in open innovation processes. 2) To understand open innovation in government-level & to evaluate the current status of government-level open innovation. Several primary outcomes anticipated from the leave activities are to complete the funded project collaborating with other Co-PIs at Korea, to disseminate preliminary results of projects through international conferences or workshops, to publish peer-reviewed journal articles from the final results of the project, to identify other external funding sources for the future global research, & to apply for related external funding subsequently utilizing the outcomes of the project.</p>	Spring 2018

Young Hoon	Kim	Associate Professor	Hospitality and Tourism Management	<p>My FDL activity includes: 1) build a plan for my next five year's research agenda; 2) improve research skills; 3) contribute & share knowledge with the hospitality academic communities; 4) research potential external funding opportunities & develop networks with potential funding agencies; & 5) apply the learning & experience into our classroom at UNT. My current research mainly focuses on Destination Marketing & Development Management (DmdM) & Convention & Event Management (CEM) in the Hospitality and Tourism industry. My leave will enhance my expertise in the areas of DmdM & CEM as well as to provide opportunity to conduct research projects that would lead to publications in top-tier journals. Knowledge in DmdM & CEM research will be enhanced by attending related seminars, workshops & networking with key stakeholders in the Demilitarized Zone (DMZ) & tourism related areas. I am going to speak about current research trend on DmdM & CEM to increase the reputation of UNT. In addition, I will be able to examine new research topics, such as special event & border tourism that is also part of the DmdM and CEM research. I expect my research outcome to be two or more manuscripts submission targeting two top-tier journals in hospitality and tourism: Journal of Sustainable Tourism & Journal of Destination Marketing & Management. My goal is to also present at least three papers at international-level conferences, such as International Council on Hotel, Restaurant, & Institutional Education (ICHRIE). My activities will hopefully result in more opportunities of potential grant & funding for future research.</p>	<p>I strongly believe that my FDL outcomes are clear and measureable. The outcomes can be categorized in: 1) research, 2) teaching, and 3) service. My personal growth will be achieved based on UNT's strategic vision, "UNiTed by PURPOSE." I expect my research outcome to be at least two manuscript submissions targeting two top-tier journals in hospitality and tourism: Journal of Sustainable Tourism & Journal of Destination Marketing & Management. My goal is to present more than three papers at international-level conferences, such as ICHRIE. My activities will hopefully provide more opportunities of potential grant & funding for future research. For teaching, I will be able to use the knowledge gained during this time period to enrich and/or develop new courses at UNT. I have discussed the possibility of offering new graduate courses in the areas of DmdM and CEM with our CMHT dean, Dr. Judith Forney & HTM chair, Dr. Lisa Kennon after my return. In service, the Institute of Korean Unification & Peace Research (IKUPR) collaboration with its rigorous government & industry partners will enhance the visibility of UNT as an international & interdisciplinary institution. The outcomes & methods of research activities can be applied to the situation & issues we have encountered at the border between U.S.A. and Mexico. This will be a great opportunity for me to contribute & share my knowledge to our communities (i.e., border tourism and politics).</p>	Fall 2017
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Gerald	Knezek	Regents Professor	Learning Technologies	<p>This professional development leave is requested for the fall of 2017 to complete the second edition of the International Handbook of Information Technology in Primary and Secondary Education (Voogt & Knezek, Springer 2008). The first edition of the Handbook was published in 2008 after four years of collaborative work among two Lead Editors, seventeen Section Editors and 132 authors from twenty-three nations. Springer has as of 2016 recorded almost 200,000 chapter downloads sold over the past eight years and has requested a revised edition. UNESCO/Paris agreed to help jump start the new edition by hosting an Editor/Section Planning meeting in May 2016, and the process of soliciting chapters is underway. The most difficult work for the new edition will occur in the summer and fall of 2017, where the Lead Editors must resolve overlapping content among sections and chapters, read/edit all draft chapters to shape individual works into a consistent, flowing whole. The requested leave will relieve me of teaching duties and allow me to focus on completing the Handbook with finesse during the critical final editing stages. This process will enhance my career by placing the ever-evolving, collective state-of-the art knowledge of the field of information and communication technology in education at my fingertips and will undoubtedly enhance UNT course content and journal publications for at least the next five years. My affiliation with UNT will continue to be printed in the front matter of each Handbook, as it has for the volumes of the first edition disseminated internationally.</p>	<p>The primary anticipated outcomes from the requested leave activity will be: 1) completed second edition of the International Handbook of Information Technology in Primary and Secondary Education (Voogt & Knezek, Springer 2008) featuring ten to twelve sections, seventy-five to one hundred total chapters, and more than one hundred contributing authors representing more than twenty nations. Broad representation is targeted with the goal of solidifying authorship from every inhabited continent, as was true for the first edition. 2) This second edition of the Handbook (Springer, 2018) will update the ten year old material of the original edition with new concepts and newer emerging information technologies, and continue to feature research-based best practices regarding "what works" to promote more effective learning enhanced by information and communication technology (ICT) in education. Note to readers: discussions with the publisher of the Handbook had already been underway for two years as of May 2016, when UNESCO Headquarters in Paris graciously hosted a two-day planning meeting of eighteen section editors (half returning from the first edition). Initial consensus about what to keep and update from the original edition, versus which new technologies and techniques should be added for the second edition, was reached at that meeting.</p>	Fall 2017
Elias	Kougianos	Professor	Engineering Technology	<p>Primary Activity: Field Programmable Gate Arrays (FPGAs) have revolutionized digital Integrated Circuit (IC) design by allowing individual researchers or students to prototype original designs without incurring high manufacturing costs. In tandem, the ability to have instant Internet connectivity of various devices such as sensors, medical monitoring equipment, and appliances has created a paradigm shift and the emergence of the Internet-of-Things (IoT). The objective of this leave is to perform fundamental research and development in FPGA designs for IoT applications. Specifically, designs (called soft cores in FPGA applications) will be developed with emphasis on wireless and sensor interfaces, necessary for the IoT. Impact on Academic Career: 1) bringing the PI's knowledge and skills up-to-date in a very active topic of research. When the PI started his academic career at UNT (2004) FPGAs were still primitive and the IoT did not become a reality until 2015, 2) deep exposure to cutting-edge technologies that match the PI's latest research focus, in collaboration with Construction Engineering Technology faculty, namely wireless sensor networks for structural health monitoring, 3) establishing contacts with international researchers working in this research field and taking advantage of their research groups' findings in a mutually beneficial manner. Intended Outcomes: 1) FPGA/IoT expertise and designs, 2) joint publications and grant proposals (not only in the US but the EU as well) with the collaborators, and 3) quality undergraduate student research and graduate student enrollment.</p>	<p>1) FPGA/IoT expertise and designs: the UNT faculty member has extensive experience with FPGA design and a long history of integrating this technology into his courses. Technology is, however, advancing very rapidly. In conjunction with the IoT, which was virtually unknown only two years ago, there is a pressing need for the faculty to modernize his experience in a manner that is also beneficial to UNT. 2) Joint proposal and publication activities: The target faculty at the Hellenic Naval Academy has a very active research program and is eager to collaborate with the UNT faculty. The UNT faculty wishes to strengthen this effort and form new International connections to work on joint proposals and publications. Specifically, collaboration with a Greek University can lead to joint proposals targeted to the European Union. 3) Quality undergraduate student research and graduate student enrollment for UNT: The inviting faculty is involved in the senior project supervision at his institute and has access to all graduating seniors. The UNT faculty serves the same role in his department. The two faculty members are excited about the prospects of expanding this involvement into cutting-edge undergraduate research projects which could also lead to students from Greece joining UNT's graduate program. 4) Course materials for future undergraduate and graduate courses on the subject: FPGA design in the IoT context is a topic that is very much in demand. It is the objective of the UNT faculty member to offer relevant courses in both undergraduate and graduate programs.</p>	Spring 2018

Arkadii	Krokhin	Professor	Physics	<p>During my FDL I will develop some aspects of the theory of propagation of sound in periodic heterogeneous structures, so called phononic crystals. Acoustics of phononic crystals is relatively new area of modern physics. The interest is due to the fact that while each of the constituents is acoustically transparent, a periodic structure may exhibit a region of frequencies where propagation of sound is prohibited. This property, which is akin to band gap in semiconductors gives rise to focusing of sound, subwavelength resolution, and acoustic cloaking. I will conduct research of non-reciprocal effects, i.e. the new effects when sound propagates with different speed in opposite directions. These effects have been recently predicted in elastic structures with broken time reversal symmetry. I propose an original idea how the symmetry may be broken by thermal dissipation. This idea will be experimentally verified by Professor Jose Sanchez-Dehesa during my FDL at the Polytechnic University of Valencia (Spain). Professor Sanchez-Dehesa is the world expert in acoustical metamaterial. I have been collaborating with him for the last six years. During this time we published five research papers and one book chapter. Collaboration with this group was always successful and it enriches the both sides with new ideas. The results obtained during my FDL will be published in peer-reviewed journals. We also expect that the results of our research may be directly applied for rectification of sound, i.e. for design of acoustic diode. One of my PhD students will participate in this research.</p>	<p>My main goal is to demonstrate that non-reciprocal propagation of sound can be observed due to dissipative losses that lead to violation of time-reversal symmetry, or T-symmetry. It is commonly believed that communication due to sound is completely reciprocal. This comes from the reciprocal theorem which states that communication remains unchanged if speaker and microphone switch their positions. The theorem is valid for electromagnetic waves as well. For electromagnetic waves time-reversal symmetry is broken by application of external magnetic field. However, it is not so easy to break time-reversal symmetry for sound waves because elasticity of matter turns out to be insensitive to magnetic perturbations. So far, the only known method of violation of T-symmetry proposed in 2015 by a group from Singapore is to rotate the fluid through which a sound wave propagates. Rotation (even local) produces vorticity, which mathematically is equivalent to application of magnetic field. My preliminary calculations show that viscosity of fluid necessary leads to violation of the T-symmetry. Usually viscosity is manifested in decay of sound. This effect is negligibly small for such common fluids as air and water. I will demonstrate that viscosity may strongly violate the T-symmetry if the scatterers placed between the speaker and the microphone do not possess geometrical central symmetry (or P-symmetry). During my FDL I plan to develop a complete theory of non-reciprocal propagation of sound in systems with broken PT-symmetry. My theoretical calculations will require experimental confirmation, which can be performed in the lab of Prof. Sanchez-Dehesa.</p>	Fall 2017
Paul	Leenhouts	Professor	Conducting and Ensembles	<p>After many years of research, collecting and typesetting manuscripts of vocal and instrumental music from various 17th and 18th century sources, I would love to take the opportunity to visit and to do extensive research at two important European music libraries during my requested development leave in the fall semester of 2017. Both libraries are unfortunately not on-line and their catalogs are quite outdated. I intend to visit the following institutions for at least four to six weeks during the fall of 2017: 1) Kroměříž Castle, Kroměříž, Czech Republic. The Kroměříž music collection was created during the lifetime of Bishop Karl II von Liechtenstein-Kastelkorn serving the duties of the court orchestra at Kroměříž Castle and the Church of St. Maurice. The composer Pavel Josef Vejvanovsky copied hundreds of compositions written by his contemporaries from the Vienna-Salzburg circle (including works by Biber, Schmelzer, Tolar, Bertali, and many others). 2) Royal Library of Belgium, Brussels. The internationally renowned Fétis Collection at the Brussels Library is an indispensable source for the study of early music, and holds a number of important documents and autograph manuscripts. This research will certainly contribute to the extension of repertoire and literature for my Early Music Program at UNT. The intended outcome is to create critical editions of at least 200 manuscripts, including my future publications for Edition Walhall (Germany) and Huzza (The Netherlands) and potential CD-recordings for international labels.</p>	<p>The objective of visiting both libraries is to study, collect and typeset as many compositions from manuscript as possible for future use for my early music program, concerts and special events (such as the Czech Festival of 2013 and 2015) at UNT. The majority of music manuscripts from the Kroměříž archives (circa 800 instrumental works and 900 vocal works) have not been published yet. Syracuse University (NY) is the one and only university in the US which owns an incomplete microfilm of works from Kroměříž but they don't allow interlibrary loans. Brussels offers even more music manuscripts (circa 40,000 works), at the Royal Library I would like to focus on repertoire written between 1700 - 1760 for (baroque) orchestra or chamber music ensemble. During my leave I am planning to prepare circa 200 editions of works which have never been published before, including critical notes, scores and parts. My Early Music program at UNT has grown significantly over the last five years and to be able to create interesting programs and themes for the current variety of early music instruments (strings, sackbuts, baroque trumpets, woodwinds, etc.), both libraries offer exactly the type of repertoire for this specific combination of instruments.</p>	Fall 2017

Arup	Neogi	Professor	Physics	<p>The proposed FDL is requested for modernization & development of the Nanophotonics & Ultrafast optics research program that I have built at UNT during the past thirteen years. At the Department of Physics, we have developed unique strengths in a multidisciplinary & international research program based on near-field scanning optical spectroscopy for super-resolution imaging of nanoscale objects for optoelectronics & biophotonics. With recent advances in super-resolution imaging, instrumentation & research expertise needs to advanced for infrared light sources so that this spectroscopic & imaging modality can be used for deep tissue & high resolution imaging beyond the diffraction limit. FDL has been sought in two parts, first at Hebrew University, Jerusalem for development of new research techniques for nonlinear optical near-field optical microscopy (NSOM) with partial support from the Lady Davis Fellowship Trust. The second part will be at Rice University, Houston to develop nanoprobe required for NSOM. It is expected the proposed FDL will lead to modification of the NSF-Major research instrument in my laboratory & enable researchers at UNT to explore new frontiers in the area of nano-biomaterials. FDL will enable new collaborations with internationally reputed teams in Jerusalem & Houston. It will yield exploration of novel biomaterials including neurophotonics an area of photonics which is in the realm of physics, material science, & biomedical engineering. FDL will also open up opportunities at UNT to apply for Cancer Prevention Research Institute of Texas grants through collaborations with Rice University .</p>	<p>FDL is sought to modernize the existing near-field imaging technology at UNT which is based on super resolution microscopy. The proposed leave will result in: 1) The expansion of the existing nanophotonics research facilities at UNT to perform deep tissue imaging & non-invasive metrological diagnostics using the currently available facilities. The novel technology will be developed by combining the existing expertise of Dr. Neogi's group with the technological support from Professor Aaron Lewis' laboratory at Hebrew University, Jerusalem & Professor Naomi Halas' nanophotonic group at Rice University, who has the expertise in the development of the optical probes needed for developing such a microscope. The existing facility, which is one of the unique high resolution imaging laboratory in the US will be upgraded and would be able to offer UNT researchers to probe & analyze nano bio-materials at low temperatures (10 Kelvin) - a feature that is currently not available anywhere within the United States. 2) The faculty exchange program is supported in part by the Lady Davis Fellowship trust of Israel and will open up bilateral research collaborations between UNT, Hebrew University, & the international reputed Nanophotonics group at Rice University. The realization of such a tool at UNT with the support of researchers from Israel and Rice University will open up new opportunities to our students & research faculty members.</p>	Spring 2018
Margaret	Notley	Professor	Music History, Theory, and Ethnomusicology	<p>I will use the leave to finish a book titled "Taken by the Devil: Alban Berg's Opera Lulu" (the title quotes a letter Berg wrote to the conductor Erich Kleiber in April 1934). I began to write the book in earnest in 2012. It is the culmination of a project I started five years earlier after the publication of my first book, Lateness and Brahms: Music and Culture in the Twilight of Viennese Liberalism (Oxford University Press(OUP), 2007). I recently approached the music editor at OUP about my new book, and she expressed enthusiastic interest. My book on Brahms received a great deal of attention and many reviews, and has in fact just come out in a soft cover edition (2016). After it was published, I received three invitations to lecture in Europe and spoke at conferences in both Ghent and Meiningen in 2008 and as an invited lecturer at the Freie Universität in Berlin in 2011. I believe that this book, which views Lulu within various contexts of censorship and assesses the effects of those contexts on the opera, will attract a similar amount of attention. Completing the book will in any case clearly enhance my career. A full release from all the activities I usually perform as a teacher, administrator, and adviser would allow me to finish the book.</p>	<p>The greatness of Berg's Lulu is rarely disputed, yet it has not received the close study that would enable a more accurate account and deeper appreciation of it; many factual errors and errors of judgment are indeed apparent in the literature on Berg's opera and the plays he based his libretto on. I have been giving the opera and the plays the kind of painstaking attention they deserve, and the approach has yielded many original insights. I began to focus on Berg in 2007 and have made six research trips to archives to study relevant primary sources. A Small Grant from UNT allowed me to work in the Library of Congress in April 2007, and I personally funded a research trip to Vienna in June 2007. During fall 2007 I was on sabbatical for the only time since I started to teach here. The one semester of leave allowed me to work again in Vienna and to write my first article on Berg (2008), which in turn led to an invitation to contribute to Alban Berg and His Time (2010). Grants from the American Philosophical Society funded two additional research trips (2011 and 2015). I was also able to conduct research in Berlin after I gave the talk in Ghent in 2008. In December 2015 I decided to organize my book in an innovative way, around issues relating to censorship. I have completed the research but need an extended period of time to finish reorganizing and writing the book.</p>	Fall 2017

Divesh	Ojha	Associate Professor	Marketing & Logistics	<p>The primary activity during my FDL is to conduct research study examining the nature of risk faced by firms & determining appropriate risk management strategies to mitigate those risks. This study will be a multi-method study that involves the use of two very different methodologies, survey research & discrete event simulation. The role of the simulation study would be to explore the interaction of the various types of risks & their impact on the operations of a firm. The survey methodology would be used to evaluate the different hypotheses, obtained through extensive literature review & exploratory simulation, related to nature of supply chain risk & risk management strategies. I have published a paper titled Prioritizing Risk in Supply Chains: A Literature Review at the top operations management conference, Decision Science Institute conference. This study will be building on that research. The proposed study would enhance my competence in survey research & simulation modeling methodologies. This research experience would also enhance my research & teaching abilities. Supply chain risk management is one of the most important research streams in the operations management & original research contributions are greatly needed in the field. I intend to disseminate my research through conference submissions & finally through publications in top journals in operations management discipline. This research would help me support doctoral students in the department of marketing & logistics. Moreover, the learning gained through this research would also enrich my undergraduate & MBA teaching as I routinely discuss insights from my research in my classes.</p>	<p>The primary objective of leave is to understand the nature of supply chain risk & determine the most appropriate risk mitigation strategies to manage those risks. Specific outcomes are, 1) knowledge development: I hope to develop my understanding of the supply chain risks & the associated risk management strategies. 2) Research design and data collection: this research requires replication of supply chain process in discrete event simulation. The research also requires identification of research hypotheses through exploratory simulation and literature review. Identification of target population for the survey study & survey data collection for subsequent analysis & hypotheses testing is also needed. 3) Dissemination of research: Operations management conferences & top journals will be targeted for dissemination of the research to researchers, students, & policy makers. 4) Expansion of research/teaching skills: I seek to enhance my skills in survey research & discrete event simulation. My improved knowledge base in supply chain risk management should help me provide better pedagogical experience to doctoral, MBA, & undergraduate students.</p>	Spring 2018
Ian	Parberry	Professor	Computer Science and Engineering	<p>SAGE, the Simple Academic Game Engine created by the applicant and his students in 2006 (see Parberry, Nunn, Scheinberg, Carson, and Cole, "SAGE: A Simple Academic Game Engine", Proc. 2nd Annual Microsoft Academic Days on Game Development in Computer Science Education, pp. 90-94, 2007) is now a decade old and is showing its age. The activity proposed here is the construction of a modern replacement for SAGE. The rationale for its existence remains the same: students benefit from a simple, basic, yet stable and functional game engine for use in class. Rather than use a million lines of complex and unstable code from a commercial game engine, academic game engines provide a stable platform that can be used to create a game and on which they can get experience adding the features of their choice. This will enhance my academic career by increasing my exposure to game engine programming and it will result in a tool that will be used in the classroom at UNT and will be available to others.</p>	<p>The main outcome will be an updated open source game engine for academic game development. Full source code will be uploaded to a GitHub repository. Also included will be full documentation of the code using Doxygen, and a set of PowerPoint slides intended for use in an undergraduate game engine programming class.</p>	Spring 2018

Sandra	Quintanilla	Professor	Physics	<p>The primary activities of the leave are to work on two research projects in theoretical atomic physics and to improve my proficiency in computer programming. The first project is positronium-positronium (Ps-Ps) scattering, and the second project is analyzing vortices in Ps formation in positron collisions. With regard to the computer programming, I intend to learn the computer language C++, to become more proficient in the computer languages of Mathematica and Python, and to become familiar with a later version of the Fortran language. I have not had a FDL since 1998-1999. The leave activity should enhance my academic career in a number of ways. It should give my research a boost, which should help me to be more efficient and productive. It should stretch me by tackling the challenging theoretical problem of Ps-Ps scattering. Importantly, it should enhance my academic career by helping me to obtain funding. The improved computer skills should enable me to become more efficient in research. An intended outcome of the FDL is peer-reviewed papers. If I have obtained a NSF grant before the FDL, it should enable me to write stronger reports and a future proposal. If I have not received funding before or by summer 2018, the leave should help me prepare a stronger NSF proposal. Other intended outcomes are superior training of UNT graduate students and strengthening of an international collaboration.</p>	<p>An important goal of the leave is to increase my chance of NSF funding. To help obtain NSF funding it may be necessary to increase my publication record. The ratings for the NSF proposal that I submitted in Fall 2015 given by the reviewers were very good and good. The Panel recommendation was Fund if funds are available. The proposal was not funded. A concern of the cognizant Program Officer was what he called a weak recent rate of publication. Having a leave will enable me to devote time to research which should result in publications. I plan to submit a NSF proposal this fall and if not funded to submit a proposal Fall 2017. Having FDL will enable me to devote energy to research and if funded before the FDL to write stronger reports to NSF as well as strengthening a future NSF proposal. If I am not funded before or by summer 2018, my intent is to submit a proposal Fall 2018. A FDL should help with this proposal. Anticipated outcomes are an increase in research productivity including the tackling of the challenging problem of positronium-positronium scattering in atomic physics, writing peer-reviewed papers and improving my computer skills. Another outcome is providing good training to graduate students including equipping them with skills that will be beneficial to their careers. An expected outcome is the strengthening of international collaboration with Dr. Peter Van Reeth and my connection with University College London (UCL), London, UK.</p>	Spring 2018
Yuri	Rostovtsev	Associate Professor	Physics	<p>This FDL will provide me the opportunity to develop strong collaboration between the Optics Group and the Physics Department of the Universitat Autònoma de Barcelona (Barcelona, Spain) and the Center of Nonlinear Sciences and Department of Physics, University of North Texas (Denton, USA). Activities include performing collaborative research to develop techniques to control spontaneous emission of quantum systems. The obtained results will be beneficial to both our research groups as well as to the fields of quantum electronics, nonlinear optics and laser physics. Participation in this collaboration will result in learning new environment for research and broadening my scientific expertise via extended in time interactions with top researchers in the field. These activities will allow us to bring more and better graduate students to UNT, as well as increase possibilities to obtain funding (including funding from European sources). All above mentioned features are going to enhance my academic career. Outcomes of this FDL include publications of the obtained results in scientific journals and presentations at international scientific conferences, as well as developing website pages to disseminate the obtained results of performed research at the Optics Group, the Physics Department of Universitat Autònoma de Barcelona, and at the Center of Nonlinear Science-UNT. These will increase the international visibility of UNT. I also plan to include the results in my public lectures to high schools and community colleges to be given to undergraduate students for recruiting purposes.</p>	<p>Outcomes of this FDL are the following: 1) Publications in scientific journals and presentations at international scientific conferences where the obtained results will be clearly presented in great details. I plan to give several invited and plenary talks at the international conferences, for example, the Physics of Quantum Electronics (UT, 2018), Physics of Lasers (2018). 2) Website pages will be built to disseminate the obtained results at the Optics Group and the Physics Department of Universitat Autònoma de Barcelona and the Center of Nonlinear Sciences-UNT. These websites will be accessible to persons with a high school level of physics education and will contain several interactive demonstrations. 3) Participation in this collaboration will result in learning new environment for research broadening my scientific expertise via extended time interactions with top researchers in the field. These activities allow us to bring more and better graduate students to UNT. 4) Journal publications, conference presentations and websites will increase the international visibility of the UNT, as well as it allows us to look for new funding (including funding from European sources). 5) Finally, the obtained research results during FDL will enhance my teaching at UNT. I have found that my passion for my scholarship is best communicated to my students through concrete examples from research that I have personally undertaken. Thus, I hope to enlighten my teaching and encourage my students to explore more physics than is in the textbook.</p>	Fall 2017

Camilo	Ruggero	Associate Professor	Psychology	<p>The prevailing approach to defining mental illness comes from committees of putative experts of the American Psychiatric Association. Their classification involves categories with questionable reliability & validity. For the past four decades, empirical work by labs across the world revealed contours of an alternative, dimensional approach to classification of mental illness. In 2015, I helped found a consortium of forty-seven of the leading scientists in this area. Convening at the University of Chicago, we outlined a new system for classifying mental illness - the Hierarchical Taxonomy of Psychopathology (HiTOP). HiTOP represents a historic, empirically-based step forward for classification. I serve on the executive board & chair the workgroup seeking to translate HiTOP into clinical practice. HiTOP promises to radically alter & improve mental health classification, research & treatment; but much work remains to be done. For leave, I will 1) survey forty-seven labs about their existing data, 2) analyze & write manuscripts based on existing data to address three areas of needed research, 3) set up data collection to address the relevance of HiTOP for Spanish-speaking patients &, most importantly, 4) create an assessment manual for HiTOP. My career will be enhanced by collaborating & strengthening ties with leading scientists in psychology, disseminating research into a practical clinical manual, & conducting research to address core, unresolved questions of the consortium. Outcomes will include an assessment manual, three peer-reviewed manuscripts, new data collection, & coordination among consortium members, which will position me for subcontracts as the consortium pursues funding.</p>	<p>I anticipate four specific outcomes from development leave: 1) creation of a HiTOP assessment manual based on current elaboration of the model (Kotov et al., 2016). The specific outcome will be the publication of an assessment manual, made freely available to clinicians. 2) Survey and discussion with forty-seven consortium members to identify and/or create data with relevance for: a) placement of mania within the context of HiTOP, b) clinical utility of HiTOP versus DSM-5 classification to improve outcomes, c) cross-cultural data to test HiTOP in non-English speaking samples survey results will be produced & disseminated to all members. International data collection to test HiTOP in Spanish speaking patients will also be set up. 3) Three peer-reviewed publications relevant to areas 2a, b, and c. My lab has data relevant to these areas already, & we will add data that emerges from the survey. 4) Increased multi-site collaborations. FDL will allow me to build & strengthen ties with other consortium members.</p>	Fall 2017
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Ohad	Shemmer	Associate Professor	Physics	<p>Quasars are the most luminous objects in the universe. Our understanding of these objects has increased dramatically, owing mainly to spectroscopic observations conducted in visible wavelengths for about a quarter million quasars. Key diagnostic features in the spectra of distant quasars are shifted into near-infrared wavelengths, which are not as easily accessible to telescopes & detectors on the ground. There are currently only several hundred near-infrared spectra of distant quasars that hold key physical information about these sources, far fewer than the number of corresponding spectra in the visible band. The prime goal of the FDL is to address this dire shortage in fundamental physical properties of distant quasars aided by a new collaboration with University of Wyoming astronomers. 1) An archival study will assemble, measure, & model all publicly available high-quality near-infrared spectra of distant quasars in a uniform manner. 2) Obtain new near-infrared spectra of bright distant quasars, enabled by the University of Wyoming time share on the 3.5-meter ARC telescope in NM. Results of this research will more than double the number of quasars in the distant universe having reliable measures of their fundamental physical properties. The data will significantly improve calibrations of black-hole mass & quasar distance measures. The ultimate outcomes will, 1) enhance my research productivity & boost my career development, 2) open up opportunities to recruit high-quality graduate students to the Physics Ph.D. program, 3) provide new opportunities for winning external funding, & 4) establish UNT's reputation as a source for world-class extragalactic astrophysics research.</p>	<p>Shining brighter than a trillion suns, quasars serve as cosmological signposts, probing the structure & evolution of the observable universe. This is achieved by a constant mass inflow onto a supermassive black hole that resides in each quasar's center. Mass accretion onto black holes is, arguably, the most efficient large-scale process that converts mass into energy turning quasars into valuable astrophysical laboratories on their own. During the past two decades, I have been investigating the quasar phenomenon, mainly from the observational perspective. The research activities proposed for this leave constitute a natural extension of my investigations. The primary outcomes from the proposed leave activity are: 1) the compilation of data that will more than double an existing inventory of fundamental quasar physical properties, required for addressing a variety of scientific questions, 2) establishing a strong collaboration with a group of astronomers having direct access to a nearby, world-class telescope, 3) recruitment of high-quality graduate students to the Department of Physics, & 4) increase my research productivity & grant activity. Ultimately, these outcomes will boost my academic career & establish UNT as a leading contributor to furthering extragalactic astrophysics research.</p>	Fall 2017
Mazhar	Siddiqi	Professor	Finance, Insurance, Real Estate and Law	<p>The leave period will be used to develop managerial compensation packages that minimize agency costs. The effort has three parts. First, developing a model for optimal managerial compensation packages that incorporate the implication of the Capital Asset Pricing Model (CAPM). Second, addressing the effects of relaxing the assumptions of the CAPM. Third, quantifying optimization trade-offs using option pricing simulation techniques. The leave period will provide time to develop this complex area of study. It should enhance my academic standing through additional publications and also by providing better teaching tools for addressing this complicated topic. It should build upon other research that I have published on agency costs and simulation methods. The outcome, over time, will be additional publications in this largely untapped research area.</p>	<p>The primary outcome is the development of an optimal managerial compensation package given the investor implications of the Capital Asset Pricing Model (CAPM). A secondary outcome is to understand how the optimal compensation changes as the CAPM assumptions are relaxed. Finally, some SAS programming may be required to simulate option partial derivative effects to quantify trade-offs between compensation package components.</p>	Fall 2017

Thomas	Sovik	Professor	Music History, Theory, and Ethnomusicology	<p>Jesus Christ, Superstar (JCS) opened on Broadway on 12 October 1971 and ran for 711 performances; the rock opera remains a global phenomenon despite criticism that the work is blasphemous, inaccurate, and anti-Semitic. Performances have been both panned and picketed; performances have been banned in several countries, both Christian and non-Christian, as "religious propaganda." Prior to the 50th anniversary of Jesus Christ, Superstar, McGraw-Hill Education, publisher of my own Popular Music in Our American Culture, has asked me to author the definitive textual and musical analysis of this rock opera and to place the work in historical context. Textually, this project will be a straightforward and balanced examination of the historical record of events as documented in Scripture and in early observations (e.g., Josephus, 37-110 AD and Eusebius, 260-340 AD) and as confirmed or denied by more recent scholarship. It will show that the libretto is astonishingly accurate and that much of its criticism is little else than church-specific "denominational propaganda" or criticism levied in an attempt to rewrite history. Musically, this project will demonstrate that "the notes" in addition to being the vehicle for the transmission of text, assume a life of their own as an outside observer to the Passion narrative while simultaneously carrying embedded Biblical codes. This project will result in a scholarly, cross-discipline monograph, it will be used as the basis for a doctoral seminar in text analysis as well as for a seminar in the Honors College, and it is expected to generate numerous conference invitations.</p>	<p>This project is to author a cross-discipline analysis of the controversial rock opera Jesus Christ, Superstar. In the textual analysis, I will address both the factual errors and the errors in attacks levied against the libretto. In doing so, I will show that many of the "theological" concerns can be dismissed by looking at Scripture itself (when viewed independently of a preconceived denominational preference of what may or may not have transpired) and that many of the "historical" concerns originate from either bad scholarship or attempts to rewrite history. In the musical analysis, I will go significantly beyond the labeling of structures and forms with abstract symbols to pursue the question of "what's going on in what's going on?" by looking beyond "the notes." For example: 1) How does "music" function as an outside observer to the action-commenting upon, and often contradicting, what is happening at the surface level? 2) Why does the music shift between triple meter (tempus "perfectum") and duple meter (tempus "imperfectum") at particular moments in the Passion narrative? 3) Why are the sounds of "dry bones," "rocks," and "iron bars" mimicked in the instrumentation, and what is the Scriptural significance of these sounds that move past the ordinary listener without so much as a cursory notice? In the end, this project will enable us to understand that JCS, after a half-century of "popularity," is an exquisitely crafted work that can speak with a much deeper meaning to the informed listener.</p>	Fall 2017
Richard	Sparks	Professor	Conducting and Ensembles	<p>In the past twenty-five years a new model for professional choirs has arisen in North America, recently with rapid dissemination of that model (more than thirty-five such choirs at this point). These new professional choirs draw singers from around the country. This has led to a new group of professional singers, who make their living primarily as ensemble singers, in addition to solo work in oratorio, opera, or some teaching. But some of these singers make their living almost exclusively as ensemble singers. I will observe five of these choirs in rehearsal and interview conductors and singers to gain insight into the skills needed to be such a singer. The things I learn will become part of a series of articles on this phenomenon, but also extraordinarily useful as we look at the skills we need to develop in our own students (undergraduate and graduate) at UNT. This should change how we teach the singers in our choral ensembles and make UNT a leader in training young singers.</p>	<p>I anticipate writing several articles about this new model, the skills a singer needs to succeed, and how the singers developed those skills. In addition, this will change the way we prepare our young singers (graduate and undergraduate) for the future. One article will be for the academic journal of the NCCO (National Collegiate Choral Organization), The Choral Scholar. This one will be oriented towards the preparation of singers for these new employment opportunities, with a view toward teaching the necessary skills and building a sufficient repertoire of challenging works that the singers will need to succeed. The other primary article will be for The Voice, which is the magazine for Chorus America, an organization designed for independent choruses (those not associated with a sponsoring organization such as an educational, religious, or musical organization such as a symphony orchestra). This organization started as the Association of Professional Vocal Ensembles and the "new model" choruses almost all belong to this organization. This article will focus on the model itself with advice to other choruses who may wish to make a change to that model or to start a new organization with that model. In addition, my research should enable the choral program at UNT to become a model to other colleges and universities for the preparation of ensemble singers with the skills to compete for positions in these high-level professional ensembles.</p>	Spring 2018

Janie	Stidham	Associate Professor	Design	<p>Digitization enables the fashion industry to not only do things better and easier, but also to envision completely new things that have never been done before. With 2D and 3D technology, companies are able to replace physical examples of garments with hundreds of virtual samples resulting in significant savings and reduce the time involved with production. Designer and vendor partners are also able to collaborate much earlier to identify problems, improve fit, make faster decisions and necessary changes to create better garments. The fashion and apparel industry, like many product industries, is rapidly changing and technology has affected the ways in which designers perform their jobs. As industry changes, so must the education of young designers. In order to stay relevant as an educator and be current in my field, it is imperative that I continue to train and keep up with technology. The development leave will give me the opportunity to explore current and future technology, train on 2D and 3D programs, and cultivate relationships with apparel companies utilizing these systems (leading to internship possibilities for students). I will participate in a training program with Optitex USA for integrated 2D and 3D software that enables designers to create 3D digital garments as well as creating and manipulating garment patterns digitally. Additionally, I will participate in a mini-session/faculty internship with a company(s) who is currently using the cutting edge technology and I will also be visiting schools with up to date systems to help in the re-design of our current curriculum in Fashion Design technology.</p>	<p>The FDL will give me the opportunity to achieve the following outcomes: 1) explore current technology for Fashion Design, 2D pattern making and 3D simulation. 2) Participate in a 3-month training program with Optitex USA for integrated 2D and 3D software platform that enables designers to quickly create true-to-life 3D digital garments, as well as creating and manipulation of garment patterns digitally rather than by hand. 3) Update and expand my knowledge base in technology in the field of Fashion Design so that I am able to be relevant in my teaching and professional endeavors. 4) Visit companies and work to establish internship programs for students in companies such as Under Armour, Target, Robert Cavalli, and Silver Jeans Co. who are all considered to use cutting edge technology. 5) Visit schools/university programs with up to date systems to help in the creation of our new building/facility in the College of Visual Arts and Design. University of Missouri, Cornell, University of Minnesota, and SUNY Buffalo State have all adopted and successfully integrated cutting edge technology.</p>	Spring 2018
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Karthigeyan	Subramaniam	Associate Professor	Teacher Education and Administration	<p>The primary FDL activity will be to 1) analyze qualitative data, 2) consolidate the findings, & write data-based manuscripts for publication, & 3) write-up the findings as proposals for national conferences. The aforementioned activities are in support of an UNT Institutional Review Board approved study IRB 16-339: "Using Microteaching as a Lens to Investigate Pre-Service Teacher's Developing Pedagogical Content Knowledge". The purpose of this study is to investigate how different domains of knowledge impact prospective teachers' developing pedagogical content knowledge (PCK). In this qualitative study, domains of knowledge specifically refer to common science content knowledge, specialized science content knowledge, knowledge of science content & students, knowledge of science content & teaching, & knowledge of curriculum that collectively impact instruction, & learning to teach science. The research question that guides this study is "What are the domains of knowledge that impact prospective teachers' developing pedagogical content knowledge?" The research methodology includes utilization of qualitative data collection methods, & qualitative analysis strategies. The FDL activity will enhance my academic career by, 1) advancing my expertise in science teacher education, especially in the areas of using microteaching for science teaching, 2) advancing my expertise on prospective teachers' PCK, & 3) assisting me in using research data on PCK to modify the EDEE 4330 EC-6 Science Methods courses, & improve UNT's elementary science teacher program. The intended outcome of the FDL is to submit four data-based manuscripts for publication in high-tier science teacher education journals.</p>	<p>Outcomes include: 1) submission of data-based manuscripts for publication: i) Developing Pedagogical Content Knowledge: Insights from Microteaching- Journal of Research in Science Teaching. ii) Science Content Knowledge as a Key Determinant in Prospective Teachers' Developing Pedagogical Content Knowledge-Science Education. iii) Mapping Prospective Teachers' Developing Pedagogical Content Knowledge through Lesson Planning & Microteaching - Journal of Science Teacher Education. iv) Microteaching as a Tool for Articulating Prospective Teachers' Developing Pedagogical Content Knowledge-Teaching & Teacher Education. 2) The submission of the following practitioner-based manuscripts for publication: i) Microteaching: Enhancing Prospective Teachers' Repertoires for Learning to Teach Science- Science & Children. ii) Supporting Prospective Teachers' Understanding of Pedagogical Content Knowledge Development-Innovations in Science Teacher Education. 3) Write-up of analysis findings as proposals for upcoming national conferences specifically, the National Association of Research in Science Teaching Conference, Association of Science Teacher Education Conference, & American Educational Research Association Conference. Proposals will include themed paper sets, posters, & individual papers. 4) Enhancing of my expertise on prospective teachers' pedagogical content knowledge through the use of microteaching as a lens to investigate prospective teachers' understanding of expertise development. 5) Upgrading/modifying EDEE 4330 EC-6 Science Methods courses using research data on microteaching & pedagogical content knowledge & improve UNT's elementary science teacher education program.</p>	Spring 2018
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Daniel	Taylor	Professor	Psychology	<p>The primary activity of my developmental leave will be to visit Duke and Pennsylvania State Universities, for four weeks apiece, to work with my primary behavioral genetics (Doug Williamson, Ph.D.; Duke) and inflammatory biomarker (Josh Smyth, Ph.D.; Penn State) collaborators. In addition, I will seek other additional trainings in behavioral genetics and inflammatory biomarkers. These activities will enhance my academic career by allowing me renewal through enhancing my expertise in two cutting edge areas of research, while also strengthening research portfolio and collaborations with these two experts. The intended outcomes of the leave activity will be, 1) an increase in my expertise in behavioral genetics and inflammation, independently and as related to insomnia, 2) submit three manuscripts in these areas using existing data from my previously funded extramural grants with these collaborators, 3) make detailed plans for analyzing future data sets from grants that are funded or pending with these collaborators, and 4) plan future grants with these collaborators.</p>	<p>My sabbatical year will be spent analyzing, writing-up and submitting manuscripts on existing data on insomnia, genetics and inflammation from previous grants (i.e., NIH [5R01HL109340-02 & 1R15AI085558-01A2], DoD [W81XWH-10-1-0828 & W81XWH-08-2-0110]). I currently have a basic understanding of behavioral genetics and inflammation in relation to sleep. I need to significantly increase my knowledge in this area in order to: 1) successfully publish existing data from previous grants, 2) successfully publish data from ongoing grants, and 3) obtain future grant funding in this area. The relationship between sleep disturbances and these biomarkers were secondary to the primary aims in my previous grants, with expert co-investigators at various outside institutions (i.e., Josh Smyth, Ph.D. [Pennsylvania State University]; Doug Williamson, Ph.D. [Duke University]). My goal for my sabbatical is to work with these collaborators so I can become the expert in "Insomnia, Genetics and Inflammation." Therefore, during my sabbatical year, I will work extensively with Dr. Smyth and Williamson to improve my skills by gaining additional training in these areas and write three manuscripts. I also plan to gain additional didactic training through other courses and workshops. Doing so will allow me to increase knowledge and move my research forward. The primary outcomes will be: 1) three manuscripts submitted using existing data, and 2) a detailed plan for analyzing datasets for my recently funded DoD projects "Treatment of Comorbid Sleep Disorders and PTSD" (1I01CU000144-01) and pending NIH project "Sleep and Vaccine Response in Nurses (SAV-RN)", which both collect genetics and inflammatory biomarker data.</p>	Spring 2018
Jakob	Vingren	Associate Professor	Kinesiology, Health Promotion and Recreation	<p>During my time at UNT I have developed a national/international reputation as an expert in the physiology effects of exercise in the context of alcohol use. The goal of this FDL is to refine my research skills, and thus enhance my academic career, in the context of exercise and alcohol/substance use and abuse. The result of my efforts will be, 1) additional research expertise and skills, 2) increased opportunities to submit and secure external (NIH, private, corporate) funding, and 3) generation of manuscripts. The primary activity of this FDL is to improve my research skills by learning additional biochemical analysis and molecular biology techniques. In addition, I will develop my grant writing skills to allow me to develop competitive applications at the national level (federal and private) and I will produce manuscripts and a research plan in support of future grants applications. The intended outcomes of this FDL are complete to obtain additional skills and expertise in biochemical analyses, molecular biology techniques, and grant writing. In addition, this FDL will produce a major external grant, three to four manuscripts, and a five year research plan that will enable me to further develop as an expert in the field of exercise and alcohol/substance use and abuse.</p>	<p>The goal of my FDL is to enhance my research on exercise and alcohol/substance use and abuse. Specifically, my FDL will be aimed at obtaining additional expertise/skills and external funding for research on exercise in the context of alcohol/substance use and abuse. This is an area of research that has not yet been adequately investigated and for which federal and private funding is available. The FDL will enable me to focus on achieving four objectives. My primary objective is to gain expertise in additional biochemical analysis and molecular biology techniques. My secondary objectives are to enhance grant writing skills, complete and submit an external research grant proposal investigating exercise interventions for individuals undergoing treatment for alcohol/substance abuse, to complete three to four manuscripts, and to complete a five year research plan that will enable me to further develop as an expert in the field exercise and alcohol/substance use and abuse.</p>	Spring 2018

Christina	Wasson	Professor	Anthropology	<p>I plan to work on a funded research project for which I am a co-principal investigator (PI), assuming our application is successful. This project, Innovative Infrastructure for Language Data Science and Education, aims to develop a Computational Resource for South Asian Languages (CoRSAL). The PI is Shobhana Chelliah of UNT Linguistics. We have applied to the NSF program Partnerships for International Research and Education (PIRE). CoRSAL is planned as a new type of language archive, i.e. a digital repository for materials on South Asian languages, especially low-resourced ones. It will be the first language archive designed to meet the needs of three separate user groups: computational linguists, theoretical linguists, and language communities. NSF has identified scientific cyberinfrastructure as a funding priority (NSF 2016). Primary activity of leave: my role in the development of CoRSAL is to manage a user-centered design process linking the needs of user groups to the design of the technologies that support these needs. I will use the leave to conduct ethnographic research with user groups in India, analyze the data, and prepare a report. Intended outcome: research conducted during the leave will result in recommendations that are used to develop CoRSAL as an effective and innovative cyberinfrastructure. How this FDL will enhance my career: the research I carry out will enable me to contribute new insights to key challenges currently facing cyberinfrastructure development. In addition, my ethnographic knowledge of India will be greatly improved. This will be valuable for CoRSAL work going forward, and is also expected to open up future research opportunities.</p>	<p>The research conducted during the leave will result in recommendations that will be used to develop innovative cyberinfrastructure for linguistic research on South Asian languages. Specifically, I will produce a report on the needs of user groups in India, including, 1) language communities whose materials will be deposited in CoRSAL, 2) Indian linguists who are recording the languages and preparing them for deposit, and 3) managers of local language archives with whom we plan to coordinate our efforts. This report will subsequently will be integrated with findings on other user groups, and all of those findings together will be used to develop a design for CoRSAL that enables members of each user group to carry out their goals regarding access and use of language data. Our team will follow a user-centered design process based on collaboration among researchers, representatives of user groups and other stakeholder groups, designers, technologists, and experts in developing materials for language revitalization.</p>	Spring 2018
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Timothy	Wilson	Professor	Dance and Theatre	<p>It is the intent of this leave to become immersed in Contemporary Theatre Performances as evidenced through works selected from throughout the global community to be performed at International Festivals. These Festivals include the Edinburgh International Festival which focuses on established artists/companies invited to perform at the festival, and the Edinburgh International Fringe Festival, which focuses on emerging artists/companies bringing new works in content and performance. Also, the Dublin International Theatre Festival includes both established and new works/artists and the International Fringe Festival, focuses on emerging artists/companies bringing new works in content and performance. These festivals coincide with my efforts to establish a faculty-led semester of Study Abroad in Edinburgh, Scotland and Dublin, and Ireland in Fall 2019. As a theatre professional in higher education it is of utmost importance to maintain an awareness of current theatre practices/performance by countries throughout the world. Theatre is an art form to be experienced. The immediate connection to live performances is one which broadens and enhances the potential of growth of the profession. In three of the courses I currently teach (Senior Seminar in Theatre, Theatre for Social Change, and Theatre and the Holocaust) it is critical that I continue to bring students an awareness of current works and performance opportunities. It opens the possibilities for understanding the potential for involvement in theatre throughout the world.</p>	<p>1) To expand and enhance my awareness and experiences with theatre performances as presented in International Festivals which represent the works/artists from throughout the world. 2) To further develop a course I am proposing: International Contemporary Theatre. (Note: Theatre Students have two courses in Theatre History which represent theatre throughout time. It is my intent to expand their awareness to diverse forms of contemporary theatre.) 3) To investigate the potential for a faculty-led Study Abroad in connection with theatre in performance in international venues. 4) To draw from these experiences in order to help students become aware of Contemporary Theatre performance and opportunities through courses I currently teach, a) Senior Seminar is the capstone course for Theatre Majors and focuses on professional preparation and theatre opportunities throughout the world, b) theatre for Social Change is part of the menu of study in Critical Perspectives in Theatre. This course focuses on contemporary social issues and the awareness and challenges of these issues as presented in contemporary theatre performances, and c) theatre and the Holocaust is also part of the menu in Critical Perspectives. This course focuses on the personal stories of individuals and the use of theatre/film to bring these stories to this generation of students.</p>	Fall 2017
Priscilla	Ybarra	Associate Professor	English	<p>I will conduct research for my second monograph. This monograph continues and expands my focus on documenting Mexican American and Latina/o contributions to environmentalism. My first monograph, Writing the Goodlife: Mexican American Literature and the Environment, was the first book-length study to document Mexican American literary contributions to environmental thought. My edited collection, currently underway, Latina/o Environmentalisms: Critical Theory and Literary History, will be the first collection of its kind that offers context for contemporary literary engagements with environmental issues in Latina/o literary history and theory. My leave will be dedicated to research for my second monograph. It is titled Untold Stories: 150 Years of Latina/o Environmental Activism. At a time when the lack of diversity in the environmental movement is bemoaned, I establish a long history of environmental actions. University of New Mexico Press has expressed interest in this project. This new book will combine with my past and current publications (two books: one monograph and one edited collection, in addition to several journal articles and book chapters) will enhance my academic reputation as the premier source for knowledge about Latina/o contributions to the environmental movement. This all works together to establish my record toward full professor. I have already been invited to national and international locales to share my expertise, and these two projects will serve to continue my reputation in this field.</p>	<p>The primary outcomes of my leave activities will be to conduct research toward my second monograph, Untold Stories: 150 Years of Latina/o Environmental Activism. I already conducted part of the research toward this project during Summer 2016 under the auspices of an Aldo and Estella Leopold Writing Residency at Tres Piedras, NM. During that residency, I met with the Director of the University of New Mexico Press, and he expressed an interest in publishing this monograph.</p>	Fall 2017



Title: Approval of Tenure for New UNT Faculty Appointees

Background:

In accordance with UNT Policy O6.007 (15.0.1), *Faculty Appointments and Granting of Tenure*, 15.0.2.32000, Maximum Probationary Period:

"The maximum probationary period is defined as the maximum amount of time a faculty member may be appointed in probationary ranks in the university. This period shall be specified for each individual at the time of his or her initial appointment. Except as otherwise stated in this and related sections of policy, the maximum probationary period is the equivalent of six years of full-time service in the university at the rank of assistant professor, or three years of full-time service in the university at the rank of associate or full professor."

"These provisions do not preclude a recommendation for the granting of tenure or a non-retention decision at any time prior to the expiration of the maximum probationary period."

And 15.0.6.31300, Review of Dossier by Provost:

"Recommendations for tenure are sent to the President. The President then transmits his or her recommendations for tenure to the Board of Regents."

Tracy Dietz became a Faculty Director and Associate Professor in the College of Business, Department of Management, in November 2016. Dr. Dietz received a BA (1990), MA (1992), and Graduate Certification in Aging (1994) from Stephen F. Austin State University; and a PhD (1995) from UNT. Dr. Dietz served at the University of Central Florida as an Assistant Professor (1997-2003) and Associate Professor with tenure (2003-2009). She also served the University of Central Florida as Co-Director of the Information Fluency Initiative and Coordinator of Assessment and Accreditation. Prior to her current position, Dr. Dietz served UNT as the Administrative Associate Dean for Assessment and Academic Reporting in the College of Business, achieving high student evaluations while teaching Health Services Management courses. Dr. Dietz has achieved an exceptional research record, with 29 peer-reviewed journal articles, 13 sole- and 7 first-authored publications, and 5 book chapters (2 peer-reviewed). Dr. Dietz also serves on the editorial boards of several journals and executive councils of scholarly organizations. She has provided exceptional service to the College of Business and UNT as a specialist in the assessment of student learning outcomes and maintenance of accreditation. She also assists with academic reporting in the college and with external grant production.

Mahasin Saleh joined the College of Public Affairs and Community Service, Department of Community and Professional Programs, as an Associate Professor in January 2017. Dr. Saleh received a BS in Family Sciences (1990) from Brigham Young University, a MSW (1996) from the University of Nevada at Las Vegas, and a PhD in Social Work (2006) from the University of Houston. Dr. Saleh served at the University of Nevada at Reno as an Assistant Professor (2006-2011) and Associate Professor with tenure (2012). From 2013-2016, Dr. Saleh served the University of Bradford (UK) as a Lecturer, Program Director, and Admissions Coordinator. Dr. Saleh came to UNT with over 14 years of practice experience in Social Work. She has published a total of 11 journal articles, 4 as sole- and 3 as first-author. She has presented at 1 statewide, 11

national, and 3 international conferences. Dr. Saleh was a U.S. Fulbright Scholar from January to June 2013, working at Bethlehem University in the occupied Palestinian territory. Dr. Saleh has taught a variety of courses at both the undergraduate and graduate levels, receiving high evaluation scores. In 2016, she received the University of Bradford's Vice-Chancellor's Teaching Award.

Randy Bomer will join UNT on August 1, 2017 as the Dean of the College of Education. Dr. Bomer received a BA from Trinity University in San Antonio with a major in Drama. In 1987 he received a MA in English Education from the Teachers College, Columbia University, New York City. He was awarded a PhD in English Education from Columbia University in 1996.

Dr. Bomer has held a tenured appointment at The University of Texas at Austin. He has held the Charles H. Spence Sr. Professor in Education at The University of Texas at Austin since 2013 as well as Chair of the Department of Educational Administration. He is a Professor of Curriculum and Instruction at The University of Texas at Austin, where he also directs the Heart of Texas Writing Project. Formerly a middle and high school teacher, he has consulted with urban school districts across the USA. Prior to coming to UT Austin, he taught at Indiana University, Queens College of the City University of New York, and was for five years the co-director of the Teachers College Reading and Writing Project. He is a former president of the National Council of Teachers of English.

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
DN: cn=Bob Brown, o=University of North Texas,
ou=VP for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2017.02.02 15:14:25 -06'00'

Janet Waldron
Vice Chancellor for Finance

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

This item has been reviewed by General Counsel.

Nancy S. Footer
Vice Chancellor/General Counsel

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Texas System, ou=Office of General Counsel,
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Schedule:

Tenure will be awarded immediately upon the approval of the Board of Regents for the following individuals:

- Tracy Dietz
- Mahasin Saleh

Tenure will be awarded upon the first day of employment for the following individual:

- Randy Bomer

Recommendation:

The President recommends that the Board of Regents authorize and approve the award of tenure for Tracy Dietz, Mahasin Saleh, and Randy Bomer.

Recommended By:

O. Finley Graves

Provost and VPAA

Neal
Smatresk

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of North Texas, ou=President,
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President

Rosemary R.
Haggett

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North Texas System, ou=Vice Chancellor for
Academic Affairs and Student Success,
email=rosemary.haggett@untssystem.edu, c=US
Date: 2017.02.06 16:10:49 -06'00'

Vice Chancellor

Lee Jackson

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



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 February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in accordance with UNT Policy 06.007 (15.0.1), *Faculty Appointments and Granting of Tenure*,

"The maximum probationary period is defined as the maximum amount of time a faculty member may be appointed in probationary ranks in the university," and

Whereas, this period shall be specified for each individual at the time of his or her initial appointment," and

Whereas, "these provisions do not preclude a recommendation for the granting of tenure at any time prior to the expiration of the maximum probationary period," and

Whereas, Tracy Dietz, Mahasin Saleh, and Randy Bomer were all awarded tenure at their previous institutions, and

Whereas, Tracy Dietz, Mahasin Saleh, and Randy Bomer have the credentials and experience to be awarded tenure as confirmed by their department, college, and provost, and

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

1. The conferring of tenure to Tracy Dietz and Mahasin Saleh effective immediately.
 2. The conferring of tenure to Randy Bomer upon the first day of employment.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: January 3, 2017

Title: Award of Honorary Degree

Background:

From time to time, the University of North Texas (UNT) awards honorary doctoral degrees to recognize outstanding individuals who have made meritorious contributions throughout their distinguished careers. An honorary Doctor of Humane Letters degree is recommended for Mrs. Sue Mayborn during UNT's Spring 2017 Commencement Ceremony.

Mrs. Mayborn is the editor and publisher of the *Temple Daily Telegram* and the *Killeen Daily Herald*. An active philanthropist, she believes in public service and the philosophy that successful citizens have the responsibility to give back into their community and their profession. She has consistently demonstrated her commitment to Texas and the journalism profession by her generous gifts to UNT and a variety of other institutions over the years.

Through their considerable philanthropic contributions, Mrs. Mayborn and her late husband Frank W. Mayborn and others have helped to support the nationally accredited Frank W. and Sue Mayborn School of Journalism as well as the Frank W. Mayborn Graduate Institute of Journalism. The Mayborn School has more than 1,200 students and is one of UNT's fastest growing academic units. The Mayborn Graduate Institute of Journalism is the only professionally accredited master's program in journalism in a four-state region (Texas, Oklahoma, Arkansas and New Mexico). Mrs. Mayborn's transformational gifts also support the Mayborn Literary Nonfiction Endowment Fund, the Mayborn School of Journalism Dean's Excellence Fund, the Roy Busby Endowment, and the George Getschow Literary Nonfiction Scholarship.

Mrs. Mayborn serves as president of the Frank and Sue Mayborn Foundation and has contributed generously to a variety of charitable, religious, literary, scientific and educational projects within Central Texas. For example, she helped establish the Sue and Frank Mayborn Natural Science and Cultural History Museum Complex in Waco. The Mayborn Planetarium and Space Theater also bears the family name. An Oklahoma native, Mrs. Mayborn graduated from Gatesville High School and Temple Junior College. She also attended Baylor University and the University of Mary Hardin-Baylor, where she now serves on the Board of Trustees. She has received the Pro Texana Medal of Service from Baylor University.

She is the former owner of the NBC affiliate station KCEN-TV, which Mr. Mayborn set up more than 50 years ago. KCEN-TV was the first television station in its market covering Waco, Temple and Killeen. She sold the station in 2009. The UNT graduate program in journalism was renamed the Frank W. Mayborn Graduate Institute of Journalism in 1999. UNT's School of Journalism was named for Frank W. and Sue Mayborn in 2009. For more than 30 years, Mrs. Mayborn has maintained the Mayborn legacy of journalism excellence and continues to encourage the development and growth of Texas.

An honorary doctorate for Mrs. Mayborn will recognize this generous donor's distinguished achievements and support, as well as help raise awareness of UNT's programs.

Financial Analysis/History:

There are no fiscal implications.

Bob Brown
Institution Chief Financial Officer

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ou=VP for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2017.02.03 12:19:53 -06'00'

Janet Waldron
Vice Chancellor for Finance

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Date: 2017.02.08 12:37:41 -06'00'

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: 2017.02.08 17:50:03 -06'00'

Schedule:

The Honorary Doctor of Humane Letters degree will be awarded to Mrs. Sue Mayborn during the 2017 Spring Commencement Ceremonies.

Recommendation:

The President recommends, with the concurrence of the Dean of the Mayborn School of Journalism, President's Cabinet and the Chancellor, that the Board of Regents approve the award of this University of North Texas honorary degree, Doctor of Humane Letters, to Mrs. Sue Mayborn.

Recommended By:

Neal J. Smatresk

Neal Smatresk

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

President

Rosemary R. Haggett

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North Texas System, ou=Vice Chancellor for
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Vice Chancellor

Lee Jackson

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Chancellor



Board Order

Title: Award of Honorary Degree

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, from time to time, the University of North Texas (UNT) awards honorary doctoral degrees to recognize outstanding individuals who have made meritorious contributions throughout their distinguished careers, and

Whereas, through their considerable philanthropic contributions, Mrs. Mayborn and her late husband Frank W. Mayborn and others have helped to support the nationally accredited Frank W. and Sue Mayborn School of Journalism as well as the Frank W. Mayborn Graduate Institute of Journalism, and

Whereas, for more than 30 years, Mrs. Mayborn has maintained the Mayborn legacy of journalism excellence and continues to encourage the development and growth of Texas.

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

1. That Mrs. Sue Mayborn be awarded an Honorary Doctor of Humane Letters degree from the University of North Texas,
 2. That this degree be conferred to Mrs. Mayborn during UNT's Spring 2017 Commencement Ceremony.
-

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 UNTHSC Emeritus Administrator Recommendation

Background:

In accordance with UNT Health Science Center (UNTHSC) Policy 6.102, *Regents Professor, Emeritus Professor, Emeritus Regents Professor, and Emeritus Administrator Designations*,

In some instances, recognition of outstanding contributions to the administration will also be recognized with a designation of Emeritus status for positions of President, Provost or Dean following that individual's retirement from full-time employment. To be eligible for this award, an individual must: 1) be retired from full-time employment and hold a title of President, Provost or Dean; 2) have held such an appointment for at least seven years; and 3) have a distinguished record of contributing to the mission of UNTHSC. For administrators at the level of Dean or Provost, the recommendation should be made by the immediate supervisor and be reviewed by a committee appointed by the President to provide a recommendation for his/her consideration. The President will then forward his/her recommendation to the UNT System Board of Regents for approval.

Dr. Thomas Yorio served as Provost at UNTHSC for eight years from 2008-2016 prior to retiring. While he was Provost, he continued to be an active researcher and was recognized nationally in his field, meeting the distinguished record of service requirement. In addition, the review committee appointed by the President unanimously recommended Dr. Yorio for Provost Emeritus. Having met all of the above eligibility requirements, the designation of "Emeritus Administrator" is recommended for the following individual:

Dr. Thomas Yorio for Provost Emeritus

Dr. Thomas Yorio is an outstanding candidate for the designation Provost Emeritus. He retired from full-time employment in November of 2016 and continues to contribute to the UNTHSC as a researcher in the North Texas Eye Research Institute. Dr. Yorio has served in a variety of administrative roles at the HSC, most recently as Provost and Executive Vice President for Academic Affairs. During his eight-year tenure as Provost, he significantly impacted the educational mission of the institution by starting the Physical Therapy program, the System College of Pharmacy (the first such college ever in the North Texas area), and most recently he actively participated in the development of the allopathic medical school partnership with Texas Christian University (TCU). Prior to his appointment as Provost, he served as Senior Vice President for Research, was the Founding Dean of the Graduate School of Biomedical Sciences and was instrumental in the development of the School of Public Health. He is a role model for mentoring and training graduate students and other research personnel through his vibrant and successful, high quality research program. In addition to educational programs, Dr. Yorio had a major role in developing the infrastructure on the campus including the Interdisciplinary Research and Education Building. He provided leadership for the transformation of the Lewis Library by moving library resources from books to electronic media. Beginning with the Quality Enhancement Project (QEP), he facilitated initiatives to support faculty development and online learning.

Moreover, the UNTHSC tradition of Research Appreciation Day was his idea and 2017 will mark its 25th anniversary celebration. In summary, Dr. Thomas Yorio continues to contribute to the teaching, research and service missions of the UNTHSC and is most deserving of the designation of Provost Emeritus.

Financial Analysis/History:

There are no financial implications for the designation of Provost Emeritus status.

Gregory R.
Anderson

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Science Center, ou=Office of Finance,
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Institution Chief Financial Officer

Janet Waldron

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Date: 2017.02.08 12:38:18 -06'00'

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: 2017.02.08 17:50:49 -06'00'

Vice Chancellor/General Counsel

Schedule:

Effective immediately upon Board approval.

Recommendation:

The President recommends that the Board of Regents grant Provost Emeritus designation to Dr. Thomas Yorio.

Recommended By:

Michael R. Williams

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
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Texas System, ou=Vice Chancellor for Academic
Affairs and Student Success,
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Date: 2017.02.06 16:12:28 -06'00'

Vice Chancellor

Lee Jackson

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ou=Office of the Chancellor,
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c=US
Date: 2017.02.13 11:13:04 -06'00'

Chancellor



Board Order

Title: Approval of UNTHSC Emeritus Administrator Recommendation

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, UNT Health Science Center (UNTHSC) Policy 6.102, *Regents Professor, Emeritus Professor, Emeritus Regents Professor, and Emeritus Administrator Designations*, states that in some instances, recognition of outstanding contributions to the administration will also be recognized with a designation of Emeritus status for positions of President, Provost or Dean following that individual's retirement from full-time employment, and

Whereas, the eligibility requirements and selection process was followed according to the policy, and

Whereas, Dr. Yorio has significantly impacted the mission of UNTHSC,

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

1. Grant the designation of Provost Emeritus status to Dr. Thomas Yorio, 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



Title: Approval of Tenure for UNTHSC Faculty Appointee

Background:

In accordance with the University of North Texas Health Science Center (UNTHSC) Faculty Bylaws, *Article X – Tenure, Section A – Non-tenured Faculty Members on the Tenure Track*,

“...each new faculty member shall serve a minimum probationary term of no less than one year before application for tenure, unless the President, in special circumstances, recommends immediate tenure.”

Dr. Tracey E. Barnett received her PhD in Medical and Applied Sociology from Western Michigan University in 2002. Dr. Barnett was an Associate Professor with tenure in the Department of Epidemiology, a department in the College of Public Health and Health Professions and the College of Medicine at the University of Florida. She also served as Director of the Social and Behavioral Sciences concentration for their PhD in Public Health. She is a nationally recognized investigator in the area of tobacco and alternative tobacco products. Dr. Barnett has been Principal Investigator or Co-Principal Investigator on research grants sponsored by the National Cancer Institute (NCI) at the National Institutes of Health (NIH), U.S. Food and Drug Administration (FDA) Center for Tobacco Products, and the American Cancer Society. She has over 50 publications in national and international peer-reviewed journals. She has an excellent reputation as a highly productive scholar and effective mentor of graduate students who holds high academic expectations. Dr. Barnett’s recruitment will fill a gap in tobacco research capacity that currently exists in the School of Public Health (SPH) and she will strengthen the School’s PhD program in Public Health Sciences. Dr. Barnett joined UNTHSC January 1, 2017. Her appointment as Associate Professor with tenure in the Department of Health Behavior and Health Systems and as Associate Dean for Academic Affairs in SPH will significantly increase the visibility of the School in academic circles and improve our ability to recruit excellent faculty. Dr. Barnett will be a valuable asset to the SPH and 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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Janet Waldron
Vice Chancellor for Finance

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Date: 2017.02.08 12:39:16 -06'00'

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer Digitally signed by Nancy S. Footer
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System, ou=Office of General Counsel,
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Date: 2017.02.08 17:51:26 -06'00'

Vice Chancellor/General Counsel

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. Tracey Barnett.

Recommended By:

Claire Peel

Interim Provost

**Dr. Michael
R. Williams** Digitally signed by Dr. Michael R.
Williams
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o=UNT Health Science Center,
ou=President,
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c=US
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President

**Rosemary R.
Haggett** Digitally signed by Rosemary R. Haggett
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North Texas System, ou=Vice Chancellor for
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Date: 2017.02.06 16:13:52 -06'00'

Vice Chancellor

**Lee
Jackson** Digitally signed by Lee Jackson
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Date: 2017.02.13 11:13:59 -06'00'

Chancellor



Board Order

Title: Approval of Tenure for UNTHSC Faculty Appointee

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in accordance with the University of North Texas Health Science Center (UNTHSC) Faculty Bylaws, *Article X – Tenure, Section A – Non-tenured Faculty Members on the Tenure Track*,

“...each new faculty member shall serve a minimum probationary term of no less than one year before application for tenure, unless the President, in special circumstances, recommends immediate tenure”, and

Whereas, Dr. Barnett is an outstanding educator and researcher and was tenured at her previous institution, and

Whereas, Dr. Barnett is endorsed by her Dean, Interim Provost, and the President,

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

1. The conferring of tenure to Dr. Tracey Barnett, 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



Title: Approval of Tenure for New UNT Dallas Faculty Appointee

Background:

The University of North Texas at Dallas has an established practice for the review of faculty in consideration of tenure and promotion. In accordance with the UNT Dallas Policy 6.009 Tenure and/or Promotion Review, tenured faculty are expected to have demonstrated significant academic work in his or her academic discipline; and to have demonstrated excellence and substantial professional achievements in the areas of teaching and student success, research, scholarly and creative activities, and service and public engagement consistent with levels expected at peer or aspirational peer programs. The UNTD Tenure and Promotion Committee employed these standards in assessing the record and performance of Dr. Betty Stewart, newly appointed as provost and executive vice president at the University.

Betty H. Stewart, Ph.D., was hired on January 9, 2017 by the University of North Texas at Dallas as provost and executive vice president for academic affairs; her appointment will commence February 20, 2017. Dr. Stewart comes to UNT Dallas from Midwestern State University in Wichita Falls, TX, where she served as provost and vice president for academic affairs. She previously served as vice president for academic affairs and dean of the faculty at Eckerd College, beginning in 2010, and as dean of the College of Science and Mathematics at Midwestern State from 2006-2010. She served as chair of the chemistry department at Austin College from 2000-2006. Stewart received tenure and was promoted to associate professor at Austin College in 1998. She was promoted to the rank of professor at Austin College in 2005 and subsequently achieved tenure and the rank of professor when she joined Midwestern State University in 2006 and Eckerd College in 2010.

Stewart received a bachelor's degree in biochemistry from Mississippi State University in 1982 and earned her Ph. D. in protein biochemistry and biological sciences from Carnegie-Mellon University in 1986. Her honors and outside service include participation in the American Association of State Colleges and Universities Millennium Leadership Initiative (2008), Harvard Institutes for Higher Education Management Development Program (2007), and Colorado College's Project Kaleidoscope Leadership Institute (2004). She received the Robert A. Priddy Foundation Grant to Reinvigorate the Sciences at Midwestern State in 2007, was named Midwestern State University Chemistry Professor of the Year in 2008, and was Selected Mentor and Session Leader at the AAC&U/Project Kaleidoscope Summer Leadership Institute in 2016.

Dr. Stewart has published numerous refereed journal articles, refereed proceedings, and many other professional publications. She has also received a number of research grants from the National Science Foundation and National Institutes of Health and was Project Director for the Texas Teacher Quality Grant Program, Austin College Chemistry Advanced Placement Program.

After review of her qualifications, the UNT Dallas Tenure and Promotion Committee, made up of tenured faculty, unanimously recommended that tenure be granted to Dr. Betty Stewart. The

recommendation was presented to the president from the interim provost. The president concurred with the recommendation.

Financial Analysis/History:

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

daniel.edelman@untdallas.edu
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daniel.edelman@untdallas.edu
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Institution Chief Financial Officer

Janet
Waldron

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ou=Vice Chancellor for Finance,
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c=US
Date: 2017.02.08 12:39:59 -06'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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ou=Office of General Counsel, email=nancy.footer@untsystem.edu,
c=US
Date: 2017.02.08 17:52:08 -06'00'

Vice Chancellor/General Counsel

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. Betty Stewart.

Recommended By:

Glenda Balas

Interim Provost
Digitally signed by Bob Mong
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ou=Office of the President,
email=bob.mong@untdallas.edu,
c=US
Date: 2017.02.02 17:22:31 -06'00'

Bob Mong

President

Rosemary R.
Haggett

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Texas System, ou=Vice Chancellor for Academic Affairs
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Vice Chancellor

Lee
Jackson

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Chancellor



Board Order

Title: Approval of Tenure for New UNT Dallas Faculty Appointee

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on February 23-24, 2017, pursuant to a motion made by Regent _____ and seconded by Regent _____, the Board approved the motion presented below:

Whereas, in accordance with the University of North Texas at Dallas Policy 6.009 Tenure and/or Promotion Review, the Provost is responsible for ensuring that any individual who is considered for tenure has the necessary credentials, and may appoint an ad hoc committee on tenure and promotion to assist with this responsibility, and

Whereas, Dr. Betty Stewart came to UNT Dallas February 20, 2017 from Midwestern State University as an administrator and tenured professor of chemistry, and

Whereas, Dr. Betty Stewart previously held tenure at Midwestern State University, and

Whereas, Dr. Betty Stewart has a proven record as an administrator and educator.

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

1. The conferring of tenure to Dr. Betty Stewart, 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